

Policy Guidance and Results-Based Management of Sida's Educational Support

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Sida EVALUATION 2008:13

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Preface

This evaluation of policy guidance and the use of results information in the management of Sida's education sector was commissioned by the Department for Evaluation (UTV) in co-operation with the Education Division (UND). It is intended to serve as an input into the process of reviewing policy and working methods in Sida's educational support.

The field of education involves several different departments in Sida. The primary responsibility for policy in the sector rests with the Education Division. The Department for Research Co-operation (Sarec) manages Sida's support to universities and research institutes as well as regional research networks and international research programmes. Resources for educational support are also channelled through Swedish framework organisations, with Sida support from the Department for Co-operation with NGOs, Humanitarian Assistance and Conflict Prevention (SEKA). While the primary focus of the evaluation is support through the Education Division, it aims to include all the relevant actors as well as the relationships between them.

The evaluation examines strengths and weaknesses of the entire management process in the educational sector. It analyses (i) the usefulness of available steering instruments, in the form of policies and guidelines, as well as results information, derived from monitoring and evaluation instruments, and (ii) the organisational conditions that influence the actual utilisation of policies and results information.

It is concluded that there is a clear need to make steering instruments more accessible to staff both at Sida Stockholm and in the field, as well as to provide stronger incentives to use the instruments. With regard to results information availability is varied, as is quality of existing information. It follows that basic preconditions for results-based management are lacking in the educational sector. An overall conclusion is that management in the education sector is based on blueprint formats rather than a systematic use of policy instruments or information on results.



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Abbreviations

ANDS	Afghanistan National Development Strategy
ARTF	Afghanistan Reconstruction Trust Fund
AsDB	Asian Development Bank
BRAC	Bangladesh Rural Advancement Committee
CAF	Country Assistance Programme
CAS	Country Assistance Strategy (World Bank)
CEDAW	Convention on Elimination of All Forms of Discrimination Against Women
CMES	Centre for Mass Education in Science (Bangladesh)
CRC	Convention on the Rights of the Child
CSO	Civil Society Organisation
DESO	Department for Democracy and Social Development (Sida)
DFID	Department For International Development (UK)
DRC	Democratic Republic of Congo
EC	European Community
EFA	Education For All
EFA FTI	Education For All Fast Track Initiative
FTI	Fast Track Initiative
EO	Division for Civil Society Support (Sida)
FWO	Swedish Framework Organisations
GBS	General Budget Support
GMR	Global Monitoring Report
GOB	Government of Bangladesh
HQ	Headquarters
ICCPR	International Covenant on Economic, Social and Cultural Rights
JAS	Joint Assistance Strategy
MDG	Millennium Development Goals
MOEVT	Ministry of Education and Vocational Training (Tanzania)
MOU	Memorandum Of Understanding
NGO	Non-Governmental Organisation
NGRSP	National Strategy for Growth and Reduction of Poverty
NPO	National Programme Officer
NPRS	National Poverty Reduction Strategy

PEDP II	Primary Education Development Plan (Bangladesh)
PBA	Programme Based Approach
PFM	Public Financial Management
PGD	Policy for Global Development
PRSP	Poverty Reduction Strategy Paper
SAREC	Department for Research Cooperation (Sida)
SCF	Save the Children Fund
SEKA	Department for Cooperation with NGOs, Humanitarian Assistance & Conflict Management (Sida)
Sida	Swedish International Development Cooperation Agency
SWAp	Sector Wide Approach
TDP	Teacher Development Programme
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UND	Education Division (Sida)
UNDAF	United Nations Development Assistance Framework
UNESCO	United Nations Education, Scientific and Cultural Organisation
UNGEI	United Nations Girls Education Initiative
UNICEF	United Nations Children's Fund
UTV	Department for Evaluation and Internal Audit (Sida)
WB	World Bank

Executive Summary

Sida is an organisation operating in an increasingly challenging and demanding policy environment. The Swedish Government is requesting proof that its *Policy on Global Development* is being implemented. Sweden's country strategy, development cooperation and support designs are expected to increasingly respond to the commitments of the Paris Declaration. Sweden's development performance is being judged internally and externally by its progress on meeting Paris Declaration commitments.

Swedish education development cooperation is expected to retain its distinctive approach to enabling poverty reduction and rights-based education through implementation of a growing set of guidelines. Education cooperation increasingly uses sector programme support as a key modality. Sida provides development cooperation in education and research through different departments, each with its own role, mandate, guidelines and forms of engagement. The Education Division within the Department for Democracy and Social Development (DESO/UND) holds primary responsibility for Sida's education sector development cooperation. The Department for Research Cooperation (SAREC) administers Sida's research cooperation. The Department for Cooperation with NGOs, Humanitarian Assistance & Conflict Management (SEKA) channels Swedish support through popular movements and non-governmental organisations (NGOs). Sida currently support 14 framework organisations (FWOs), which in turn use the framework grants to provide support to individual projects from numerous Swedish NGOs which cooperate with local partner non-governmental organisations.

The purpose of the evaluation is to assess the strengths and potential limitations of Sida guidance instruments and results information flows for education sector cooperation, especially user relevance and assess how current organisational conditions, especially systems and processes, influence usefulness and effectiveness. The evaluation is required to address four main questions, consisting of (i) does the scope and formulation of the steering instruments enable the relevant staff to use them in an appropriate way? (ii) do the organisational conditions within Sida and the frame-organisations enable the relevant staff to use the steering instruments in an appropriate way? Organisational conditions might for example include issues such as the division of labour between field and headquarter, management systems, as well as the capacities of various units; (iii) does the availability of relevant information on results and needs enable the relevant staff to utilise them in an appropriate way? and (iv) do the organisational conditions within Sida and the frame-organisations enable the relevant staff to access and utilize the information on results and needs in an appropriate way?

The range and diversity of policies and specific education guidance instruments are broad in coverage, but tend towards a blueprint approach, with limited country specific guidance. Guidance in practice on how to ensure that the design and implementation of education cooperation responds to specific country contexts is mixed. A contributing factor may be uneven country results information flows and the absence of a robust internal process for reflecting on lessons learned from previous cooperation.

Remaining gaps in guidance include an approach to more sector wide cooperation, especially for secondary and higher education, including a view of the role of civil society and private sector. Guidance instruments related to design and support for education quality improvements are best characterised as supply-side approaches and activity-oriented. As Sida increasingly participates in more harmonised and aligned assistance programmes, a more sector-wide and outcome-oriented focus on guidance instruments is needed.

An important conclusion is that many of the guidance instruments are seen as insufficiently practical and operational. This applies particularly to newer staff and national programme officers. There is a perceived gap in guidance needed to operationally link broader development goals (poverty, social inclusion, human rights, democracy, sustainable development) with education cooperation designs. There is also a need for more practical guidance on use of education innovations, frequently small-scale innovative approaches through civil society organisations.

The evaluation found consistent demand for practical guidance on how to conduct policy dialogue, how to engage in a SWAp and work within sector and general budget support contexts. Other gaps identified are operational approaches to planning the development transition from humanitarian assistance/relief to more sustainable development and a host of issues related to sector policy dialogue and the implications of transition from stand-alone projects to more harmonised/alignment assistance.

The systematic use of guidance instruments in both HQ and field offices, and especially for the narrower technical instruments, is limited. Decision point and assessment memo documents made little reference to guidance instruments. A key issue is that there appears to be no specific requirement or incentive to do so. An overall conclusion is that education guidance instruments will only impact effectively on the planning and operation of education cooperation programmes when the appropriate organisational conditions are in place. Making it mandatory to reference guidance instruments in decision points and assessment memos may help create incentives for improved awareness and usage. More systematic dissemination of guidance instruments within the education division, country and donor partners and Swedish frame organisations would be beneficial, alongside regular staff orientation.

A key conclusion is that increased Sida staff involvement in country aid effectiveness groups and activities (e.g. donor groups, annual sector reviews) is changing roles and responsibilities. Previously predominantly Sida internal responsibilities are now being supplemented by the need to engage in country level policy dialogue, network regularly with development partners and frequently subsume Sida individual interests within a broader donor harmonisation process. It is not always fully clear that these issues are fully thought out during staff deployment and annual work planning processes. The situation appears to be more positive when Swedish embassies with delegated authority are proactive in staff identification and when changing roles/responsibilities are specifically thought through in the country strategic planning process. More formalised coordination between DESO/UND, SEKA and SAREC would further help to clarify HQ and country level roles and responsibilities for education cooperation.

A main conclusion is that country results information flows are uneven, insufficiently strategic and that, more positively, the information needs for country policy/strategy analysis and more specific education cooperation programme reviews are narrower when more harmonised/aligned assistance is prevalent. A related conclusion is that increasingly, participation in country sector donor working groups is becoming a critical source of results information, reducing the need for discrete Sida supported results information initiatives. Nevertheless, improving results information flows to enable monitoring of poverty, democracy and rights policy impact remains a gap.

Another conclusion is that education sector assessments are insufficiently results-oriented and tend to follow the form of a blueprint best characterised as a situation analysis. While the use of country-led or donor partner sector assessments and results information has value, it should not preclude rigorous and independent sector assessment by Sida's own staff. Organisationally, there is considerable value in a systematic country results information mapping exercise as part of the annual work planning process. This would help define HQ and field staff roles in collection, collation and analysis of results information.

Most of the conclusions, and many of the issues raised by the evaluation, are about knowledge management: the management of guidance and the management of results and outcomes in a much more integrated way. A systematic and coordinated approach to knowledge management in the education sector is required to better meet Sida's overarching development objectives and to be better attuned to changing aid modalities and international commitments.

A knowledge management strategy must build on improved understanding of policies and a deeper understanding of all education sub-sectors and their inter-relationship. With the involvement of several independent departments, each with their own mandate, organisational arrangements are not

conducive to such a widening of Sida's operational definition of education cooperation.

The evaluation proposes four strands of a knowledge management strategy, (i) establish an education knowledge management function within DESO/UND with clear mandate and responsibilities; (ii) strategic learning and capacity building management, including identifying gaps in staff skill-mix, in field offices and at HQ; (iii) prepare practical and operational guidelines/tools with procedures and mechanisms for following up on use; and (iv) prepare an annual country results information map for decision-making, with procedures and mechanisms for following up on use. It would be desirable to engage DESO/UND, SAREC and SEKA together in working through all aspects of such a knowledge management strategy.

1 Introduction and Background

A. Broad Policy and Strategic Context

Sida as an organisation is operating in an increasingly challenging and demanding policy environment. Domestically, Swedish Government is demanding a demonstration that its *Policy on Global Development* (PGD)¹ is being effectively implemented.

Swedish education development cooperation is expected to retain its distinctive approach to enabling poverty reduction and rights-based education through implementation of a growing set of overall policy, sector policy, and thematic guidelines.² Specifically for education, international agreements related to achieving *Education for All* (EFA) and the *Millennium Development Goals* (MDGs) help to set and track the policy agenda.³ There is also a sustained expectation that various policy guidelines on crosscutting themes (e.g. HIV/AIDS, gender equity) will be mainstreamed within all planning and management processes, including through effective Sida inter-departmental consultation.⁴

Another growing feature of the policy and strategic context, driven by both domestic and international concerns, is a demonstration of aid effectiveness and development results, encapsulated in Sweden's commitment to the Paris Declaration 2005. Increasingly, Sweden's development performance is also being judged internally and externally by its progress on meeting Paris Declaration commitments. The first monitoring survey (in 2006) suggests that Sweden is making substantial progress in meeting its commitments – being above average in relation to use of country systems, avoiding parallel implementation structures, using common arrangements and procedures and participating in joint analytical work and joint missions. Notwithstanding, it is recognized that more needs to be done if Paris Declaration targets are to be met.⁵ The recent Swedish Government decision on country concentration, identifying coun-

¹ Government of Sweden, 2003: Sweden's Policy on Global Development

² Sida 2002: The Rights of the Child in Swedish Development Cooperation; Sida 2005: Poverty Reduction Strategies; and Sida 2005: Education Democracy and Human Rights

³ UN 2000: The Millennium Declaration; UNESCO 2000: The Dakar Framework for Action; OECD DAC 2005: Paris Declaration on Aid Effectiveness; and UNESCO 2002 onwards: The Education for All Global Monitoring Report

⁴ Sida 2005: Promoting Gender Equality in Development Cooperation; and Sida 2005: Sida's Response Framework to HIV/AIDS in Education

⁵ OECD DAC 2007: 2006 Survey on Monitoring the Paris Declaration, which covered 24 of the 34 countries where Sweden offers development cooperation assistance

tries for long-term Swedish development support and focusing on post-conflict and fragile states, is an extension of this aid effectiveness debate.⁶

Sweden's country strategy, development cooperation and education sector support designs are expected to increasingly respond to the commitments of the Paris Declaration. First, Swedish development cooperation is increasingly designed in consultation with country governments and donor partners. Secondly, programme designs are increasingly aligned and delivered through country systems or harmonized approaches with other donors (e.g. pooled funding arrangements). These are characterized as general/sector budget support, sector programme support and joint analytical work and missions. Thirdly, increasingly the roles and responsibilities of Swedish advisers – both in country embassies and Stockholm HQ – incorporate engagement in country aid architecture, development planning, and monitoring processes.

Education cooperation increasingly uses sector programme support as a key aid modality. For example, a recent analysis indicated that around 30% of Sida education cooperation is delivered through various forms of programme-based approaches.⁷ This is a comparatively high proportion, matched only by Sida's work in the health sector. The organisational challenges and need to clarify guidance and definitions for shifting away from more traditional project modalities are thus a particular priority for Sida education-related cooperation.⁸ It is acknowledged that donor coordination and harmonization are time consuming but are necessary to create effective modalities and live up to the Paris Declaration emphasis on importance of aid effectiveness and focus on results.⁹

B. Sida Organisational Development Context

Sida is implementing a policy of increased delegated authority to Swedish country embassies. Currently around one-third (14 countries) of the embassies have such authority. Previous evaluations highlight that there are significant implications for delineating HQ/field roles and responsibilities, work planning processes and differing needs, in terms of guidance instruments, information flows and staff orientation.¹⁰

The design of Sweden's development cooperation programmes increasingly needs to take account of country and donor aid effectiveness and harmonization action plans. It is recognized that there are implications for Sida's organisation, in terms of better internal and external communication, staffing skill-mix, staff orientation and reporting systems.¹¹ In relation to its decision

⁶ Regeringskansliet (August 2007): Resultat av landfokuseringen

⁷ Sida 2007, POM Working Paper: Inventory of Programme Support 2000/6;

⁸ Sida 2006, POM Working Paper: Questions and Answers on Programme-Based Approaches

⁹ Sida 2007, UND Education Cooperation Report 2006

¹⁰ Sida 2004, Evaluation Report: Organisational Cultures in Sida; and Sida 2005: Evaluation of Consequences of Field Vision for Internal Management

¹¹ Sida 2006: Aid Effectiveness Action Plan 2006/8

on concentration of development cooperation, the Swedish government expressed its intention to further increase Swedish field presence in countries with which Sweden maintains development cooperation.

An organisational review is further underway within Sida and decisions on Sida re-organisation are expected to be announced by end March. At the time for this evaluation, there were, however, no indications of what a re-organised Sida might look like.

Sida provides development cooperation in education and research through different departments, each with its own role, mandate, guidelines and forms of engagement.

The Education Division, within the Department for Democracy and Social Development, (DESO/UND) holds primary responsibility for Sida's education sector development cooperation. It is responsible for the development of education policies and education thematic guidance and methods within Sida. Through DESO/UND, Sida cooperates bilaterally in education and also supports various UN agencies (UNICEF, UNESCO, UNGEI) and the World Bank's Fast Track Initiative (FTI), which complements bilateral interventions. It supports regional education programmes in Africa and is involved in international training programmes.¹² In addition, at country level, education sector support from DESO/UND is channelled through local and/or international NGOs depending on the specific country situation.

The Department for Research Cooperation (SAREC) administers Sida's research cooperation. Through SAREC, Sida supports partner country research and research of importance for the development of these countries. It provides bilateral support to the development of policies, structures and capacity for research, including institutional reforms, strengthening research management and research priority setting. Through support to regional and international organisations and networks, Sida engages in research and research strengthening in areas closely linked to the fight against poverty. The department also supports Swedish research activities relevant to developing countries.

The Department for Cooperation with NGOs, Humanitarian Assistance & Conflict Management (SEKA) channels Swedish support through popular movements and non-governmental organisations. SEKA is responsible for humanitarian assistance, reconstruction, and works with peace and conflict management which entails supporting education projects channelled through NGOs and popular movements. Through its Division for cooperation with NGOs (SEKA/EO), Sida provides support to non-governmental organisa-

¹² Education support for 16 identified priority countries in 2006 was around SEK 685 million, alongside around SEK 240 million for rapidly growing regional and global programmes (e.g. Education for All Fast Track Initiative (EFA FTI)) (Sida 2007: Progress in Educational Development Sida's Contributions 2006). The 16 countries receiving bilateral cooperation were Afghanistan, Bangladesh, Bolivia, Burkina Faso, Cambodia, Democratic Republic of Congo, Ethiopia, Honduras, Lao PDR, Mali, Mozambique, Namibia, Rwanda, South Africa, Tanzania and Timor L'este

tions, with the purpose of promoting the development of a vibrant and democratic civil society. SEKA/EO is thus programming by method rather than by thematic issues. SEKA/EO enters into framework agreements with well-established Swedish NGOs on a 90/10 basis (i.e. the organisations contribute 10% and Sida 90%). Sida currently supports 14 FWOs, which in turn use the framework grants to provide support to individual projects from numerous Swedish NGOs which cooperate with local partner non-governmental organisations. The FWOs uphold a strong and intended mandate, following their own internal guidelines/rules, regulatory framework and comparative advantages to engage in civil society support. SEKA/EO has no influence over the FWO's choices of thematic or geographic areas. Some of the projects supported are formal education projects. Thus, the FWOs do not implement own projects financed from the framework grant. However, a FWO may implement projects financed from other sources than the framework grant from SEKA/EO (such as from SEKA humanitarian assistance or peace and security).

There is recognition of the need for greater alignment between education, or education-related, and research cooperation, managed through DESO/UND, SEKA and SAREC. Recent evaluations highlighted the need for review of the consistency and strategic alignment of education, and education-related programmes.¹³

Over the past six to seven years, Sida has responded to development challenges in a number of ways, including (i) the release of a number of policy guidelines and articulation of fundamental principles and values; (ii) the release of policy guidance instruments, especially related to over-arching development goals and crosscutting policies (e.g. poverty, democracy, rights, gender equity); (iii) the release of thematic and sector policy guidance documents; and (iv) a comprehensive range of evaluations and policy/methods assessments, especially related to formulation of country strategies, and reviews of organisational cultures, management practices and more results-oriented management systems.

For education, DESO/UND has issued a wide range of position papers best characterized by (i) how best education cooperation can enable achievement of broader development goals; (ii) education and humanitarian assistance; and (iii) selected technical papers related to policy development, sub-sector analysis, and specific technical themes (e.g. teacher education, education materials). Recently, through an internal DESO results project, the focus has shifted to how best to secure a more results-oriented organisational culture and management system, especially in the context of growing use of direct budget support and humanitarian assistance modalities. SAREC has issued its own policy, which is currently under revision. The support through SEKA/EO is guided by Sida's policy on support to civil society alone.

¹³ Sida 2005, SEKA Evaluation: NGO Support for Education; and Sida 2005: Review of CSO Support Models

The findings of some of the various initiatives helped to set the organisational context for the evaluation study. For example, an evaluation of the country programme evaluation guidelines highlights the limited focus on sector assessment and results in reviewing country strategy.¹⁴ An evaluation of Sida mainstreaming strategy highlights the limited absorptive capacity, the crowded policy arena and sub-optimal organisational learning.¹⁵ A recent internal audit of management response systems points to the uneven actions taken in response to evaluations.¹⁶ An internal audit of Sida organisational culture highlights sometimes differing views on the value of guidance instruments and the efficiency of working practices and staff development programmes, with field staff according more value to formal guidance and delineation of responsibilities.¹⁷

Fig. 1 A balance between organisational and individual accountability

"It is obvious that, at the ideological level, the Field Vision and performance management do not encounter any strong verbal resistance. The Sida culture is characterised to a great extent by consensus in which value is placed on compromise. Instead of open conflicts, both individuals and groups of individuals choose to create their own platforms for action. This makes the implementation of new ideas particularly difficult since it cannot be expected that the staff will directly follow new decrees as they have a large number of their own solutions that function satisfactorily."

"The idea of 'assuming responsibility' is also valued highly at Sida and the freedom to act is considerable as long as one maintains that one is 'assuming responsibility' or 'has experience'. This can create difficulties in processes of change, since the resistance is vague and non-verbal. The freedom experienced by many members of staff can also be a sign of a lack of clarity in the organisation. In turn this lack of clarity can contribute to a feeling of unevenness in operations, with deficiencies in communications between divisions/units – not least between Stockholm and the field."

Source: Sida 2004: Internal Audit of Organisational Cultures within Sida

These evaluations and audit findings have not been disaggregated by individual departments or field offices. Nevertheless, they help inform some of the lines of enquiry of the evaluation study. In some cases, they provide a baseline for assessing the use of guidance instruments by the DESO/UND, SEKA and SAREC staff, in both HQ and Swedish country embassies. These findings also provide an opportunity to verify or otherwise the findings of this evaluation study, which draws directly on staff interviews in HQ and a number of countries.

¹⁴ Sida 2004: Evaluation of Sida Performance Analysis Processes

¹⁵ Sida 2004: Evaluation of Mainstreaming in Sida

¹⁶ Sida 2006: Evaluation of Management Response System

¹⁷ Sida 2004: Internal Audit of Organisational Cultures within Sida

C. Objectives, Methodology and Analytical Approach

Objectives and Rationale: The rationale and objective of the evaluation is to assess the overall steering and guidance for Sida and frame organisation staff, in Stockholm and field offices. This steering and guidance should come from the steering instruments as well as from information on results and needs.

The purpose of the study is to assess the strengths and potential limitations of the guidance instruments and results information flows, especially user relevance and assess how current organisational conditions, especially systems and processes influence usefulness and effectiveness. A central rationale for the evaluation is to help facilitate organisational learning within the education division, SEKA and SAREC, and where appropriate, within Sida more generally.

The evaluation is required to address four main questions, consisting of (i) does the scope and formulation of the steering instruments enable the relevant staff to use them in an appropriate way? (ii) do the organisational conditions within Sida and the frame-organisations enable the relevant staff to use the steering instruments in an appropriate way? Organisational conditions might for example include issues such as the division of labour between field and headquarter, management systems, as well as the capacities of various units; (iii) does the availability of relevant information on results and needs enable the relevant staff to utilise them in an appropriate way? and (iv) do the organisational conditions within Sida and the frame-organisations enable the relevant staff to access and utilize the information on results and needs in an appropriate way?

More details on rationale, scope and purpose are provided in the Terms of Reference for the evaluation at *Annex 1*.

Conceptual Framework for the Study: In addressing the four main questions, the evaluation is requested to evaluate the influence of a number of factors affecting the use and relevance of guidance instruments and result systems, especially (i) the overall country development environment and context (e.g. post conflict); (ii) the overall country aid architecture, including country leadership, aid harmonization/alignment arrangements, etc.; and (iii) the aid modality chosen by Sida (as reflected in the case study selection criteria agreed with Sida); and (iv) levels of delegated authority within Sida to the country office. A related line of enquiry was the extent to which Sida organisational conditions help or hinder the extent to which Sida is or can be reactive or proactive to these factors and what might be done to allow Sida education division to actually be more proactive and flexible where necessary.

A conceptual framework was formulated during the inception phase, set out in the evaluation design matrix and key questions at *Annex 2*.

Overall Methodology and Analytical Approach: The methodology included a textual analysis and screening of a representative sample, including Sida policy guidance, Sida education technical papers, and associated international conventions and guidance documents and a number of recent papers suggested by the DESO results/Programme-Based Approach (PBA) group and by the SEKA results project. Overall, around 90 guidance instruments and analytical reports were analysed and screened. In addition, a Sida website document search was conducted, focusing on (i) specific country information for around 30 countries, including country strategy papers, country annual reports and aid fact sheets; (ii) other guidelines and reviews related to SEKA and NGO in education operations; (iii) a range of evaluation reports on various organisational and management issues; (iv) selected Sida annual reports; and (v) a number of internal audit reports.

The guidance instrument screening process focused on (i) the purpose and process for document formulation; (ii) the extent and consistency of focus on Sida development goals; and (iii) extent of guidance for Sida's way of working with other country/donor partners. Based on a systematic rating system, these assessments were consolidated to address (i) relevance and usefulness to identified users; (ii) extent of practical guidelines for Sida cooperation design and implementation; (iii) extent of consistency across guiding instruments; (iv) identification of gaps in coverage; (v) the degree of robustness; and (vi) consistency with other international guiding documents related to education.

The methodology and approach included (i) assessment of Sida organisational arrangements and conditions; (ii) reviews and analysis of Sida and country results and information systems, particularly drawing on joint education programme reviews and evaluations; (iii) Sida HQ, country office, frame organisation and country partner experiences, including their identified good practice; and (iv) Sida's organisational learning and knowledge management arrangements.

The methodology and approach included an attempted survey sending out questionnaire by e-mail. In the event, the response to questionnaires (only 7 returns – 20% response) was limited and the questionnaire findings were restricted to a collation and analysis of informed comments from the respondents.

Extensive consultations were undertaken in Stockholm and in selected case countries. In Stockholm, discussions and consultations were held with Sida staff from DESO/UND, SEKA/EO, and SAREC. Consultations were also held with representatives from cross-cutting issues (HIV/AIDS) and Sida's overall results project. In addition, discussions were held with representatives from three selected framework organisations (Forum Syd, PMU Interlife and Swedish Mission Council). During field missions to three selected case countries, discussions and consultations were held with embassy staff, partner gov-

ernment main stakeholders, donor partner representatives, local NGOs, and FWO representatives when available. A semi-structured questionnaire was used for these consultations and discussions. A summary report was prepared following each interview. Based on these report, the findings were organised within the framework of the overall evaluation matrix (set out at *Annex 2*).

Case Countries: Field missions were conducted in 3 country case studies, complemented by more limited distance country case study analysis in 5 additional countries. Case study selection process and criteria included (i) an initial mapping of education cooperation activities (as shown in *Annex 3 and 4*); (ii) a mapping of countries, based on a Sida typology for three different aid modalities; (iii) agreed selection of representative countries for these three different modalities; and (iv) agreement on additional distance case studies against the same criteria. An initial scoping of Sida education cooperation activities worldwide against these country criteria is also shown at *Annex 3 and 4*. The country case studies for field visits approved by the steering committee were:

Democratic Republic of Congo: A post-conflict country with which Sweden will engage in bilateral development cooperation. Education sector cooperation channelled through UNICEF started in 2006 and thus provides a very recent process for which to analyse the usefulness of steering instruments in the preparation process. There is also education support through SEKA and three FWOs are working in DRC. A global initiative is ‘pending’ for 2008.

Bangladesh: Recently entered into pooled support to basic education. In addition Sida provides support to two programmes. Through SEKA there is support to three FWOs and there is also one global initiative (with a second global initiative “pending” for 2007). Bangladesh remains a country with which Sweden will engage in long-term bilateral development cooperation.

Tanzania: A country with long-lasting cooperation in education. During second half of 2006 the financing modality was changed to GBS. There are other types of Sida interventions in addition to GBS (SEKA and SAREC). There are a number of FWOs working through civil society. It is further the only country with a SAREC programme officer with mandate for higher education and research in addition to a programme officer for basic education. A global initiative is being implemented in Tanzania. Tanzania remains as a country with which Sweden will engage in long-term bilateral development cooperation.

In addition, using the same selection criteria the evaluation team conducted distance case studies covering *Afghanistan, Bolivia, Ethiopia, Russia and Rwanda*, through teleconferencing and documentation review.

Further details on methodology and approach are described at *Annex 3*.

2 Main Findings: Review of Sida and International Guidance Instruments for Education Support

These findings draw on a number of sources, consisting of (i) a documentation analysis, focusing on patterns, history and impetus (see *Annex 5*); (ii) a textual analysis of consistency, robustness and perceived gaps in guidance (see *Annex 6*); (iii) a similar analysis related to Swedish international agreements (see *Annex 7*); (iv) the views of Sida HQ education advisers and Swedish frame organisations on guidance instruments (see *Annex 8*); (v) summary of findings of field and distance country case study interviews/analysis (see *Annex 10*); and (vi) selected findings from staff questionnaire returns.

A. Assessment of Scope, Diversity and Formulation Processes of Guidance Instruments

Scope and diversity of guidance instruments and international agreements is very broad in coverage of issues. The scope and diversity of guidance instruments is very broad, covering virtually all principles and processes related to Sweden's development policy objectives, Sida's guidance on how staff should design co-operation accordingly and how education programmes can help enable achievement of Sweden's development policy objectives related to poverty, human rights and democracy. Education guidance instruments, especially related to sub-sectoral and technical issues (e.g. how to conduct education policy, teacher education and education materials support strategy), are also wide-ranging and help to guide a more holistic approach to designing education cooperation. Nevertheless, the absence of a clear view on role of higher education and research in designing education cooperation is a potential constraint to a fully holistic approach to education sector cooperation within Sida.

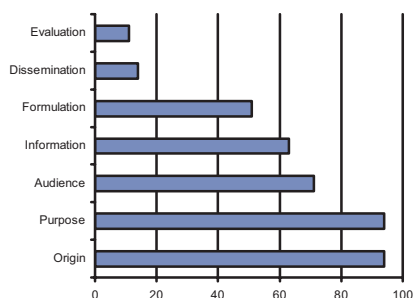
The scope and diversity of Swedish international agreements for education are comprehensive, covering (i) Sida generated international agreements/frameworks; (ii) UN conventions; (iii) international agreements/political commitments; (iv) international initiatives; (v) joint research projects involv-

ing Sida; (vi) other international research initiatives; (vii) global reports; and (viii) internationally generated tools and guidelines. The evaluation concluded that any Sida staff member fully conversant with all these documents would be highly informed and well prepared to understand the context and principles underpinning Sida's education cooperation programmes.

Impetus behind the issue of guidance instruments appears to vary historically. The preparation and objectives behind the issue of guidance instruments appears to vary historically, with peaks in 2003 and 2005. Between 2000/4, the primary impetus was a technical response to Sida's commitment to implementing the Dakar Declaration (2000) and to demonstrate both internally and to an international audience, that UND was well prepared. Since 2005, the primary impetus of guidance appears to be how to implement Sida's commitment to the Paris Declaration and adopt a more results oriented management approach within Sida. A key informant within Sida education division confirmed that the primary audience for education specific guidance documents is Sida education division HQ, especially to present a platform in international education fora. As one HQ staff member commented "most of these guidance documents don't have much meaning in programming and resource allocation terms".

Stakeholder consultation is narrow, and dissemination and implementation monitoring processes lack clear definition. In the majority of education specific guidance documents, the explicit primary audience is Sida education specialists, who formulated the majority of the education guidance instruments or commissioned them. For example, the formulation process was only rated strong/moderate in around 45% of guidance instruments reviewed (see fig. 2)¹⁸. It is not clear to what extent other stakeholders (e.g. Swedish frame organisations, Sida country offices, other donor partners) were consulted or seen as a key audience and user. Notable exceptions were a number of technical papers formulated between 1999/2002, which incorporated extensive consultation and case studies from field officers.

Fig 2 Assessment of Documentation Processes (% rated strong/moderate)



¹⁸ Each of the guidance documents was rated strong (S), moderate (M) or limited (L) against a number of process dimensions as detailed in Annex 5.

The evaluation found that clear definition on how guidance instruments would be disseminated and their implementation monitored was disappointing. In less than 20% of documents reviewed, the means for disseminating and monitoring availability and adoption of guidance instruments was clearly specified. As a result, HQ and embassy interviews confirmed that many education division staff members, especially newer and out-posted ones (e.g. in DRC), are not aware of many of the more technical guidance instruments. This is reportedly due to uneven staff orientation programmes. Similarly, there is no clear process for ensuring that key guidance instruments are being used in the education cooperation decision making and assessment memo process (e.g. guidelines on how to reference key guidance instruments during this preparation process).

The unevenness of dissemination processes was also confirmed during non-embassy field interviews. It was reported that few donor partners or government education ministry staff had access to, or were aware of Sida development or education cooperation guidance instruments. The primary mechanism for dissemination was an informal one, through presentation of, or reference to, Sida education policy during government/donor sector working group meetings (e.g. in Bangladesh, Tanzania, Rwanda) and education programme design missions. More positively, informants particularly referred to an awareness of Sida's distinctive rights-based approach to education through these donor group meetings.

Nevertheless, the evaluation team was able to easily access all these guidance documents from the Sida website. The evaluation concluded that a systematic dissemination action plan, using a web alert process, could quickly broaden awareness and access to these instruments. Questionnaire responses from a Swedish framework organisation echoed the need for more systematic dissemination commenting "need to build a network of representatives from FWOs that could share experiences and observations on these issues (i.e. use of guidance instruments) and develop an international course for education SWAPs and other related matters".

Operational guidelines on enabling achievement of broader development goals through education are limited. A key finding from documentation review and staff interviews was that the principles and theory of implementing poverty reduction, rights-based approaches and crosscutting thematic policies through education was robust and consistent. The recent education division process on thematic concentration within education reemphasised inclusion and non-discrimination in education, democracy and human rights, and education for sustainable development as priority areas.¹⁹

Less positively, the guidance instruments frequently say little on how to do this in practice. HQ and embassy interviews confirmed a need for more practical guidance especially related to policy dialogue. Practical guidance is

¹⁹ Promemoria (October 2007): Åmneskonsentration inom utbildningssektorn.

needed for instance on the types of policies that governments can pursue to ensure that the poor are not discriminated against (i.e. are included as per a rights-based approach), on which reforms may threaten the participation and real inclusion of learners, on how to ensure that different sectors support each other, etc. As one embassy officer commented: there is a “need for more documents focused on instruments – on how to do things in practice and not only theories....., [but to] mention practical examples of real life in the documents”. Internationally guiding instruments with good practices have been produced.²⁰ Good practices are, however, often overtaken quickly by changes in aid modalities. Providing such instruments/operational guidelines, for varying aid modalities and country contexts, is a critical need given the recent thematic concentration process (with focus on democracy and human rights, inclusive education, and education for sustainable development).

More practical guidance on Sida education cooperation strategy is also seen as a priority. The evaluation reviewed education guidance instruments related to (i) the role of the private sector; (ii) enabling innovation and reform; (iii) working with CSOs and NGOs; (iv) initiating country policy dialogue; and (v) formulating and implementing education SWApS. Once again, guidance instruments can be best characterised as being strong on principles and theories, but with limited real life examples or guidance. For example, there is growing emphasis on guidance instruments related to planning SWApS and country policy dialogue mechanisms. However, Sida’s growing country experience could be better articulated in current guidance instruments. Encouragingly, the recent series of discussion papers emanating from the DESO results/PBA group constitutes a strong platform for this kind of SWAp operational guidance.²¹

Similarly, the evaluation found that it would be beneficial to have clearer and more operational guidance on alignment between country education cooperation strategies and on eligibility criteria and expected outcomes for formal education projects through Swedish FWOs funds. SEKA guidelines are the only Sida guidelines which are compulsory to FWOs. The purpose of these SEKA guidance instruments is to promote civil society engagement as an end in itself. They do therefore not include any guidance or view on role of NGOs/CSOs in formal education or on relation to Sweden’s country education programme objectives. There is thus little practical Sida guidance on how CSOs/NGOs can contribute to achieving democracy and human rights through implementing formal education projects. Likewise, there is little practical guidance on how civil society can effectively participate in education SWApS, or aid programmes delivered through general or budget sector support. Previous SEKA/EO evaluations tend to confirm this finding.²²

²⁰ A good example of a more operational and practical guidance instrument is Local Solutions to Global Challenges: Towards Effective Partnership in Basic Education, Uganda by Netherlands Government, 2003

²¹ For example, Sida 2007, Report from a Seminar in Rwanda on Budget Support; Sida 2007, The Paris Declaration in Practice: A Review of Guiding Documents in Sector Programming; Sida 2007, Review of Five Assessments for Sector Program Support; and Sida 2007, Issues Paper: Sector Engagement in Program Based Approaches

²² Sida 2005: SEKA/EO Evaluation of NGO Cooperation Within Education Sector Financed through SEKA/EO

There may be some benefit in developing country specific guidance instruments, using DESO/UND country programme funds, alongside or instead of SEKA funding channels. Recognizing the risk of limited harmonization between Swedish development priorities and local NGO support strategies, the Swedish embassy in Tanzania has recently formulated new guidelines to address this issue. The delegated authority to the Swedish Embassy facilitates this innovative approach.²³

B. Review of User Relevance, Impact and Gaps in Guidance Instruments

Swedish country strategy is a key guidance instrument, but informed more by education international agreements than Sida education guidance instruments. Overall interviews with both HQ and field education staff confirmed that the country strategy paper was a key guidance instrument and used extensively, especially by field officers. A number of findings emerged. First, education sector assessment in country strategies appear to be more guided by international agreements (e.g. EFA, Dakar Declaration, MDGs, Paris Declaration) than by Sida education guidance instruments. Secondly, there are more explicit references to these international agreements and the country strategy in education assessment memos than to Sida education policy/strategy guidance (e.g. as evidenced in DRC, Bangladesh and Afghanistan). Thirdly, guidance from these international agreements is less prevalent when country harmonization/alignment processes are more robust, i.e. when country education strategies form the primary guidance instrument (e.g. Ethiopia, Bolivia, Tanzania, Rwanda).

Effective use of other guidance is uneven and needs to be subject to greater independent scrutiny by HQ and field staff. The evaluation found that other sources of guidance are frequently used, including UNICEF education country assessments and strategies (e.g. Afghanistan, DRC), UN gender strategies (e.g. Ethiopia, Afghanistan) and other donor sector assessments (e.g. Rwanda, Bolivia). Field and distance interviews confirmed that there was increasing recognition of the need for independent Sida appraisal of these forms of guidance.

For example, in DRC and Afghanistan, incumbent and former field education staff recognised that their own rigorous appraisal, backstopped by HQ advice, was critical as part of developing strategies for relief/reconstruction development transition and possible shift from project modalities to more harmonised/aligned support. This was perceived as less of a problem when these sector assessments form part of joint sector performance reviews (e.g. Ethiopia, Bolivia) and there were effective working arrangements between donors to share assessments, both formally and informally (e.g. Rwanda, Bangladesh).

²³ Swedish Embassy, Tanzania 2007, Guidelines for the Swedish Embassy's Direct Support to Tanzanian Civil Society, including an assessment tool and outline for pre-core funding assessment. Under this arrangement, an education NGO apex body will be supported

Significant degree of familiarity with guidance within HQ, but perceptions of over supply. Most members of education division HQ staff expressed familiarity with the wide array of guidance instruments, especially more experienced ones. Younger staff members, including newly out-posted staff members (e.g. DRC, Ethiopia) were less familiar. Several officers – a substantial minority – felt there were too many documents – ‘a flood’ in the words of one interviewee. Sida at Work and Sida Education Policy 2001 were repeatedly mentioned as the most useful and valuable. Sida at Work is the only guidance instrument referred to as being of significant practical value. In the words of one field officer, “Sida at Work is my bible”.

The interviews with HQ and field staff produced additional findings. Firstly, there were mixed views on the operational usefulness of the current Sida education policy guidance note and it might need to be updated in the context of greater harmonization/alignment of education cooperation. Secondly, there were general doubts about the operational usefulness and relevance of the narrower technical papers. Thirdly, more practical and operational guidance instruments are needed, including formulation of country education strategies and aid modality choices. The demand for very field-oriented practical and operational guidance (beyond just technical explanations) was particularly evident amongst younger and out-posted staff.

Much of this education guidance becomes an individual’s accumulated body of knowledge, with a risk that formal staff induction will be neglected. The overall impression is that few education advisers consciously, or explicitly, refer to these guidance instruments in their daily work, especially longer-serving Sida education staff. There are a number of real or potential disadvantages to this approach. First, without explicit referencing of guidance used, it is difficult for managers to easily track whether policy guidance is being followed. Secondly, there is a risk that the need for more formal orientation and induction to these guidance instruments will be neglected and newer staff will be left to ‘pick things up as they go along’. As one newer field officer pointed out, “being new to Sida, I would have appreciated an overview course/information meeting on policy frameworks and steering documents”. Thirdly, without clear reference to Swedish/Sida guiding instruments the signal to government and other donor partners become less clear. This carries a risk that there is uncertainty as to whether a specific view is the personal view of the individual representing Sweden/Sida or whether it is an official viewpoint.

International agreements are recognised as important driving forces in informing Sida education guidance. An important finding is that international agreements are seen as very important. In the case of HQ staff, EFA related agreements and UN conventions were specifically used and referred to as very relevant. In the case of field staff, frequently more directly involved in the country aid architecture, Paris Declaration commitments were seen as highly relevant. Another finding is that guidance related to EFA FTI is becoming more relevant,

as the scope of the EFA FTI operations increases.²⁴ The influence and guidance from joint research projects (e.g. joint evaluation of external support to basic education), EFA global monitoring reports and other UN and World Bank assessments is also recognised as important, especially amongst HQ education advisers.

The evaluation also conducted an assessment of consistency between Sida policy and education guidance instruments and a range of UN conventions and international agreements. It was found that a high proportion of Sida policy and education reference papers demonstrate consistency with UN conventions, especially the Convention on the Rights of the Child (CRC), which features as a key starting point for around two-thirds of the documents. Reference and consistency with UN conventions is particularly evident in broader thematic/sector papers, less so in narrower education sub-sector position papers.²⁵ In the case of broader international agreements, the pattern was roughly similar, confirming the influence of international agreements on how Sida operates.

Significant guidance on sector-wide approaches, but mainly process oriented, with limited attention to secondary and higher education and specific country issues. There has been a growth in guidance on sector-wide approaches, mainly focusing on the analytical steps needed to determine whether countries have the capacity to lead and implement a SWAp. These analytical processes, drawing on international experience are robust. Until recently, these guidance instruments tended to be predominantly a general blueprint, with little guidance on how to apply the principles and processes within a specific country context. More positively, since 2007, the DESO results/PBA group has begun to collate and analyse a range of country experiences (e.g. at the Rwanda 2007 seminar on PBAs). This provides an opportunity to begin to formulate more country specific, less blueprint, guidance instruments. Nevertheless, limited guidance on secondary and higher education is available, especially within a sector-wide approach to cooperation. This may reflect a slow reaction to accommodate to a paradigm shift in relation to how education is being seen today, and/or a slow reaction to the distorting consequences of previously supporting only sub-sectors.

A related gap is guidance on the integration of SAREC supported research into higher education policy formulation, including how this sub-sector can help enable development of a country knowledge economy. The latest UNCTAD report (2007) is clear on the role of knowledge and the direct relationship between knowledge creation and diffusion and poverty.²⁶

Very limited guidance on role of private sector in education, especially when upper secondary and higher education/TVET are of growing importance in SWAps. The guidance in-

²⁴ As summarised in Annex 4, EFA FTI is now in operation, or on the agenda in 20 countries, where Sida is supporting education cooperation in different ways

²⁵ See further in Annex 7

²⁶ UNCTAD, 2008: Information economy Report 2007–2008.

struments for the role of the private sector, which features more in post-basic education, are extremely limited.²⁷ These findings were confirmed by HQ education staff interviews, and education officers in Tanzania confirmed a sense of inadequate understanding of the role of private sector.

Limited guidance on outcome-oriented education quality improvement and how to monitor education standards improvement. There is a diverse range of technical guidance documents related to the output/activity side of education quality, especially related to teacher training and instructional materials. There is very limited guidance available on more outcome-oriented (e.g. have standards improved?) and education standards definition and standards monitoring and evaluation processes. As a result, much of the guidance tends to assume that outputs (e.g. more qualified teachers) act as a proxy for quality outcomes and pays limited attention to more demand-side and institutional/governance factors related to quality improvement (e.g. the value of national assessments and learning surveys).

Limited guidance on the transition from humanitarian relief strategy into sustainable sector development. The evaluation found significant evidence of limited guidance with this kind of development transition, including the transition from use of SEKA to DESO/UND funding sources. Other donors have quite extensive guidance instruments of this kind.²⁸ Currently DESO/UND is supporting education through UN/NGO managed projects in three countries (including two case study countries: DRC and Afghanistan). This issue may become more pressing given SEKA support in at least 6 other countries (e.g. Somalia, Sudan), characterised as fragile states.

There was limited reference to existing guidance instruments in country strategy papers and education programme assessment memos (e.g. DRC and Afghanistan).²⁹ Country work plans in these countries made no reference, explicitly or implicitly, to these guidance instruments. Interviews with Sida staff involved in DRC and Afghanistan also pointed to the need for guidance on how to plan and manage this kind of transition, including DESO/UND and SEKA interdepartmental consultation processes. A recent review of the results systems in Afghanistan also pointed to the need to address the same issue.³⁰

Use of Sida education guidance instruments by Swedish framework organisations is non-compulsory and uneven and expanded orientation programmes are needed. Interviews with FWO staff in Stockholm and the field confirmed the most useful Sida guiding instrument to be the ones from SEKA, i.e. Sida's policy for the Civil Society (2004) and the SEKA guidelines for application for funds.³¹ Besides

²⁷ Sida 2003: Post Basic Education in Partner Countries, assessed by the evaluation team to only be of limited to moderate usefulness, lacking strategic guidance and operational approaches

²⁸ For example, the EC guidance instrument on LRRD – Linking Relief, Rehabilitation and Development.

²⁹ For example, Sida 2005: Promoting Peace and Security Through Development Cooperation; and Sida 2003: Education in Situations of Emergency, Conflict

³⁰ SPM Consultants, 2007: Review of the Relationships between Sida's Results Management and Planning Instruments, includes case study on Afghanistan

³¹ Sida 2007, latest Version: Guidelines for Grants from Appropriation for NGOs, managed by SEKA/EO

these no other Sida guiding instruments are compulsory for the FWO in their use of the framework funds. However, interviews with FWOs clarified that the FWOs would welcome more guidance on Sida's view of the role of NGOs in formal education service delivery, and the view on how the role may differ by aid modality.

SEKA/EO staff in addition refers to Sida at Work as a useful guiding instrument for assessing frame organisation applications. To ensure that the organisations conduct appropriate cooperation within relevant strategies and policies, SEKA/EO makes use of Sweden's Global Policy rather than Sida sector policies. Representatives from two of the FWOs also referred to this policy as providing overall guidance.

For thematic guidance, the FWOs produce their own guiding instruments using relevant Sida guiding instruments as a reference point. Interviews with FWOs clarified that they find Sida guidelines to be rather complicated and thus difficult to understand – in particular for smaller NGOs in partner countries but also for Swedish organisations applying for project support from the framework funds. It is further proposed by one FWO that Sida should provide more user-friendly guidance on e.g. basic standard designs of formal education projects through NGOs.³²

³² It is however also proposed to have web-based availability and a hierarchical structure of policies and corresponding "best practices". This proposal would seem to indicate that the active use within the FWO of guiding instruments may not be all that intense given that it does not seem to be aware of the fact that there is both web-based availability of policies and a hierarchical structure also available on the Sida web-site.

3 Main Findings: Review of Sida Organisational Arrangements for Utilising Education Policy Guidance and Implementation

The overall methodology included (i) interviews with HQ education staff and selected SEKA and SAREC officers (see *Annex 8*); (ii) analysis of selected country aid architecture and harmonisation/alignment activities, which have implications for organisational arrangements (see *Annex 9*); (iii) interviews with country field staff and documentation review, including analysis of the implications of delegated or non-delegated authority within Sida and delegated cooperation to other agencies (see *Annex 11*); and (iv) selected findings from returned questionnaires.

A particular focus of the analysis was the implications for organisational responsibilities and how the organisation works in different contexts, especially related to different aid modalities, levels of delegated authority and the status of country aid architecture (including macro and sector level consultative groups).

A. Review of Organisational Roles, Division of Responsibilities and Organisational Practices

Roles of DESO/UND education sector specialists in country strategy process are well defined – less so for SEKA and SAREC specialists. The development of country strategies, led by regional departments, has a well established and understood process for engaging sector specialists. In the case of countries with delegated authority, the Swedish embassies, including education staff, tend to play a more substantive role. However, the role and responsibilities of SAREC specialists in the country strategy process are somewhat uneven and less defined. As a result, it is unclear how SAREC country managers are accountable for contributing to achievement of country development objectives. SEKA support through FWOs is channelled outside the country strategy programme process. As regards results reporting, the programme officers

of SEKA are primarily focusing on the strengthening of civil society per se and largely disregarding thematic results of the support.

Different country aid architecture and aid modalities bring different responsibilities and the extent to which this is thought through in HQ/field work planning processes, is unclear. The responsibilities of education field staff vary significantly, depending on country aid architecture. Where Sida is engaged in general budget support, responsibilities focus on engaging and sometimes leading sector dialogue processes in country, typically in close consultation with the country economist (e.g. Tanzania). In cases where sector support is more prevalent, the primary responsibilities are of dialogue with other sector donors (e.g. pooled funding arrangements) and programme monitoring (e.g. Bangladesh and previously Ethiopia). Where project support is provided, frequently with outsourced management, the primary role is activity/input level reporting and monitoring.

The overall impression is that the extent to which the implications of these different country contexts in defining roles and work priorities for HQ and field education staff has been fully thought through is variable. In some cases, it is clearly defined and understood, and especially where country delegated authority is in place, support from HQ is largely on demand and defined by evolving country priorities (e.g. Bangladesh, Tanzania, Bolivia). In other cases, the delineation of HQ/field responsibilities and work priorities seems to be more blurred (e.g. DRC, Afghanistan), with a more informal negotiation process between involved staff.

This uneven definition constitutes a potential problem when HQ staff frequently have a number of country responsibilities that need to be balanced. Equally, it may be that a single HQ country officer cannot necessarily cover the full skill-mix required (e.g. public financial management expertise is frequently mentioned as an issue). It was reported that HQ staff cannot always be available for key country events (e.g. annual sector reviews) against other priorities. In summary, the chain from country education strategy, defining and delineating HQ/field staff responsibilities, work planning processes and their execution, needs to include greater specification of verifiable outputs and outcomes. As one HQ put it, “we are backstops”, which in some cases, may understate their roles or reflect a lack of definition in some country contexts.

Need to clearly and formally define HQ/field staff roles for country governments and donor partners, including that of national programme officers. Discussions with donor partners and government agencies suggest that the roles, responsibilities and authority of staff are not always fully understood. In Afghanistan, it was reported that the respective roles of Sida/UNICEF in sector dialogue (in the context of a Sida-financed and UNICEF-managed programme) was somewhat blurred. In Bangladesh, the role of the HQ adviser and field adviser (a highly experienced and respected Bangladeshi) during annual programme

reviews was not always clear to donor partners. A similar situation was reported in Bolivia. In DRC, the roles of the national programme officer (NPO) and counsellor in emerging sector dialogue processes was reportedly blurred.

A particular issue, referred to by both HQ and field staff (especially NPOs) is uncertainty over the respective status and authority of HQ and field staff, especially concerning decision-making. There is a strong case for early formal communication with governments/donor partners to make this clear. In some cases, where it is problematic for HQ staff to actively engage in sector dialogue, formal delegation to NPOs (with clearly defined limits) might be appropriate.

Better definition of roles and responsibilities under delegated cooperation to UN, NGO and donor partners would be beneficial. Sida delegates authority to a number of other agencies for programme implementation or other responsibilities in a number of countries. For example, in Afghanistan, DRC, Ethiopia and Cambodia, Sida-financed programmes are managed by UNICEF. In Lao PDR and Bangladesh, AsDB manages Sida-financed education cooperation funds. In Afghanistan, Bangladesh, Tanzania, and DRC, management is selectively outsourced for specific projects to Swedish or local NGOs.

A number of common issues emerged from field interviews and reports in Afghanistan and DRC. First, the role of HQ and/or field staff in decisions over whether use of UN/NGO agencies was the best strategic choice was frequently unclear in assessment memos. Secondly, the role of HQ and/or field staff in independent appraisal of UN/NGO project proposals was also unclear, frequently almost adopting these proposals on trust. Thirdly, the role of HQ/field staff in engaging in sector dialogue within country working groups, as opposed to simply reporting to the group on project progress (clearly a managing agent responsibility) was frequently blurred. This was reported as a particular problem under delegated cooperation arrangements with UNICEF, where its roles as a donor agency and/or manager of Sida funds, were far from clear.

More positively, in other instances, roles and responsibilities were clearly defined and well understood by governments/donors. In the case of Rwanda, it was reported by both Sida field staff and DFID staff (delegated to provide sector technical support) that roles were clearly understood, with DFID representing Sida in sector dialogue while Sida makes independent decisions on fund release. Respective responsibilities were reported to be well understood in the case of AsDB-managed funding (e.g. Bangladesh) and also when NGOs were designated managing agents.

Better coordination of roles, responsibilities and accountability of DESO/UND, SEKA and SAREC in design, monitoring and reporting on education cooperation would be beneficial, especially in the context of education SWAps. Currently, education cooperation is managed through DESO/UND, research cooperation through SAREC,

and support to FWOs and NGOs, including some educational projects, mainly through SEKA/EO. In addition, education projects through local or international NGOs may be supported by both DESO/UND and by two divisions within SEKA (i.e. other than EO division). The evaluation's overall assessment is that respective roles and responsibilities and accountabilities need better definition, if the full impact of funding is to be achieved.

For example, the role of DESO/UND advisers in appraisal/design of SEKA-funded education initiatives (e.g. DRC, Somalia, Sudan, Afghanistan) and SAREC-funded initiatives (e.g. Burkina Faso, Ethiopia, Uganda, Vietnam) is far from clear. Equally, the role of potentially useful inputs from SEKA and/or SAREC advisers into predominantly DESO/UND funded programmes (e.g. Mali, Rwanda, South Africa, Afghanistan), is also unclear. The overall impression is that any advisory input is largely informal, based on individual cooperation, rather than being formally required and/or mandatory, except when funding is over a certain limit and goes to the higher level Sida Project Committee.

Equally, as Sida becomes increasingly heavily engaged in sector-wide approaches and sector policy dialogue (inevitably involving the role of NGOs, higher education, research), the respective roles of these three department advisers in contributing to these processes, or how Swedish embassies can draw on respective expertise, is far from clear. Tanzania is the only Swedish embassy with two education programme officers – one for higher education and research and one for basic education. Discussions with government and donor partners confirmed that this has strongly contributed to putting more emphasis on the role of higher education in sector-wide dialogue. However, interviews at HQ and the embassy confirmed that this coordinated way of working in the embassy is not yet matched at HQ. Higher education seems to fall between chairs at Sida HQ. Research is organisationally seen as a sector in itself and is not frequently discussed as part of education sector. In Afghanistan and Ethiopia, with comprehensive sector dialogue processes ongoing, the DESO/UND/SAREC staff responsibilities are not clearly defined. Similarly, it is unclear what role SEKA advisers play in sector dialogue in DRC, Somalia and Sudan (with emerging aid architecture).

The overall conclusion is that there is much to be gained from formalising respective roles and responsibilities and putting in place a more coherent education cooperation reporting arrangement, relying less on informal cooperation.³³

³³ For example, the Sida 2007: Progress in Education Development: Sida's Contributions, does not report on SEKA/SAREC activities, although the Sida 2006: Facts and Figures in the Education Sector, does so.

B. Review of Change Management and Capacity Building Processes

Recognition of the need for a longer-term organisational development horizon and sustained change management process for planning of education cooperation is not explicit. One component of this evaluation is to propose changes to organisational practice and better alignment of human and operational resources. HQ and field interviews helped provide an overview of the current organisational culture and perceived changes needed amongst the HQ/field staff. In particular, HQ interviews helped highlight what was seen as pressing skills needs and priorities for individual and organisational development.

The overall impression is that there is significant commitment and loyalty to Sida education policy goals, partly engendered through a highly valued participatory process for their formulation. The perceptions of the organisational roles and responsibilities are uneven, and somewhat ambiguous to newly-appointed staff. Reliance on experience and social networks and a high degree of professional freedom is expected and valued. Individual staff members are cognisant of the need for a stronger link between their work and results, although feedback on performance was reported by some HQ staff as uneven, depending on whether the leadership was a general administrator or sector specialist. There was a strong appreciation of the opportunities for taking individual responsibility and learning accordingly.

Nevertheless, the organisational culture is becoming more results-oriented, in response to both the internal and external environment. Although, perhaps over-burdening, the output of guidance instruments, reflections papers and studies, indicates that UND wants to understand itself better. The current DESO results group and future group within UND may be seen as constituting a form of change management process, recognising the need for a capacity development plan.³⁴

There is a potential risk that this change effort could become diffuse without a medium to long-term organisational development plan that takes account of what the education aid landscape (e.g. modalities, country aid architecture, delegated cooperation) is likely to be in five to ten years time. Any such plan needs to (i) clearly define future roles, responsibilities and coordination mechanisms; (ii) set out organisational and individual results and performance frameworks; and (iii) ensure systems, processes and human resources are fully aligned with these goals and responsibilities. In summary, the existing DESO results groups and other initiatives constitute a firm foundation for securing such a plan, but there needs to be a more explicit link to what this is intended to mean for guidance and outcomes management within UND. As one embassy education staff commented, “there is a need to con-

³⁴ UND has established internal working groups to review the results orientation of current education cooperation planning and implementation processes and also looking to the future.

sult better on our needs and field requirements before designing any capacity building plan”.

Need to ensure staff skill-mix, both in HQ and country field offices is fully aligned with changing organisational responsibilities related to country aid architecture and modalities. There was a strong recognition that new approaches to aid cooperation demand new skills within the organisation, through either new staff recruitment, or in-house staff development. Ensuring expertise in areas such as public financial management, public expenditure reviews, design of education SWApS and general/sector budget support and policy dialogue were frequently mentioned as priorities. It was recognised that individual staff may not possess the full array of skills needed and some form of team-up approach to supporting country programming was suggested. One field respondent commented “there is a need for different experts, not just education experts..... I need experts on budget support and human rights at the same time”.

A more country-context specific strategic planning process for education sector cooperation would help better definition of current and emerging organisational staff responsibilities and needs. The evaluation incorporated a review of around 25 country strategies and associated country reports. The country education assessments tend to follow a general blueprint that mainly is an overall education sector situation analysis and overview of basic education access indicators and related issues.

A number of findings emerged, including (i) uneven assessment of education sector performance and Sweden’s education cooperation impact; (ii) limited analysis of the implications for Sida education cooperation strategy of these assessments; (iii) uneven, usually limited, assessment of the implications of country aid architecture for Sida HQ and country staff roles and responsibilities (e.g. involvement in sector dialogue, sector working groups); and (iv) uneven, usually limited, assessment of HQ and field staff responsibilities, in the context of differing aid modalities and delegated cooperation with other agencies.

This analysis was broadly confirmed by HQ education adviser interviews and a previous internal audit study.³⁵ As one field officer highlighted, “in one way, the results matrix we need to make in the country plan is a good instrument on how to think about our goals and follow-up”. There are some examples of good practice. For example, the Tanzania country strategy focuses very specifically on the country context, incorporates an assessment of the implications for Sida organisation of their involvement in country aid architecture (e.g. the high level NPRS and sector working groups) and indicates the kind of capacity required to engage effectively (e.g. an education sector and higher education/research specialist). It was reported that the Swedish embassy was proactive in acquiring the appropriate staff skill-mix.

³⁵ For example, Sida 2004: Evaluation of Sida Performance Assessment highlights similar findings

Similarly, in Bangladesh, the country strategy recognised the importance of broad social sector analytical capacity in country and took steps to acquire appropriate staff. In preparation for the forthcoming JAS process the embassy has identified its need of public financial management analytical competence as a priority for future recruitment. In the case of Rwanda, where the direct sector work is formally delegated to DFID, the Sida country economist has a well defined role, focusing on overall decision-making and more macro strategic oversight of the sector.

Development of education sector-focused companion volume to Sida at Work, as part of changing ways of working within education, might be an option. The evaluation conducted an extensive review of Sida at Work, which is recognised as a key operational guidance instrument. The team's assessment confirmed the general view of HQ and field office staff that the generic processes and products are robust and highly valued. Nevertheless, a number of education sector specific limitations were identified, including (i) limited guidance on which education sector guidance instruments could and should be applied during the pre-assessment and assessment memo phases; (ii) limited guidance on what criteria to apply in assessing feasibility, efficiency and sustainability, which may differ between sectors; and (iii) limited guidance on how to prepare a results framework to accompany the contribution decision phase, once again, requiring sector specific expertise.

As highlighted by field interviews with Sida staff in Tanzania, the need for this kind of sector specific guidance becomes more pressing when general/sector budget support strategies are being adopted. As one experienced Sida field office education adviser asked: "what kind of sector assessment do we need to provide for a general budget support memo/decision, alongside sector dialogue?"

Greater attention needed to formal staff induction programmes, especially for younger staff and embassy national programme officers. The needs of (young) newcomers to Sida/UND and of NPOs in embassies were highlighted in discussions. A more strategic and well defined approach is needed for induction and advice on Sida's mainstream policies and ways of working for these groups. Most people recognised that other improvements could be made including: shorter documents with a more practical orientation that would help better programming and the packaging of documents to meet particular needs, especially on a first overseas posting.

However, it is clear from discussions, especially for the more experienced members of education division that they benefit considerably from their own informal networks across Sida. The role of the Head of Education Division and the role of the Head of Mission in facilitating this kind of induction and providing advisory support was somewhat unclear. As one UND staff member suggested, "capacity building needs to be through a specified competence development programme, setting aside sufficient time for this and organising more in-house seminars on specific issues".

Greater attention needs to be paid to formal staff development within UND. HQ staff interviews provided the impression, stated explicitly by some interviewees, that professional development needs to be more systematic and accorded far greater priority. Access to such opportunities appears to be uneven – some staff indicates a vast array of training courses, others cannot recall anything beyond in-house seminars and the annual retreat. A significant minority were vocal that time and space in their busy work schedules needed to be freed up for this purpose. Overall, there is an undercurrent of dissatisfaction about professional development which is most apparent among recent appointees. The annual work planning and individual staff performance appraisal process constitute a key entry point for more systematic staff development.

Limited incentives are in place for inter-departmental consultation, especially informal ones. There are a number of formal set piece meetings and opportunities for dialogue and cooperation most obviously around formal country meetings. At least one member of the Education Division feels that there is scope for more engagement on country level issues on a more informal basis. But most of the engagement beyond the Education Division appears to be primarily informal and ad hoc and dependent to some degree on individual initiative. Put another way, as one officer expressed it, “there is no strong incentive to work cooperatively, so that individual interests and beliefs and determination come to the fore”. Another respondent suggested “the need for a much more strategic relationship with SEKA and SAREC to give greater coherence to Sida’s educational cooperation programming”.

4 Main Findings: Review of Sida Results Information Management Systems and Organisational Arrangements for Utilising Results Information

The overall methodology and analytical approach included (i) analysis of interview findings with HQ education staff and selected SEKA and SAREC officers (see *Annex 8*); (ii) analysis of selected country aid architecture and harmonisation/alignment activities, which have implications for organisational arrangements (see *Annex 9*); (iii) interviews and documentation review with country field staff, including analysis of the implications of delegated or non-delegated authority within Sida and delegated cooperation to other agencies (see *Annex 12*); (iv) a review of organisational arrangements for using this information (see *Annex 13*); and (v) selected questionnaire findings.

A particular focus of the analysis was the implications for results information systems in different country contexts, especially related to different aid modalities, levels of delegated authority and the status of country aid architecture, especially macro and sector level consultative groups.

A. Review of Scope, Diversity and Sources of Results Information

Sound country knowledge bases are uneven, undermining effective planning and monitoring. The main findings of HQ interviews included (i) initial decisions on whether to continue education support is not always well grounded, although subsequent appraisal/assessment is robust; (ii) decisions on delegated authority, including to UNICEF, are not always based on robust appraisal of UNICEF sector assessment; (iii) effective management and monitoring is undermined by lack of sound and authoritative data; and (iv) Sida is keen to use national systems but recognises their weaknesses, consequently it draws on data from a variety of other partners.

This assessment was broadly confirmed by field interviews, although it better characterises the country positions in post-conflict or fragile state situations (e.g. DRC, Afghanistan). In countries where there is a longer history of development cooperation and Sida sector engagement, the country education results information system is significantly more robust and sophisticated (e.g. Tanzania, Bangladesh, Rwanda).

Results information flows are diverse within Sida HQ, although there is a potential disconnect between flows and needs of information. HQ education advisers in Stockholm depend on a variety of sources of information to keep themselves well informed. These include (i) regular flow of information from embassies including from NPOs. This is not always as well sorted as some would wish; (ii) project and programme reports and evaluations; (iii) regular visits to countries including for joint sector reviews; (iv) country annual reports; (v) Sida commissioned consultancy reports; and (vi) their partners' reports including from agencies that represent Sida in a silent partnership (e.g. in Bolivia, where Sida partners with the Netherlands) which usually involves an annual meeting.

An important finding from country case studies is that there is a potential disconnect between information flow and user needs in some countries, especially more post-conflict and fragile states. For example, in Afghanistan and DRC, the most immediate source of information is activity/input level for use by HQ and field staff for project reporting. Nevertheless, HQ staff also needs more outcome level results, as part of sector performance assessment and feeding into possible development transition strategies. This is less of a problem in countries where Sida has adopted a general/sector budget support modality where results information is more outcome/ output-oriented and directly useful for both, in-country programme monitoring and broader country strategy planning.

Results information on the impact of education cooperation on broader development goals is currently limited and requires attention. A review of Sida education programme documentation, reinforced by HQ and field interviews, indicates that results definition and information flows and analysis for impact on poverty reduction, rights and democracy remain limited (although this issue is reportedly being addressed in e.g. Tanzania). Poverty impact is largely defined in terms of basic education enrolment, with limited evidence by poverty quintile. Rights definition is largely restricted to the same indicators and gender equity profiles, with limited evidence on e.g. exclusion (by poverty quintile). Democracy is frequently defined in terms of CSO/NGO involvement in the sector, with limited evidence on e.g. community participation or on quality of school management, etc. The recent education cooperation report (2006) reflects this broad assessment. There is a need to not only better define education-related indicators, but incorporate broader institutional (e.g. education legislation, regulation) and financial indicators (e.g. education spending by poverty quintile, poorer districts) within information systems and analysis. UND's

most recent discussion paper on inclusive education also emphasises the importance of Sida being pro-active on these aspects, during country strategy process, in identifying indicators and including the issues in sector reviews and monitoring, and in dialogue.³⁶ It is now critical that Sida prepares practical instruments on how to operationalise this intention, for different aid modalities and country contexts.

Different aid modalities generate the need for different kinds of information and different kinds of analytical work. A key finding of the country studies, reinforced by documentation reviews, is that the transition from project support to various forms of general or sector budget support generates and demands different types of results information. In broad terms, projects typically generate programme level activity/input/output information, harmonised funding (e.g. pooled funding) generates sector output/outcome information and general budget support generates sector outcome/macro level results information. The assessment memos and log frames in Afghanistan/DRC, Ethiopia/Bangladesh and Tanzania/Rwanda broadly reflect these respective three phases of results information.

Another related finding is that more harmonised/aligned aid modalities helps create a demand for more diverse results information, including on relationships with poverty, rights and democracy through PRSP results reporting. For example, in Rwanda and Tanzania, results frameworks incorporate a greater focus on institutional and financial performance indicators (e.g. PFM systems, education finance disbursement rates, decentralisation regulations). In Ethiopia and Bangladesh, these kinds of indicators are beginning to emerge on the results agenda. Nevertheless, it is critical that Sida is proactive in sourcing and using institutional/financial results data, even when its own programmes do not necessarily demand it immediately. For example, use of World Bank PFM/PEFA assessments can help inform Sida decisions about transition from discrete projects to more harmonised/aligned approaches, especially in fragile state situations.

Better harmonised and aligned aid architecture promotes country-led results information system and enables divisions of labour amongst donors. A key finding from the country case studies is that government education sector information systems are more frequently used when country aid architecture is more robust. For example, in Tanzania and Rwanda, government is the primary source of results data and initial analysis, sometimes supplemented by donor support for more sophisticated performance analysis.

In Ethiopia, Bangladesh and Bolivia, the pattern is broadly similar if slightly less developed. In DRC and Afghanistan, government results information systems remain under-developed. A key strategic consideration will be to consider on a country by country basis, the efficacy of independently

³⁶ Sida/DESO/UND (December 2007): Concepts and methods to make UND's proposed increased attention to inclusive education a reality.

strengthening country results information systems ahead of this 'harmonisation/alignment curve', in order to enable acceleration towards more aligned support.

Another finding is that active engagement in country donor working groups enhances access to results information and enables divisions of labour. For example, in Rwanda, Sida draws on results information from government and specifically DFID at the same time, being proactive in co-financing a sector public expenditure review (on a 50/50 basis with DFID).

Similarly, in Bangladesh, Sida draws currently on mainly output level results information, whilst promoting a performance outcome results system development itself. Field interviews strongly confirm that these donor working groups are a valuable source of results information and exchange. There is a strong argument that even when Sida may be a comparatively small player in the sector, active engagement in these groups is an efficient way of acquiring results information.

Greater support is required for strengthening poverty oriented results information systems based on rights perspectives. There is limited results data on poverty impact of education support. This finding was confirmed both in the country case studies and through review of the Sida education cooperation (2006) report. The kind of results that systems need to generate is poverty group/quintile disaggregated data on a range of sector performance indicators (e.g. enrolment rates by poverty quintile, by the poorest communities and disadvantaged groups). Similarly, comparative district results data (which is frequently poverty disaggregated) is another source of poverty oriented results information. This is only rarely used in Sida country sector performance assessments.

There are a number of ways in which Sida can support development of such systems. In some cases, there may be a case for direct Sida support for strengthening country systems (e.g. the poverty-oriented EMIS in Cambodia). In other cases, Sida can actively promote and/or support poverty-oriented PERs and expenditure tracking studies (e.g. as in Rwanda and Tanzania). In some cases, it can actively participate in related World Bank analytical work (e.g. PERs, sector assessments). The challenge will be to promote an organisational culture that accords value to this kind of poverty-oriented and institutional/financial results data and ensure analytical capacity is in place to use this data effectively. In some cases, this will require close working relationships with HQ/field country economists, which is not always prevalent.

Results information from SEKA and SAREC programmes and framework organisations is uneven. The evaluation found that results information from SEKA and SAREC programmes is best characterised as focusing on activity/input level results. Even when civil society or university capacity building outcomes/outputs are defined in log frames, performance indicators are frequently unclear and the results chain and causal relationship from activity, output and outcome are unclear.

Recent SAREC evaluations have themselves highlighted the need to define and monitor better organisational and institutional development, as opposed to research activity/ outputs by individual faculties or individuals. In response substantial efforts have been made within SAREC to increase the results orientation and to develop a strategy with indicators for monitoring of results with a focus on contributions for capacity development and research production and the relevance of these areas for poverty reduction.³⁷ In the case of SEKA programmes through NGOs, it is not always clear how usually narrow project activities and results contribute to Sida's country education strategies, or indeed to national education development more generally. Similarly, SAREC evaluations highlight the need for better dissemination and integration into DESO/UND strategies.³⁸

Results information from framework organisations is uneven, although the new guidelines for FWO/NGO applications request applying organisations to think more in terms of results. Strengthened results management is seen by SEKA/EO as particularly important as SEKA will move to programme support to FWOs. A second phase of the results project has just started and will also focus on how better to feed back results into forward strategy. SEKA/EO staff confirmed that learning from experiences gained during one phase of implementation before the next application is a weak point. This may be so even if the monitoring and evaluation system is good because the applications themselves are given highest priority.

Promoting more independent education results information sources and analytical work can bring benefits. The evaluation found that the primary sources of education results information and analytical work were education ministries, Sida itself (through evaluations/progress reports) and other donor agencies. Inevitably, results and analysis tend to focus on the priorities and concerns of these agencies and frequently do not sufficiently address critical institutional, governance and financial issues. Promoting more independent research might help to fill some of these gaps, through commissioned studies by international, Swedish or NGO research organisations. A good example of this approach is Sida support for Haki Elimu in Tanzania that has generated comprehensive analytical work related to civil society engagement in the sector and financial management and governance.³⁹ As one questionnaire respondent commented, "we need to design innovative strategies on how information should be disseminated."

³⁷ Requested by the Swedish Government in the 2007 letter of appropriation. See: Strategy for Results Orientation of the Swedish Research cooperation with Developing Countries 2008–2011.

³⁸ SAREC 2006: Evaluation of International and Regional Thematic Research Programmes

³⁹ For example, Haki Elimu produces a wide range of policy briefs on education expenditure, teacher salaries, sub-sector performance and disseminates this information through seminars, the media, public meetings and open debates

B. Review of Use and Relevance of Education Results Information

Better and systematic matching and mapping of results information flows/analysis and users is needed. The evaluation found from analysis of country strategies, education assessment memos and interviews, that results information produced is not always well aligned with the needs of users of results information. Regional departments and development counsellors require high level information/ analysis related to sector performance, organisational capacity and risk analysis to make strategic choices. This is insufficiently evident in country strategies and assessments. Sector managers and advisers need programme performance results and sector institutional, organisational and financial analysis in order to make decisions about programme continuation and/or shifts in aid modalities. Project officers need lower level information in order to make decisions over changes in the array of activities and financial adjustments.

The overall impression is that this matching between information flows/analysis and users could be improved, both within Sida HQ and between HQ and field offices. Consideration might be given to incorporate an education sector results information/user map as part of the annual work planning process. This map would indicate who needs what kind of information, by when and what sources (within Sida and outside) would be used. Such a map could also identify analytical work responsibilities.

Improving results chains and indicators between country strategy, education cooperation strategy and programmes is needed. A review of country strategies and incorporated education programmes point to a frequent break in the results chain between overall country strategy and education programming, especially at the point of strategic choices in sector support, as highlighted in case study findings in DRC, Afghanistan and to a lesser extent, Ethiopia. This assessment was reinforced by a recent analysis of results systems in the education sector.⁴⁰ This is due in part to limited guidance on sector performance assessment in country strategy formulation guidelines and lack of clear guidance on results frameworks in Sida at Work guidelines.⁴¹ More positively, country strategies/assessment memos for Tanzania and Rwanda addressed this issue.

Sida independent appraisal of strategic choices in selection of delegated authority to UN, NGO and other donor agencies is uneven and the rationale is not always clear. The evaluation found that systematic appraisal, including results information and capacity assessment, in the choice of delegated partners is uneven. For example, in Afghanistan and DRC, assessment memos do not clearly track what information was used in the choice of UNICEF and NGO partners. In the case of the NGO partners, the main rationale appears to be historical and a

⁴⁰ SPM 2007: A Review of Results Management at Sida

⁴¹ This assessment is consistent with the analysis of the DESO/UND results team as highlighted in Sida 2007, Review of Five Assessments for Sector Program Support

brief reference to positive SEKA past experiences. More positively, the strategic choices in shifting from project modalities to pooled funding to general budget support in Tanzania is well documented on the basis of results information. Similarly, in Bolivia and Rwanda, the rationale for delegated authority to selected donor partners is well spelled out and justified.

Expanded internal organisational learning activities need to be translated into use for country education strategy decision making. The evaluation found increased attention to organisational learning, especially through the ongoing DESO results project activities, which incorporated HQ and field staff participation. Results projects are ongoing also within both SAREC and SEKA. Similarly, the growing participation of HQ and country staff in country joint education sector performance reviews, programme and project evaluations and commissioned independent thematic studies provide valuable sources of information and lessons learned.

What is less clear is how this organisational learning is being, or will be, translated into decision making about adjustments to country education strategy and DESO/UND, SAREC and SEKA organisational practices. The link between results information, how it is acquired and how it will be used to make decisions appears to work better in embassies with delegated authority. Where HQ involvement in country reviews is more on demand (e.g. Tanzania, Bolivia, Bangladesh), how HQ/field offices will reach decisions on the basis of shared information is better defined.

More broadly, HQ and field staff recognises the need for more systematic results information and knowledge exchange to inform their work and decision making. One respondent highlighted, “need to put more effort into analysis of already available information and promotion of thematic studies and internal seminars”. Another advocated “comparing several countries on how policy and information on results have influenced practice, i.e. to learn lessons and use them”.

C. Review of Organisational Arrangements for Using Results Information

Within Sida, there are a number of internal organisational arrangements for using results information, including (i) the country strategy formulation process, led by regional departments; (ii) the annual country report and work planning process, led by country embassies; (iii) the pre-assessment, assessment memorandum and contribution process for country education cooperation programmes, led by DESO/UND; (iv) contribution design/approval processes for education assistance by SEKA and for research cooperation by SAREC; (v) internal UND organisational learning processes, including the ongoing DESO results project, formal and informal information exchange and in-house learning events; and (vi) annual country education cooperation

programme reviews, sometimes independent, but increasingly jointly conducted with other donors.

Externally and country-specific, there are a growing number of organisational arrangements, especially in countries with extensive harmonisation/alignment initiatives, including (i) local national poverty reduction strategy (NPRS) joint government/donor thematic and sector working groups (e.g. as in Tanzania, Bangladesh, Rwanda, Bolivia); (ii) annual joint government/donor NPRS performance reviews; and (iii) annual education donor working groups and joint sector review exercises. Sida is an active participant in these country organisational arrangements, incorporating additional consultations and seminars with civil society groups.

Results orientation of the country strategy and performance assessment process, especially at the education sector level is uneven and generally disappointing. Previous Sida assessments have pointed to limitations with this process, especially sector performance assessments. The evaluation team reviews of selected country strategies (those with significant education cooperation) generally confirmed these previous assessments. The main limitations consisted of (i) education sector performance assessments that were mainly compilations of sector indicators, with a limited Sida perspective or analysis; (ii) very uneven strategic analysis of the lessons learned from previous or ongoing Sida education cooperation; and (iii) lack of a clear rationale, especially Sida's comparative advantage or otherwise, for continued sector engagement, or choices of co-operation strategy.

For example, the results frameworks were frequently limited to a summary of disbursement rates, even in countries where historically Sida's engagement has been extensive (e.g. Ethiopia). The overall impression is that much of the initial decision making on sector focus/choices is based on historical considerations. More positive examples, which have a clear strategic rationale, were Rwanda and Tanzania. The challenge will be for the regional departments to set out more clearly what kind of results analysis and Sida education co-operation performance analysis it requires and source it appropriately within DESO/UND and/or embassies.

Results focus of the annual country report and work planning process is similarly uneven. Similar limitations were evident in country documentation reviews (e.g. country work plans), broadly confirmed by field discussions. The expected results of country analytical work (e.g. sector or programme reviews) and how this analysis would be used for strategic decision making (e.g. continuation of a project/programme, change in aid modality) are not always well-defined. While accepting in some countries, the development environment makes this difficult (e.g. post-conflict countries or fragile states), the chain between results, analysis and decisions is not always well-defined. The overall impression is that these results/analysis/decision chains are more effective in countries with general/sector budget support combined with delegated

authority (e.g. Bangladesh, Tanzania, and to certain extent Rwanda), where the analytical work needed is led by the Swedish country embassy and appears better grounded in country realities and strategic priorities.

Assessment memo process focuses insufficiently on strategic rationale and design considerations, being best characterised as an appraisal process. Ongoing analysis (e.g. by the DESO results project) highlights limitations in the Sida at Work-driven assessment memo process, especially related to insufficient guidance on results frameworks and institutional/organisational analysis and risk assessment. Observations included “results are rarely the point of departure in memo analyses and weak analysis of performance information has implications for effective decision making”.⁴²

The evaluation’s own review of these country assessment memos (for programme support) broadly confirms these observations. Some limiting features included (i) limited analysis of sector performance constraints and risks, especially institutional ones; (ii) insufficiently robust independent assessment of the efficacy of country education strategies, which were largely taken on trust; (iii) limited attention to use of institutional, organisational and finance/resource assessments; and (iv) limited attention to how potential risks and constraints might be addressed, including Sida’s role in doing so. For those cooperation programmes, best characterised as more traditional education projects, many of these limitations were also evident, alongside log frames that insufficiently demonstrated how project activities would contribute to achieving sector outputs/outcomes.

Findings of UND results project need to feed into changes in organisational practice and be much more than an opportunity for individual learning and exchange. The ongoing DESO results project has produced a vast array of insightful reviews and recommendations, providing a valuable resource for reflecting on lessons learned and organisational learning. What is less clear is how these findings and advice will be used to inform changes in education guidance instruments and feed into organisational change processes.

Use of the findings of joint government/donor NPRS and education sector performance reviews for informing decision-making on Sida education cooperation programme reforms is uneven. The evaluation attempted to track relationships between results information emerging from various country NPRS/sector reviews and consequent decision making about Sida education cooperation strategies. This can only be a snapshot picture, given the limitations of documentation availability and understanding of historical context. Nevertheless, whilst accepting that within harmonised donor arrangements the scope for unilateral decision-making is more restricted, subsequent Sida responses to the findings of these reviews do provide a potential opportunity to highlight Sida’s distinctiveness.

⁴² For example, this assessment is based on review of assessment memos in five key education cooperation countries – Tanzania, Rwanda, Mozambique, Zambia and Mali, all written in early 2006, as reviewed in Sida 2007: Review of Five Assessments for Sector Programme Support

Overall, the picture appears to be somewhat mixed. For example, in Tanzania, it is far from clear how findings from the various education sector reviews over the years have influenced Sida decisions to shift modalities, from project to pooled funding in a first step, and then in a next step to general budget support. As a comparison, DFID adopted general budget support much earlier than Sida, while other donors still continue with projects after Sida changed to general budget support. In DRC, it is not clear how the findings of the annual review process are feeding into decisions over continuation of the existing education projects or a move towards more programme-based approaches. This is not to suggest that these decisions were, or are ill-advised, simply the decision making process is difficult to track and how the results from sector performance reviews informed these decisions is unclear.

More positively, in Tanzania, Sida is now adopting a distinctive approach, advocating strongly for higher education reform, with the rationale and decision making process clearly referenced in the country strategy and sector performance review findings.⁴³ Another positive example is the Sida decision to support a sector PER in Rwanda, in direct response to financial performance findings of the joint education reviews of recent years.

⁴³ For example, findings of sector/thematic groups reported in Government of Tanzania 2007, Report on Annual Review of NSGRP/MKUKUTA and The latest Education Sector Review, which took place in Dar es Salaam in late October 2007

5 Lessons, Conclusions, Issues and Recommendations

A. Summary of Main Conclusions, Lessons Learned and Issues Identified

Conclusion 1: Education guidance is broad in coverage of issues. The evaluation concludes that the scope and diversity of guidance instruments and international agreements related to Swedish education cooperation is very broad, although there are some remaining gaps and weaknesses (see conclusions below). The primary impetus behind their formulation has shifted in the past ten years from narrower educational professional issues to design, effectiveness and management considerations, driven by Paris Declaration commitments. Guidance instruments are technically robust, internally consistent and aligned with international commitments (e.g. Dakar Declaration on EFA).

A lesson learned is that the limited stakeholder consultation during preparation (with the notable exception of a number of papers formulated between 1999/2002) has reinforced a sense of HQ and DESO/UND education advisers as the primary audience and user. As a result, there is an absence of well-planned dissemination and orientation strategies for other potential users of these guidance instruments, including NPOs in Swedish embassies, country governments, donor partners and Swedish framework organisations. The absence of a clear strategy for monitoring whether these guidance instruments are understood and used in staff work practices is a related issue.

Conclusion 2: More country specific education guidance is needed. Guidance and practice on how to ensure that the design and implementation of education cooperation responds to specific country contexts is mixed. Many of the sector assessments in country strategies and many of the specific programme/project assessment memos tend to follow a formulaic blueprint approach. Many amount to a general education situation analysis as opposed to a more strategic analysis of the role of Sida education cooperation and Sida's comparative country advantage in the sector. A contributing factor may be uneven country results information flows and the absence of a robust internal process for reflecting on lessons learned from previous cooperation.

Conclusion 3: Increased guidance on post-basic education needed. Guidance instruments related to working in the education sector as a whole (e.g. as part of a SWAp), tend to focus on generic assessment processes and pay only limited attention to holistic policy integration between primary, secondary and higher education. This is almost certainly due to Sida's current focus on basic education (e.g. EFA commitments), but more guidance on, and improved understanding of the role of, upper secondary and higher education policy dialogue/analysis is likely to become more pressing in the near future, independent of what kind of cooperation modality Sida is using.

Conclusion 4: Limited guidance on outcome-oriented quality improvement. Although a number of guidance instruments related to designing support for education quality improvement are available, they tend to be narrowly focused (e.g. teacher development) and output/activity oriented. This is almost certainly a consequence of a previous focus on project investments. There is a need for more specific guidance on outcome-oriented quality improvement (e.g. how to assess student performance and how to improve it), incorporating a much more institutional, governance and demand-side dimension. The variable availability of country-level results information related to learning outcomes (not just for Sida) is currently a constraint.

Conclusion 5: Guidance on the use of education innovations is limited. Guidance instruments related to innovation and using lessons learned from previous innovations for planning education reform is very limited. To some extent, this can probably be explained by the increased focus on harmonized country assistance programmes and alignment with already formulated country-led education strategies. Where Sida has been supporting small-scale innovative approaches, frequently through FWOs and NGOs, mechanisms for feeding back results and lessons learned from successful innovations as part of broader education reform appears limited. The proposed focus on inclusive education, which inter alia proposes targeting, offers an opportunity to develop operational guidance/practical tools on how to ensure use of innovative approaches in education, in various contexts and aid architectures.⁴⁴

Conclusion 6: Guidance is insufficiently practical and operational. Current education guidance instruments are not sufficiently operational, perceived by many staff as mainly theoretical when they require more practical tools and country examples for their work. A related issue is the perceived gaps in guidance, especially needed to operationally link broader development goals (poverty, rights, democracy) with education cooperation designs. Operational guidance instruments on upper secondary education, higher education, the role of the private sector, education SWAps and the day-to-day mechanics of policy dialogue within sector/general budget support were other identified gaps by HQ and field staff, confirmed by evaluation team's review of the guidance instruments.

⁴⁴ Sida/DESO/UND, December 2007, Discussion Paper. Concepts and methods to make UND's proposed increased attention to inclusive education a reality,

Conclusion 7: Systematic use of guidance instruments is limited, especially the narrower technical instruments. The usage of the education guidance instruments, in both HQ and field offices, is very uneven. In some cases, newer UND staff and national programme officers may not even be aware of some of them. Sida at Work and the Sida Education Policy were the only documents constantly referred to. Decision point and assessment memo documents made little reference to guidance instruments. A key issue is that there appears to be no specific requirement or incentive to do so. In other words, organisational conditions are not particularly conducive for promoting systematic use of education guidance documents.

In contrast, other guidance instruments and processes are clearly used more frequently. The Swedish country strategy is referred to extensively in education assessment memos, guided more by international agreements than Sida education guidance. Country annual reporting and work planning processes also impact substantially on organisational practice. As part of these processes, other gaps identified are operational approaches to planning the development transition from humanitarian assistance/relief to more sustainable development and a host of issues related to sector policy dialogue and the implications of transition from stand-alone projects to more harmonised/alignment assistance.

Conclusion 8: More systematic orientation in use of guidance instruments needed, especially amongst newer staff. An over-arching conclusion is that these education guidance instruments will only impact effectively on the planning and operations of education cooperation programmes when the appropriate organisational conditions are in place. For longer serving DESO/UND staff, many of whom contributed to the writing of these documents, their familiarity, use of informal networks, and accumulated bodies of knowledge provide these conditions. Newer DESO/UND staff, national programme officers, SEKA/SAREC officials and framework organisation partners need to be part of systematic orientation, dissemination and induction programmes if they are to use these guidance instruments effectively.

Conclusion 9: Strong recognition that country harmonisation efforts are bringing new roles and skill requirements for country and HQ education staff. A positive conclusion is that DESO/UND as an organisation, is responding to changes in the internal and external development environment. There is a recognition that evolving country aid architectures and more harmonised/aligned aid modalities mean that country embassy education staff – both UND and national programme officers – have significant responsibilities to participate in government/donor sector working groups and sector performance reviews. Similarly, HQ education staff increasingly feed in to work programmes and activities, including providing feedback on country education sector strategies and sector dialogue processes and participate in country sector reviews.

Nevertheless, a number of issues were identified that would help ensure HQ/field staff organisational responsibilities are secured. The roles and responsibilities and authority of HQ and field staff when participating in country joint government/donor review processes could be better defined and effectively communicated to country authorities and donor partners. Increasingly, country aid architecture demands constant dialogue with government/donors. Especially, in instances where country embassies do not have full delegated authority, defining some boundaries for country staff to exercise authority would be beneficial.

Ensuring clear definition of Sida staff roles, especially for policy dialogue and decision making in instances of delegated cooperation to UN, NGO and other donor partners, is also critical. This appears to be a particular issue with UNICEF cooperation, where its role as a donor agency and as a manager of Sida education cooperation funds, is not always clearly delineated. Role definition appears to be better understood in delegated cooperation arrangements with DFID, Netherlands and AsDB.

Conclusion 10: Important internal results project team findings need to feed into a medium to long-term organisational change process within UND. Many of the very valuable internal UND reflections and reviews may not optimise their impact, unless they feed into a medium to long term UND organisational development horizon. Critical recommendations from the results and futures projects need to be incorporated into any such plan, including proposed changes in processes and systematic capacity building. Better definition of inter-departmental coordination arrangements with SEKA and SAREC planning and implementation activities, including real incentives and systems for doing so, need to be paid attention. Ensuring that HQ and field staffing levels and skill-mix are fully aligned with defined roles and responsibilities set out in country strategies is also critical. In some cases (e.g. Bangladesh, Tanzania) there have been clearly proactive efforts to ensure this alignment of staffing levels and skill-mix with country education strategy.

Conclusion 11: Results information systems are uneven and insufficiently strategic. In line with UND HQ and field staff views, the evaluation team concludes that country education results information systems and Sida's own education knowledge base is uneven and undermines effective planning and monitoring. Another conclusion is that the information gap between policy/strategy and programming is greater where projects are prevalent. A related conclusion is that different country aid architectures and different aid modalities require different kinds of information and information flows have not always been fully responsive to these differences. A further conclusion is that more strategic results information may need to be generated early in post-conflict and fragile states to better enable decision making on the development transition from relief/reconstruction to development.

Conclusion 12: Results information flows for monitoring poverty and rights based goals achievement need to be expanded. A number of results information gaps need to be filled. Firstly, it is recognised within UND that results information on education cooperation impact on poverty reduction, human rights and democracy needs to be better defined and information flow systems strengthened. Results information on institutional, organisational and financial system capacity also needs to be strengthened, especially if complex decisions related to shifts in aid modality are to be made effectively. One lesson learned is that this kind of information is intrinsically generated when more aligned aid modalities are used. In some cases, Sida/UND needs to get ahead of this 'modality curve' for better decision making.

Conclusion 13: Country education sector assessments are insufficiently results oriented. Important country strategy and annual reporting/work planning process could be better used to better align organisational practice and results flows. A lesson learned is that results and information chains between overall country strategy and education cooperation strategy need to be strengthened. The results orientation of sector assessments within country strategies are uneven, frequently disappointing. The results information used in making decisions over whether to continue supporting education, what form of support should be adopted and choices of strategic partners is frequently narrowly focused on standard sector performance indicators. Better documentation of how NPRS and sector performance review findings feed into decision making is also needed.

Another lesson learned is that annual country reports and work plans frequently do not spell out results information needs and users and analytical work responsibilities. Similarly, the assessment planning, memo and contribution decision process focuses insufficiently on results-oriented strategic analysis and design and can be best characterised as an appraisal process. Making it mandatory that UND staff include their own independent analysis of country education strategies and UN education assessments could create a demand for more strategic results information.

Conclusion 14: Current UND efforts to improve the results orientation of the organisation constitute a major opportunity. UND has generated an enormous amount of knowledge in the past decade. The vast array of education guidance instruments, sector and thematic papers, technical papers on sub-sectors and aid modalities are a very valuable source of knowledge. The annual facts and figures on education cooperation and the more results oriented education cooperation report (2006), alongside the ongoing results/PBA work group are other sources. The evaluation's overall assessment is that measures are needed to ensure this knowledge feeds into changes in organisational practice within UND.

Conclusion 15: A more holistic view within Sida on education sector cooperation would be beneficial. New understanding of knowledge, including an understanding that EFA covers not only basic education, combined with a rapid change away from stand-alone projects to SWAp or GBS, stresses the need for measures to ensure a holistic approach to policy guidance and results management in education sector cooperation. The absence of a clear view on role of higher education and research in designing education cooperation is a potential constraint to a fully holistic approach to education sector cooperation within Sida. As evidenced, the current organisational arrangements, with three independent departments/divisions involved in some form of education cooperation and each with own policy guidance and results projects, in reality also constrains a move towards a holistic operational approach. As an immediate measure, cross-departmental teams might for instance be formed to provide more coordinated support to field staff.

B. Summary Note on Organisational Implications

Some of the conclusions and issues raised by the report relate to organisational constraints to a holistic approach to education sector cooperation. A knowledge management strategy, as recommended below, must build on improved understanding of policies and a deeper understanding of all education sub-sectors and their inter-relationship. EFA is for instance today understood in the broad sector of education, rather than as limited to basic education.

In the absence of formal requirements, and/or strong incentive structures for cross-departmental coordination, the current division of mandate for education, education related, and research cooperation across several independent departments does in reality pose a constraint to widening Sida's operational definition of education cooperation.

As noted initially, recent evaluations have highlighted the need for better strategic alignment of all education related cooperation. The conclusions from this evaluation strongly reaffirm a need for increased and pro-active interaction across departments involved in education and research. The three involved departments DESO/UND, SAREC and SEKA are all independent with their own mandate. Any formal requirement to coordinate may therefore need to involve higher level decisions.

The forthcoming re-organisation of Sida may or may not provide a clear-cut organisational solution to the current constraints to taking a more holistic approach to education sector cooperation. The below recommendations are provided prior to information about the forthcoming Sida organisational structure.

C. Summary of Key Recommendations

Most of the conclusions, and many of the issues raised by the report, are about knowledge management: the management of guidance and the management of results and outcomes in a much more integrated way. A systematic and coordinated approach to knowledge management in the education sector is required to better meet Sida's overarching development objectives and to be better attuned to changing aid modalities and international commitments. This will in turn also inevitably involve management of staff actions – at Sida HQ and in the field – and a balancing of mandatory vs. recommended procedures.

A knowledge management strategy for education sector cooperation should therefore be developed, building on ongoing results and PBA work within DESO/UND. It would be useful to engage with SEKA and SAREC from the outset to establish a common framework towards a holistic approach to education sector cooperation. This will require DESO/UND to identify, or create, capacity to oversee its development.

Drawing on the conclusions and lessons learned summarised above, four strands, and one immediate opportunity, of such a knowledge management strategy are briefly outlined below.

- (i) *Establish an education knowledge management function within DESO/UND and establish its mandate and responsibilities.* There is a need to (a) define the location, scope and responsibilities of a knowledge management function; (b) allocate human and operational resources; (c) formulate a three-year work plan and programme, including rationalisation of the current education guidance instrument profile, fill any identified guidance gaps and implement a dissemination plan; (d) plan, organise and deliver staff orientation and induction programmes for HQ UND staff, field staff, SEKA, SAREC and Swedish framework organisations; (e) plan and implement a dissemination programme on education guidance instruments and other knowledge and results information to country governments/donor partners, through both in-country seminars and web-based approaches, and (f) develop a strategy for improving networking and sharing of experiences.

It would be desirable to engage DESO/UND, SAREC and SEKA together in order to establish mandate and responsibilities also within SAREC and SEKA.

- (ii) *Learning and capacity building management.* There is a need to take a strategic view on what capacity development is needed in light of changing demands – in field offices and at HQ. A first step should be to identify gaps in staffing skill-mix through a step-wise, transparent, and consultative process within DESO/UND: (a) identify required staffing skill-mix at HQ and field offices, taking into account varying aid modalities and

working contexts; (b) map current staff skill-mix; (c) compare required and current skill-mix and identify capacity gaps; and (d) formulate a strategy and action plan for how to reach the required skill-mix, including a capacity building strategy as well as recruitment strategies at staff turn-over points.

This will inevitably need to also involve a discussion on staff deployment. There is an inevitable trade-off between depth and width of competence and qualifications in each staff member. Currently, emphasis within DESO/UND appears to be on width of staff responsibilities, and thus on a width of required competencies, at the expense of depth of knowledge and formation of highly qualified education advisers. With a wide range of tasks to manage it will be difficult for any individual to find the time, and incentive, to deepen knowledge and expertise within any particular area.

- (iii) *Prepare practical and operational guidelines/tools*, incorporating (a) practical guidance on how to define and analyse rationale for education cooperation within country strategy; (b) practical guidance on how to link education sector cooperation to broader development goals (poverty, social inclusion, democracy and human rights, sustainable development) in different aid architecture and country contexts; (c) practical guidance on sector performance assessments, including Sida appraisal of country education policy and strategy; (d) revised guidelines for the assessment memo process and documentation, focusing on strategic rationale for Sida involvement in the sector; (e) a well defined results framework, which sets out how Sida education cooperation contributes to development goals, sector performance outcomes/outputs, with a clear results chain and risk analysis at each level; (f) identifying what information is required, by when and from whom, to make strategic choices/decisions on e.g. programme continuation and/or shifts in aid modality based on the defined results framework; (g) make it mandatory to include clear referencing to specific Sida policy and education guidance instruments at each stage of this process of preparation; and (h) identify mandatory procedures and mechanisms for following up on use of guidelines/tools.

Again it would be desirable to engage DESO/UND, SAREC and SEKA (and through SEKA the FWOs) together in working through the types of guidelines that are proposed.

- (iv) *Prepare an annual country results information map for decision-making*. As part of the annual country reporting and work planning process, to define (a) what kind of education results information is needed by regional departments, HQ DESO/UND, field office staff, by when and from whom; (b) how this results information will be sourced within Sida or outside; (c) who will be responsible for collecting, collating and analysing this information; (d) what kinds of decisions will be informed or taken on the basis

of this results information analysis; (e) use this information to update the annual country education performance results and assessment, incorporating an agreed results definition and framework for education cooperation, channelled through SEKA/SAREC, and (f) identify mandatory procedures and mechanisms for following up on use of results information.

Again, it would be desirable to engage DESO/UND, SAREC and SEKA together in working through the types of results information needed.

- (v) *Updating the education policy paper provides an opportunity to be seized.* The re-articulation of the education policy papers provides an opportunity (a) to get UND; SEKA, SAREC to work together on its development to broaden the operational definition of education sector within Sida, (b) to reflect the emphases on inclusion, democracy and sustainable development which seems to have been largely accepted in Sida, (c) to reflect the roles of all stakeholders including international and local civil society and private sector, and (d) to reflect the recommendations of this report about the central importance of good knowledge management and the steps that will be put in place to improve current practice.

Annex 1 Terms of Reference

1. The Evaluation in Brief

The evaluation is focusing on the following two questions: (1) Are policies and guidelines functioning as a relevant and effective steering instrument for the staff within Sida and the frame-organizations engaging in the educational cooperation? (2) Are relevant information on results and needs functioning, in an appropriate way, as guidance for the staff within Sida and the frame-organizations engaging in the educational cooperation?

Of particular interest is the steering and guidance of a number of specific policy issues, including the poverty focus, the rights perspective and the quality of education.

The aim is, furthermore, to come with recommendations for improvements with respect to these issues.

Note: The focus on policies and guidelines as *steering instruments* implies that the evaluation shall not focus directly on the results or impacts of the co-operation as such. The focus is rather on whether the scope and *formulations* of the steering instruments make them useful for the relevant staff.

Suggested method: One major part of the evaluation will be a number of case studies. A central question for these case studies is: to what extent are those working with the educational support, within Sida and the frame organizations, guided by factors such as policies, guidelines and information on results and needs?

The evaluation is motivated by a number of recent changes in the environment for development co-operation in the education sector. Furthermore, an earlier joint evaluation noted an excessive reliance on blueprints and a limited use of local information on results and needs.

The practical purpose of the evaluation is to support the departments within Sida that are working with educational support in their ongoing review of their policies, organization and future orientation. Hence, the purpose of the evaluation is clearly focused on learning.

2. Background

The overall objective of Swedish development co-operation is to contribute to make it possible for people living in poverty to improve their living conditions. Support to education has been a cornerstone in the Swedish strategy for poverty reduction since the 1970s. More information on Sida's educational cooperation can be found at:

http://www.sida.se/sida/jsp/sida.jsp?d=261&language=en_US

In April 2001 Sida published its *Education for All: a Human Right and Basic Need. Policy for Sida's development cooperation in the education sector*. The Policy presents goals, points of departure, role, approach, principles and priorities for Sida's work with support to education.

The Policy states that "the overall policy goal of Sida's cooperation in the education sector is to enhance the right to relevant education for all – an education that empowers the poor and excluded parts of the population to participate as active and informed citizens in all aspects of development." The policy also underlines the importance of improving both the quantity and the quality of education.

Sida is strongly committed to "the Framework for Action on Education for All" which was adopted in Dakar in April 2000, which builds on the earlier declaration in Jomtien (in 1990).

One characteristic of the Swedish support is the long standing priority given to basic education. This was based on research showing the positive role played by basic education in enhancing such development goals as democratization, gender equality, sustainable livelihoods, reproductive health and prevention of the HIV/AIDS pandemic.

However, a more holistic view on the education sector has lately been emphasized. This holistic view comprises all sub-sectors, including higher education. Higher education is closely related to the research capacity building part of Sida's co-operation, which is mainly directed to universities in poor countries. An evaluation of the education policy needs to include higher education and its linkages to other education sub-sectors as a policy matter, and as a question of coordination/cooperation between the Department for Research Cooperation (SAREC) and the Education Division (UND).

Gradually, Swedish development co-operation in education has shifted from support to basic education projects to programme-support with priority to basic education. The main reason for this shift is the strong belief in the key role of the partner countries' national ownership in order to create sustainable development. As a consequence, Sida's education division has been pioneers (both internationally and internally within Sida) in working with Sector Program Support and Sector Wide Approaches (SWAp).

The gradual shift towards program support implies a different role for Sida than when working with project support. Sida's dialogue with partner countries (or organizations) has changed focus from detailed discussions on the content of education projects and the utilization of Swedish funds, to strategic questions of such issues as policy priorities, institutional capacity, resource allocations and follow-up.

Considerable support to education is provided through NGOs, an area covered by Sida's education policy (as well as other policies). Furthermore, Non State Actors, including the "private sector", run schools and play an important role in many partner countries. Sida needs to be clear on their roles and how to relate to them.

Sida's education division (UND) has the overall responsibility for the quality assurance of development co-operation in the education sector financed by Sida. Other departments that sometimes deal with the educational sector through their work, such as the Department for research cooperation (SAREC) and the Department for cooperation with NGOs (SEKA-EO), contribute to this quality control. One important aspect of this quality control work is to continuously evaluate and improve the way Sida works with its educational support.

3. Reasons for the Present Evaluation

The Joint Evaluation of External Education Sector Support in Developing Countries from 2003 made several important observations regarding support to the development of the education sector in partner countries. Among these were:

- There is sometimes excessive reliance on blueprints.
- There has been support to capacity development of evaluation and monitoring – and there has indeed been some progress in this field. However, there is only limited links between information on results and the change in the design and implementation of programs etc. This includes a lack of use of results from pilot studies.
- A persistence of quality problems in the education sector (as compared to a quantitative improvement in the sector), and that quality is often insufficiently measured.

As indicated there have been changes in aid modalities and focus with possible policy implications:

- A shift of focus from projects to programs and budget support
- A more prominent role of global and regional initiatives
- Within Sida, as well as in partner countries, there is more emphasis than previously on the education sector as a whole.

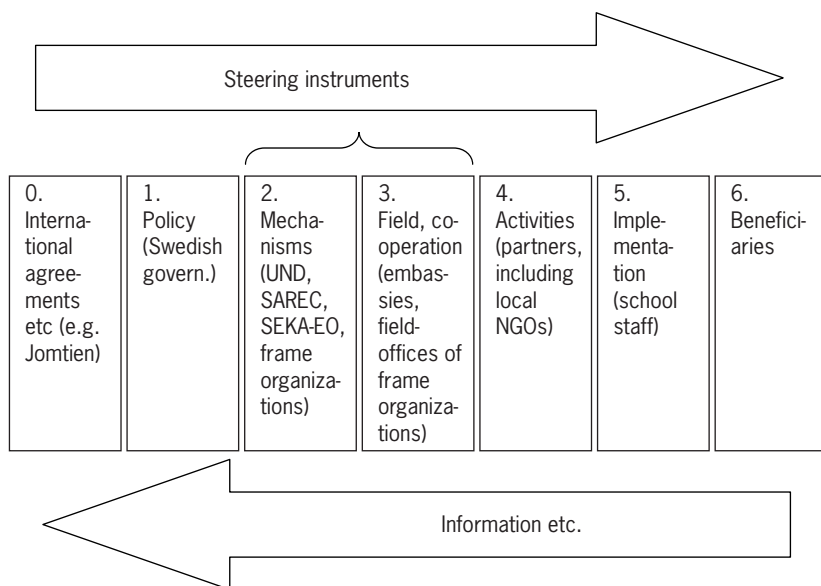
- Increased attention is given by Sida, and others, to the education sector and its role in contributing to poverty reduction and promotion of the perspective of rights and democracy.
- There is an increased focus on effectiveness and results.

In view of these observations and changes there is a need to revisit the current Sida education support to get advice and recommendations regarding an update or reformulation of the policy, as well as other organizational changes.

On this basis, UND has in collaboration with SAREC and SEKA-EO, approached the Department for Evaluation and Internal Audit (UTV) to initiate an evaluation of the guidance of the educational cooperation. Based on this request, UTV is commissioning this evaluation.

Evaluation framework

The figure below illustrates a hypothetical model for the influences on the design and implementation of Sida's educational aid:



According to this simple figure there is a flow from the left of policies which are translated into plans, instructions and implementation further down the chain. These include the international agreements and policies (0), such as the Jomtien and Dakar declarations; the overall policies formulated by the Swedish government (1), such as the PGU; all the policies and other mechanisms used by Sida headquarters in Stockholm (2) to translate these policies

into concrete instructions to the field (3). The field, in turn, engages in dialogue and makes decisions on proposals for financial support, which will affect the concrete actions by government and non-government units.

The instructions from the left accordingly include not only policies, but all sorts of guidelines, position papers and the like that are of relevance for the actors in the “boxes”. All these will henceforth be referred to as “*steering instruments*”.

From the right flows information, in a variety of forms, that should affect the decisions at the various stages in the chain, including the policy formulation at the extreme left in the chain. The term includes both information on “what works” (in the particular context), on the needs and priorities of beneficiaries, as well as monitoring information.

This outline should not be understood as if there is, or should be, a chain of instructions going in a mechanical way from the Swedish and international policies to the implementation at the beneficiary level. It is rather an attempt to see how the steering instruments of Sida enters into the overall flow of instructions and implementation of the educational policies. This overall flow also includes a whole range of other steering instruments, most notably the policies of the partner government, but also the steering instruments of other donors, all of which sets limits on what the steering instruments of Sida could, and should, steer.

The model implies that for all the levels there is pressure from at least two directions: steering instruments from the left and information from the right. Moreover, there are likely to be additional ones, e.g. the steering instruments of other actors. In some cases, there might be a conflict or disjunction between these various pressures, e.g. steering instruments giving instructions to do things which is not realistic given the other constraints, or impose solutions that do not take into account the conclusions that potentially could be drawn from local information. There might even be conflicts between the different steering instruments of Sida.

There is presently a multitude of steering instruments, some of which have been in place for some time. The significant changes in the environment of the support (discussed earlier) give rise to the question of how suitable the totality of steering instruments is for the present situation. Are the steering instruments easy to use by the actors at the various levels? Are they consistent with each other? Are they dealing with the right issues, i.e. issues of relevance for the present situation? Do they give the right type of guidance for the right groups of actors, e.g. are they dealing with issues that are within the areas of influence for the user of the specific guidance?

Furthermore, the joint evaluation mentioned earlier noted a persisting problem to get solutions suitable to the local context, i.e. an excessive reliance on blueprints and a limited use of local information of results and need (e.g.

from monitoring and evaluation). It is accordingly a relevant question how this situation looks with respect to Sida's present work with educational support. To what extent do information on local results and needs affect the decisions by the relevant staff with respect to the educational support? Do the steering instruments give room for adjustments to local circumstances or do they in some way impose blueprints? Do the steering instruments give suitable guidance for the use of information relevant for the local situation? Does the staff have the appropriate capacity and institutional support to use such information? Is potentially useful information at all available for the relevant staff? Are there other constraints for using the steering instruments and information?

All of these questions boil down to an overall concern of whether the guidance (both by the steering instruments and by the information) of the educational support is functioning properly. The questions above deals either with potential shortcomings of the arrow from the left (the content, formulation and internal consistency of the steering instruments etc), the arrow from the right (the availability of relevant information etc) or "conditions" within the boxes (has the staff capacity to use the steering instruments, has the staff the capacity to use the information etc). Assessing all these questions is hoped to lead up to the following forward-looking question: What is the scope for improvement on the basis of this analysis?

To approach all of these questions the evaluation will include an examination of what factors actually have affected how the relevant staff has worked with the educational support. This will be done by studying how staff within Sida and the frame-organizations did work with the educational support in a number of case studies. Each case will consist of the handling of a specific educational issue of concern for a specific country. What decisions were made in this process? What were the focus of the analysis and the dialogue and what funding decisions were made? What factors affected all of these decisions? Did the steering instruments play any prominent role in this process? To what extent was information on results and needs used? What other constraints played a prominent role?

The "implementing staff" includes, for the purpose of this evaluation, all staff within Sida and frame-organizations that works with education, both in Sweden and in the field. "Staff" includes, for the purpose of this evaluation, not only the desk-officers, but also managers, project committees and similar of relevance for the cooperation. These correspond to the boxes (2) and (3) above, and will henceforth be called "*relevant staff*".

The evaluation should consider all Sida support to education, including support through NGOs, project support, global and regional programs and program-based support. This mean, in principle, that in the case studies all staff within Sida and the frame-organization that has been involved in a process of importance for the issue under consideration shall be considered, i.e. not

only staff at UND and the embassies, but also staff at SAREC, SEKA-EO and the like.

In the same way, all steering instruments of relevance for the case studies should be considered. These could include Swedish and international declarations and policies, as well as guidelines, position papers, other instructions and country-specific documents (e.g. country analyses and country plans).

In the same way all information of relevance for the case studies should be considered. This might include everything from research, to administrative records on enrolment, information derived from household surveys, inquiries of the preferences of beneficiaries, evaluations and sector reviews, to the experiences of pilot projects and the like. Non-written information, such as experiences of partners and colleagues, should also be considered part of the overall flow of information. The term includes both information on “what works” (in the particular context), as well as monitoring information.

4. The Assignment

The central concern of the evaluation is hence the steering and guidance of the staff within Sida and the frame-organizations, both in Stockholm and in the field. This steering and guidance should come from the steering instruments as well as from information on results and needs.

The evaluation should also try to explain the situation. If policies and guidelines are not, in some sense, functioning as a relevant steering instrument, or if information is not functioning as guidance in an appropriate way— why is that so? When analyzing the reasons for perceived shortcomings the “properties” of both the steering instruments and the flow of information, as well as the organization of the work in both Stockholm and the field should be considered. To speak in terms of the evaluation framework above: the evaluation should analyze the “content” of both the arrows, as well as the “content” in both box (2) and (3).

Hence, the following four questions will be central to the evaluation:

- a) Does the *scope and formulation* of the *steering instruments* enable the relevant staff to use them in an appropriate way?
- b) Do the *organizational conditions* within Sida and the frame-organizations enable the relevant staff to use the *steering instruments* in an appropriate way? Organizational conditions might for example include issues such as the division of labour between field and headquarter, management systems, as well as the capacities of various units.
- c) Does the *availability of relevant information on results and needs* enable the relevant staff to utilise them in an appropriate way?

- d) Do the *organizational conditions* within Sida and the frame-organizations enable the relevant staff to access and utilize the *information on results* and needs in an appropriate way?

Furthermore, the aim is to address the following forward-looking question: What changes can be done to improve the situation? Recommended changes could involve the steering instruments themselves, as well as other issues, such as the organization within Sida, the need to support capacities in the partner country to produce relevant information, the need for staff training, allocation of resources etc.

The evaluation will mainly approach these issues by studying a number of cases. The overall question when looking at these cases is: what factors did influence the working process in question? In particular: to what extent were those working with the educational support within Sida and the frame organizations guided by factors such as policies, guidelines and information on results and needs?

The steering instruments and the information on results and needs should ideally guide the whole range of issues of relevance for the educational support. For this evaluation, however, some issues are of particular interest. Hence the evaluation should focus on assessing whether the guidance is functioning appropriately for the handling of:

- how to work with education as a factor for poverty reduction?
- how to reach people living in poverty?
- how to work with the rights perspective in the educational sector?
(Both the rights to, in and through education.)
- how to work with education as a factor for promoting democracy?
- how to work with educational sector as a whole, i.e. including secondary and higher education?
- how to work with the quality of education?
- how to avoid excessive use of blueprints?
- how to relate to the new international and regional initiatives?
- how to work with CSOs in the new context of SWAp and budget support?
- how to work with reform processes and innovations in the education sector?
- how to work with other relevant parts of the private sector?

The case studies should be selected as to highlight these particular issues to the largest extent possible. Ideally all issues should be highlighted in-depth, but it is acknowledged that some issues might be problematic to consider to the same degree. Hence, it might better to focus on a few of these issues in order to get an in-depth assessment of the cases chosen.

5. Outline of the Evaluation

The evaluation will include several steps. The exact order of these various steps is up to the consultants, as long as the work process is within the limits set up in section 8 below. The exact methodology, data collection tools etc is also up to the consultants, although it is expected that the evaluation will include in-depth interviews at the embassies, and possible also any local offices of the frame-organizations, in the three case-countries. Views of other key-stakeholders, such as partners and other donors, could also be a valuable input.

The steps are:

First, an initial overview based on a desk study and interviews with Sida staff in Stockholm. The purpose of this overview is to give the necessary background and context for the coming steps, help in the selection of suitable case studies, perhaps identify some additional issues of interests and, hopefully, give some initial preliminary conclusions of value for the ongoing work of UND.

The issues covered could include the whole breadth of issues in the evaluation, but they should include an overview of the relevant steering instruments for the Swedish educational support at large. What areas do they cover? Are there any apparent gaps? Are there any inconsistencies between them? Are their implications clear?

Second, selection of a number of case studies/countries. A “case” is here vaguely defined as a process of concern for the educational sector in a specific partner country. It should hence be noted that selecting a case study also implies selecting a case country. However, if a more narrowly defined “case” is studied it could be possible to have several case studies in one country. It might also be possible to add cases that concern global or regional programs without reference to a particular country, if that is necessary.

A “case” *could* be understood as the handling of a particular issue of relevance for the educational support to a selected country during a specific period of time. It might even be the preparation for some specific key decision of concern for the educational sector in a selected country, or it might be the process leading up to the decision of not participating in a specific program or process. A case might also be understood to be a more loosely connected sequence of analysis, dialogue and decisions taking place during a more limited period of time or for a specific area.

However, the exact understanding of “cases”, as well as the selection and delimitation of them, should be suggested by the consultants, in dialogue with, and approved by, Sida. The following criteria should guide the selection:

- The issues should be sufficiently well defined as to make possible an in-depth study of all the relevant steering instruments, the relevant information as well as the work process itself.
- The process should be recent enough to facilitate reliable recall by the informants.
- The totality of the case studies should to the largest extent possible cover the issues of interest stated at the end of section 5 above. At least one of the case studies should highlight the work through the global or regional initiatives.
- The totality of case studies should involve staff related to UND, SEKAEO and SAREC.
- The totality of case studies should involve the largest breadth possible of aid modalities.
- There should at a minimum be three cases. One case *might* involve more than one case country, for example if it includes the work of a global or regional program. There might also be more than one case for a country, e.g. if the case is more narrowly defined, such as the process leading up to a particular decision. Whether more cases than three should be selected should be guided by whether the various criteria can be covered. If it is not possible to cover the work of any of the international or regional initiatives through a process in a case country then one might consider adding a case study studying such an initiative without reference to any specific country.
- There should be three case countries. Selecting case countries is part of the selection of case studies.
- The case countries should be made, to the largest extent possible, to illustrate the various circumstances or environments in which Sida's support exists.
- At least one case country should be in Africa.
- Practical considerations could also be taken into account in the selection, e.g. whether visits to the field offices are suitable, or whether the team has some specific in-depth country competence or experience that can be expected to give a relevant input into the evaluation.

Third, the case studies. For each of the case studies a more in-depth mapping should be made of all the steering instruments of relevance for the case, i.e. to see if there are additional steering instruments of relevance for this particular case. Furthermore, a mapping of all information on results and needs of relevance for the case should be done, i.e. a literature review (which should, ideally, include relevant contemporary research and impact studies). This is to be followed by an in-depth analysis of what the work process looked like. Questions should include:

- How did the process look in terms of the analysis made, the dialogue and the decisions on funding and agreements?
- To what extent were the steering instruments (identified above) used and in what way? To what extent is the staff aware of the content of all the relevant steering instruments?
- To what extent were information (identified above) used and in what way? To what extent is the staff aware of the content of the identified information?
- To what extent did the non-use of information or steering -instruments have any significant importance for the implementation of the policies? Is it for example likely that the outcome of the process would have been different even if some of the missed information would have been used?
- Was there a uniform understanding among the staff on how to interpret the steering instruments and the information?
- Were there any cases when there was a conflict between the steering instruments and the relevant information?
- When there was a conflict between the information “from the right” and the steering instruments “from the left”: how was this handled? Were the inconsistencies reported “back to the left”, ignored or were they just pushing the “erroneous” policy one further step “to the right”?
- If there were internal inconsistencies between different steering instruments: how was this handled?

Fourth, an assessment of the reason of the observed situation and scope of improvements and changes. This analysis should include:

- Were there constraints on the use of the steering instruments, e.g. the instructions deals with issues that the staff has no influence over, or for which the harmonization sets limits.
- Assessing to what extent the processes are in place to produce, gather and use relevant information for the actors in the various “boxes” to find locally suitable solutions and to monitor progress.
- Explain the reasons for the lack of use of appropriate (and potentially available) information, whenever non-use is the case. Where in the “information chain” can we find the shortcomings? Is potentially useful information not produced? Or is it produced but never acquired by the relevant decision makers? Or is it acquired by the relevant decision makers but never acted upon? Is the reason a lack of capacity, institutional/incentive shortcomings, influence of specific stakeholder interests, ideological “prejudices” or something else?

Finally, on the basis of this analysis, formulate recommendations on what changes can be made to improve the situation. This might include recommendations on:

- How to reformulate the steering instruments
- How to coordinate the steering instruments better
- How to reorganise the work. For example, are the expectations on what the staff in the field are expected to do suitable?
- How to support the availability of relevant information
- The need for capacities in various functions
- The need for staff training
- Any other recommendations

In these recommendations the consultants are encouraged to question the set-up and organisation as a whole, i.e. to “think outside the box”. However, the limits of what UND and related departments can reform should, of course, be taken into account.

6. Evaluation Purpose and Process

The purpose of the evaluation is clearly focused on learning. The primary audience of the evaluation is the staff concerned within Sida, primarily the units/departments of UND, SEKA-EO and SAREC. The main intended use is as an input into the ongoing review of the policies, organization etc with respect to the educational support. Many departments within Sida are involved in this support. However, the unit of UND is the one most heavily involved in reviewing the educational support and is hence also expected to be most heavily involved in the evaluation process.

UND has committed itself to work closely with the evaluators during their work. Informal feedback of preliminary findings should continuously be made during the process to the largest extent possible. To secure the relevance of the report a participatory approach should be used during the evaluation. There will be parallel processes going on (e.g. an overview of the educational support) and it is expected that the team tries to coordinate their work, to the extent possible, with these other processes so as to avoid duplications and take advantage of any synergies.

To the extent that there are lessons learned for a wider audience, these should be included in the final report as well.

It is also important to underline that this evaluation is not envisioned as a control mechanism with respect to the staff. The conclusions should not point out shortcomings of individual staff members. Rather, the assumption is that any scope for improvements is to be found in structural factors, such

as the formulation of the policy, the organization of work or the need for staff training. There should be a short feed-back briefing at the end of each visit to a field unit.

There will be two formal decision-points (outlined below) before the submission of the draft of the final report. These decision points are to be seen as something different than the informal and formal reporting done to UND during the process, which is not intended to be part of the steering of the evaluators (but rather as a way of UND to utilize the results as soon as they become available).

For the purpose of these decisions points there will be a steering group, with one representative from UTV (Karolina Hultström) and one from UND (Hans Persson). Beside the steering group there will also be a larger reference group that will be kept informed by the steering group.

7. Time-plan and Reporting

The exact work-plan is to be suggested by the evaluators guided by the requirements and deadlines outlined below. It will be considered an advantage if submissions can be made earlier than the deadlines below. However, if the evaluators want to be guaranteed that the steering group submits their comments within the time limits stated below they should agree with the steering group in advance on these earlier submission dates. The evaluation process should include the following:

- *Inception note (first decision-point)*: A week, at the latest, after the signing of the contract a short inception note should be submitted to the steering group for approval. The note should include a detailed work plan for the initial overview, a preliminary work plan for the rest of the evaluation, as well as the evaluators approach to the case studies. However, the selection of case studies and countries does not have to be made at this stage. The steering group will require up to two full working days to approve the inception note.
- *Note on selection of cases (second decision-point)*: A note on the selection of case studies and countries should be submitted to the steering group for approval. The note should include an elaboration of the principles of the selection, a motivation for the cases and countries actually selected and a detailed work plan for the remaining process. The note should be submitted no later than September 14, 2007. The steering group will require up to a week to approve the suggestions.
- *A first draft of the final report* should be submitted to the steering group for comments no later than November 12, 2007. The steering group will require one week in order to comment on the draft.

- *A second draft of the final report* shall be submitted no later than *December 3, 2007*. This report is expected to only require some minor corrections. The steering group will require three days to comment on the second draft.
- *Final report*. No later than *December 14, 2007*, a final version of the report shall be submitted to Sida, electronically and in two hardcopies. The evaluation must be presented in a way that enables publication without further editing. Subject to decision by Sida, the report will be published and distributed as a publication within the Sida Evaluations series.
- *A summary* should be submitted no later than *December 14, 2007*. The summary should not exceed 8 pages (fewer pages are desirable). It should present the main conclusions and recommendations, and should keep abbreviations and jargon at a minimum.
- *Seminar*. The team is also expected to participate in a one day seminar at Sida, where the findings are presented and discussed.

All reports shall be written in English, and the final report and the summary must have been subject to professional proof-reading and editing prior to their presentation to Sida.

Apart from the written reports, the team leader shall report to the steering group on the team's progress on a regular basis, including any problems that may jeopardize the assignment. The steering group will be available for clarifications and discussions, but it is understood that the steering group will refrain from proactively intervening in the evaluation between the decision-points outlined above.

8. Qualifications and Tender

The evaluation team should consist of at least two people, whereof the team leader shall possess the necessary managerial experience. Two clusters of qualifications will be considered central to the team: (a) knowledge of the subject matter of education in a development context and (b) knowledge/experience in organizational development.

The tender shall include a proposed work plan and suggested methodology. The final work plan and methodology will be outlined in the inception note, as approved by the steering group.

For further information on the tendering, see "the invitation to tender".

9. References

The following reports could be considered as useful starting points:

Education for all: a human right and basic need – policy of Sida’s Development Cooperation in the education sector (2001)

Effektivt utvecklingssamarbete – via lärande och förtroende. Slutrapport för SEKAs resultatredovisningsprojekt (2006)

Joint evaluation of external support to basic education in developing countries (2003).

Unfortunately, the report is not accessible electronically but can be sent through contacting Irina Grate at Sida’s education Division, 08-6984533, or <irina.grate@sida.se>.

Monitoring for education results – a study on results orientation and the role of indicators (2004), Education division, Sida

10. Abbreviations

CSO	Civil Society Organization
NGO	Non-Governmental Organization
PGU	Policy for Global Development
SAREC	Sida’s Department for Research Cooperation
SEKA-EO	Sida’s Unit for Civil Society Support
SWAp	Sector Wide Approach
UND	Sida’s Unit for Educational Support
UTV	Sida’s Department for Evaluation and Internal Audit

Annex 2 Evaluation Design Matrix: Key Questions and Lines of Enquiry

Issue 1 To assess whether the scope and formulation of steering instruments enable the relevant staff to use them for effective educational cooperation

- (i) Which are the relevant steering instruments?
 - (ii) Which steering instruments are regarded as relevant and useful by the involved departments/divisions in HQ and why?
 - (iii) Which steering instruments are regarded as most useful by those working with them (at HQ and in the field, in Sida and the frame organisations and their relevant partners), and why?
 - (iv) Do Swedish/Sida steering instruments provide practical guidance on:
 - Education role in poverty reduction?
 - How to translate rights perspectives into education cooperation?
 - Education role in promoting democracy?
 - How to work with the education sector as a whole (i.e. all education sub-sectors in a coherent way)?
 - How to use steering documents in dialogue on partner countries' policies?
 - How to relate to international and regional initiatives?
 - How to work with CSOs in the context of SWAPs and budget support?
 - How to work with relevant parts of the private sector?
 - How to work with reform processes and innovations in the education sector?
 - (v) Is there consistency between and across the different Swedish/Sida guiding instruments in addressing the above issues?
 - (vi) Are there gaps in coverage on the above issues in the various Swedish/Sida steering instruments?
 - (vii) Are the Swedish/Sida steering instruments robust enough to assess the soundness of country-led poverty reduction and education strategies in varying circumstances and development environments?
 - (viii) Are Swedish/Sida steering instruments on education consistent with selected international steering instruments and with selected partner countries' policies and instruments on education?
-

Issue 2 To assess whether the organisational arrangements and ways of working within Sida and the frame organisations enable the relevant staff to use the steering instruments for effective educational cooperation

- (i) What is the level of delegated authority between HQ and the particular field office and there mechanisms to ensure compliance in policy implementation?
 - (ii) What is the division of roles and responsibilities across the various stakeholders involved in programming and decision processes on interventions in the education sector?
 - (iii) What is the process (formal and informal) of formulating and disseminating policies and steering instruments?
 - (iv) Which mechanisms are in place to provide required support/back stopping to those working with education sector cooperation - at HQ and in the field?
 - (v) Which mechanisms are in place to promote changes in organisational work practices and skills mix (at HQ and in the field, for Sida and frame organisations) to adapt to changing aid modalities (such as general budget support SWAPs) in support of education cooperation?
 - (vi) Which mechanisms are in place to ensure regular capacity building? Who will initiate and/or decide on capacity building activities for more effective education cooperation?
 - (vii) Which mechanisms are in place to promote cross-sectoral cooperation in HQ and in the field (within Sida and frame organisations)?
 - (viii) Which mechanisms are in place to ensure consistency between educational reform processes (i.e. such as decentralization and education SWAP)?
 - (ix) What mechanisms are in place to adjust to country level policy, strategy and programme adjustment?
 - (x) Is there consistency in findings in the documentation on results and needs?
 - (xi) Are there information gaps in documentation on results and needs?
 - (xii) Is information on results robust enough to draw conclusions about what works and what does not work in the education sector?
 - (xiii) What use is made of information on results and needs? Is it integrated into policies and/or into forthcoming planning or dialogue?
-

Issue 3 To assess whether the availability of relevant information on results and needs enable the relevant staff to utilise them for effective educational cooperation

- (ii) What constitutes relevant information on results and needs and where is it generated?
- (iii) Which information on results and needs is regarded as relevant and useful by the involved departments/divisions in HQ, and why?
- (iv) Which information on results and needs is regarded as relevant and most useful by those working with them (at HQ and in the field in Sida and frame organisations and their partners) and why?
- (v) Who produces the information on results and needs which is viewed as most useful?
- (vi) To what extent does information on results and needs produce evidence of:
 - Effects on the support on poverty reduction?
 - Integration of rights perspectives in the education cooperation?
 - Extent to which educational support promotes democracy?
 - Coherence in support across all education sub-sectors
 - Usefulness of steering documents in actual in dialogue on partner countries' policies?
 - Coherence between bilateral, international and regional initiatives?
 - The role and work of CSOs in SWAPs?
 - The role and work of relevant parts of the private sector?
 - Coherence between innovations/results in education sector and other ongoing reform processes?
- (vii) Is there consistency in findings in the documentation on results and needs?
- (viii) Are there information gaps in documentation on results and needs?
- (ix) Is information on results robust enough to draw conclusions about what works and what does not work in the education sector?
- (x) What use is made of information on results and needs? Is it integrated into policies and/or into forthcoming planning or dialogue?

Issue 4 To assess whether the organisational conditions within Sida and the frame organisations enable the relevant staff to access and utilize the information on results and needs for effective educational cooperation

- (i) Which mechanisms are in place to ensure responsiveness to demonstrated programme results and aid effectiveness?
 - (ii) What systems/mechanisms are in place to disseminate/forward information on results and needs?
 - (iii) How are decisions taken on which measures to take in response to information on results needs?
 - (iv) What mechanisms are in place to ensure an active learning process?
 - (v) How does perceived capacity and the particular circumstances and development environment of partner countries influence the organisation of work?
 - (vi) Which mechanisms are in place to strengthen capacity in partner country institutions in order to improve the production of information on results and needs taking place?
-

Issue 5 To identify ways in which the development and application of educational policy guidance can be strengthened in the context of ongoing organisational change in Sida

- (i) What is the level of alignment that exists between education policy and practice and which are the implications for the wider processes of reorganisation, training and capacity building (in Sida and frame organisations) and the information and communication strategies?
 - (ii) Which factors influenced those working with the educational support within Sida and the frame organisations?
 - Did Sida/Swedish policies and guidelines influence the processes?
 - Did international and/or other donors' policies and guidelines influence the processes?
 - Did partner country policies and guidelines influence the processes?
 - Did programme level information on results and needs influence the processes?
 - Did the development environment influence the processes?
 - (iii) What explains why certain factors did/did not influence those working with educational support within Sida and the frame organisations?
 - (iv) What changes can be usefully made that will contribute to the wider and ongoing organisational changes within Sida?
-

Annex 3 Evaluation Methodology and Analytical Approach

Overall Methodology and Approach

The methodology and approach consisted of (i) developing analytical tools for the review of relevant Sida policy and guidance instruments and associated international conventions and guidance documents; (ii) developing analytical tools for the review of Sida and country partner strategy and education programming documents; (iii) reviews and analysis of Sida and country results and information systems, particularly drawing on joint education programme reviews and evaluations; (iv) developing analytical tools for the assessment of Sida organisational arrangements and conditions; (v) reviews and analysis of Sida HQ, country office, frame organisation and country partner experiences, including their identified good practice; (vi) reviews and analysis of Sida's organisational learning and knowledge management arrangements; and (vii) conducting field missions in 3 country case studies, complemented by more limited country case study analysis in a number of additional countries, incorporating some analysis of country partner experience.

Data Collection and Analysis

The scope and range consists of (i) collation, typology and analysis of Sida guidance instruments and other international instruments, using a specified classification and rating system; (ii) design, collation and analysis of Sida HQ, country office and framework organisation staff survey questionnaires to evaluate the effectiveness of Sida guidance and results/information systems, including measures for improvement; (iii) collation and analysis of structured interviews with Sida HQ, Sida country office and partner country officials, in the selected case study countries; (iv) review and analysis of Sida results/information management systems, through country strategy and education programming and review/evaluation document assessment; and (v) review and analysis of knowledge management systems, including through Sida websites and other dissemination/capacity building activities.

Guidance Instrument Analysis

The methodology consisted of a textual analysis of a range of Sida steering and guidance documents related to (i) Sida principles and values and ways of working; (ii) Sida overarching development policies; (iii) Sida thematic and sector policies; (iv) position papers for education sector and sub-sector strategic priorities and crosscutting issues; (v) selected technical and reference papers; (vi) Sida/other donor partnership agreements, especially with UN agencies; and (vii) selected international agreements, especially related to UN conventions and declarations. The range and scope was comprehensive, in order to ensure a high degree of validity and reliability of the screening process and allow assessment of internal consistency across a range of documents.

The screening process varied according to nature and purpose of the documentation. In broad terms, screening criteria consisted of (i) the purpose and process for document formulation; (ii) the extent and consistency of focus on Sida development goals; and (iii) extent of guidance for Sida's way of working with other country/donor partners. Based on a systematic rating system, these assessments were consolidated to address (i) relevance and usefulness to identified users; (ii) extent of practical guidelines for Sida cooperation design and implementation; (iii) extent of consistency across guiding instruments; (iv) identification of gaps in coverage; (v) the degree of robustness; and (vi) consistency with other international guiding documents related to education.

This initial documentation review process and its findings was complemented by other methodologies, including (i) a separate questionnaire to Sida HQ and country staff; (ii) a user questionnaire to selected country partner officials; (iii) focus group meetings with HQ and field office staff; and (iv) selected interviews with key informants.

Country Case Studies and Selection Criteria

Case studies in selected countries were conducted – 3 through field visits and a number of others by teleconference. Selection criteria focused on (i) a range of different aid modalities; (ii) comprehensiveness of range of Sida programmes (e.g. NGO, EFA FTI involvement); and (iii) extensive Sida engagement in the sector and significant knowledge and lessons to be learned. The selection criteria essentially reflected a continuum of greater or lesser degrees of alignment of Sida education support with country policy/systems, including the influence of the existing aid architecture in respective countries.

This selection provided an opportunity to assess (i) the relevance and usefulness Sida guidance instruments in these 3 or 4 different contexts; (ii) the effectiveness of organisational arrangements to use these instruments in differ-

ent contexts; (iii) the availability and use of results information in these different contexts; and (iv) whether organisational conditions in Sida and delegated partners help optimize the flow and use of results information. Interviews and desk analysis allowed (i) identification of good practice and lessons learned; (ii) identification of key organisational lessons and potential opportunities and constraints; and (iii) country partner perception of Sida's policy guidance instruments, results frameworks and the implications for effective Sida/country partnerships in education.

The broad selection criteria proposed was to examine how different aid modalities and associated results frameworks impact on Sida's way of working; and advancing Sida's commitment to aid effectiveness through different degrees of alignment/harmonization of Sida support with country poverty reduction and education sector strategies.

The scenarios of aid modalities and associated results frameworks identified by the evaluation team are as follows: (i) Sida supports education as one element of a wider programme of cooperation that is designed to assist governments achieve their higher order development goals; (ii) Sida supports the development of a sector wide programme according priority to basic education, especially where Sida has played a lead agency role in recent years and built up a close relationship with the national government and other partners; (iii) Sida supports countries where, for a variety of capacity-related reasons (extreme poverty, conflict, emergency, weak or corrupt governance), it is not possible currently to engage in sector wide development; (iv) Sida supports a global programme, nationally and internationally, for example through UNICEF or through proactive engagement with the EFA Fast Track Initiative.

The country case studies for field visits approved by the steering committee were:

Tanzania: A country with long-lasting cooperation in education. During second half of 2006 the financing modality was changed to GBS. There are other types of Sida interventions in addition to GBS (SEKA and SAREC). There are a number of FWOs working through civil society. It is also the only country with a SAREC programme officer with mandate for higher education and research in addition to a programme officer for basic education (from DESO/UND). A global initiative is being implemented in Tanzania. Tanzania remains as a country with which Sweden will engage in long-term bilateral development cooperation.

Bangladesh: Recently entered into pooled support to basic education. In addition Sida provides support to two programmes. Through SEKA there is support to three FWOs and there is also one global initiative (with a second global initiative "pending" for 2007). Bangladesh remains a country with which Sweden will engage in long-term bilateral development cooperation.

Democratic Republic of Congo: A post-conflict country with which Sweden will engage in bilateral development cooperation. Education sector cooperation channelled through UNICEF started in 2006 and thus provides a very recent process through which to analyse the usefulness of steering instruments in the preparation process. There is also education support through SEKA and three FWOs are working in DRC. A global initiative is ‘pending’ for 2008.

In addition, using the same selection criteria the evaluation team conducted distance case studies covering *Afghanistan, Bolivia, Ethiopia, Russia and Rwanda*, through teleconferencing and documentation review.

Country Case Study Scoping Exercise. As part of the overall conceptual framework and analytical approach, the team conducted an initial scoping exercise to examine the range of modalities used as part of Sida education support. This scoping exercise is summarized in Table 1 below.

Table 1. Typology of Sida Education Support and Range of Countries

Category/ Description	Financing modalities – implying alignment	Results framework	Eligible Countries
1. Sida supports education as one element of a wider programme of cooperation that is designed to assist governments achieve their higher order development goals.	• General Budget Support (GBS): non-earmarked support directly through a partner government’s Treasury – with or without a focus on a defined sector. • Sector Budget Support (SBS): non-earmarked support directly through a partner government’s Treasury but with a separate agreement on SBS or paid to the [Education] Ministry and registered in Treasury.	• General PRS indicators and/or sector indicators, including relevant system capacity indicators. • PRS indicators on the sector or indicators in the sector plan (which may be aligned with the PRS).	Mali, Mozambique, Namibia, Rwanda, Tanzania.

Category/ Description	Financing modalities – implying alignment	Results framework	Eligible Countries
2. Sida supports the development of a sector wide programme according priority to basic education, especially where Sida has played a lead agency role in recent years and built up a close relationship with the national government and other partners.	• Pooled resources earmarked to the sector programme, usually not through a partner government's Treasury, but generally on-budget while several functions, such as M&E and auditing, are being undertaken in parallel to national systems.	• Indicators in the sector plan.	Bangladesh, Ethiopia, Honduras.
3. Sida supports countries where, for a variety of capacity-related reasons (extreme poverty, conflict, emergency, weak or corrupt governance), it is not possible currently to engage in sector wide development.	• “Multi-programme support” (SPS) – funding through a multilateral channel, e.g. WB, AsDB, UNICEF – in support of a multilateral programme. • Project – support to a project based on a specific project proposal supported by Sida alone.	• Indicators in the programme. • Indicators in the project.	Afghanistan, Bangladesh, Bolivia, Burkina Faso, Cambodia, DRC, Ethiopia, Laos, South Africa.
4. Sida supports a global programme, nationally and internationally, for example through UNICEF or through proactive engagement with the EFA Fast Track Initiative.	• Global disbursement to relevant multilateral agency.	• Indicators in the global programme.	Not country bound.

Annex 4 Mapping, Patterns and Trends of Sida Education Support

Africa

Country	Disbursement MSEK 2005 ^{a)} and (2006) ^{b)}				Type of Country ^{c)}				Financing Modality ^{d)}					Channel	Global Pgm	Frame organisations	Sida Lead	
	UND	SEKA	SAREC	Eur	LT	C/PC	Ref	Pos	PO	GBS	SBS	Pool	Pgm					Proj
Burkina Faso	10,2 (9,2)	0,5	14,3	-	X									X	FONAENF	FTI	PMU	-
Burundi	-	1,5	-	-												(FTI)	PMU	-
Democratic Republic of the Congo	- (14,8)	5,9	-	-		X							X		UNICEF Dialogue other donors	[FTI]	FS, PMU, SMR	-
Congo Brazzaville	-	4,0	-	-												(FTI)		-
Ethiopia	32,0 (18,8)	2,4	24,5	-	X							X	X		EPF UNICEF/ girls	FTI	FS, PMU. SCS, SMR, Svk, LO	-

Country	Disbursement MSEK 2005 ^{a)} and (2006) ^{b)}				Type of Country ^{c)}				Financing Modality ^{d)}				Channel	Global Pgm	Frame organisations	Sida Lead
	UND	SEKA	SAREC	Eur	LT	C/PC	Ref	PoS	PO	GBS	SBS	Pool	Pgm	Proj		
Kenya	-	2,5	-	-											FS, LO, OPC	-
Liberia	-	-0,3	-	-												-
Mali	40,0 (50,3)	0,5	-	-	X						X				PMU, SMR	-
Mozambique	5,3 (45,0)	2,1	0,7	-	X					X					AG, Svk	-
Namibia	3,1 (32,1)	1,6	-	-				X			X				AG, FS	-
Rwanda	29,5 (14,3)	6,1	-	-	X					X					PMU, SHIA, SMR	-
Somalia	-	5,0	-	-											FS, SMR	-
South Africa	12,2 (25,1)	1,8	-	-				X					X		AG, FS, Svk	-
Sudan		2,1	-	-											PMU, SMR	-
Tanzania	150,4 (138,5)	5,0	10,1 (117,3)	-	X					X					EFA Cap Building [FTI]	Next year?
Uganda	-	0,4	39,4	-											FS, LO	-
Zimbabwe	-	1,9	-	-											AG, FS, PMU, Svk	-

Asia

Country	Disbursement MSEK 2005 ^{a)} and (2006) ^{b)}			Type of Country ^{c)}				Financing Modality ^{d)}				Channel	Global Pgm	Frame organisations	Sida Lead		
	UND	SEKA	SAREC Eur	LT	C/PC	Ref	PoS	PO	GBS	SBS	Pool	Pgm	Proj				
Afghanistan	67,0 (133,5)	48,2	-		X							X	X	UNICEF Sw Afg Com BRAC-A ARTF (65% salaries to edu sector)	SMR	-	
Bangladesh	57,5 (73,1)	0,3	-	X							X	X		PEDP II BEHTRU- WC CMES	EFA Cap Building (FTI)	FS, SMR, LO	-
Cambodia	29,5 (47,2)	0,5	-	X								X		UNICEF (to support EBEP II)	FTI	SMR	-
Timor Leste	5,0 (0,0)	0,5	-		X												-
India		4,7	-												GeSCI [FTI]	FS, PMU, SMR, Svk, OPC	-
Laos	23,0 (27,7)	1,1	-					X				X		AsDB/ TTEST	[FTI]	SHIA, SMR	-

Country	Disbursement MSEK 2005 ^{a)} and (2006) ^{b)}				Type of Country ^{c)}				Financing Modality ^{d)}					Channel	Global Pgm	Frame organisations	Sida Lead
	UND	SEKA	SAREC	Eur	LT	C/PC	Ref	PoS	PO	GBS	SBS	Pool	Pgm				
Pakistan	--	7,1		--											EFA Cap Building [FTI]	FS, PMU, SCS, Building OPC	-
Sri Lanka	1,8	0,1		--											[FTI]	PMU	-
Vietnam	17,8	1,1	10,5	--											EFA Cap Building FTI	PMU, SCS	-
Other Asia	--	10,9	-	--													-

South America/Europe

Country	Disbursement MSEK 2005 ^{a)} and (2006) ^{b)}				Type of Country ^{c)}				Financing Modality ^{d)}					Channel ^{e)}	Global Pgm ^{f)}	Frame organisations ^{g)}	Sida Lead	
	UND	SEKA	SAREC	Eur	LT	C/PC	Ref	PoS	PO	GBS	SBS	Pool	Pgm					Proj
South America																		
Bolivia	47,1 (24,4)	2,7	-	-	X								X		With NL and DK	GeSCI [FTI]	PMU, SHIA, OPC	-
Honduras	40,2 (19,4)	0,4	1,6	-					X			X			EFA	FTI	PMU	-
Nicaragua	-	0,2	27,1	-												FTI	FS, PMU	-

Country	Disbursement MSEK 2005 ^{a)} and (2006) ^{b)}				Type of Country ^{c)}				Financing Modality ^{d)}					Channel	Global Pgm	Frame organisations	Sida Lead
	UND	SEKA	SAREC	Eur	LT	C/PC	Ref	PoS	PO	GBS	SBS	Pool	Pgm				
Other Latin America	-	13,5	-	-													-
Europe																	
Armenia	-	0,4	-	0,7													-
Russia	-	2,4	-	8,4											FS, PMU, SCS, OPC		-
Belarus	-	-	-	4,5													-
Georgia	-	-	-	0,5			X										-
Bosnia	-	2,4	-	0,3			X										-
Serbia	-	1,3	-	3,4			X								PMU. OPC		-
Macedonia	-	0,4	-	0,7			X								OPC		-
Ukraine	-	0,3	-	0,9			X								OPC		-
Moldavia	-	0,9	-	3,8			X								SMR		-
Other Europe	-	0,7	-	0,7													-
Global Programmes	39,6 (229,9)																
Regional Programme, Africa	14,0 (12,3)																

Notes on mapping and funding and organisational typologies in Table above:

a) Disbursed 2005 (Source: Facts & Figures 2005 Education sector, Education Division)

b) Disbursed 2006 (Source: Progress in educational development, Sida's contributions 2006, Education Division)

c) As per outcomes of recent country focusing process:

LT = Countries with which Sweden will engage in long-term bilateral development cooperation;

C/PC = Countries in conflict/post-conflict situation with which Sweden will engage in bilateral development cooperation;

Ref = Reform cooperation with countries in Eastern Europe;

PoS = Countries for phasing out but with which Sweden will engage in selected bilateral development cooperation;

PO = Countries for phasing out Swedish bilateral development cooperation

d) Definitions as per "Definitions and categories: Sector Programme Support, Sector Budget Support, General Budget Support", Draft 060525, Janet Vähämäki.

GBS = General Budget Support (through Treasury – alignment);

SBS = Sector Budget Support (through Treasury – alignment);

Pool = SWAp support (harmonisation);

Pgm = Multi-programme support (harmonisation);

Proj = Project support

Country Partners:

ARTF = Afghanistan Reconstruction Trust Fund;

BEHTRUWC = Basic Education for Hard to Reracy Urban Working Children (Bangladesh);

BRAC-A = Bangladesh Rural Advancement Committee – Afghanistan;

CMES = Centre for Mass Education in Science (Bangladesh);

EBEP II = Expanded Basic Education Programme II (Cambodia);

EFA = Education for All;

EPF = Education Pooled Fund (Ethiopia);

FONAENF = Fonds pour l'Alphabetisation et l'Education Non-Formelle (Burkina Faso);

PEDP II = Primary Education Development Plan (Bangladesh);

PISE II = Programme l'Investissement Sectoriel de l'Education (Mali);

TTEST = Teacher Training Enhancement and Status of Teachers project (Laos);

UNICEF = United Nations Children's Fund;

Frame Organisations:

FS = Forum Syd;

PMU = PMU Interlife;

SCS = Swedish Save the Children;

SHIA = Swedish Organisations' of Persons with Disabilities International Aid Association;

SMR = Svenska Missionsrådet /Swedish Mission Council;

Svk = Svenska Kyrkan /Swedish Church;

LO = LO-TCO Biståndsnämnd;

OPC = Olof Palme International Centre

Annex 5 Review of Sida Education Guidance Documents for Organisational Processes: Patterns, History and Impetus

1. Screening Methodology and Approach

The methodology consisted of a textual analysis of a range of Sida steering and guidance documents related to (i) Sida principles and values and ways of working; (ii) Sida overarching development policies; (iii) Sida thematic and sector policies; (iv) position papers for education sector and sub-sector strategic priorities and crosscutting issues; (v) selected technical and reference papers; (vi) Sida/other donor partnership agreements, especially with UN agencies; and (vii) selected international agreements, especially related to UN conventions and declarations. The range and scope was comprehensive, in order to ensure a high degree of validity and reliability of the screening process and allow assessment of internal consistency across a range of documents. The range of documents is analyzed below.

Type of Documentation	Number Reviewed
1. Sida Principles and Values	5
2. Sida Overarching Policies	5
3. Sida Thematic/Sector Policies	8
4. Sida Education Position Papers	9
5. Sida Education Reference Papers	14
6. Sida/Donor/NGO Partnership Guidelines	5
7. Other Selected International Documents	17
Total	63

The screening process varied according to nature and purpose of the documentation. In broad terms, screening criteria consisted of (i) the purpose and process for document formulation; (ii) the extent and consistency of focus on Sida development goals; and (iii) extent of guidance for Sida's way of working with other country/donor partners. Based on a systematic rating system, these assessments were consolidated to address (i) relevance and usefulness to

identified users; (ii) extent of practical guidelines for Sida cooperation design and implementation; (iii) extent of consistency across guiding instruments; (iv) identification of gaps in coverage; (v) the degree of robustness; and (vi) consistency with other international guiding documents related to education.

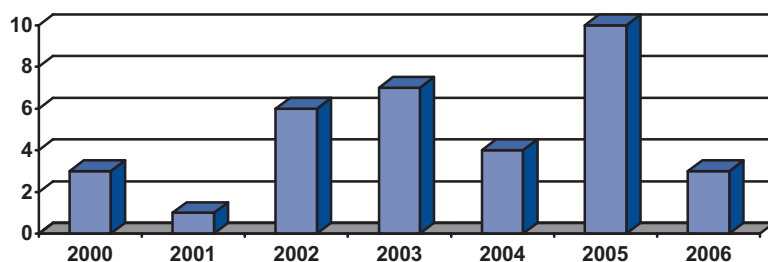
This initial documentation review process and its findings was complemented by other methodologies, including (i) a separate questionnaire to Sida HQ and country staff; (ii) a user questionnaire to selected country partner officials; (iii) focus group meetings with HQ and field office staff; and (iv) selected interviews with key informants. In this way, the views of the majority of potential users were covered to ensure reliability and representativeness. This approach also allowed extensive cross validation of evidence with the initial documentation screening process, which is summarized in a screening matrix.

2. Historical Patterns

Uneven pattern of guidance instruments objectives. Over the past 6–7 years, Sida has issued around 40 policy and steering documents covering broad development policy, crosscutting themes and specific education reference papers. The frequency patterns appear to be related to Sida responses to both internal and external factors. Between 2000–2004, the guidance documents focused primarily on setting out Sida’s response to its commitment to the *EFA Dakar Declaration, 2000*. As a result, a high proportion of the documents produced over this period, focused on education sector and sub-sector policy and operational guidance.

Since 2004, the nature of the guidance instruments has shifted to broader crosscutting issues, especially related to Sida engagement in country poverty reduction strategy (PRS), harmonization/alignment and a more holistic and multi-dimensional approach to development. A primary impetus appears to be growing concerns within Sida on how to effectively implement its commitment to the Paris Declaration 2005 on using country systems, more harmonized donor support and country system capacity development.

Fig. 1 Number of Sida Guidance Instruments, by Year

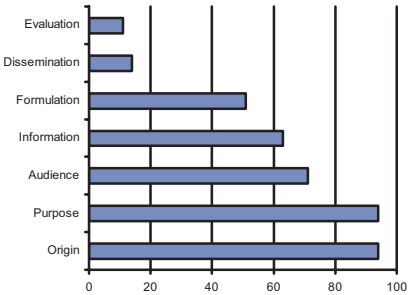


Primary audience varies between international donor community and internal needs. The overall conclusion is that the frequency purpose and nature of Sida guidance documents is dominated by an imperative to maintain its reputation as a well informed and reliable international development partner and its reputation as a leader in international education development thinking. The impetus to help guide Sida’s education support programmes, through using operational guidance from HQ to enhance the capacity of Sida country offices, appears to be of secondary importance. A key informant within Sida confirmed this conclusion asserting that the main audience for the education policy and operational documents is the Sida Education Division itself, its objectives being too confirm their position on educational issues and present a platform internationally. One comment was “most documents don’t have much meaning in programming and resource allocation terms”.

3. Summary of Initial Findings: Documentation Formulation Processes

Evaluation and dissemination processes are ill-defined. The ratings of the effectiveness of the steering document formulation process are summarized in a matrix at the end of this annex. The main findings are summarized in the bar chart (% rated strong/medium) below. The overall initial findings are detailed below:

Fig. 2 Assessment of Documentation Processes (% rated strong/moderate)



Uneven clarity on origins and purpose except for international agreements. A high proportion of the documents clearly set out the origins, impetus and purpose for the document. The origins vary according to the nature of the document. In the case of development policy documents, the primary impetus is the need for a coherent organisational response to Sida’s global development policy (2003). In the case of education steering documents, the primary impetus is a combination of ensuring a coherent Sida education programme design response to Sida’s overarching development goals and Sida’s commitment to a range of UN conventions (e.g. rights of the child) and international decla-

rations (e.g. Dakar EFA Declaration, 2000; Paris Declaration, 2005). Overall, there is a high degree of internal consistency in terms of policy, principles and education sector and sub-sectoral responses.

Limited external consultations in preparation of guidance documents. The clarity of anticipated audience and formulation process is uneven. In the majority of documents, the explicit primary audience is Sida HQ and country office staff, although many of the consultation and programming processes and guidelines, strongly imply consultation with donor and country partners. A more explicit audience would help guide dissemination and understanding of Sida policies and strategic priorities. This applies particularly to those documents formulated prior to the *Sida at work 2005* guidance, which makes the dissemination approach more explicit.

The clarity and comprehensiveness of the formulation process are also very uneven, with the majority of documents appearing to be formulated by internal Sida inter-departmental or Education Division working groups or commissioned research groups. As a result, it is unclear the extent to which these guidelines are representative of other stakeholders views (e.g. Swedish NGOs, other partners, Sida country offices). Consequently, the opportunity for ensuring broad stakeholder ownership and capturing country experience and good practice appears to have been missed.

Guidance documents are unclear on how their use and impact will be monitored. The clarity of how it is intended for these documents to be disseminated and ensure extensive adoption and usage by Sida staff and country partners is also uneven and broadly disappointing. Very few of the documents set out an explicit dissemination process and external audience, nor an action plan for follow-up Sida staff orientation and country partner orientation programmes. This is not to say that follow-up dissemination processes have not occurred, but an explicit process would help guide internal Sida and external partner dissemination activities and resource allocations.

A particular limitation is that none of the documents reviewed set out processes for monitoring whether these guiding instruments or reference papers are being used and adopted by Sida staff as part of internal business processes. This is not to say that promotion of usage and adoption of these guidelines has not taken place, but a more explicit statement of the monitoring processes would encourage organisational and individual accountability and assist broader performance monitoring. A more explicit process of usage/adoption monitoring would also encourage Sida departments and country offices to allocate appropriate resources and staff time for this purpose.

Table 1: Rating of Sida Guidance Documents: Processes

Documentation Title	Origin Clarity	Purpose Clarity	Audience Clarity	Formulation Process	Information Gaps	Dissemination Clarity	Evaluation Monitoring
1. Policy on Global Dev. 2003	S	S	S	M	M	L	M
2. Perspectives on Poverty, 2002	S	S	L	L	S	L	S
3. Goals, Perspectives, 2005	S	S	L	L	L	L	L
4. Sida's Direction	S	S	S	S	S	L	L
5. Support to Civil Society, 2007	S	S	S	L	M	L	L
6. Policy, Plan for Environ, 2004	S	S	M	L	L	L	M
7. Private Sector Development, 2004	L	M	L	L	L	L	L
8. Promoting Gender Equality, 2005	S	S	M	M	L	L	L
9. Promoting Peace and Security, 2005	S	S	M	L	L	L	L
10. Justice and Peace, 1997	S	S	M	M	L	L	L
11. Human Right and Basic Need, 2001	S	S	M	L	L	L	L
12. Research Cooperation, 1998	S	S	S	S	M	M	M
13. Policy for CD, 2000	S	S	M	M	M	L	L
14. Policy for Sector Programme Support, 2000	S	S	S	L	L	L	L
15. Health is Wealth, 2002	M	M	L	L	L	L	L
16. Rights of a Child, 2002	S	S	M	L	M	L	L
17. Fighting Poverty in an Urban World, 2005	S	S	M	L	M	L	L
18. Poverty Reduction Strategies, 2005	S	S	M	L	M	L	L
19. Children and Adults with Disabilities, 2005	S	S	M	L	M	L	L

Documentation Title	Origin Clarity	Purpose Clarity	Audience Clarity	Formulation Process	Information Gaps	Dissemination Clarity	Evaluation Monitoring
20. Public Financial Mgmt, 2005	M	M	L	M	M	L	L
21. Teacher Education, 2000	S	S	M	S	S	M	L
22. Edu in Situations of Emergency, 2003	M	M	L	L	L	L	L
23. Edu for Sustainability, 1999	S	S	S	S	L	L	L
24. Democracy and Human Rights, 2005	S	S	S	M	S	M	L
25. Early Childhood Care, Education, 2005	S	S	M	L	M	L	L
26. Education Materials, 2002	M	S	L	M	M	L	L
27. Adult Basic Learning, Education, 2005	S	M	L	S	M	L	L
28. Gender Perspectives, Education, 1997	M	M	L	L	M	L	L
29. Way out of Poverty, 2002	S	S	S	S	S	L	L
30. Bilingual Edu in Dev Countries, 2002	L	L	L	M	M	L	L
31. Humanitarian Assistance in Edu, 2002	S	S	S	M	L	L	L
32. Lifelong Learning, 2003	S	S	S	S	S	S	L
33. Education Policy Analysis, 2003	S	S	L	M	L	L	L
34. Post Basic Edu in Partner Countries, 2003	S	S	M	M	M	L	L
35. Lifelong Learning in South, 2003	S	S	S	S	S	S	L

Annex 6 Review of Sida Education Guidance Documents for Organisational Policy Issues: Consistency, Robustness and Gaps

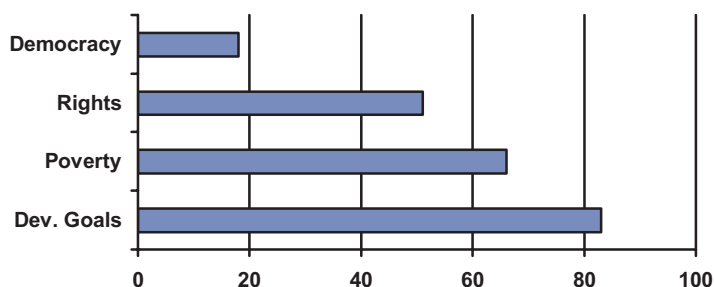
1. Screening Methodology and Approach

The methodology consisted of a textual analysis of a range of Sida steering and guidance documents related to (i) Sida principles and values and ways of working; (ii) Sida overarching development policies; (iii) Sida thematic and sector policies; (iv) position papers for education sector and sub-sector strategic priorities and crosscutting issues; (v) selected technical and reference papers; (vi) Sida/other donor partnership agreements, especially with UN agencies; and (vii) selected international agreements, especially related to UN conventions and declarations. The documents reviewed are the same ones summarized in Annex 5 above.

2. Assessment of the Extent of Focus on Sida Development Goals

The ratings of the effectiveness of the steering document in addressing key Sida strategic issues are summarized in a matrix at the end of this annex. The main findings are summarized in the bar chart (% rated strong/medium) below. The overall initial findings are detailed below:

Fig 1 Assessment of Documentation: Addressing Issues Profile
(% rated strong/moderate)



Operational guidance on how to achieve broader development goals is limited. Overall the documents provide a coherent and consistent approach to enabling achievement of Sida's poverty reduction, rights and democracy goals. This assessment is especially evident in the broader development policy and position papers and the more policy oriented education policy and reference papers. Particularly effective documents to link education strategy with broader development goals are *Poverty Reduction Strategies, 2005*; *Goals and Perspectives, 2005*; *Lifelong Learning, 2003*; and *Way out of Poverty, 2002*; which not only offer strategic guidance but provide analytical processes and operational examples of how to secure achievement of Sida's broader goals within education policy analysis and programme designs.

The effectiveness of guidance instruments within the education sector and sub-sectors is more uneven. Many of the more technical education guidance/reference documents (e.g. *Education Materials, 2002*; *Teacher Education, 2000*) appear to largely pay lip-service to guiding how education can contribute to these broader goals. These documents would have benefited from a greater focus on analytical frameworks and processes on how to secure goal achievement in Sida education programme designs and greater use of country operational examples and lessons learned from previous Sida experiences. At face value, many of the more technical education guidance instruments provide only limited advice to Sida country staff on practical approaches that they could use effectively in their day to day work.

Strategic guidance on how education can enable poverty reduction is unclear. The overall assessment is that the majority of guidance instruments provide only moderate or limited guidance on how to ensure Sida education programmes are pro-poor. The more policy oriented and crosscutting guidance notes (e.g. *Democracy and Human Rights, 2005*) generally offer more practical and user friendly approaches. The narrower education reference papers and technical guidance notes that were very prevalent over 2001/5, provide useful overviews of the international literature, but offer few examples of good practice that HQ or country staff could easily apply in ensuring poverty-targeted Sida education strategy and programming.

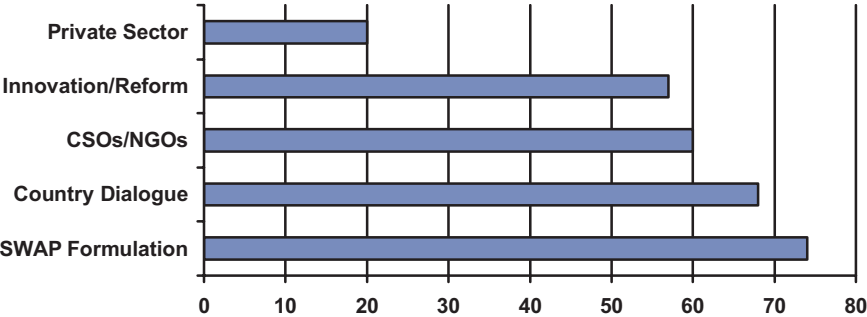
Strategic linkages between education and rights-based approaches needs better definition. The effectiveness of the guidance instruments are uneven and broadly disappointing, with the majority rated as only of moderate or limited value to potential users. While the more discreet human rights/democracy guidance notes are internally coherent and provide useful approaches to advocacy, the guidance on what this means for Sida education strategy and programme design is limited. The likely value of the narrower education reference papers for Sida country programme planning is also moderate/limited. In particular, the policy and fiscal constraints on translating child rights perspectives into universal and equitable education access strategies and the trade-offs involved is insufficiently acknowledged. In summary, the documents are best characterized as approaches to advocacy rather than practical guidance instruments.

Effectiveness of guiding education promoting democracy is mixed and uneven. For a Sida staff member or country official, facing the question “how do we ensure democracy goals are incorporated into education support?” the guidance instruments are only of moderate or limited value. Once again, the primary purpose of the instruments appears to be advocacy and broader awareness raising, rather than practical guidance or country examples on good practice and lessons learned. More positively, many of the more policy oriented documents do highlight the importance of addressing institutional (e.g. legislative, regulatory issues) in education programme designs. A particularly useful document is Lifelong Learning, 2003 that provides not only robust education/democracy policy analysis, but also practical examples that a user might draw on.

3. Guidance on Sida’s Way of Working

The ratings of the effectiveness of the steering document in addressing Sida operational issues are summarized in a matrix at the end of this annex. The main findings are summarized in the bar chart (% rated strong/moderate) below. The overall initial findings are detailed below:

Fig. 2 Assessment of Documentation: Ways of Working Profile
(% rated strong/moderate)



Growing guidance on planning SWAPs but in-country experiences could be better used. The frequency of references to sector wide approaches (SWAPs) in education in guidance instruments has increased over the past 5–7 years. The primary impetus appears to be increased Sida involvement in the broader education aid effectiveness debate and a growing focus on alternative support modalities to traditional projects. Positively, the more policy oriented guidance documentation sets out useful analytical frameworks and processes for assessing SWAP readiness and selection/screening of appropriate modalities. The relevant documentation on education/poverty/rights/democracy also provides useful entry points to country analysis on key institutional issues related to SWAPs.

Less positively, the narrower education reference/technical papers, especially sub-sectoral ones, provide only limited practical guidance on incorporation into SWAPs. These documents are best characterized as reviews of international literature and Sida country experiences, with only limited operational guidance on how these findings might be used to make decisions about Sida education programming or modalities. Even by 2007, when Sida SWAP experiences and lessons learned from alternative modalities are better known and understood, this has not been consolidated into a coherent guidance note, based on practical experience and knowledge. Overall the coherence and potential usefulness of the documentation for Sida HQ and country staff is assessed as only moderate.

Well-defined principles for sector dialogue but real life ways of working need to be better defined. The broad pattern is that the focus on country and donor policy dialogue in the guidance instruments has increased significantly in the past 5–7 years. The main impetus appears to be the recognition of the growing need for partnership in meeting Dakar Education for All (2000) commitments, engagement in multi-donor general and sector budget support programmes and commitment to the Paris Declaration 2005 aid effectiveness, development results and alignment/harmonization targets. These are strongly reflected in the more general thematic and sector policy position papers.

The focus on policy dialogue and guidance for doing so is less strongly emphasized in the more specific education reference papers, partly because the primary purpose appears to be disseminating information on Sida and international education thinking and experience. Nevertheless, these documents, if disseminated and used effectively, do provide a useful basis for Sida education staff professional development, which potentially increases their capacity for engagement in country/donor partner dialogue in the sector. Less positively, the frequency and scope of detailed operational guidance on how to engage in policy dialogue at the sector level is only moderate. Despite Sida's growing experience in SWAPs and budget support, examples of lessons learned and case studies of good practice are comparatively infrequent. Overall, the assessment would be strong to moderate.

Guidance on alignment between education support strategy and objectives and expected outcomes from NGO support is urgently needed. The frequency and scope of guidance on working with NGOs and CSOs in education has also increased. The primary impetus appears to be a recognition that NGOs/CSOs may have a comparative advantage in enabling implementation of rights/democracy objectives through forms of education support. Nevertheless, much of the guidance tends to be generic and implicit, although some documents (e.g. *Democracy and Human Rights; Sida's Direction, 2005*) provide useful guidance on the potential role of CSOs and process frameworks for assessing CSO potential involvement.

Less positively, guidance instruments on NGO grant application procedures tend to promote a limited perspective. The focus appears to be on supporting and promoting civil society participation, as part of a broader rights/democracy perspective, with limited guidance on how support for NGOs/CSOs might help achieve education sector policy implementation. As a result, there is only limited operational guidance of CSO involvement in the education sector, when and how NGOs/CSOs may have a comparative advantage. Useful illustrations of good practice and country experience are also limited in the documentation. In summary, the documents tend to promote civil society engagement as an end in itself as opposed to being one of several actors in country policy implementation. This may be due in part to reported independent and discreet funding and management streams and processes.

Very limited guidance on role of private sector in education, a growing need as post-basic education support becomes a priority issue. The scope of guidance on the role of the private sector is very limited, with few broad policy position papers or education reference papers offering policy or operational guidance. A notable exception is the Education Materials, 2002 guidance note, which sets out clearly Sida's lessons learned on engagement with country partners, state and private publishing organisations. This document also provides a clear position on proposed changes in Sida support modalities, incorporating elements of a SWAP.

It appears that this pattern of guidance is due in part to Sida's increased focus on support for basic education since 2000, where in many countries, public providers dominate. The most recent guidance note on post-basic education (in 2003), also provides only moderate guidance on the role of the private sector in education, despite the fact that in many countries, post basic education providers are frequently private organisations. This limited guidance constitutes an opportunity missed when education SWAPs necessitate analysis of a wide view of the education sector, including analysis of public/private sector partnerships in sector management and financing. In summary, for a Sida country officer, either economist or education professional, the guidance on how to promote private sector engagement in education is very limited.

Limited effectiveness on guiding on contributing to reform/innovation in education. The scope and range of guidance on how to promote education sector reform and innovation is uneven. Where included, advice on how to promote or design innovation and reform is implicit and somewhat mechanistic. This is particularly the case in broader thematic and sector policy guidance documents. At the sector level, guidance documents provide limited operational guidance or lessons learned that Sida field staff could usefully apply.

More positively, many of the education reference papers provide an array of country examples and lessons learned. A notable example is *Lifelong Learning, 2003* that effectively combines country case studies with an analysis of implications for policy reform. In summary, this constitutes an opportunity missed to translate Sida's extensive knowledge of reform and innovation into practical guidance for Sida and country planners. The consequence is a somewhat inward looking perspective directed at HQ education staff and donor partners.

4. Specific Review of Sida at Work, 2005: Guidelines and Manual

Well-defined processes and products for planning and design of education support. The guidelines and manual are very comprehensive in setting out the policies and practice related to (i) potential identification of support and criteria for go/rejection to initial preparation phase; (ii) detailed assessment criteria and processes for the initial preparation phase; (iii) detailed criteria and processes for in-depth preparation phase and formulation of assessment memorandum and draft agreement; and (iv) an outline of responsibilities and required documentation for implementation and monitoring.

The relationship between the policy guidelines and operational manual is clearly set out, with specific examples of the questions to ask during preparation (e.g. relevance, efficiency, sustainability, risk management) and the requirements for processing cooperation agreements (e.g. how to set out an assessment memorandum, how to set out a draft agreement). Guidelines on the implementation and monitoring phase, though outlined, are less detailed.

The manual also contains some useful flow charts and checklists as overall summaries of the processes and documentation requirements, which are particularly useful for an initial user of Sida processes, including newly appointed Sida staff, other donor agency staff and governments, wishing to understand how Sida works in practice. In some ways, much of the detailed written explanation could be streamlined by a greater focus on these schematics and checklists.

Less clear guidance on how overall education strategy is translated into programming and organisational responsibilities. The guidelines and manual do not sufficiently articulate how to link and harmonize Sida policy implementation with country policy and particularly country strategy. Appraisal of the potential effectiveness of country strategy is a significant gap in the guidelines/manual, reinforcing a tendency to focus on the policy/programme linkage. A significant limitation is that the various Sida organisational responsibilities at different stages of the identification, design, appraisal and implementation/monitoring processes are not clear. In particular, it is not sufficiently articulated how decisions are made about go/rejection and who makes them. Similarly, how different parts of the Sida organisation contribute to the other stages of the project/programme cycle is not clear. For example, who ultimately decides on whether the programme is sustainable and the risks acceptable – sector agency or other parts of the Sida organisation?

Lack of clarity on use of guidance instruments at the sector level. There is limited guidance to sector divisions on how to incorporate their own steering/guidance instruments into the identification, design and appraisal process. In particular, how existing guidance instruments on post-conflict and humanitarian assistance should be used is not clear. Equally, the reference to other documents on aid effectiveness and harmonization, is cursory and of limited operational value. This is particularly relevant in the education sector that appears to lead the way in harmonized and delegated cooperation approaches.

There is some reference to having to include a list of reference documents as part of the assessment MOU. There could be some value in being quite explicit that sector division guidelines need to be clearly referred to, perhaps best, as referenced footnotes in the assessment MOU, which would then more clearly articulate how these documents have been used during the design process.

Limited focus on organisational learning. The guidance on how to build in lessons learned from previous Sida support, including reviews and evaluations/audits, is quite limited. Equally, there are few explicit guidelines on how to consolidate these lessons learned, as part of the different stages of the project/programme cycle. In particular, it is not clear how previous programme performance audits at the country level are intended to inform the decision making and whether or not it is mandatory to use them when available.

Limited guidance on results frameworks. The guidelines refer to various assessment criteria such as relevance, efficiency/effectiveness, feasibility, etc. There is very limited guidance on how to formulate a results framework and whether or not the results framework should be framed against assessment criteria or the log frame agreement. The guidelines for the agreement document do not make it mandatory to provide a results framework, although it is somewhat implicit.

The primary reference to results only comes at the completion stage where a results analysis paper, provided by the government, is needed. In part, this may be due to a lack of clarity between monitoring and evaluation/audit functions within Sida. For example, in other agencies, programme completion reports would be conducted against a generic set of criteria (e.g. relevance, efficiency, efficacy, impact, etc.) and undertaken by independent evaluation units not the sector level agency. Equally, the process for agreeing a results framework, including Sida, government and any delegated cooperation agency, is not sufficiently clear.

5. Overall Assessment of Consistency, Robustness and Gaps in Guidance Instruments

The evaluation study poses a number of other questions: (i) Which documents are relevant and useful? (ii) Is there a degree of consistency across the different Sida guiding instruments? (iii) Are the documents robust and sound enough to help inform Sida education country programming in different circumstances? and (iv) Are there significant gaps in the nature and objectives of these guiding instruments? Clearly, an initial review of documentation can only provide a preliminary view that needs to be tested against the assessments of key informants and actual or potential users, especially Sida HQ and country office staff and key country partner officials.

Lack of clarity on users undermines the degree of relevance and usefulness. A basic assumption is that all these documents must be responding to different sources of demand otherwise they would not have been prepared. The analysis therefore focuses on these sources of demand. The broader policy and cross-cutting issues paper are directly relevant to Sida as a development organisation, in order to demonstrate to Parliament and the Swedish Treasury that Sida understands the implications of Swedish development policy and Sida programming is informed by these policies. A number of the more operational guidance instruments (e.g. PRS papers, capacity development, public financial management) are also directly relevant to Sida reaffirming its standing as a key international development partner.

The degree of relevance of the more technical education papers are less clear cut since sources of demand are more complex. In broad terms, the primary objective appears to be demonstrating that Sida Education Division is abreast of development thinking, as part of its international reputation. A growing objective, especially of the 2003/5 education reference papers, appears to be to reinforce knowledge management capacity within the education division. Against these objectives, the documents prepared are highly relevant.

Table 1. Assessment of Guidance Instruments: Development Goals and Strategic Objectives

Documentation Title	Dev't Goals		Poverty	Rights	Democracy	SWAP	Country Dialogue	CSO Working	Education Private	Reform Innov
1. Policy on Global Dev, 2003	S		M	M	M	L	L	M	M	M
2. Perspectives on Poverty, 2002	S		M	L	L	M	S	M	L	M
3. Goals, Perspectives, 2005	S		L	L	L	L	L	L	L	L
4. Sida's Direction	S		L	L	L	M	S	M	M	M
5. Support to Civil Society, 2007	S		M	M	M	M	M	M	L	L
6. Policy, Plan for Environ, 2004	L		L	L	L	L	L	L	L	L
7. Private Sector Development, 2004	L		L	L	L	L	M	L	L	L
8. Promoting Gender Equality, 2005	M		M	L	L	M	M	M	L	M
9. Promoting Peace and Security, 2005	M		M	L	M	M	L	L	L	M
10. Justice and Peace, 1997	M		M	L	M	M	L	M	L	M
11. Human Right and Basic Need, 2001	M		L	M	L	M	M	M	L	L
12. Research Cooperation, 1998	M		M	M	M	L	M	M	L	M
13. Policy for CD, 2000	M		L	L	L	M	M	M	M	M
14. Policy for Sector Programme Support, 2000	L		L	L	L	M	M	L	L	M
15. Health is Wealth, 2002	M		M	L	L	M	M	L	L	L
16. Rights of a Child, 2002	M		M	M	L	M	M	L	L	M
17. Fighting Poverty in an Urban World, 2005	M		M	L	L	M	M	L	M	M
18. Poverty Reduction Strategies, 2005	S		L	M	M	M	M	L	L	M

Documentation Title	Devt Goals	Poverty	Rights	Democracy	SWAP	Country Dialogue	CSO Working	Education Private	Reform Innov
19. Children and Adults with Disabilities, 2005	M	M	M	L	M	M	M	L	M
20. Public Financial Mgmt, 2005	L	L	L	L	M	M	L	L	L
21. Teacher Education, 2000	M	M	M	M	L	L	L	L	S
22. Edu in Situations of Emergency, 2003	M	M	L	L	M	L	M	L	M
23. Edu for Sustainability, 1999	L	L	L	L	L	L	M	L	L
24. Democracy and Human Rights, 2005	M	M	S	S	M	S	M	L	M
25. Early Childhood Care, Education, 2005	M	L	L	L	L	L	M	L	L
26. Education Materials, 2002	L	L	L	L	M	M	L	S	M
27. Adult Basic Learning, Education, 2005	M	M	M	M	M	M	M	L	L
28. Gender Perspectives, Education, 1997	M	M	M	M	M	M	M	L	L
29. Way out of Poverty, 2002	S	S	S	S	M	M	M	L	L
30. Bilingual Edu in Dev Countries, 2002	M	M	M	M	L	L	L	L	L
31. Humanitarian Assistance in Edu, 2002	M	M	M	M	L	L	L	L	L
32. Lifelong Learning, 2003	S	M	M	M	M	M	S	L	S
33. Education Policy Analysis, 2003	M	M	M	M	M	M	M	M	M
34. Post Basic Edu in Partner Countries, 2003	M	M	M	M	M	M	M	M	M
35. Lifelong Learning in South, 2003	S	M	M	M	M	M	S	L	S

An implicit objective is to strengthen inter-departmental communication and cooperation, especially ensuring Sida education policy and programming enables Sida's broader goals and crosscutting issues such as gender and HIV AIDs are addressed. The overall assessment is that these documents provide relevant guidance at the policy and strategy level, less so for programming and operational issues. To a large extent, this is a consequence of variability in the degree of stakeholder consultation. Where stakeholder consultation has been significant, the documents are more relevant to a wider audience.

Less positively, the guidance instruments would appear to have limited relevance to Sida country office and country partner staff, due in part to limited consultation with these potential users at the preparation stage. For the most part, the guidance documents/ instruments rarely constitute the kind of 'box of tools' such as checklists and key questions to ask that field operational staff find most useful. The limited use of illustrative good practice and lessons learned, which operational staff find useful, also constitutes a missed opportunity.

The degree of consistency between guidance documents is uneven. The documents broadly demonstrate a high degree of consistency with (i) the Swedish Government development policy; (ii) Sida's own organisational vision and mission; (iii) evolving international education development thinking; and (iv) Sida's obligations and commitments to UN conventions and international agreements. More recent guiding instruments are also fully consistent with key operational issues associated with alignment and harmonization of external assistance, as set out in the Paris Declaration.

Less positively, the guidance instruments for education and alternative forms of Sida support do not demonstrate a robust and consistent approach. There is little consistency on guidance related to how sub-sectors (e.g. teacher education, education materials) might contribute to achieving Sida's broader education policies, including sector-wide approaches. Guidance notes on the role of civil society, research organisations, transition from emergency relief to sustainable development are somewhat dislocated from sector policy implementation. Notable exceptions are guidance notes on integrating HIV AIDs into education programmes and mainstreaming gender equity in education programming, which fully recognizes their enabling role.

Guidance instruments are technically sound but their operational value is very limited. The majority of the guidance instruments are internally technically sound and robust, reflecting international development findings and experience. However, when assembling comprehensive evidence to advocate for universal access to basic education as a right, there is little recognition of the political and financial constraints and the trade-offs that might be necessary at the country level. Another limitation is insufficient attention in many guidance instruments to examining strategic options, cost-efficiency and cost-effectiveness

issues and the importance of assessing institutional, organisational and financing capacity in decisions on Sida country education strategy and programming.

Lack of operational guidance instruments, especially for results frameworks is a significant gap. One evident limitation and gap in the earlier guidance instruments was a coherent vision and mission for Sida as an organisation, resulting in many of the guidance documents demonstrating a degree of isolation from broader sector/thematic policy and little guidance on how various Sida departments needed to work together.

More recent documents, especially *Sida at Work*, helped to bring coherence to many of these guiding instruments. Nevertheless, more systematic guidance on how Education Division needs to adopt a more holistic and team-up approach, with other departments is needed. The various results project teams are a recent effort to help address this issue at an organisational level.

The most significant gap is the absence of guidance instruments for Sida country staff to help them design, manage and monitor Sida education programmes through various modalities. Only a limited number of the guidance instruments provide useful operational advice, examples of good practice or tools that could assist country staff. Bridging this gap is critical if quite robust Sida education policy directions are to be translated into consistent practice on the ground.

Annex 7 Review of Swedish International Agreements for Education

1. Documentation Review of the Scope, Objectives and Diversity of International Steering Instruments

Typology of international agreements. As one part of the evaluation of guidance for educational cooperation, eight categories of international steering instruments were identified, on the grounds that these might reasonably be considered to be influential in Sida thinking and practice in its education programmes. These categories are: (i) Sida Generated International Agreements/Frameworks; (ii) UN Conventions; (iii) International Agreements/Political Commitments; (iv) International Initiatives; (v) Joint Research Projects Involving Sida; (vi) Other International Research Initiatives; (vii) Global Reports; and (viii) Internationally Generated Tools and Guidelines.

Limited use of Sida generated international agreements and frameworks. Sida is known internationally to be a strong supporter of the United Nations and its constituent organisations. In addition to its core funding of these bodies, it enters into framework agreements that set the parameters for the ways in which Sida will work with each organisation including through its capacity to provide extra budgetary support. Such framework documents, usually for a period that is concurrent with the medium term plan for each organisation, currently include UNESCO and UNICEF (in the latter case, in partnership with the UK and Canada) both of which organisations have major educational responsibilities.

These documents, however, have very little to say on individual sectors. Their primary focus is on making each organisation more strategic, more effective and more efficient within the context of wider UN reform. Their emphasis is on concentration, prioritisation, attention to human rights and building capacity, although each framework document does make clear reference to the Millennium Declaration and to UN conventions. These then are documents that set out broad framework agreements for working with UN bodies although in the case of the Joint Institutional Approach for working with UNICEF there is an annex that provides guidance for country-based bilat-

eral support to UNICEF. There is no evidence from discussions with staff in the Education Division that these documents provide strong guidance for their work at the country level although they clearly provide one set of overarching frameworks within which their work is conducted.

Significant use of UN conventions. UN Conventions are legally binding instruments on ratifying States. In this regard Sweden has contributed prominently to the development of many UN conventions and has always ratified the conventions quickly. The Conventions both inform and drive Sida's strong international position on, and approach to human rights as a core component of its development policies and programmes.

For example, *Sida's 2001 Education for All policy* quotes at some length extracts from the *International Covenant on Economic, Social and Cultural Rights* (ICCPR), the *International Covenant on Economic, Social and Cultural Rights* (ICECSR), the *Convention on the Elimination of All Forms of Discrimination against Women* (CEDAW) and the *Convention on the Rights of the Child* (CRC). Not surprisingly, the position paper on Education, Democracy and Human Rights does likewise. These conventions are clearly important foundation stones for Sida. As one member of the Education Division put it – they provide normative guidance to Sida's work which has already been screened in the development of Sida's own policy papers.

Responding to International agreements is selective but EFA and Paris Declaration 2005 are a driving force. UN conventions are binding but international political commitments are not. Nevertheless they are important and they have gained in significance in the new Millennium with the Millennium Declaration and its associated MDGs and the Paris Agenda on aid effectiveness. In education specifically, the Dakar Framework for Action and the so-called EFA movement is important. Sweden has played a strong role in the development of these agreements – politically and technically. And it is clear from an analysis of Sida policy papers and from interviews with staff in Sida Stockholm that these agreements are seen as a strong obligation on Sweden both in defining policy, in working through country programmes and in meeting internal and international reporting and monitoring requirements.

The Paris Agenda is of major significance for Sida. It is central to the wide range of work currently being undertaken in Sida on results and ways of working and is recognised by education advisers as a key reference point for their work in promoting sector wide strategies, alignment with sector policies and improving donor coordination – both in Stockholm and in countries supported by Sida. The scale and the level of the challenge for Sida in meeting its Paris commitments is shown in the recent OECD survey (2006 Survey on Monitoring the Paris Declaration), within which the performance of each donor is recorded.

All Sida education advisers acknowledge the importance of the Dakar Framework for Action. It provided the impetus for the 2001 education policy paper and strongly informs their dialogue with national governments and other donor partners. Along with the MDGs for education these frameworks are seen as important reference points and as providing significant indicators against which both the performance of individual countries and Sida's own educational aid can be judged.

Sida supports and uses EFA FTI information flows and lessons learned. Global conventions and agreements have led to new international initiatives, more so in the health sector than education although the Fast Track Initiative (FTI) is a significant development in the field of education. Sweden plays its part in the FTI – politically, through technical engagement and through specific subventions to the special FTI funds. Sida provided one of the co-chairs for FTI at a critical phase in its development in the period 2003–2005.

FTI has developed particular ways of working with partner countries including the notion of endorsement of sector plans which requires the cooperation of donor agencies in country. Technical guidelines have been developed plus a range of technical papers on fragile states, aid effectiveness in education and financing in education. In this sense it is a resource as well as an international project. At present, Sida is not a lead agency in any of the countries with which FTI has strong partnership arrangements and is stretched in terms of staff availability to play a strong technical role in FTI's various working groups.

The influence of joint research projects involving Sida and other international research activities are uneven. The only international document cited in the terms of reference for the evaluation was the *Joint Evaluation of External Support to Basic Education* (of which Sida played a part) but there is no specific reference to the influence of this document in Sida's own policy and strategy papers. This does not mean that in itself it has not been influential (as it has been in framing our terms of reference) but it was not cited by any member of the Education Division during evaluation interviews in Stockholm. There is an enormous array of international research on education and basic education; the *Millennium Project* and the work of its taskforces is but one example of many that could have been cited, although it did receive a measure of publicity that is not usually accorded to projects of this nature.

It and other documents of its type cannot be defined as steering instruments, rather as a resource within the overall concept of results and information that may influence policy and good practice. Purely on the basis of short interviews in the Education Division there is no evidence to suggest that the Millennium project has carried much weight in Sida. On the other hand UNICEF's work on gender is recognised by the Education Division as of significance in Sida thinking and practice.

Global reports on education influence Sida thinking. In recent years, global reporting has become an international industry; and in particular, reports which are designed to monitor progress towards the achievement of internationally agreed goals and targets. In the field of education, the EFA Global Monitoring Report (GMR) is probably best known although MDG reporting – which includes education is also very prominent in UN and World Bank reports.

Sida has been a strong supporter of the GMR since its inception – financially, in contributing to its advisory board, and through staff secondment. It holds an annual seminar in Stockholm to launch and advertise the report in Sweden. It also appears to make good use of the GMR in its own reporting and in monitoring the progress of countries within which it is working towards the EFA and MDG goals. The reports are also seen to be of value in their ability to bring together evidence of policies and policy reforms on key themes such as gender, quality, ECCE and literacy. The ex-head of education in Sida played a strong advisory role in the development of the 2006 report on literacy.

Overall conclusions. As in any agency there is potentially a very large array of potentially significant international directives, initiatives and research that could and should influence and improve policy and practice. Much of this material is read and absorbed by specialist advisers without it necessarily being recognised formally within documents or as the public basis for dialogue with countries and other partners.

It is clear that the major global frameworks for the achievement of the MDGs and the EFA goals are taken very seriously within Sida at the level of policy, sector practice and results. And that the Paris Agenda impinges on everyone's work at the sector level. UN responsibilities are taken seriously too and UNICEF is a strong partner internationally and in individual country programmes. The GMR is an important resource as well as a vehicle by which Sida can promote evidenced based international attention to EFA.

2. Use of International Agreements in Sida Education Guidance Instruments

UN Conventions are legally binding instruments on ratifying States. Sweden has contributed prominently to their development and has always ratified the conventions quickly. As a result, it is anticipated that Sida guidance instruments will be consistent with these UN conventions, especially (i) International Covenant on Economic, Social and Cultural Rights (ICCPR); (ii) the International Covenant on Economic, Social and Cultural Rights (ICEC-SR); (iii) the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW); and (iv) the Convention on the Rights of the Child (CRC). This was confirmed by an analysis of 35 guidance documents to assess the degree of consistency with UN conventions.

The broad assessment is that a high proportion of Sida policy and education reference papers demonstrate a strong or moderate degree of consistency with UN conventions, especially the CRC, which features as a key starting point for around two-thirds of the documents. Reference and consistency with UN conventions is particularly evident in broader thematic/sector papers, less so in narrower education sub-sector position papers. Use of these UN conventions in Sida guidance documents are best characterized as initial starting points and advocacy positions. Use of these conventions to articulate more Sida operational and programming procedures is less evident, especially with regard to explicit guidance to Sida country staff. More positively, a number of the guidance documents do use these UN conventions to argue for and present approaches to inter-departmental consultation and planning within Sida, especially those Sida organisations responsible for education and human rights/democracy.

The study also assessed consistency with international/political agreements, which unlike UN conventions are not formally binding. Nevertheless, such agreements have grown in significance, especially the Millennium Declaration and the MDGs (2000); the Paris Declaration on Aid Effectiveness, 2005. In education specifically, the Dakar Framework for Action (2000) and the so-called EFA movement is important. Since Sida has played a strong role both politically and technically in the formulation and pledging to these agreements, it is anticipated that they would feature highly in Sida guidance instruments.

The analysis shows that the over two-thirds of the documents are derived strongly or moderately from these international agreements, slightly higher than the assessments for the UN conventions. In particular, the guidance instruments, not only use these key agreements as an initial policy position, but increasingly locate operational advice and knowledge management within the policy informing frameworks of these agreements. In other words, while UN conventions are mainly used for advocacy, these international agreements, especially the Dakar Declaration and Paris Declaration, actively inform Sida's education policy and programme development processes.

Annex 8 Summary of Findings: Interviews with Sida Education Division Staff, Stockholm HQ

1. Organisational Context and Evaluation Methodology

Clear definition of organisational mandate and functions, with staff aligned across both country, crosscutting and international responsibilities. The Education Division is one of seven Divisions and groups within the Department of Democracy and Social Development. Its primary responsibility is the development of cooperation in the education sector, the core objective of which is to promote the fundamental right to basic education for all. The Dakar Framework for Action and the MDGs form the basis for the division's work; work which is conceived as playing a vital part in poverty reduction and as an essential part of social and democratic development. As of October 2007, Education Division had a full time staff of 11 professional officers, with two more joining the team shortly. In addition, there are two members of staff who perform administrative, financial and IT related functions.

The Division is multi-tasked. It oversees and advises on programmes of educational cooperation in 18 countries (although this number is likely to fall following the issue of Focused Bilateral Development Cooperation by the Ministry of Foreign Affairs (August 2007). It is responsible for the development of educational policy and guidance within Sida. It engages internationally with UN organisations and global initiatives. And it contributes to wider Sida programming activities, including work on aid modalities. This mix of functions is reflected in individual job descriptions and work plans. The model of mixing country programme responsibilities with other, broader thematic work is beneficial when it develops synergies but requires extremely strong management skills.

The Education Division's team offers a mix of skills. There is a strong core of experienced education sector experts with both field and headquarters experience. Other members of the team bring particular specialist knowledge, most recently with the assignment of two officers with expertise in

inclusive education as part of the wider concern within Sida for “concentration,” to maximise comparative advantage. Most of the team have international connections, including in some instances being seconded to international bodies such as UNESCO.

Comprehensive and structured interview schedule. The evaluation team met with 13 members of the Education Division using a semi-structured interview format for meetings which lasted for at least one hour. A summary report was prepared following each interview and it is these reports which provide the basis for the material set out below. This is organised within the framework of the overall evaluation matrix. It is the case, however, that the evidence on policy frameworks and steering instruments is a good deal stronger than that on information and needs.

2. Key Findings: Use and Relevance of Guidance Documents

Significant degree of familiarity with documents but perceptions of over-supply of guidance. Most members of the Education Division expressed familiarity with the wide array of Sida’s steering instruments.⁴⁵ Some officers expressed the view that there are far too many such papers; a “flood” of documents in the words of one interviewee. So there is a general welcome for the Sida-wide embargo on the development of new policy papers in 2008 beyond the preparation of short, sharp, how-to-do technical notes.

Uneven perception of the usefulness and relevance of policy guidance documents. When asked to identify the most relevant and practical steering instruments for educational cooperation, virtually everyone identified the higher order policy papers.⁴⁶ Six people cited Sweden’s new *Policy for Global Development* (2003) as establishing very clearly Sida’s focus on poverty and rights. Only six out of thirteen made specific reference to the 2001, Education policy paper, *Education for All: a Human Right and Basic Need*. Three of those that did mention it had been involved in the development of the paper. This group argued that although the paper is seven years old, it retains its fundamental relevance although in the view of at least one person it lacks direct operational value. Only one of those that mentioned this document saw a need to prepare a new policy statement.

Consensus that Sida at Work, 2005 brings substantial operational value. A majority of those interviewed identified Sida at Work as absolutely key for their programming work; it is, as one official put it the guideline on how to operate –

⁴⁵ This term is used to cover documents that include overall Swedish policy statements, thematic and sector policy papers, and position, reference and other technical papers. It also includes instruments that are used across the organisation for planning, monitoring and results purposes. This does mean that when the term steering instrument is used, each individual officer may have a rather different construct in mind as was evident in the interviews.

⁴⁶ It is necessary to note that two members of the team had joined within recent weeks and admitted to a limited knowledge of education specific steering instruments.

the framework within which to make choices according to context. Or as someone else suggested, *Sida at Work* structures the [programme] assessment process. It also points the way to other documents which can help to steer programme development.

Uneven perception of relevance of education policy and technical papers and other documentation. Key findings were (i) technical papers were more cited in international arenas, but less directly useful for country dialogue and programming; (ii) papers and more general discourse on aid modalities are seen as important by those with country programming responsibilities; (iii) emerging thinking on results, including through task and group work within the Division and beyond is seen as of growing significance; and (iv) some reference to two important administrative and management steering instruments namely, guidance for the development of country strategies and Sida's annual planning and budgeting processes and formats.

More operational practical guidance needed, especially related to policy dialogue and selection of aid modalities. Key findings were (i) no significant overall gaps, but more operational guidance needed in some areas; (ii) more guidance on making informed choices on aid modalities and of ensuring that modalities do not lessen the importance of sector specific content; (iii) greater recognition of the importance of high level political dialogue at the country level and the implications that this has for ways of working and skill profiles within Sida; (iii) clearer guidance on capacity building and what constitutes a good or a bad programme from a learning perspective; (iv) greater clarity on the rules which guide acceptable forms of financing, for example, on local salaries; (v) guidance on working with countries in transition, including harmonization issues; (vi) greater clarity on the role of the private sector in education and the types of policies that governments can pursue to ensure that the poor are not discriminated against; and (vii) attention to corruption in the education sector and how it can be addressed.

Greater focus needed on incorporating policies into programme design and implementation. A rather particular perspective was expressed by three of the more experienced members of the team that it is not the lack of clear policy guidance that is at issue; rather, it is whether procedures are in place to ensure that policies are reflected and carried through in programme development and implementation – in essence the core issue for this evaluation. Without citing very specific examples, the view was expressed that there are occasions when there is insufficient care and attention in approval procedures to ensure that all the key strands of policy are addressed.

That said, there is a fairly uniform view that there is a strong measure of consistency within and across education steering instruments and that education policy is consistent with Sida-wide policy and practice guidance. Nevertheless some tensions were mentioned. These include: (i) dilemmas which can exist in individual countries in delivering on the Paris agenda. There are

occasions when Sida positions can be lost especially rights-based approach; and (ii) establishing accepted common ground on the private sector within both global and educational policy.

International steering instruments perceived as highly relevant and influential. Majority view on the importance of the Dakar Framework for Action 2000. This was the trigger for the development of the 2001 education policy paper and a number of members of the team identified EFA as an important platform for their dialogue with countries. Reference was also made consistently to the MDGs although less so than EFA. Perhaps more than many bilateral agencies, the UN conventions, especially the Convention on the Rights of the Child (CRC) are seen as essential baseline documents and are quoted widely in Sida education papers. As one interviewee put it “they provide normative guidance”.

Guidance on harmonization and aid modalities is relevant and useful. Also, almost uniformly, the Paris Agenda on Aid Effectiveness is seen as critical both as an agenda to which Sweden subscribes and is committed to following and as a launch pad for a great variety of work on modalities and better development and aid practice.⁴⁷ In this regard work which has a base in the Education Division on Programme Based Approaches and also on results is part of this wider agenda which has been given added impetus by the new government in Sweden wanting greater attention to be paid to outcomes, accountability and maximising comparative advantage. The annual Education for All Global Monitoring Report which Sida finances with ten other partners, is seen as an authoritative document and its country statistical data is used in Sida reporting, for example in the 2006 paper on Progress in Educational Development,⁴⁸ including EFA FTI guidance and processes.

Recognition that revisions to guidance and continuation of international responsibilities will continue. Certainly, if the Education Division is typical, Sweden’s international responsibilities are taken very seriously and infuse ways of thinking and working and involve a majority of Education Division staff in one way or another. Overall, most members of the Education Division give the sense of being at a point in time when they feel relatively comfortable with the scope and the range of the policy frameworks and steering instruments which guide their work. Most recognise that this is necessarily a continuing – and some would say recycling – process, which is part of the lifeblood of an organisation such as Sida.

⁴⁷ Memoranda of Understanding and Codes of Conduct are mentioned in this context.

⁴⁸ In addition, Sida has seconded a staff member to the GMR and holds an annual public seminar on its findings.

3. Key Findings: Organisational Responsibilities and Ways of Working

Participatory approach is highly valued, especially for policy formulation. The majority of the members of the Education Division highlighted Sida's tradition of working in a consultative and participatory way. The development of the *2001 Education Policy* paper was cited as a good example of participation within and beyond Education Division. The development of country strategies, led by regional departments, has well established processes which engage sector specialists. There are, however, some suggestions that this tradition has been lessened somewhat with the establishment of the central Policy and Methods unit in Sida, with some signs of a more centralised think tank approach developing. Different views were expressed regarding the degree to which embassies are consulted and engaged on policy matters. Some said that embassies feel that there is too much general consultation and insufficient attention to specific country circumstances; others said that most embassies engage willingly and proactively. There was a mixed view expressed on how best to lobby for the importance of education at the political level.

Variety of roles requires comprehensive skill-mix. Most officers in the Education Division spend the majority of their time as advisers to country programmes. How they fulfil this role varies according to the circumstances of each country (maximum 3 countries), including (i) as advisers to the development of country strategies – a process led by regional departments; (ii) as advisers for annual country planning and review activities which usually requires an in-country visit; (iii) according to context, engagement with country-led, education sector review and joint monitoring with other donors; (iv) according to context, engagement with other donors in defining silent partner arrangements; (v) contributing to the definition of consultancies required for country programming; and (vi) ongoing advice to embassies and their staff based on requests and on the analysis of information which embassies forward to education advisers. As one adviser put it – we are backstops – a term which would seem to rather underplay their role.

Sida HQ advisers role is different in countries with delegated authority to embassies. Delegation is based on the country plan and is approved annually by the head of the respective regional department. Within the framework of the country plan, a field office with extended delegation is responsible for and coordinates the country programme, including the entire contribution management cycle. *Sida at Work* goes on to state that field offices should draw on headquarters' advice and expertise by consulting with relevant departments in Stockholm. They may also cooperate with and seek advice from other field offices. The field office should seek guidance to ensure that corporate policies, regulations and experience are taken into consideration during dialogue and contribution management. At least one formal consultation between the field office and the relevant sector department is mandatory during the preparation of major

and/or complex contributions. This consultation should preferably take place in the initial preparation phase. The consultation should ensure that the contribution is in line with the relevant sector policies and also clarify roles and the division of work between headquarters and the field.

In addition, field offices with full delegation are responsible for (i) major parts of the strategic work, for example in relationship to the cooperation strategy process; (ii) annual preparation of the country plan; (iii) following-up and reporting to Stockholm on results achieved; (iv) quality assurance of the country programme and of other programmes that have been delegated to the field office; and (v) financial, personnel and other administrative matters as delegated from Stockholm.

These requirements seem to be reflected very largely in the statements of Education Division. The staffing configuration in each embassy will have some impact on the type of guidance which is required and at what level of frequency, as the Education Division advisers in Stockholm made clear. There are a particular set of issues in this regard around National Programme Officers who may not necessarily be so deeply embedded in Sida policy and culture while – according to circumstance – being placed in a potentially difficult situation regarding their ability to represent Sida in high level country forums. This issue is examined in the case study countries.

At the Stockholm end there are issues around whether individual advisers have both the knowledge and the experience to provide advice on different aid modalities. There are some advisers with no overseas experience as yet but who do provide advice for countries which work in different ways. More than one education adviser felt that the division of labour was not as clear as it might be despite the *Sida at Work* rubric. For example, in Cambodia, where delegation is partial, there is some uncertainty as to who would decide on a transition from programme to budget support. Another adviser said that she was unaware of any guidance in Education Division as to exactly how the HQ/embassy relationship should work in practice.

A well defined dissemination strategy is lacking. No one articulated the existence of a single well defined strategy for the dissemination of policy frameworks and technical steering instruments. But most mentioned different ways in which policy frameworks and decisions and steering instruments are shared and debated. These include (i) use of Sida's intranet; (ii) induction programmes for newcomers; (iii) through staff mentoring; (iv) through annual Education/ DESO weeks which provide a platform for policy debate including with staff from embassies; and (v) the presence in Departments/Divisions of focal points for mainstreaming policies.

Greater attention to staff induction programmes. The needs of young newcomers to Sida and of National Programme Officers in embassies were highlighted. A more strategic and well defined approach was needed for induction and advice on Sida's mainstream policies and ways of working for these groups.

Most people recognised that other improvements could be made including: shorter documents with a more practical orientation that would help better programming and the packaging of documents to meet particular needs, especially first overseas posting. Greater policy dialogue with SEKA and SAREC was also raised.

However, it is clear, especially for the more experienced members of the Education Division that they benefit considerably from their own informal networks across Sida, in an organisation which is generally conducive to sharing and dialogue. One discussant was very clear about contacts in the legal, financing and evaluation departments. More formally the Head of Division is a first point of contact for advice and support, although the nature of that support would appear to vary somewhat according to whether the appointee is a general programme administrator or an education specialist. On specific issues such as gender and HIV/AIDS there are well established units within Sida and there are specialist centres in Lusaka (on AIDS) and in Nairobi on gender.

Professional development is not accorded high priority. As in most comparable organisations, members of the Education Division complete annual professional development plans for the coming year. On limited evidence, the majority appear to find it difficult to meet their objectives. This, it appears, is not for financial reasons but for pressure of work. Clearly, some individuals do find the time and the space to develop their knowledge and skills and can recite an impressive list of recent course and programmes in which they have participated. Others can recall no significant training opportunity beyond in house seminars and the annual retreat.

There is a sense – stated explicitly by some interviewees – that professional development planning is not taken as seriously as it might be. At the same time there is reference to the fact that various internal Education Division working groups (e.g. on results) are intended at least in part to develop the capacities of education advisers. Some people identified particular needs, for example strengthening skills for political dialogue. There is mention in one report of the Futures Group developing a competence/capacity building plan – not sure what this is. There is an undercurrent of dissatisfaction about professional development which is most apparent among recent appointees.

Limited incentives for inter-departmental consultation, especially informal ones. There are a number of formal set piece meetings and opportunities for dialogue and cooperation most obviously around formal country meetings. At least one member of the Education Division feels that there is scope for more engagement on country level issues on a more informal basis. Most of the engagement beyond Education Division, however, appears to be primarily informal and ad hoc and dependent to some degree on individual initiative. Put another way, as one officer expressed it, there is no strong incentive to work co-operatively, so that individual interests and beliefs and determination come to the fore.

One officer expressed the need for a much more strategic relationship with SEKA and SAREC to give greater coherence to Sida's educational cooperation programming but this was an issue on which most members of the Division were silent. General reference was also made to the need to engage with issues such as decentralisation and the use of statistics.

4 Key Findings: Availability and Use of Relevant Information on Results and Needs

Sound country knowledge bases are uneven, undermining effective planning and monitoring. The main findings included (i) initial decisions on whether to continue education support is not always well grounded, although subsequent appraisal/assessment is robust; (ii) assessments in the transition from humanitarian assistance to longer-term educational support, which also involves a move of responsibility from SEKA/HUM to DESO/UND, is not always well grounded in previous experiences; (iii) decisions on delegated authority, including to UNICEF, are not always based on robust appraisal of UNICEF's sector assessment; (iv) effective management and monitoring is undermined by lack of sound and authoritative data; and (v) Sida is keen to use national systems but recognises their weaknesses, consequently it draws on data from a variety of other partners. One experienced member of the Division suggested that there are still relatively weak systems within countries among agencies to share and discuss the validity of different sorts and sources of data.

Information flows are diverse but usage within Sida HQ is robust. Advisers in Stockholm depend on a variety of sources of information to keep themselves well informed. These include (i) regular flow of information from embassies including from NPOs. This is not always as well sorted as some would wish; (ii) project and programme reports and evaluations; (iii) regular visits to countries including for joint sector reviews; (iv) country annual reports; (v) Sida-commissioned consultancy reports; and (vi) their partners' reports including from agencies that represent Sida in a silent partnership (e.g. Bolivia) which usually involves an annual meeting.

The majority of advisers argued that Sida was conscientious in screening data and reports and other evidence to assess the degree to which the core issues of poverty and rights (but less so democracy) are being addressed. This is particularly true and important during the assessment process. More work is needed to disaggregate national data more efficiently given the regional and district inequities which exist in most developing countries. Another view was that Sida country office capacity constraints undermined design of strategic linkages between education and broader development objectives. Another concern was that relevant information/results were less used in SEKA and SAREC programmes than in Sida's mainstream activities.

Recognition that results information management systems and flows between HQ and country offices need strengthening. Overall, there is a sense that there is more to be done in gathering and analysing data at the country level in a more efficient way. Given the way Sida works, the potential asymmetry that exists between a knowledge base in country and an adviser that receives knowledge from that base and then in turn advises is a relatively complex way of working – but one with which Sida advisers have long experience. There is also the fact, as in most agencies that people move on – although files don't. As elsewhere institutional memory can soon get lost.

Organisational learning systems need to be a greater priority. While the majority of members of the Education Division describe Sida as a learning organisation, most feel that the systemisation of knowledge is not nearly as effective as it might be. As one interviewee put it there is insufficient distillation of lessons learned beyond informal sharing. He argued that the Evaluation Department could play a much stronger role in this regard⁴⁹ but that work was needed in the Education Division too to bring results and lessons together – with the implications that this would have for staffing and skills profiles within the Division. There are, said one member of the team, limitations on current capacity to collate information in a more formal way.

There is an absence too of research work in Sweden (whether commissioned by Sida or not) to investigate the results of Sida's programmes of education cooperation on a comparative basis. This is put down by a number of members of the Education Division as due to a lack of such capacity within Sweden. Another view is that as Sida becomes dominated more by administrators and managers, detailed comparative sector knowledge is insufficiently *internalised* and that most professional knowledge is built externally rather than internally. More generally there is a sense of urgency within Sida as a whole regarding reporting results, hence the work of the results project and the work start of the results project within Education Division.

5. Overall Summary of Findings from Interview Process

The overall message that emerges from these brief discussions is that (i) the Education Division is largely content and settled in its policy and guidance frameworks which are understood and generally applied and followed through; (ii) ways of working within countries are also well understood in terms of the general relationships set down for headquarters and embassies – but working that through in practice in each country almost inevitably gives rise to some practical problems for which guidance and support is not clear cut and readily available; (iii) the gathering of knowledge and evidence

⁴⁹ Interestingly no one made any reference to studies from Evaluation Department easily available on Sida web-site.

is a well understood requirement and Sida staff recognise the need to be proactive in its collection and active in its scrutiny. But they are hindered by the lack and application of a better store of comparative knowledge; (iv) Sida is very conscious of its international obligations; and (v) the UND, SAREC, SEKA policy and information triangle is very weak.

Annex 9 Overview of Country Development Context and Aid Architecture: Alignment with Swedish Development Cooperation Strategy and Education Programme Support

1. Overview of Methodology

The evaluation methodology consisted of (i) review of the aid modalities used in individual countries; (ii) review of other documents related to aid harmonization and alignment;⁵⁰ (iii) review of Swedish development cooperation strategy and country reports; (iv) review of Swedish education programme documentation; and (v) interviews with Sida education division staff within HQ and embassies in each country and with selected donor and government agencies.

In the case of Bangladesh, DRC and Tanzania, a full field visit was conducted by the evaluation team. In the case of the other countries, teleconference interviews and home-based documentation reviews were conducted. In terms of aid modalities, the countries were typified as (i) most aligned assistance through general/sector budget support, using government financial systems (e.g. Rwanda, Tanzania); (ii) harmonized assistance approaches through forms of pooled funding but not channelled through country financial systems (Bangladesh, Bolivia, Ethiopia); and (iii) more traditional project investments, with selected delegated authority to other UN/NGO managing agencies (e.g. Afghanistan, DRC, Ethiopia). In some cases, Swedish education support incorporated more than one modality.

The broad features of the country development context and aid architecture, orientation of the Swedish development cooperation strategy, extent of delegated authority to Swedish embassies and key features of education support will be used as the broad parameters for analyzing (i) use of guidance instru-

⁵⁰ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Reports: Afghanistan, Bangladesh, Bolivia, Democratic Republic of Congo, Ethiopia, Rwanda and Tanzania

ments; (ii) definition and operational practice of organisational roles/responsibilities; (iii) availability, use and nature of results information; and (iv) organisational arrangements for using results information. This analysis is set out in Annexes 10, 11, 12 and 13 respectively.

2. Country Overview: Democratic Republic of Congo (non-delegated authority, project approach, delegated cooperation with UN/NGO agencies)

Low to moderate country development framework and aid architecture. Under the Transitional National Government (TNG) from 2003–2006, dialogue with government on development cooperation was severely constrained. Key characteristics of the development environment are (i) limited ownership, with the need to finalise a national development strategy; (ii) moderate alignment of assistance, with aid flows not comprehensively captured in national budgets; (iii) moderate harmonization with limited use of programme-based approaches; (iv) lack of a common system for monitoring results; and (v) limited mutual accountability with the absence of joint aid effectiveness evaluation systems.⁵¹

The overall aid architecture is embryonic, with previous use of a short-term transitional support programme (PMPTR), largely formulated by the World Bank/UN. A long-term PRSP is in prospect. Sector working groups, especially in education and health, are becoming active. The majority of aid, including for education, is channelled outside government systems, with limited use of programme-based approaches. Currently Sweden is not engaged in PBAs and coordinated donor missions are limited.

Nevertheless within this fragile and volatile post-conflict environment some progress is being made. The Poverty Reduction and Growth Strategy Paper (June 2006) was approved by the World Bank and the IMF in September 2007. An Action Plan (Plan d'actions Prioritaires or PAP) for the period July 2007 to December 2008 has been agreed between government and donor representatives. This provides a major framework for donor interventions. Work has progressed too on the Country Assistance Framework (CAF) that has merged the UN's Development Assistance Framework (UNDAF) with the World Bank's Country Assistance Strategy (CAS). Now, more than 85% of Official Development Assistance has been brought under the CAF.

The education sector is in crisis and has been for many years. It survives largely through families meeting the bulk of educational expenditures. But here too some progress is being made. There is a broad consensus for developing an education sector strategy by the end of 2008. New coordinating mechanisms are being developed to help achieve this. The government is

⁵¹ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Report: DRC

beginning to address some of the inequities arising from high levels of fee payment by parents. And the World Bank approved a US\$150 million pound sector project in June 2007.

Swedish country development cooperation strategy recognizes need for gradual transition from post-conflict relief to reconstruction/development (non-delegated authority). In August 2007, the Swedish Government confirmed DRC as a country in conflict/post conflict with which Sida will conduct development cooperation. This decision provides a platform for forward planning as the current strategy for DRC embedded in the Great Lakes Strategy 2004–2008 comes to an end and forward planning for 2009 and beyond takes shape.

The 2004–2008 DRC strategy places emphasis on peace support activities and humanitarian assistance and on channelling aid through the UN and Swedish and international NGOS. The objective of development cooperation is stated as being to create the preconditions for poor people to improve their living conditions and that provided the peace process continues in the right direction, there will be a changeover to more long-term development contributions. Priority will be given to the education sector, which is recognised as being under funded.

It is stated further that the education sector is an area where Sweden has comparative advantages (although these are not elaborated) and that there are opportunities for coordinated donor support. The example of possibly channelling support through the reconstruction programme of the World Bank is identified. These statements do not appear to have been elaborated further as a more detailed, stand alone document on Sida's education strategy in DRC.⁵²

Swedish education support strategy focuses on project approach, using UN and Swedish NGOs for management, although sector dialogue is of growing importance. Since 2004, the main strategy has been to channel funds through UN and Swedish frame organisations, consisting of (i) UNICEF Project on Accelerating and Improving Universal Primary Education 2006–2007; (ii) Save the Children UK Project on Improving Educational Opportunities for Children Affected by Armed Conflict in South Kivu Province 2004–2007; and (iii) Support for two Framework Organisations (Forum Syd and PMU) for NGO education projects in DRC.

In addition, Sweden contributes to sector dialogue and coordination through involvement in meetings, commentary on draft strategy papers and support for individual studies, e.g. on public expenditure on the education sector. This is a modest programme in the context of both DRC needs and levels of donor support, including Sida's own support for extensive humanitarian assistance. Sida has made clear throughout recent years its intention to contrib-

⁵² The closest approximation to this is to be found in the DRC section in Progress in educational cooperation: Sida's contributions 2006, and by implication in Sida's assessment of the UNICEF project Accelerating and Improving Primary Education 2006–2007.

ute in a modest way to sector strategy development more generally which is primarily through the medium of its own human resources.

3. Country Overview: Bangladesh (delegated authority, pool-funded approach)

Moderately robust country development framework and aid architecture, characterized by growing harmonization efforts. Key characteristics of the development environment are (i) moderate ownership, with the need to finalise a national development vision; (ii) moderate alignment of assistance, with the need to strengthen country system capacity; (iii) moderate harmonization with continued use of project-based approaches; (iv) weak dissemination of development information, even when results are available; and (v) need to implement the draft harmonization action plan, including clearer specific indicators for government and donor performance.⁵³

This is a challenge when Bangladesh is not particularly dependent on foreign assistance, with aid accounting for only 2.3% of GDP. Public administration in Bangladesh is generally strong although over-bureaucratic and with knowledge gaps. Civil society is thriving with no less than 1600 NGOs in the education sector alone. NGOs provide many services and at times directly compete with GoB. Engendering a cooperative, not competitive environment, is a continued challenge.

Projects and programmes remain the most frequent aid modality in Bangladesh, with a move to SWAp only recently (in health and primary education). The two sector programmes are frequently referred to as “learning-by-doing-processes” acknowledging that the GoB is increasingly taking the driver’s seat. At the overall level, policies are guided by the National Poverty Reduction Strategy Paper (PRSP) which was approved in 2005. The GoB is also committed to the MDGs. By adopting the Education for All (EFA), Dakar Framework for Action, the GoB renewed its commitment to the EFA goals for 2002–2015. One of the eight priority areas in the PRSP is quality education. GoB has prepared a National Plan for Action for Education for All II (NPAII) 2004–2015, for basic education.

Swedish country development cooperation strategy recognizes comparative advantage in the education sector, including strong role in sector dialogue and harmonization efforts (with delegated authority). Sweden is a small donor in Bangladesh although in August 2007, the Swedish Government confirmed Bangladesh as a country with which Sida will conduct long-term development cooperation. Sweden contributes only 1.5% of total aid to Bangladesh. The Swedish cooperation strategy for Bangladesh outlines Sweden’s overall policy for its development cooperation with Bangladesh. For this review two strategy periods are of relevance: i) *Country Strategy for Development Cooperation with Bangladesh 2002–*

⁵³ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Report: Bangladesh

2005, and ii) *Förslag till samarbetsstrategi med Bangladesh 2007–2011* (Proposed cooperation strategy with Bangladesh 2007–2011).⁵⁴

The current strategy places emphasis on social sectors, with 70–80% of the current Swedish development funds geared towards sector programmes in health and primary education. The main potential of Swedish development cooperation is described as being to function as a catalyst for changes and reforms rather than the size of the financial contribution. Sweden's comparative advantage lies in its flexibility and willingness to take on risks in supporting new ideas. The sector programmes are seen as an opportunity for dialogue and a platform for implementing good experiences.

Swedish education support strategy incorporates a mix of donor harmonized pooled funding and parallel funded projects through government and local NGOs. The main components are (i) Primary Education Development Programme II (PEDP II) as sub-sector SWAp. Sida funding as pool-funding through ADB (together with UK, Netherlands, Norway, Canada and EC), with World Bank and other donors parallel funding; (ii) Basic Education for Hard to Reach Urban Working Children Project (BEHTRUWC), supported by Sida, CIDA and UNICEF with an education ministry PIU and NGO field implementation; and (iii) CMES, continued phase in preparation, supported by Sida and SDC, with Centre for Mass Education in Science (CMES) as a local NGO working in rural areas.

4. Country Overview: Tanzania (delegated authority, general budget support, with extensive sector dialogue)

Moderate to strong country development framework and aid architecture, especially robust systems for managing results and mutual accountability. Tanzania is recognized for its comparatively robust country leadership of development planning and implementation processes and a high degree of alignment of development partner assistance with country strategic priorities and use of country systems.⁵⁵ At the macro level, development cooperation strategies are guided by the National Strategy for Growth and Reduction of Poverty (NSGRP/MKUKUTA) and a jointly negotiated Joint Assistance Strategy (JAS). System development incorporates a country-led and government/development partner negotiated strategy for annual public expenditure reviews (PER) and public financial management (PFM) reform.⁵⁶

The current aid architecture is also comparatively well advanced, including joint government/development partner sector and thematic working groups that plan, organise and implement an annual NSGRP performance moni-

⁵⁴ The evaluation team has not yet had access to the officially approved strategy.

⁵⁵ OECD DAC 2006, Global Monitoring Report on Paris Declaration

⁵⁶ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Report: Tanzania

toring process, alongside a discrete process for review of general budget support (GBS). Over the period 2006/7, this aid architecture is being modified in a number of ways. Firstly, the NSGRP has been revised along three strategic themes (education as part of quality of life/social well-being) and made more outcome-oriented. Secondly, sector and thematic working groups (including government, donors and non-state actors) have been rationalized along these three sector/thematic areas and GBS reviews integrated into this process. Thirdly, a discreet PER/PFM macro working group has also been established.⁵⁷ A key objective of this revised aid architecture is to ensure better harmonized policy dialogue between macro NSGRP and sector levels.

To a large extent, this aid architecture is mirrored at the sector level. Government and development partners participate in the social well-being NSGRP thematic working group. There is a well developed education development partners' working group, with rotating chair, which has regular policy dialogue with the Ministry of Education and Vocational Training (MOEVT) and Ministry of Higher Education, Science and Technology (MHEST). This development partner (DP) sector working group is organised on a 'troika' basis, with the outgoing chair, current chair and incoming chair, working together. The government, development partners and non-state actors (e.g. NGOs) jointly organise and implement an annual education sector review process and issue a joint review report.⁵⁸

Government education sector policy is gradually becoming more holistic and sector wide. A previous education sector wide approach (SWAp) in the late nineties was not fully adopted, with a focus on a discrete primary education development programme (PEDP) and development of a separate secondary education development programme (SEDP). Progress on a discrete higher education development sub-programme has been more limited. In 2007, government and donors have been working together on a revised sector wide education sector development programme (ESDP), which is currently under review. The existence of two separate education ministries is recognized as a potential constraint and risk on a more sector wide approach.

The extent of harmonization and alignment with government priorities and systems has mirrored this transition in sector/sub-sector planning. Between 1997/2002, donor assistance was best characterized as mainly discrete projects supported by individual donors. In 2002, a group of donors adopted a more harmonized approach to PEDP support (including Sweden), although others continued with discrete projects (UN agencies) or general budget support (e.g. DFID). Over the period 2005/6, the group of donors supporting PEDP gradually shifted to a more aligned assistance approach through general budget support, alongside joint policy dialogue (including Sweden). This transition and changing aid architecture has influenced government/development partner working arrangements, including that of Sweden.

⁵⁷ Government of Tanzania 2007, Report on Annual Review of NSGRP/MKUKUTA

⁵⁸ The latest Education Sector Review took place in Dar es Salaam in late October 2007

Swedish country development cooperation strategy is predominantly aligned with government systems, through policy dialogue and growing use of general budget support (with delegated authority). The Government of Sweden development cooperation policies and strategies were revised over the period 2005/6 and set out in a new strategy in 2006.⁵⁹ The revised strategy is designed to be directly responsive to NSGRP priorities and strategies with a narrower sector strategic focus, including education and power sectors. The revised strategy incorporates specific responses to the evolving aid architecture, recognizing that Sweden has a historical and comparative advantage in some sectors and that to optimize this comparative advantage, human and other resources need to be enhanced.

Swedish education support strategy focuses on leadership of the education donor group and policy dialogue, linked to general budget support, alongside a discrete, but harmonized Zanzibar education programme. This development cooperation strategy places significant emphasis on Sweden's role in the education sector, highlighting the need for review of assistance modalities towards a more aligned approach (e.g. the shift from sector to general budget support), with continued project support for Zanzibar. In addition, it highlights Sweden's comparative advantage in support for higher education and research, based on its long standing relationship with higher education institutions and findings of evaluations of previous support.^{60 61}

This strategic focus, including education as a continued priority, also takes account of Sweden being a significant donor in Tanzania. In 2005, Sweden was the sixth largest donor in Tanzania (total US\$ 92 million),⁶² behind World Bank/IDA, UK, European Commission, African Development Bank and USA. In 2006, Swedish support for education amounted to SEK 109 million (the last year of PEDP pooled funding), alongside SEK 300 million for general budget support for poverty reduction. Sweden channelled significant support through Swedish frame organisations (totalling SEK 21 million in 2006), with around SEK 6 million being channelled through Forum Syd and PMU Interlife.

5. Country Overview: Afghanistan

Limited to moderately robust country development framework and aid architecture. A number of external features, including the overall policy environment and aid architecture, affect ways of working in Afghanistan. For example, the latest Swedish development cooperation strategy is not well aligned with the country poverty reduction strategy (called the Afghanistan National Development Strategy), although sector priorities are broadly consistent.⁶³ The

⁵⁹ Sida 2006, Regional Strategy for Development Cooperation with Tanzania, 2006–2010

⁶⁰ Sida 2005, Evaluation of Sida Support to Teacher Education in Tanzania, 1997–2002

⁶¹ Sida 2006, Evaluation of University and Faculty Research Funds in Mozambique, Tanzania and Uganda

⁶² Sida 2006, Fact Sheet: Tanzania

⁶³ SPM Consultants, 2007, Review of the relationships between Sida's results management and planning instruments, includes case study on Afghanistan

Swedish country development cooperation strategy also pays only limited attention to broader government/donor harmonization and alignment policies and strategies, despite the fact that significant progress has been made in the context of Afghanistan's fragile state and post-conflict status. Although, the broad themes of Swedish country strategy are consistent with the aid effectiveness priorities identified in the latest OECD DAC assessment, detailed strategies are less well-defined (see below).⁶⁴

Swedish country development cooperation strategy has only limited definition of the transition from post-conflict relief to reconstruction/redevelopment and harmonization/alignment approaches (non-delegated authority). The Swedish country strategy for participation in a gradually strengthening aid architecture is also not sufficiently defined, including roles in the broader aid effectiveness working group, which focuses on indicators related to the Paris Declaration and achievement of Afghanistan Compact. Sectoral working groups, including health and education, related to partnerships that will accelerate achievement of MDGs are also evolving.⁶⁵ The transition towards using country systems, rather than continued use of UN/NGO channels, has been comparatively slow in contrast to a number of other bilateral agencies.⁶⁶

The overall Sida country strategy over the period 2002/4⁶⁷ emphasizes the strategic focus on social sectors, especially education and health, alongside measures to improve gender equity in access to these services. The overall implementation strategy has been to use outsourced implementation agencies, including UN agencies and non-state actors.⁶⁸ Alongside, Sida has been providing harmonized support for public administration reform, using the World Bank managed Afghanistan Reconstruction Trust Fund (ARTF). The updated development cooperation strategy further emphasizes the need for transition from humanitarian assistance to more sustainable development approaches, including greater use of country systems, while recognizing ongoing system capacity constraints.⁶⁹

Swedish education support strategy focuses on project approach and use of UN and Swedish/regional NGOs, with limited attention to sector dialogue. The overall Swedish development context in Afghanistan, including both internal and external factors, consists of a number of key features. Internally, over the period 2002/4, much of the assistance, including for education, was screened and channelled through the department for humanitarian assistance and NGOs (SEKA/HUM).

⁶⁴ OECD DAC 2007, Global Monitoring Report on Paris Declaration, Afghanistan Country Report

⁶⁵ ADB 2007, MfDR Capacity Building Advancements in DMCs (includes case study on Afghanistan)

⁶⁶ OECD DAC 2004, Senior Level Forum on Development Effectiveness in Fragile States, which highlights that a number of other bilateral agencies, including UK, Netherlands, Denmark and Norway began to use country systems, including World Bank managed trust funds as early as 2002

⁶⁷ Sida 2005, Country Report: Afghanistan

⁶⁸ Sida 2002, Country Strategy for Development Cooperation in Afghanistan

⁶⁹ Sida 2006, Country Strategy for Development Cooperation in Afghanistan

Since 2005/6, the responsibility for the design of the education programme, has largely shifted to the department for democracy and social development (DESO), in part recognizing the need to accelerate the transition from post-conflict and humanitarian assistance to more mainstream development co-operation. A second key feature is that delegated authority for the education programme rests with designated education advisers in Stockholm, with the Sida country education programme officer in the Swedish embassy in Afghanistan, responsible for day to day operational monitoring.

Sweden provided around US\$ 44 million (around SEK 330 million) in 2005/6, which does not make Sweden a financially significant donor partner in Afghanistan. The priority sectors/themes consist of (i) human rights/democratic governance; (ii) education; and (iii) humanitarian assistance.⁷⁰ The aid delivery systems are best characterized as a project investment modality, with implementation responsibilities delegated to non-state actors. In the case of education, the selected implementation agencies are UNICEF, Swedish Committee for Afghanistan (SCA) and Bangladesh Rural Advancement Committee (BRAC). Swedish frame organisations, funded through SEKA, are also a significant presence, funded to the level of around SEK 22 million in 2006.

6. Country Overview: Ethiopia

Moderate to strong country development framework and aid architecture, although recent modalities are less aligned than budget support. Key characteristics of the development environment are (i) moderate ownership, with the need to simplify sub-national planning and budgeting processes; (ii) moderate alignment of assistance, although withdrawal of budget support and revised modalities are problematic; (iii) moderate harmonization, although revised donor practices may be less aligned after withdrawal of budget support; (iv) moderately strong systems for results management, although national and sub-national monitoring systems need better integration; and (v) previously moderately strong mutual accountability systems are experiencing tension over governance issues.⁷¹

Swedish country development cooperation strategy has become less aligned for political reasons, including concerns over budget support (delegated cooperation). The Sida country strategy 2003/7 argued for investigation of Sida support for the broader Ethiopia education sector development programme (ESDP) and appraisal of alternative modalities, including project, sector and general budget support. In the event, the teacher development programme (TDP) 2003/8, constituting a pooled funded sector budget support mechanism, was selected as the most appropriate option. It was envisaged that Sida education support strategy from 2008 onwards, including possibly a more aligned or harmonized

⁷⁰ Sida 2006, Fact Sheet: Afghanistan

⁷¹ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Report: Ethiopia

approach would be considered. In the event, the political situation has constrained this process and current Sida policy prevents direct bilateral support for education.

As a result, Sida and the Netherlands have adopted a strategy of supporting a girls' education programme, designed by UNICEF, from 2006 onwards. This programme is responsive to an extensive gender analysis of the education system.⁷² Sida conducted an assessment of the UNICEF proposal in 2006, resulting in a formal agreement with UNICEF.⁷³ The joint approach with the Netherlands incorporates joint annual monitoring, based on an agreed results framework and logframe.⁷⁴ In addition, Sida participates in a small education pooled funding arrangement to maintain sector policy dialogue from 2007.

Swedish education support strategy has shifted towards a project approach due to suspension of a pooled funding arrangement for political reasons. The Sida education cooperation programme in Ethiopia over the past five to six years has been broadly consistent with Sida country strategic analysis, which highlights that support for education quality improvement (as a means of reducing student dropout) contributes to Sida's rights policies.⁷⁵ Similarly, the country analysis and Sida development cooperation strategy points to support for girls' education as a means of implementing Sida's gender equity policy.^{76 77} Support for girls' education, given that low enrolment of girls is in poor rural areas, also constitutes a strategy for contributing to poverty reduction and education rights' policy for girls.

The Sida country strategy and analysis also advocates stronger alignment with Ethiopia's policy and strategy priorities, increased use of country systems and measures to harmonize education support with other donors. This is critical to optimize Sida's influence, when Sida development cooperation constitutes around 4% of development cooperation.⁷⁸ As a result, Sida support for a teacher development programme, as a pooled funding arrangement, was agreed in 2003 through a formal memorandum between the government and six donors, including Sweden, Finland, Ireland, Belgium, Netherlands and United Kingdom.⁷⁹ This memorandum was accompanied by a logframe, setting out the overall goals, outcomes, outputs and activities.⁸⁰ As part of this harmonized approach, joint annual reviews, mid-term reviews and forward look strategies took place over 2004/7.^{81 82}

⁷² UNICEF 2006: Girls Education in Ethiopia, Project Proposal to Donors

⁷³ Sida 2006: Assessment Memorandum, Girls Education Programme

⁷⁴ Sida 2006, Summary of Logical Framework, Girls Education Programme

⁷⁵ Sida 2003, Country Analysis: Ethiopia

⁷⁶ Sida 2005, Country Report: Ethiopia

⁷⁷ Sida 2003, Country Strategy for Development Cooperation: Ethiopia

⁷⁸ Sida 2005, Fact Sheet: Ethiopia

⁷⁹ Government of Ethiopia/Donors 2003: Memorandum of Understanding, Teacher Development Programme

⁸⁰ Government of Ethiopia/Donors 2003: Log Frame for Teacher Development Programme

⁸¹ Sida/Pooled Donors 2007: Discussion Paper, Teacher Development Programme

⁸² TEAG 2006: Mid Term Review, Teacher Development Programme

7. Country Overview: Bolivia

Moderately robust country development framework and aid architecture, with education PBA leading the way. Key characteristics of the development environment are (i) moderate ownership, with the need to further operationalize the national development plan; (ii) low alignment of assistance, with much donor activity de-linked from government systems; (iii) low harmonization, although the programme-based approach in education is leading the way; (iv) moderately strong systems for results management, although sector performance indicators need better definition; and (v) better monitoring of the harmonization and action plan is needed.⁸³

Swedish country development cooperation strategy increasingly focuses on harmonization efforts (delegated authority). Design of Sida education cooperation is located in Bolivia's broader development context, with Bolivia having one of the lowest HDI in South America, high poverty incidence and wide urban/rural income disparities. The education programme is directly aligned with the Bolivian poverty reduction strategy (BPRS) and responds to a Sida results analysis that highlights the need for greater alignment with country systems and harmonization with other donor support.⁸⁴ The subsequent country report focuses on greater use of BPRS related poverty and education indicators as a basis for education programme results framework and monitoring processes.⁸⁵

Swedish education strategy has a harmonized pooled funding arrangement, channelled through parallel systems. The main education programme consists of a pooled fund arrangement financed by Netherlands, Denmark and Sweden (so called FASE), initially funded by the Netherlands and subsequently joined by the other two donor partners from 2005/6. The shift towards a more harmonized approach draws on joint assessments in 2003/4 of poverty eradication and sector strategy (e.g. World Bank poverty assessment) and evaluations of previous Sida education assistance through UNICEF.⁸⁶ The latter highlighted the uneven quality of UNICEF reporting and strategy, especially related to limited poverty impact assessment and limited use of pilot innovations for potential scaling up.

⁸³ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Report: Bolivia

⁸⁴ Sida 2003, Country Strategic Plan, Bolivia 2003–2007

⁸⁵ Sida 2006, Country Report, Bolivia

⁸⁶ Sida 2003, Evaluation of Sida Support through Unicef

8. Country Overview: Rwanda (partially delegated authority, general budget support, with selective technical monitoring delegated to DFID)

Country development framework and aid architecture. Key characteristics of the development environment are (i) strong ownership, with the need to better integrate local government planning within the national strategy; (ii) moderate alignment of assistance, with education sector budget support leading the way; (iii) low to moderate harmonization, with a reliance on project aid in many sectors, although education is a notable exception; (iv) low to moderate systems for results management, although education sector is recognized as having significant capacity compared to others; and (v) low to moderate mutual accountability systems, although annual education sector performance review is seen as a model.⁸⁷

Swedish country development cooperation strategy emphasizes greater harmonization/alignment measures (partially delegated authority). The Sida education programme in Rwanda responds directly to the Sida country strategic analysis and results analysis, including highlighting the need for stronger alignment with country systems and measures to harmonize support for education with other donors.⁸⁸ The Sida harmonization strategy is designed to optimize its influence in a context where Sida resources are a small share of overall development support (corresponding to 4% of total aid to Rwanda in 2005).⁸⁹ A key feature is harmonized support for strengthening regulatory frameworks for increased decentralization of services management, including for education, within which Sida is a key donor.⁹⁰ The Sida country strategy emphasizes strengthening the use of Rwanda poverty reduction strategy (RPRS) and agreed education sector performance indicators as a basis for harmonized donor results frameworks and monitoring processes.

Swedish education strategy is general budget support, with education sector policy dialogue. Sida education cooperation support is provided as general budget support, which is released against agreed PRS and financial/institutional performance indicators. DFID represents Sida in all education sector meetings, except for the JESR. The education cooperation programme is directly aligned with a country led joint annual review process, facilitated by DFID as the lead donor in the sector⁹¹. Nevertheless, Sida makes independent decisions on release of sector support funds, drawing on DFID-commissioned progress reports.⁹² As part of harmonized support, Sida has recently funded a comprehensive public expenditure review for education, designed to create better alignment between sector results and resource allocations.⁹³

⁸⁷ OECD DAC 2006/7, Monitoring Survey of Paris Declaration: Country Report: Rwanda

⁸⁸ Sida 2006, Country Report, Rwanda

⁸⁹ Sida 2006, Fact Sheet on Rwanda

⁹⁰ Sida 2004, Evaluation Report on Sida Support for Decentralization in Rwanda

⁹¹ DFID 2007, Joint Review of the Education Sector in Rwanda

⁹² Ministry of Education, Rwanda 2007, Aide Memoire on the Joint Review of the Education Sector

⁹³ Oxford Policy Management 2007, Public Expenditure Review of the Education Sector in Rwanda

9. Country Overview: Russia (non-delegated authority, micro projects, managed by HQ)

Swedish country development cooperation strategy for education uses mainly framework organisations and is limited and run from HQ. The overall Sida programme for Russia is significant within the Eastern European development context, amounting to around SEK 360 million in 2006.⁹⁴ Support for education is comparatively small at around SEK 10 million (2.5% of total). The overall Sida priorities in education are supporting higher education networks, through the Swedish Institute (SI), and prevocational and entrepreneurship orientation within secondary schools, alongside strengthened higher education quality assurance.⁹⁵ These priorities take account of an evaluation of support for labour market and social protection reforms in 2001.⁹⁶

⁹⁴ Sida 2006, Fact Sheet on Russia

⁹⁵ Sida 2002, Country Strategy, Russia 2002–2004

⁹⁶ Sida 2001, An Evaluation of Swedish Technical Assistance for Russian Employment Services 1997–2000

Annex 10 Summary of Field and Distance Case Study Findings: Use of Guidance Instruments

1. Overview of Methodology

The evaluation methodology consisted of (i) review of Sida and other donor country strategies as potential guidance instruments; (ii) review of internal Sida documentation for education programme design decision making, assessment and contribution management; and (iii) discussions with Sida HQ, country embassy and donor/government partners on their familiarity with, use of and relevance of Sida, other donor and government country guidance instruments for design of education strategies and programmes.

In the case of Bangladesh, DRC and Tanzania, a full field visit was conducted by the evaluation team. In the case of the other countries, teleconference interviews and home-based documentation reviews were conducted. In terms of aid modalities, the countries were typified as (i) most aligned assistance through general/sector budget support, using government financial systems (e.g. Rwanda, Tanzania); (ii) harmonized assistance approaches through forms of pooled funding but not channelled through country financial systems (Bangladesh, Bolivia, Ethiopia); and (iii) more traditional project investments, with selected delegated authority to other UN/NGO managing agencies (e.g. Afghanistan, DRC, Ethiopia). In some cases, Swedish education support incorporated more than one modality.

2. Country Overview: Democratic Republic of Congo (non-delegated authority, project approach, delegated cooperation with UN/NGO agencies)

Country strategy provides little guidance on approach to education support. The Strategy for Swedish Support to the African Great Lakes Region 2004–2008 provides the framework for humanitarian assistance and development cooperation. It has relatively little to say on education beyond setting some broad principles for engagement through other agencies and at the sector table. This is per-

haps understandable given the circumstances in DRC in 2004 when the strategy was conceived and dialogue with government was very limited. There is nothing specific in the document to suggest that Sida's steering instruments on education influenced its development.

Limited awareness of Sida education technical guidance in country office, in response to authority for strategy and programming residing in HQ. In the Embassy in Kinshasa, there is an awareness of Sida's 2001 Education Policy paper but no explicit recognition of more technical work, for example, Education in Situations of Emergency, Conflict and Post Conflict (2002). There is sense that this knowledge lies with the Education Adviser in Stockholm, particularly so since there is both a new Head of Development Cooperation and a new National Programme Officer.⁹⁷ *Sida at Work* is recognised as an important point of reference for the development of plans and assessments. It is seen as a largely flexible and enabling document but lacks guidance on planning development cooperation in countries in conflict. But this is seen to be for other international instruments on aid effectiveness).

Guidance from country education strategy is limited, although the World Bank sector review and UNICEF country assessment are helpful. The DRC government has produced relatively little in the way of sector planning documents. The clearest statement of intent is in the Poverty Reduction and Growth Strategy (2006) where the third pillar of development policy is to improve access to social services and reduce vulnerability. The World Bank Status Country Report (2005) is probably the most detailed study of the education sector in recent years and although it is not known to current Embassy staff it has clearly informed Sida assessments. The future UNICEF five year programme framework that is currently awaiting approval in New York might also be expected to help guide/inform Sida thinking and practice beyond 2008. The international NGOs, such as SCF UK have developed broad global and national policies on education in conflict but there is no direct evidence of their influence on Sida.

Little awareness of international instruments in country office due to sense that they are more relevant to Sida HQ adviser. There is no evidence in DRC office of the relevance of international instruments on education in emergency situations, for example the Minimum Standards for Education in Emergencies, Chronic Crises and Early Reconstruction issued by the Inter-Agency Network for Education in Emergencies or of the work by the FTI to develop a Progressive Framework for support to education in fragile states. This is due to a perception that these are more relevant to Sida HQ decision-making.

Country work plans produce useful guidance on Sida thinking but offer little on operational approaches. The 2006 work plan states that (i) service delivery within the social sectors should be one strategic consideration and priority within a three year

⁹⁷ This understanding will be supplemented by a meeting with the previous Head of Development Cooperation in Stockholm in the week beginning 19 November.

perspective; (ii) DESO/UND are delegated to implement the programme in accordance with existing cooperation strategies in close collaboration with the Embassy; (iii) Sida should also follow the PRSP-process closely and advocate for a pro-poor development programme in DRC; (iv) assessment has to be done on a long-term programme on education, including policy support and capacity building on towards a sector wide approach with other donors; (v) support to basic education is confirmed; and (vi) the possibilities to establish silent partnerships where other donors can be lead donors. However, a work plan and timetable for moving forward is not evident. Similarly, although the 2007/8 work plans begin to elaborate on the scope for an education SWAp, an operational approach is not evident in the various decision making notes.⁹⁸

The assessment memo for Sida support through UNICEF implies some relevant education guidance instruments, although more rigorous appraisal of UNICEF analysis was needed. In its assessment of the project submission (by the Sida Education Adviser in Stockholm) the following points are made or can be inferred regarding the relevance of Sida guidance and steering instruments (i) the project proposal is in line with the strategy for Swedish support for DRC; (ii) it emphasises the rights of children; (iii) it is consistent with Sweden's objective for mitigating conflict; (iv) it is in line with the PRSP; and (v) it is consistent with wide process of sector planning and donor-coordination.

While the core argument is that the proposal is entirely consistent with the main strands of Swedish policy in DRC, at no stage in the assessment is more detailed technical Sida guidance invoked. The assessment is largely uncritical at a technical level of UNICEF's proposals, apparently accepting the UN body's comparative advantage and local knowledge of what can work. The education adviser responsible for DRC in Stockholm suggests that the UNICEF assessment may have been accepted rather too hastily, now being compensated through a rigorous review of progress reports.

Little evidence of Sida education guidance in other NGO led education projects. There is no documentary evidence of Sida steering instruments or guidance at work in either the external evaluation of the project (Donna Kesler, December 2006) or the final narrative report for the project (Save the Children/DRC October 2007). The national coordinator (although relatively new to the job) indicated that she would have welcomed stronger guidance from Sida on the project especially on compliance issues. Greater clarity of reporting requirements would have helped as would a couple more visits by Sida to project sites. It is evident in 2007 that SCF UK in DRC seeks to play a more strategic role in the education sector as well as continuing to support local education.

⁹⁸ For example, the 2008 work plan notes that Sida will participate actively in the work of an independent commission for the reform of the education system that will culminate in a round table conference in mid-2008.

Better alignment between guidance instruments from DESO and SEKA/EO is critical, if the latter is to contribute to Sida policy objectives. Sida, SEKA/EO is concerned with building civil society as an end in itself, tracing the objectives of projects which have educational components and establishing what guides these projects has not been possible in the compass of this case study.⁹⁹ The links at this level between Sida steering instruments in education and work on the ground in DRC are at best tenuous and depend on the degree to which their parent organisations in Sweden do indeed filter any Sida guidance through their own programmes.

Little evidence of use of guidance instruments on education sector dialogue. With regard to the influence of steering instruments and guidance from Sida on education in the process of sector dialogue and development in DRC there is no documentary evidence of such impact.¹⁰⁰ On the other hand, donor partners do identify certain positions that Sida has taken in its engagement with the sector development process, particularly its view that there is the danger of debate being too narrowly focused on the abolition of fees and insufficiently driven by a broad sector wide approach. In addition, Sida's willingness to support studies on issues where it feels it has a particular interest or strength, such as Public Financial Management is welcomed by other partners.

3. Country Overview: Bangladesh (delegated authority, pool-funded approach)

Education guidance instruments are not reflected in the very influential country strategy documents. The current cooperation strategy for Bangladesh (2007–2011) is frequently referred to by the Embassy staff in discussions. However, there is nothing specific in the strategy papers to suggest that Sida's steering instruments on education influenced its thinking or development. The more generic guidelines are seen by both the counsellor and the senior programme officer for education as important for overall guidance. These include Sweden's *Policy for Global Development*, the Paris Declaration with EU's complementary guidelines, guidelines on SWAp, and the results agenda. At the country level, Sweden's cooperation strategy for Bangladesh is confirmed to be highly relevant.

The senior programme officer for education further refers to Sida's 2001 EFA policy as the key document. It sets out principles and priorities and she finds it highly useful and still applicable. In addition she points to Sida's

⁹⁹ Sida's *Guidelines for Grants from the Appropriation for NGO* while drawing attention to Sweden's' overall development policy makes and to the importance of *reinforcing the capacity of organisations engaged in social services [to] increase the possibility of the poor and marginalised groups [to be] heard* makes no specific reference to any of Sida steering instruments on education either as a source of reference or as technical tools.

¹⁰⁰ There is for example no reference to Sida work in the extensive bibliography of the World Bank's detailed Project Appraisal Document for an Education Sector Project (2007)

policy on non-formal education as useful for education sector cooperation in Bangladesh. She recognises Sida at Work as the essential point of reference for contribution management. There is a clear sense in the Embassy that technical and professional knowledge is strong within the Embassy and that reliance on the Education Adviser for Bangladesh in Stockholm for guidance on policies and steering instruments is not required on a day to day basis.

Sida education guidance instruments are relevant at the implementation stage. The assessment memo for PEDP II indicates that guidance instruments are implied rather than being explicit. For example, it is seen that Swedish policies and guidelines are referred to in very general terms, through establishing that it is in line with the country strategy for Bangladesh 2002–2005 and in full agreement with Sida's Perspectives on Poverty, Sida's Policy for Sector Programme Support as well as Sida's Policy for Development Cooperation in the Education Sector. In addition, it may possibly be concluded that a few other Swedish policies are implicitly addressed through the selection of issues discussed under relevance: rights of the child, a gender action plan for PEDP-II and mentioning of environmental impact of construction/reconstruction of schools, reflected in PEDP II pooled donor meetings.

Donor working groups provide an opportunity for Sida to get across its education policy priorities. It was confirmed in discussions with development partners (both GoB and other partners) that the Embassy is very visible and does take on a pro-active role in the work within the PEDP II consortium and in discussions with GoB. It was also suggested by some partners that while it is of course a matter of individuals it is also a matter of organisations positioning themselves which translates into presence on certain topics, i.e. staff mix, at country level and in thematic expertise at HQ. The effectiveness of a national staff officer to do this was judged to be mixed and there were uncertainties over authority to do so. Sweden is further involved in the access to education working group. This provides good opportunity to make use of experiences from the BEHTRUWC and CMES interventions.

BEHTRUWC documentation implies guidance on EFA implementation strategy, especially inclusive education. It is confirmed through discussions with representatives from the GoB and other donors that Sida frequently raises issues relating to access to education and inclusiveness in addition to the importance of results monitoring. This is well in line with Swedish policies and priorities, although no explicit mention seems to be made. However, the development partners were not aware of whether the issues were raised due to personal interest of the Embassy staff or whether they arose from implementing Swedish policies and guidelines.

There was little or no evidence of use of potentially relevant Sida technical guidance related to pre-school, non-formal education or aspects of rights based education. The assessment memo describes the project as linked to relevant international and national development agendas (the EFA Dakar

Framework, Millennium Development Goals, the national Poverty Reduction Strategy, the National Plan of Action II for basic education, the draft Non-Formal Education Policy Framework and relevant international conventions on child labour and child rights).

Evidence of use of guidance instruments in the CMES project is uneven. The project focuses on school drop-outs and illiterate children and adolescents, with the main focus on adolescents. The skills development and livelihood aspects cover a crucial need of this target groups. In the assessment memo for a potential continued phase, the Embassy points to the project relevance from both a general Swedish policy perspective (*Policy of Global Development*) and from the perspective of the national Poverty Reduction Strategy. It points in particular to the four principles laid out in the Swedish cooperation strategy for Bangladesh, namely participation, non-discrimination, transparency and accountability. It further states that the project is in line with the national EFA policy. No explicit reference is made to Swedish education policies and no technical guiding instruments are referenced.

4. Country Overview: Tanzania (delegated authority, general budget support, with extensive sector dialogue)

Sida education policy is implied rather than made explicit in the country strategy. The primary Swedish guidance instrument is the Tanzania country strategy, which sets out clearly the rationale for continued support for the education sector emphasizing both sector-wide dialogue and higher education as priorities, implying a shift to general budget support. Primary guidance instruments referred to are Sweden's policy for poverty reduction and human rights and its international commitment to implementing the Paris Declaration 2005 on more harmonized and aligned assistance.

There is no specific reference to Sweden's education policy guidance instruments (e.g. *Education Policy Guidance 2001*), although it is clear that its revised education cooperation strategy draws significantly on previous experience and lessons learned of education cooperation. The primary impetus referred to is lessons learned from Sweden's broader engagement in the formulation of the joint assistance strategy and NSGRP review processes. At the education sector level, the evaluation team was informed that discussions with other donors, with experience of sustaining sector policy dialogue through general budget support mechanisms, were influential.¹⁰¹

Experienced staff members apply a body of knowledge rather than explicit reference to education guidance instruments. The use and relevance of guidance instruments by the two education programme officers, for basic education and for higher education and research respectively, provides a mixed picture. The education

¹⁰¹ Meeting with Counsellor, Swedish Embassy, Tanzania

policy guidance 2001, Sida at Work and SAREC guidelines on higher education were confirmed as highly relevant and used extensively. Potentially key guidance documents related to sector and general budget support and public financial management (PFM) system development were not specifically referred to. The need for more robust and operational guidance instruments for higher education policy development and implementation in a sector wide context was highlighted. The most recent guidance note was considered of limited value in the Tanzania context.¹⁰²

This assessment was confirmed by a review of existing education documentation, including decision documentation, assessment memos and progress reports, related to the design of PEDP pooled funding and general budget support. The most highly referenced guidance instrument was the Sida at Work processes related to preparation of assessment plans, contribution memoranda and fund release.¹⁰³ The overall conclusion is that the well experienced Embassy staff draws more on accumulated knowledge of guidance instruments, the findings and experience of education programme implementation at a country level and development partner consultations, rather than explicit use and referencing of education guidance instruments. Participation in internal thematic working groups (e.g. results assessments, sector engagement) was highlighted as a key source of guidance.^{104 105 106}

Other partners are familiarized with Sida guidance instruments, mainly through formal and informal meetings. This conclusion was broadly confirmed by interviews with donor partners. There was little specific knowledge of Sida education guidance instruments. The primary source of Sida policy positions, especially its distinctive emphasis on education support and child rights, is discussions during education donor working group meetings. Several donor representatives highlighted the value of oral presentations during donor working group meetings on Sweden's experience of sector and general budget support over 2004/7. Education ministry officials highlighted the value of Sida leadership of education SWAp seminars in 2000, as opposed to specific use of related guidance documents.

Swedish framework organisations are familiar with and use funding eligibility criteria but not policy guidance. Field interviews suggest that familiarity with and use and relevance of SEKA guidelines by Swedish frame organisations for preparing funding proposals from HQ was frequent and strong. Nevertheless, familiarity with specific education guidance instruments was confirmed to be at best limited,¹⁰⁷ despite the fact that these frame organisations manage in-country education projects. These findings, perhaps not representative, do appear to confirm the findings of other Sida evaluations on frame organisations that

¹⁰² Sida 2003, Post Basic Education in Partner Countries

¹⁰³ Sida 2002, Assessment Memo for Pooled Funding for Primary Education Development Programme

¹⁰⁴ Sida 2007, Report from a Seminar in Rwanda on Budget Support

¹⁰⁵ Sida 2007, Review of Five Assessments for Sector Programme Support

¹⁰⁶ Sida 2007, Issues Paper: Sector Engagement in Programme Based Approaches

¹⁰⁷ Field interviews with Forum Syd and PMU Interlife

support through SEKA channels may not optimize harmonization with broader Sida education policy priorities.^{108 109}

Using delegated authority, the embassy has formulated new guidelines to ensure local NGO funding is aligned with Sida country priorities, including for education. Another finding during the field visit was that local NGOs in education are unfamiliar with Sida education policy guidance instruments and how Swedish support for their organisation is aligned with Sida education policy implementation strategies. The primary source of understanding Sida's broad support for local civil society organisations and specifically for education appears to be Swedish Embassy participation in consultation meetings, the annual education sector review process and specific programme review meetings.¹¹⁰ Recognizing the risk of limited harmonization between Swedish development priorities and local NGO support strategies, the Embassy has recently formulated new guidelines to address this issue.¹¹¹ The delegated authority to the Swedish Embassy facilitates this innovative approach.

5. Country Overview: Afghanistan (non-delegated authority, project approach, with delegated cooperation to UN/NGO agencies)

Sida country strategy is primarily guided by international agreements, especially EFA and MDGs. Review of the documentation indicated that the primary steering documents used were the Swedish country strategies for 2002/4 and 2006/8, which were constantly referred to in the decision and assessment memos for support for education channelled through UNICEF, SCA and BRAC.^{112 113}

¹¹⁴ International agreements, especially education for all (EFA), millennium development goals (MDGs), were also referred to extensively. There was also some specific reference to other UN and government agency documents, especially related to education sector priorities.¹¹⁵

Insufficient independent appraisal of UN education country assessments in informing Sida education cooperation, with a hangover from previous SEKA guidance instruments. Sida staff interviews suggest that although other Sida guidance documents are used, their use tends to be implicit rather than explicit. This was confirmed

¹⁰⁸ SEKA 2005, Evaluation of NGO Cooperation within the Education Sector

¹⁰⁹ Sida's Guidelines for Grants from the Appropriation for NGO, while drawing attention to Sweden's overall development policy makes and to the importance of reinforcing the capacity of organisations engaged in social service to increase the possibility of the poor and marginalized groups heard makes no specific reference to any of Sida's steering instruments on education, either as a source of reference or as technical tools

¹¹⁰ Meeting with Haki Elimu, which is supported by Sida and other donor agencies through a pooled funding arrangement against Haki Elimu's annual work plan

¹¹¹ Swedish Embassy, Tanzania 2007, Guidelines for the Swedish Embassy's Direct Support to Tanzanian Civil Society, including an assessment tool and outline for pre-core funding assessment. Under this arrangement, an education NGO apex body will be supported

¹¹² Sida 2006, In-Depth Assessment of Support to the Swedish Committee for Afghanistan

¹¹³ UNICEF 2005, Draft Country Programme Document

¹¹⁴ Sida 2004, Agreement between Sida and BRAC on Support of Education Programme in Afghanistan

¹¹⁵ For example, Programme Plan of Operations Basic Education and Gender Equality 2006/8, both from the Ministry of Education and UNICEF country office, Afghanistan

by documentation analysis. For example, assessment memos, though consistent with Sida guidelines, did not specifically refer to these guidelines,¹¹⁶ regarding either assessment process or contribution decisions. Where Sida support for education draws on UNICEF assessments of priorities (e.g. girls education), there was little evidence of independent assessment by Sida staff of this UNICEF analysis in designing its own Swedish approach.

The overall impression is that the transition from using SEKA guidelines for NGO channelled support to more mainstream guidelines for development cooperation has been somewhat uneven.¹¹⁷ For example, in both interviews and documentation review, little reference was made to potentially relevant and useful Sida guidance instruments, related to working with civil society organisations or humanitarian assistance approaches.^{118 119} In particular, no reference was made in any of the assessment memos to specific Sida guidance on how to enable the transition from humanitarian relief to more systematic reconstruction and development.¹²⁰ Equally, no reference was made to guidance instruments related to implementation of Paris Declaration commitments, despite Sweden's involvement in aid effectiveness working groups in Afghanistan.

6. Country Overview: Ethiopia (delegated authority, previously pool-funded arrangement, now project approach, delegated to UN agency)

Harmonized approach under the TDP was driven by Paris Declaration commitment and alignment with country education strategy. A greater focus on analysis of alternative strategic options and ensuring alignment/harmonization of support would have been beneficial for TDP design. Nevertheless on the positive side, improving the supply of qualified teachers has been a Government ESDP priority for the past 15 years. Interviews confirmed that TDP is perceived to have reduced overall transaction costs, consistent with Sida's commitment to implementing the Paris Declaration. The execution of a joint government/donor annual and mid-term review of TDP is also consistent with Sida guidelines to harmonized approaches.

The follow-up TDP mid-term review in 2006 and design preparation exercise in 2007 indicated implicit use of recent Sida steering documents, especially related to the overall sector engagement process.¹²¹ Although primarily financed by DFID, these documents reflect significant influence of Sida (as

¹¹⁶ For example, the assessment memos are consistent with Sida at Work guidelines 2005

¹¹⁷ For example, the assessment memo for support through the Swedish Committee for Afghanistan refers to SEKA capacity assessments as a justification, when the eligibility criteria and expected results under SEKA and DESO guidelines are very different

¹¹⁸ Sida 2007, Sida's Support to Civil Society in Development Cooperation

¹¹⁹ Sida 2002, Guidelines for Humanitarian Assistance in the Education Sector

¹²⁰ Sida 2003, Education in Situations of Emergency, Conflict and Post-conflict (which provides some specific ideas on development transition out of relief to reconstruction

¹²¹ Sida 2007, Issues Paper: Sector Engagement in Programme Based Approaches

the Chair of TDP donor group). Firstly, the proposed TDP extension is in response to a government TDP strategy document,¹²² consistent with Sida guidelines to use country sector strategy as a starting point. The proposed design also reflects Sida guidelines related to, using government systems, extensive capacity assessment, results indicators and continued joint processes with other donors.

Nevertheless, the proposed TDP extension report is more uneven in responding to other Sida steering documents. The strategic linkage between TDP, both in the original design and extension, with Sida's poverty alleviation and rights' policy is unclear. Sida guidelines on gender equity are well addressed, alongside a well defined response to relevance, effectiveness and feasibility (as required by Sida at Work guidelines). The design only partially responds to Sida requirements for evidence of sustainability (e.g. dealing with teachers' salaries) and the results frameworks is very much at the output level when Sida increasingly requires evidence of longer-term impact and outcomes.

Extensive use of Sida gender equity guidelines in design of UNICEF girls' education project. The design of the girls' education project shows robust use of Sida guidelines. For example, the design draws heavily on other donors' analytical work and research, consistent with Sida's guidelines on how to respond to the Paris Declaration commitments and Sida's own guidelines on gender equality in the education sector.^{123 124 125 126} The argument for initial Sida engagement (i.e. the Sida at Work go/no-go requirement) is also well documented, alongside the argument for a joint assistance strategy. The argument for cost-effectiveness/efficiency and sustainability is less robust.

7. Country Overview: Bolivia (delegated authority, pooled funding arrangement)

Education strategy is directly responsive to Sida guidelines on country harmonization/alignment strategy. The education programme design is directly consistent with the findings and results analysis in the Bolivia country strategy 2003/7, which sets out the need for a greater focus on poverty reduction, realigning education programmes with BPRS priorities and investigation of mechanisms that better coordinate external assistance, drawing on comprehensive development framework (CDF) principles. The country strategy draws directly on Sida guidelines related to aid effectiveness, originating in OECD discussions (Rome 2002). Operational guidelines on harmonization approaches are limited, given that these precede the Paris Declaration commitments in 2005.

¹²² Ministry of Education, Ethiopia 2006: Teacher Development Programme Action Plan

¹²³ Gender matters, Gender equality in development cooperation, Deso/gender equality team, December 2005

¹²⁴ Sida at work, A Manual on Contribution Management, 2005

¹²⁵ Joint Review Mission Report, 2005

¹²⁶ For instance African Girls' Education Initiative, Country Review (March 2003) and Taking Stock of Girls' Education in Ethiopia: Preparing for ESDP III, by Save the Children, UNESCO and UNICEF (2005)

Use of Sida guidelines on harmonized pooled funding arrangements is implicit rather than explicit. The education programme design process is derived directly from *Sida at Work* principles, as set out in the assessment memorandum (Ibid 4). The explicit use of Sida policy guidance and education steering documents is uneven. Explicit reference is made to (i) use of *Sida at Work*; (ii) Sida policy guidelines and priorities; and (iii) Sida guidelines on poverty assessment. There is no explicit reference to Sida guidelines for sector budget support, public financial management assessment and *Sida at Work* guidelines on alignment/harmonization. Notwithstanding, the assessment MOU makes implicit use of such guidelines in its commentary (e.g. the use of lessons learned from previous Sida and other donor assistance).

The prior identification and preparation phases, required by *Sida at Work* guidelines, are clearly set out in the MOU, which was probably one of the first programme designs to adopt *Sida at Work*. Telephone interviews broadly confirmed this documentary evidence. *Sida at Work*, international EFA commitments, poverty assessment guidelines were reported as highly valuable and used extensively during programme design processes.¹²⁷ Sida guidelines on SWApS, sector budget support and joint performance monitoring were also highlighted as valuable and implicitly used in the MOU. More operational examples of how to apply some of the more Sida education technical guidelines was highlighted as a need.

8. Country Overview: Rwanda (partially delegated authority, general budget support, with selective technical monitoring delegated to DFID)

Education programme design draws extensively on Sida's body of knowledge for PBAs/ SWApS rather than explicit use of guidance instruments. The design of the Rwanda programme, though not always explicit in Sida documentation, draws directly on Sida steering documents related to use of general and sector budget support. Sida's broader participation in the EFA FTI process also draws directly on international guidance notes.¹²⁸ The design of the programme has also benefited directly from the ongoing DESO results project, within which Rwanda is highlighted as a case study.^{129 130}

¹²⁷ Sida Guidelines cited in the Assessment MOU included (i) *The Dakar Framework for Action, Senegal 26–28 April 2000*, and core EFA indicators; (ii) Sida's policy for sektorsprogrammestöd samt Handledning i testupplaga, Sida, 2000; (iii) *Education for All, a Human Right and Basic Need, Policy for Sida's Development Cooperation in the Education Sector*, Sida, April 2001; (iv) *Education for All, a way out of Poverty*, Sida, October 2001; (v) *The Poverty Conference, Education a Road out of Poverty*, Sida, 2002; and (vi) *Educational Policy Analysis*, New educational division documents No. 15, Sida, September 2003

¹²⁸ DFID/Sida 2007, EFA FTI Progress Note

¹²⁹ Sida 2007, Report from a Seminar in Rwanda on Budget Support

¹³⁰ DESO 2007, List of Issues related to Sector Programme Support (internal)

In particular, the Rwanda support programme is characterized by its clear use of ongoing DESO strategic thinking and steering documents related to (i) aligning expenditure and results;¹³¹ (ii) clarification of the definition of sector budget support;¹³² (iii) strategic papers on aligning results and organisational structures;¹³³ (iv) applying alignment and harmonization principles at the sector level;¹³⁴ and (v) reviews of Sida organisational processes and how to engage at the sector level.^{135 136}

Education programme design is strongly guided by country education strategy, previous sector performance reviews consistent with Sida at Work guidance. Telephone interviews confirmed that the use of Sida steering documents and guidance notes are used in the design of the Rwanda education cooperation programme, reflected in that the Sida guidance process has been internalized as part of the design process. For example, the starting point for the design preparation process was an appraisal of the Rwanda education strategic plan and support programme, located within the broader NPRS.

Similarly, the follow-up assessment memorandum process and draft agreement include assessments of relevance, efficiency, feasibility and sustainability, drawing on previous experiences and analysis. These processes are fully consistent with *Sida at Work* and other guidance on use of general and sector budget support. Similarly, it was reported that the Sida country office (the country economist) followed the discussions on donor support for the EFA FTI process, drawing on international agreements and guidance notes.

9. Country Overview: Russia (non-delegated authority, micro projects, managed by HQ)

Limited reference to education guidance instruments. The documentation review highlighted significant use of programme preparation guidelines, use of assessment memoranda, as set out in *Sida at Work* (2005). Reference to more technical guidelines, related to higher education twinning and networking, sector reform was largely implicit rather than explicit. The project description process also reflected *Sida at Work* guidelines related to relevance, efficiency, feasibility, sustainability. No reference was made to potentially relevant education steering documents, related to higher education research twinning.¹³⁷

¹³¹ DESO 2006, Draft Analysis of PERs and PETs, including Rwanda

¹³² DESO 2006, Definitions and Categories of Sector Support (internal)

¹³³ SPM 2007, A Review of Results Management at Sida

¹³⁴ Sida 2007, The Paris Declaration in Practice: A Review of Guiding Documents in Sector Programming

¹³⁵ Sida 2007, Review of Five Assessments for Sector Programme Support

¹³⁶ Sida 2007, Issues Paper: Sector Engagement in Programme Based Approaches

¹³⁷ For example, Sida 1998: Research Cooperation: An Outline of Policy Programmes and Practice and Sida 2003: Post Basic Education in Partner Countries

Annex 11 Summary of Field and Distance Case Study Findings: Clarity of Organisational Roles and Responsibilities

1. Overview of Methodology

The evaluation methodology consisted of an analysis of which factors affected the scope, definition and delineation of organisational responsibilities at the HQ and Sida country office levels, especially (i) the effect of delegation or non-delegation to the country office; (ii) the effect of selective delegated cooperation to other agencies (e.g. other donors, UN agencies, NGOs); (iii) the impact of alternative education support modalities; and (iv) the influence of country aid architecture, especially country government/donor harmonization groups. In terms of aid modalities, the countries were typified as (i) most aligned assistance through general/sector budget support, using government financial systems (e.g. Rwanda, Tanzania); (ii) harmonized assistance approaches through forms of pooled funding but not channelled through country financial systems (Bangladesh, Bolivia, Ethiopia); and (iii) more traditional project investments, with selected delegated authority to other UN/NGO managing agencies (e.g. Afghanistan, DRC, Ethiopia). In some cases, Swedish education support incorporated more than one modality.

2. Country Overview: Democratic Republic of Congo (non-delegated authority, project approach, delegated cooperation with UN/NGO agencies)

Design and oversight rests with Sida HQ and day to day implementation monitoring in Swedish Embassy. As the Embassy in Kinshasa does not have delegated authority, responsibility for programmes lies directly with Stockholm. Responsibility for guiding the DRC education programme lies with a small core group of people. In Stockholm with the Education Adviser in Education Division and in Kinshasa with the Head of Development Cooperation who oversees the

whole DRC programme and with the National Programme Officer and with the locally recruited National Programme Office (NPO). Adviser visits coincide with planning or review activities in the Sida calendar and/or, to the extent possible, with set piece meetings with the DRC government and donor partners. Field visits to Sida-supported projects are rare.

Roles and responsibilities are clear, but may become more complex when the transition from relief/reconstruction to development occurs. The counsellor for development cooperation is responsible for a strategic oversight of the development cooperation programme and contributing to forward looking strategy. The HQ education adviser is responsible for education cooperation design, including assessments and programme strategic monitoring. The national programme officer is responsible for day to day monitoring of the programme and information flows back to HQ. These roles are consistent with those defined as part of non-delegated authority to the embassy and it was reported that annual work plans reflect these priorities.

A number of issues were raised or became apparent (i) the counsellor recognizes that the work priorities may shift as there is a movement out of emergency relief/humanitarian assistance; (ii) the national programme officer covers both HIV AIDS/gender, as well as education, which has potential advantages but also risks diffusion of work focus; and (iii) the national programme officer role may have to shift from programme monitoring to sector dialogue if aid architecture (especially more formal sector working groups) are put in place.

Informal responsibilities for sector and donor partner dialogue may have to be more formalised if country education partnership arrangements become more institutionalized. In particular, the formal roles for education sector dialogue and responsibilities within any government/donor aid architecture may need to be more formally delineated between the First Secretary (who currently fills much of this function), the HQ adviser and programme officer. Inevitably in a relief/humanitarian context, much of the sector dialogue and government/donor networking tends to be more informal. As support shifts towards longer-term development, organisational responsibilities, ways of working, staffing levels and skill mix may have to be reviewed. Any such review could be informed by prospective UNICEF/Save the Children (UK) programme negotiations and potentially more strategic role for SEKA.

Likely increased responsibility for organisational learning that may influence organisational responsibilities and staff time allocations. The likely development transition will require a careful review of responsibilities in country and Sida HQ. Lessons learned from current UNICEF/SCF UK programmes can feed into future design initiatives, including strategic linkage between broader policy and education support strategy. Rigorous assessment of the next phase of education support, including scope for development transition, is recognized. How Sida can contribute to broader sector dialogue is also potentially on the

agenda. The respective roles of the current Sida actors in education may have to be reviewed, including time allocations for DRC for the HQ education adviser.

Delineation of sector dialogue and donor partner coordination can build on current experiences. Sida, despite being a comparatively small donor, plays an active role in current education partner coordination processes. It recognizes that it can play a strategic role in policy dialogue (e.g. its contribution to school fee strategy), including rights based and legal/institutional issues, drawing on HQ advice. A key consideration will be whether or not the current social sector skill set of the programme officer (currently supplemented by HQ advice) needs to be supplemented or whether a dedicated education sector specialist is needed in-country.

Organisational responsibilities for review of Sida support for NGOs in education are unclear. An anomalous aspect of the DRC situation is that there are activities in support of education that do not relate directly to the work of the Education Adviser in Stockholm. They fall under SEKA/EO, including funds from humanitarian aid. Although it appears that the Education Adviser has helped in commenting on the SCF project, the fact remains that what goes on in DRC is neither designed nor managed under a single strategic rubric. It is potentially confusing to read the report on the DRC in Progress in Educational Development: *Sida's Contributions 2006* without any reference to non-UND activities.

Informal in-country coordination and technical support within the embassy has been valuable, but more formal staff induction programmes may be beneficial. A number of processes help induction of new country programme staff, including (i) the annual work planning process; (ii) decisions and coordination of information flows, both within the country office and back to HQ; (iii) ongoing technical support and advice, including embassy/HQ dialogue on review of new programmes and projects; and (iv) informal discussions between the Sida country education staff and donor partners, with potentially more experience/expertise in country.

Nevertheless, a more formal induction programme, taking account of both immediate and potentially forward looking responsibilities for in-country education programme staff, has significant benefits. This needs to take account of any forward look within the country strategy of the shift from relief to development and the balance of project management and sector dialogue responsibilities (e.g. French language skills). Clearly, any decisions on greater delegated authority to the DRC embassy will need to be factored in to the in-country/HQ education skill mix.

3. Country Overview: Bangladesh (delegated authority, pool-funded approach)

Organisational responsibilities and staffing levels are responsive to delegated authority. The counsellor/head of development cooperation holds overall responsibility for all development cooperation. For the education sector cooperation there is a senior programme officer (who has been in position for 17 years), cooperating/supported by a social analyst (in position for a couple of years) and a social sector adviser (in position for a couple of months). The responsibilities of the counsellor/head of development cooperation include ensuring that guiding signals from Sida HQ are translated into the Embassy day to day work. One recent example is proactive measures to strengthen the results orientation in Sida's development cooperation with Bangladesh.

Mechanisms and staff deployment and skill-mix to enhance Sida embassy capacity to engage in sector dialogue appear to be well developed and proactive. In Bangladesh Sida is not the single donor in any intervention. Dialogue becomes the single most important tool for promoting Swedish views and standpoints. The Embassy has been very proactive in seeking to change the mix of competencies to be better equipped to deal with this move towards improved harmonization and alignment. Most recently a social sector adviser was recruited to strengthen work on cross-cutting issues of relevance to both sector programmes. The capacity in the Embassy to implement the intentions as expressed in the current strategy was strengthened.

The counsellor also participates in higher level dialogue. He may further step in to support a sector programme officer or adviser in dialogue situations to put stronger emphasis on important issues. One example of this is on promoting results-based management in the PEDP-II. A next step is planned as the social analyst is to return to Sweden next year and a replacement to be recruited. The Embassy will look for an analyst with strengths not primarily in social sectors but on issues which are relevant in order for the Embassy to actively participate in the forthcoming JAS process.

Proactive staffing measures have been adopted to enhance Sida country capacity to engage in crosscutting social sector dialogue. It was intended that a thematic resource group in HQ would provide support to both the two sector programmes in health and primary education. As a new competence profile has been established in the Embassy the services of such a resource group are no longer needed, as this function has in practice been moved to the Embassy. One reason for moving this function to the Embassy was that it was perceived that the transaction costs for continuously keeping a thematic resource group adequately updated on every detail in development were too high and reduced the risk of advice becoming too supply-driven, alongside assuring decisions were grounded in country realities and information.

HQ advice for education is primarily on demand and selective from the country embassy, consistent with delegated authority arrangements. On a regular day to day basis, responsibility for guiding the Bangladeshi education programme thus lies primarily with the senior programme officer, increasingly in cooperation with the recently recruited social sector adviser in the Embassy. The Embassy is thus not directly dependent on support from the Education Division at HQ but continuously keeps the Education Adviser in Education Division informed about the development and key documents are forwarded to the Education Adviser. Overall the support from HQ is appreciated but it has at times been problematic with the frequent turnover of the Education Adviser for Bangladesh in HQ. This has hampered continuity and support from HQ has not always been of good quality in the view of the Embassy. The current adviser is an experienced officer who is fully conversant with the range of Sida's policies and steering instruments.

Sida's current organisational arrangements and its influence in the sector are heavily reliant on the presence of well respected local education specialist. The arrangements in Bangladesh are strongly influenced by the presence of a Bangladeshi education adviser, who is one of two worldwide. Consequently, this officer has the status and knowledge to identify advisory needs from HQ. Recently, the advice from HQ has been selective and on demand, including (i) preparation of in-depth assessment memos; (ii) support for SWAp workshops and results based management advice; and (iii) participation in country education programme review exercises. HQ comparative advantage is best characterized as bringing international and comparative advantage experiences to country sector dialogue.

The presence of this officer, as reported by government and other donors, brings a number of other benefits. Firstly, this long-time presence and historical knowledge and trust allows significant Sida influence in government/donor sector dialogue processes. Secondly, it also allows extensive capture of organisational learning within Sida, which helps offset significant HQ education adviser staff turnover in recent years. Nevertheless, there are potential risks, especially associated with uncertainties amongst donors over the respective authority of embassy/HQ education advisers and contingencies if the current incumbent Bangladeshi adviser was no longer present. The lesson learned is that the roles and responsibilities and authority of embassy/HQ education advisory staff needs to be clearly delineated and shared with key dialogue partners and decision makers.

4. Country Overview: Tanzania

(delegated authority, general budget support, with extensive sector dialogue)

Operational roles and responsibilities and deployed staff and skill mix are consistent with Sida country strategy and delegated authority. The overall responsibility for cooperation with Tanzania is located within the Department for Africa, which in close consultation with the Swedish Embassy, formulates overall Tanzanian country strategy. The formulation process incorporates input and advice from sector and thematic divisions within Sida HQ, including for education. In the case of Tanzania, which has full delegated authority, overall responsibility for implementing the development cooperation strategy rests with the Counsellor for Development Cooperation, in close consultation with the country economist. For the education sector, responsibilities for day to day operational matters are delegated to the programme officer for education and the programme officer for higher education and research. A designated education adviser in the Sida HQ plays a backstopping and technical support role, defined and resourced through the annual country work planning process.

Day to day roles and responsibilities reflect a mix of Sida internal and external factors, especially growing engagement in country aid architecture. The organisational roles and responsibilities in Tanzania are also significantly affected by the overall aid architecture related to NSGRP planning, implementation and monitoring. The Counsellor has extensive responsibilities for high level development policy dialogue with Government, development partners and non-state actors. The country economist plays an extensive role in the macro-economic group of the NSGRP process. At the education sector level, given the use of general budget support modalities and implementation through Government systems, the role of the two education specialists focuses primarily on sector policy dialogue, through the government/donor partnership arrangements, the education sector donor working group, the annual joint education sector review process and the NSGRP process. The education specialists have discrete roles in planning and managing separate Swedish support for education development in Zanzibar (primarily the programme officer for education) and for higher education and research activity (primarily the programme officer for higher education and research).

Balance of responsibilities shift towards policy dialogue within Swedish embassy and with country partners in the context of general budget support. Within the education sector, a number of recent developments have affected the roles and responsibilities of education specialists within the Embassy. The shift in modalities from sector budget support to general budget support requires education staff to assume more responsibilities for policy dialogue at the interface between the NSGRP/sector level. This requires greater focus on communication and co-ordination with the country economist, especially related to sector economic, public expenditure and public financial management issues.

The increased attention by government and the donor partners on an education SWAp, including secondary education and higher education policies and strategies has resulted in increased responsibilities for policy dialogue in these sub-sectors. This requires attention to bridging problems that have emerged in the education sector as the result of previous support being focused on education sub-sectors. An additional responsibility, negotiated ahead of the posting of the two current specialists, is the decision by the education donor working group to delegate leadership to Sweden for 2007, preceded by being part of the troika in 2006. In addition, there is an informal agreement that Norway has delegated some responsibilities to the Swedish Embassy for higher education policy and research dialogue.¹³⁸

Country work plans for education staff are consistent with defined organisational responsibilities, including a clear role for HQ backstopping. The evaluation team assessment is that these roles and responsibilities are broadly reflected in day to day organisational practice. Country work plans and activities for the two education specialists devote significant time allocations for participating in dialogue with NSGRP thematic groups, the two education ministries and leading the education development partner group. In the case of the First Secretary, other key donor informants estimated at least 90% of time to partner dialogue activities. The First Secretary's additional responsibilities for Zanzibar education cooperation are reflected in work plans. The SAREC officer's discreet responsibilities for consultation, planning and monitoring of higher education research is also incorporated in work plans. Backstopping and technical support from Sida HQ education division for education cooperation and from SAREC for research is also clearly defined.

Proactive identification of education staff with appropriate experience and skill-mix is critical in fulfilling internal and external organisational roles. A critical factor in ensuring that in-country Embassy capacity to implement its Sweden's education cooperation strategy, especially ensuring the appropriate experience and skill-mix of the education staff, was that a discrete capacity assessment was conducted during the Tanzania country strategy process. In addition, it was reported that the Embassy actively engaged in recruiting staff with experience of working in similar policy environments, using more harmonized/aligned assistance arrangements and familiarity with the kinds of aid architecture being used in Tanzania. In addition, the Embassy informally, but proactively, influenced recruitment of education staff with the potential to lead the education development partner group, alongside ensuring that the previous Embassy incumbent provided backstopping in HQ.

Country aid architecture and aligned assistance modalities also help identify divisions of labour amongst donor partners. A key evaluation team finding is that the combination of country aid architecture and highly aligned assistance modalities has contributed to streamlining and harmonization of work priorities within the

¹³⁸ Reported in meetings between the evaluation team and the Royal Norwegian Embassy in Tanzania

Swedish Embassy and well-defined divisions of labour with government and development partners. Internally, it was confirmed that the country economist is devoting more attention to sector economics (including for education) and consultation with education staff on pertinent PER and PFM development issues (e.g. the proposed public expenditure tracking study for education in 2008). Similarly, the new GBS assessment memo will incorporate a comprehensive education sector assessment and results framework, drawing on advice on the Embassy education specialists. This GBS programme formulation process incorporates a review by a cross-sectoral local project appraisal committee (LPAC) within the Embassy.

The same factors are promoting better harmonized ways of working at the sector level. The proposed Swedish priorities for strengthening results monitoring systems, strengthened education ministry/donor partner consultations and reviews, finalising an education SWAp and forward planning for improved sector financial planning systems, are fully consistent with those of government and donor partners. Swedish chairing of the donor partner group will provide an opportunity to lead and influence achievement of these priorities.

Like-mindedness, dialogue and government/donor partner networking skills are a priority in highly aligned/harmonized aid environments. Simultaneously, this aid environment allows for well-defined divisions of labour. For example, another donor (DFID) has led on promoting sector results monitoring tool and economic advice to the education donor group (having more dedicated resources available). Donors confirmed that Sweden is expected to take the lead on higher education policy dialogue, given its dedicated programme officer on higher education and research. A key finding is that under the current aid environment, high value is attached to organisations and individuals being 'like-minded' and possessing strategic dialogue, networking and advocacy skills, alongside any sector specialist skills.¹³⁹

Some evidence of lack of clarity and understanding of respective roles and responsibilities of education staff in Swedish embassy. Field interviews within the Swedish Embassy and donor partners suggest that a number of issues could usefully be addressed. The delineation of roles and responsibilities between the programme officer for education and the programme officer for higher education and research in leading the donor group is unclear, carrying a potential risk of sub-sectoral policy fragmentation and dialogue. The comparative focus of the programme officer for higher education and research on broader higher education policy development (as part of sector wide ESDP formulation) and narrower higher education research could be further clarified. Norway's delegated authority to Sweden on higher education policy/research dialogue could also usefully be more formalized to define the limits of this delegation.

¹³⁹ Interviews with donor partners confirmed that Sweden is seen as likeminded, especially as part of the group of donors providing general budget support. There were mixed views on whether Sida support for Zanzibar education was consistent with this like-mindedness

5. Country Overview: Afghanistan (non-delegated authority, project approach, with delegated cooperation to UN/NGO agencies)

HQ and country education staff respectively focus on design and day to day monitoring. Currently the Afghanistan country office does not have delegated authority for decision making over the design of the education programmes. The education division in Sida HQ is responsible for the assessment process, decision making and results/impact monitoring, through annual review processes with UNICEF, SCA and BRAC. The education programme officer, in the Development Cooperation Section in Afghanistan is responsible for day to day monitoring of the education programme, including feedback to Sida Education Division on financial and narrative reporting by UNICEF, SCA and BRAC. Sida education division is also responsible for commissioning an external evaluation of programmes.

UN/NGO agencies have delegated authority for activity/resource decision making against annual work plan endorsed by Sida. The designated three implementation UN/NGO agencies are responsible for planning and management of the three programmes, using designated government and non-government agencies for implementation. These three agencies have delegated authority for decisions related to activities and use of resources, subject to an annual work plan and budget. The three agencies are also required to provide annual technical and financial reports, against agreed results, set out in logical frameworks.

The evaluation team found that operations are consistent with these formal responsibilities. The country-based education programme officer confirmed that in broad terms, the formal responsibilities are consistent with practical operations. The various decision and assessment memos are also consistent with these responsibilities as set out under non-delegated authority arrangements.

Some limitations in practice of UN/NGO delegated authority, especially related to reporting and anticipated MOE capacity building results. It was reported that these organisational arrangements do not always work well in practice. Some reported limitations include (i) lack of consensus on what constitutes expected results, especially related to capacity building objectives and outcomes/outputs; (ii) some lack of transparency in both technical and financial reporting; and (iii) especially in the case of the UNICEF programme, some blurring of responsibilities for technical and financial management between the UNICEF country office and designated education ministry agencies.

Role of Swedish embassy education staff and HQ adviser in sector policy dialogue and aid architecture somewhat unclear, but critical for contributing to development transition out of relief. Externally, the evolving aid architecture, especially aid effectiveness and sector working groups, are demanding other incountry responsibilities for the Swedish embassy. Participation in these sector working groups, including

a growing need for harmonization of analytical work and review missions, is a growing responsibility, which is not easily fulfilled at a distance from Stockholm. Generally, Sida trusts UNICEF and other donors to raise issues in relevant working groups as Sida's field office does not have capacity to participate in these. However, in reporting to donors and in other fora, Sida takes on its donor role and raises issues of importance to Sida. It was reported that the absence of direct education sector support from Sida to the government poses a constraint when it comes to direct dialogue with Ministry of Education. As the aid architecture strengthens, ensuring discrete and dedicated incountry capacity and authority for Sida staff to engage in government/donor partner sector dialogue, will become an increasing challenge.

6. Country Overview: Ethiopia (delegated authority, previously pool-funded arrangement, now project approach, delegated to UN agency)

Roles and responsibilities well-defined and understood, under both pooled funding and project approach. Sida organisational responsibilities for both the teacher development programme (TDP) and girls' education programme are well defined. For the TDP, Sida responsibilities for policy engagement, annual and mid-term review and organising release of funds are well defined in the joint MOU. The use of joint analytical work, sharing the costs of consultants, including Sida/other donor procurement arrangements and responsibilities are also clearly defined. The recognition that Sida support for TDP would be unconditional (whereas other donors had conditions) was less well defined. Evaluation team interviews confirmed that government, Sida and other donors clearly understood their roles and responsibilities, reduced transaction costs were evident and that the pooled funding arrangement resulted in all concerned being better informed.

Lack of clarity on changing organisational responsibilities with shift from pooled funding to project approach. Under the TDP, country education staff responsibilities focused mainly on strategic monitoring and policy dialogue. Under the project approach, in-country staff role needs to focus much more on review of narrower technical monitoring and financial reporting by UNICEF. Evaluation team interviews confirmed the clarity of responsibilities, although field staff reported concerns over aspects of UNICEF technical and financial reporting. The need for a revised role by the designated Sida HQ adviser under this new modality is unclear and would benefit from some review.

7. Country Overview: Bolivia (delegated authority, pooled funding arrangement)

Clearly defined roles and responsibilities of country and HQ education staff, enabled by proactive work planning by embassy. The Bolivia country office has delegated authority for programme operations, fully reflected and understood in the respective responsibilities of country education programme officer and HQ. The latter is responsible for technical advice and participation in the annual joint performance review meeting (ARM). The role of government, in organising the ARM, providing timely results information and financial reporting is also well-defined and clear.

A reported constraint is that the significant annual turnover of HQ technical advisers (4 staff in five years) is problematic in sustaining HQ technical advice and capacity to participate in annual review processes. To manage this risk, clear TORs, tasks and outputs are defined by the country office ahead of the ARM, which also optimizes the value of the advice from reportedly higher status and more listened to Swedish HQ advisers.

8. Country Overview: Rwanda (partially delegated authority, general support, with selective technical monitoring delegated to DFID)

Consistency between formal organisational responsibilities and operations in practice. Relevant Sida documents and evaluation team interviews indicate that the Sida organisational responsibilities are well-defined and effectively executed, including clear delegation of responsibilities to the designated DFID adviser for education. For example, Sida guidance on ways of working in a programme-based approach, including engagement with government and the education donor group are fully reflected in Sida country staff responsibilities, with the Sida country economist staying updated on the development through participating in cluster meetings, while relying on DFID to represent Sida in other meetings. The education donor partnership arrangements indicate their role is to support and influence government programmes. Both the Sida country economist and DFID adviser reported a clear understanding of this role.

Country aid architecture assists donor divisions of labour. Another implication of the PBA adopted in Rwanda is that support within and outside the sector needs to be strong, especially influencing the budget process. The Sida country economist indicated that a clear understanding of this role, reflected in the discreet Sida financial support together with DFID for the education public expenditure review, while DFID managed the work of the consultants. It was also reported that the Sida responsibility to actively support and help influence alignment between results and expenditures is fully understood and an important part of the Sida annual work programme. Similarly, priority is

given to both formal and informal dialogue and networking, consistent with Sida guidance on ways of working in a PBA environment.

Silent partnerships do not mean passiveness and Sida has been selectively proactive and constructive. In particular, both documentation and evaluation team interviews confirm that the Sida organisational responsibilities, though clear, do not constitute a “silent partnership”. Ways of working in Rwanda can be characterized as (i) extensive involvement in government/joint donor dialogue (e.g. the annual review process); (ii) extensive cooperation to review and reprioritize Sida resources (e.g. combination of sector and NPRS related support); and (iii) an understanding of the importance of allocating time for results oriented analysis and follow-up (e.g. decisions after the joint review process). This way of working is fully consistent with the recommendations of the DESO analysis.

Formal definition of roles and responsibilities in MOUs help government/donor understanding and ways of working. This active partnership with government, other donors and DFID, is set within clearly defined responsibilities set out in formal agreements. For example, as defined, Sida draws heavily on DFID supported annual performance assessments. Nevertheless, all parties understand that the Sida ultimately is responsible for independent assessment of performance (Sida HQ through UND) and on decisions to release Sida support (Sida HQ through regional department). For example, evaluation team interviews with Sida and DFID country staff confirm that Sida frequently seeks clarification on DFID supported sector performance reports. In summary, it was reported that with no Sida sector expertise in the country office, active involvement by Sida HQ is necessary. With an experienced programme officer in education division this has functioned well, but these arrangements are vulnerable to personnel turnover at Sida HQ.

9. Country Overview: Russia (non-delegated authority, micro projects, managed by HQ)

Broad consistency between formal roles and organisational practice. The assessment memoranda sets out clearly the organisational roles and responsibilities between (i) Sida country staff; (ii) Sida HQ staff; and (iii) any Sida or Russian implementation agencies. It was reported that in most cases, these responsibilities were clearly understood and project management operations worked effectively. However, occasionally in instances where local project implementing agencies needed an urgent response, the country programme staff had to act as trouble shooters to save time, in terms of communication and response from HQ. For the most part, organisational arrangements worked smoothly.

Annex 12 Summary of Field and Distance Case Study Findings: Education Results Information Systems

1. Overview of Methodology

In the case of Bangladesh, DRC and Tanzania, a full field visit was conducted by the evaluation team. In the case of the other countries, teleconference interviews and home-based documentation reviews were conducted. In terms of aid modalities, the countries were typified as (i) most aligned assistance through general/sector budget support, using government financial systems (e.g. Rwanda, Tanzania); (ii) harmonized assistance approaches through forms of pooled funding but not channelled through country financial systems (Bangladesh, Bolivia, Ethiopia); and (iii) more traditional project investments, with selected delegated authority to other UN/NGO managing agencies (e.g. Afghanistan, DRC, Ethiopia). In some cases, Swedish education support incorporated more than one modality.

2. Country Overview: Democratic Republic of Congo (non-delegated authority, project approach, delegated cooperation with UN/NGO agencies)

Results chain and indicators between country strategy and education programme insufficiently defined. The modest and largely pragmatic programme of educational cooperation in DRC since 2004 cannot claim to have set clear overall goals and objectives for its work in the education sector or to have a well defined internal process by which to judge progress and results. The 2004–2008 Great Lakes strategy identifies possible opportunities for working in an under-funded sector and subsequent annual plans have identified activities with which Sida could and should engage. However, there are no benchmarks or higher order indicators of results whether in terms of specific DRC educational indicators or of particular benchmarks to be attained in the process of the development of a sector strategy. Annual reviews contain no results information on education.¹⁴⁰

¹⁴⁰ Note, that this conclusion is based on just one review report provided by the Embassy.

More outcome-oriented results frameworks would help future education programme definition and strategy. A potential rationale for the lack of definition includes (i) use of UNICEF and SCF programme indicators as a proxy; (ii) an acceptance of a limited range of country performance data on which to base an assessment; (iii) an understanding that project level indicators are sufficient until decisions over the transition from relief to development are determined; and (iv) awaiting establishment of more robust aid architecture and sector consultative groups that would help establish common performance indicators. Nevertheless while accepting the risk of unreliable performance outcome data, early steps to improve matters (e.g. proposed 2008 strategy review) will help inform future education strategy and associated results information needs, drawing on other sources (e.g. other donor sector assessments).

Capitalizing on other opportunities for using more outcome-oriented results information. There appears to be a recognition of limited Sida country capacities for setting up its own results information system and analysis. However, a number of opportunities are evident, including (i) review and updating of the existing Swedish results framework as part of 2008 country plan; (ii) rigorous independent appraisal of existing UN country education performance assessments; (iii) drawing on the government's own sector performance analysis; (iv) selective use of a number of other donor financed programme appraisals, reviews and studies; and (v) selective undertaking of specific analytical work using its own resources.

Output/activity results information is relevant for Sida's project approach, but may be less so if alternative modalities are adopted in future. Currently, the results information provided and used by Sida in-country education staff is best characterized as output/activity level, consistent with the current project approach. Its continued relevance and usefulness will depend on continuation or not of the current project-based support strategy. Even within the context of a continued project approach, a greater focus on the extent to which outputs have been achieved, as a means of looking at strategic choices, would be relevant. There may also be opportunities for divisions of labour, including some analytical contributions from Sida, in formulating a more outcome-oriented education performance database.

3. Country Overview: Bangladesh (delegated authority, pool-funded approach)

Mix of pooled funding and project modalities results in a diverse range of results information flowing within Swedish embassy. The scope and nature of results information is directly related to the pooled funding and project arrangements operating under education cooperation. Sida has been proactive in promoting a more outcome and less output/activity oriented results management system within the pooled funded PEDP-II. Sida has also been proactive in promoting capacity and systems development within the education ministry and reduced

dependence on outsourced results information collection and analysis. For the two education projects, the results information is more output/activity oriented, supplied by the NGO managing agents, with Sida staff role focusing on project progress assessment. Overall there is currently a consistent alignment between the nature of the results chain/information and its relevance to users within Sida.

Any longer term ambitions for more aligned education assistance will require greater diversity of results information, including financial and institutional results indicators. Over the longer term, there are some ambitions to move towards a full education SWAp (as opposed to the current sub-sector one) and in line with Paris Declaration commitments to formulate an action plan for more aligned assistance. The results information and user chain would need to be broadened, including (i) a greater focus on using PEDP-II and other programme/project results for strategic analysis and strategic choices, possibly drawing on the current EFA mid-decade assessment; (ii) collection and analysis of non-formal, secondary education and higher/TVET results information, as part of sub-sectoral strategy formulation; and (iii) more systematic analysis of institutional and financial performance data (e.g. through a review of ongoing PFM and procurement system analysis). Sida could usefully play a key role in influencing this agenda through the evolving education aid architecture and broader aid effectiveness working groups.

4. Country Overview: Tanzania (delegated authority, general budget support, with extensive sector dialogue)

Government leadership of NPRS processes is promoting government as the main source of results information. A key finding is that in Tanzania, the aid architecture and Swedish assistance modalities have a significant impact on the scope, diversity and sources of results information. Government leadership of the NSGRP process is predicated on the assumption that government will provide the necessary results information. Results information for the NSGRP thematic group review and the annual education sector review is provided through the education ministries, recognizing that particularly for higher education, limitations remain.

Results information used by the Swedish embassy has become more outcome-oriented and strategic in response to the transition from projects to general budget support. Aid architecture and assistance modalities also impact on the nature of results information required and provided, confirmed through field interviews and documentation review. For example, between 1997/2002, when Swedish education aid was primarily through projects, the results information focused on mainly activity/outcome level (e.g. number of teacher training workshops and teachers trained¹⁴¹). Little attention was paid to institutional development

¹⁴¹ Based on analysis of Sida 2005, Evaluation of Sida Support for Teacher Training in Tanzania

results (e.g. education expenditure planning systems). Much of this information was sourced by discrete monitoring activities by Sida programme staff, primarily for their own use.

Over the period 2002/6, when Swedish education aid was primarily through PEDP pooled funding, the results information focused mainly on the output level (e.g. number of schools built, number of teachers trained and qualified). Nevertheless, there was growing attention accorded to institutional development results (e.g. public expenditure tracking, PFM development) as evidenced by the public expenditure tracking study (2004). Increasingly, necessary information for both government and donor partners was sourced through government systems, with selective independent review and monitoring systems. There was also growing attention paid to sector financial performance, including independent audits.¹⁴²

The shift towards general budget support and NPRS level dialogue is encouraging a greater poverty impact orientation to results information, but more needs to be done. Since 2006/7, with Swedish education aid channelled through general budget support, the results information has shifted further in a number of ways. Firstly, at the macro level, the focus has been on a small number of rights' based and poverty oriented indicators.¹⁴³ At the sector level, results information flows have become more focused at the outcome level (e.g. enrolment rates, transition rates, percentage of qualified staff), alongside growing attention to financial performance results and system development results (e.g. PFM milestones). Nevertheless, it is recognized that more disaggregated and poverty oriented results information (e.g. percentage of children from the poorest families attending secondary school) constitutes a results information gap.¹⁴⁴

The current aid architecture is consolidating government and the donor group as primary users of results information, but Sida still uses such data for selective independent decision making. This pattern is also mirrored in how and who uses information and its relevance. Over the period 1997/2002 (the 'project period'), the primary user was Sida itself for the purposes of reporting back to HQ on output/activity progress, alongside discussions with MOEVT on changes in phasing and scaling of inputs and activities. Over the period 2002/6, MOEVT and pooled donor partners became the joint users, increasingly to monitor outputs/outcomes and review programming priorities. Nevertheless, the Swedish Embassy used this shared information to make independent decisions on the release and use of funds.¹⁴⁵

¹⁴² Review of PEDP documents indicated comprehensive demands on finance and education ministries to provide both sector performance, budget planning and disbursement results information, especially from 2004 onwards

¹⁴³ For example, the education sector performance indicators monitored under the NSGRP (the PAF compact) consist of only primary education net enrolment rate, transition rate to secondary school and gross higher education enrolment rate

¹⁴⁴ Based on discussions with MOEVT and donor partner officials and review of the Education Sector Review Report (2007)

¹⁴⁵ For example, in 2005, Swedish Embassy independently queried why their released funds for PEDP had not been disbursed by MOEVT (documentation review by evaluation team)

Greater focus on institutional and financial performance results information, driven by the NPRS process. The increased harmonization of funding for education over 2002/6 also resulted in greater use of financial performance results information to promote a dialogue on public expenditure and PFM reforms. The rotating chair of the education development partner group also facilitated reduced transaction costs for this kind of dialogue. Rather than each donor engaging in independent dialogue, responsibility was delegated to the respective chair over 2003/6.¹⁴⁶

The further transition to use of general budget support, more outcome-oriented NSGRP strategies and programming have further aligned results information systems. The PAF compact system provides results information that is used primarily to engage in pro-poor education policy and strategy dialogue. The users of this results information have further broadened to include finance ministry, local government ministry, district education offices and non-state actors. In addition, one local education NGO (Haki Elimu), which has been extensively supported by Sweden, has emerged as not only a significant source of education results information but a primary user for engagement in the annual sector performance review and with civil society groups.¹⁴⁷

Remaining Sida supported education projects retain a focus on output/activity level results. A number of less harmonized sources of results information are available and used by the Swedish Embassy. Sweden is a partner, with other donors, in monitoring education support to Zanzibar, with results information used primarily to monitor outputs and review programmes.¹⁴⁸ Swedish Embassy also draws on more discreet results information from other donor projects (e.g. UNESCO support for teacher training) and multi-lateral agency project appraisals (e.g. proposed World Bank higher education support).

Results information flows on the outcomes and impact of Swedish support for higher education research through SAREC are increasingly used by the Swedish Embassy, as higher education becomes a greater priority and capacity is available to use such information.¹⁴⁹ It is reported that results information flows on education programmes channelled through Swedish framework organisations is more uneven and features little in Swedish Embassy thinking on education strategy and programming.¹⁵⁰

¹⁴⁶ For example, in turn the representatives of Belgium, Netherlands and European Commission

¹⁴⁷ For example, Haki Elimu produces a wide range of policy briefs on education expenditure, teacher salaries, sub-sector performance

¹⁴⁸ For example, in 2007, the Swedish Embassy commissioned an independent evaluation of its education support to Zanzibar

¹⁴⁹ For example, the evaluation of higher education research in Tanzania in 2006 provides useful guidance on how to strengthen institutional rather than individual/faculty capabilities

¹⁵⁰ It is reported that education support channelled through SEKA to framework organizations focuses primarily on civil society organization capacity building rather than how it contributes to country or Swedish sector policy objectives

5. Country Overview: Afghanistan (non-delegated authority, project approach, with delegated cooperation to UN/NGO agencies)

Results chain between country strategy, Swedish development cooperation strategy and education support requires better definition. A broad finding is that the relationship between country development objectives, Swedish development strategy and expected development results is not clearly defined. An evaluation team review of the Afghanistan country strategy suggests limited independent assessment of the ANDS strategies, to what extent the ANDS is aligned with the Swedish country strategy and what ANDS performance indicators, both macro and sectoral, will be used to monitor the outcomes and impact of the Swedish development cooperation programme. This assessment is consistent with a previous evaluation by Sida.

Project modality results in output/activity level results information that may be a constraint during the transition from humanitarian relief to more sustainable education sector reform. At the education sector level, similar characteristics are evident. For the three education programmes, the results frameworks are best characterized by a focus on the output/activity level, with limited attention to sector or system outcomes or beneficiary outcomes. There is also limited strategic linkage between the programme results and broader poverty reduction or sector system capacity objectives and outcomes. For example, it was reported that the three implementing agencies and Sida did not always share a common understanding of what constituted capacity development results and how to monitor them. This included tensions over whether civil society organisations should be used for service delivery in competition with government agencies.

In terms of monitoring processes, the requirements tended to focus on the three agencies providing output/activity level information for review and analysis by the incountry Sida education programme officer. How this results information is relevant to or used as part of a broader education sector performance outcome monitoring system is unclear in assessment memos, despite the fact that initial pre-assessment memos accord particular attention to outcome level results (e.g. enrolment rates, gender parity in enrolment). Based on the documentation, much of the discussion on expected results and monitoring systems appears to be between Sida and UNICEF, BRAC and SCA respectively, with only limited dialogue with government or beneficiaries.

6. Country Overview: Ethiopia

(delegated authority, previously pool-funded arrangement, now project approach, delegated to UN agency)

Donor pooled funding arrangement promoted outcome level results information and helped avoid duplication of results data collection and analysis. The logframes for TDP and girls' education support were reviewed as a proxy for the results frameworks. Consistent with Sida guidelines, the TDP results framework was robust, showing a clear distinction between medium-term outcomes and shorter-term outputs/activities. The monitoring and evaluation processes, as a discreet monitoring/evaluation programme, were well-defined, including the role of Sida and other donors in supporting and participating in annual monitoring and evaluation exercises (Ibid 5). The original TDP strategy and results framework paid insufficient attention to institutional and organisational reform, recognized as a key issue during the 2006/7 monitoring exercises.

Shift towards education project has meant more activity oriented results frameworks, which may be a constraint if and when more harmonized/aligned assistance is forthcoming. The results framework for the girls' education project is judged as less consistent with Sida guidelines and new discussion papers.¹⁵¹ The results focus primarily at the output/activity/input level and how the proposed strategy will achieve medium and long-term gender equity outcomes for access and quality are unclear. Sida guidelines on institutional and capacity assessment could have been more effectively utilized. The overall monitoring/evaluation process is as a result uneven, with a focus on activity/input reporting. This may have contributed to reported Sida's dissatisfaction with aspects of UNICEF monitoring reports.

7. Country Overview: Bolivia

(delegated authority, pooled funding arrangement)

Government led aid architecture and joint performance monitoring is strengthening outcome oriented results systems and opportunities for policy dialogue. The log framework and results framework, jointly agreed between the three donors and government, are reasonably well defined, although poverty indicators and monitoring processes need further strengthening. Government responsibilities for results information collection and analysis are also well defined as part of the ARM process. Follow-up dialogue priorities and processes for doing so are set out in the MOU and followed. The reduction in transaction costs for government of the joint ARM is fully appreciated by all parties.

The ARM process, with strong and high profile Swedish presence, allows Sweden to fully participate in and help influence policy dialogue and reform planning. Initial concerns, mainly at the counsellor level, over loss of attribu-

¹⁵¹ SPM 2007, A Review of Results Management at Sida

tion of Sida education support, have been largely overcome. It is recognized that the need to streamline and rationalize the role of individual donors in supporting the education reform process is needed to avoid duplication. The objective is to do this by the end of 2008, taking account of comparative country capacity amongst the three basket fund FASE donors.

8. Country Overview: Rwanda (partially delegated authority, general budget support, with selective technical monitoring delegated to DFID)

NPRS related aid architecture and aligned assistance modalities are promoting outcome oriented results systems and donor divisions of labour in analytical work. The results frameworks and monitoring processes are comparatively well-defined, drawing on the Rwanda NPRS performance indicators and the Rwanda ESSP performance framework. The monitoring processes are also comparatively robust, using the joint government/donor annual review processes, with the majority of information being provided from government information systems. In the case of education, these information systems are supplemented by DFID support for an annual performance report. The impact on beneficiaries (e.g. districts, community groups) is provided through their participation in the annual joint education review process, reflected in the government's aide memoire.

Sida support for PER will promote more poverty oriented and financial performance results systems. The clarity and effectiveness of results frameworks and monitoring processes has been reviewed as part of the DESO results project. The evaluation team's independent review, based on existing documentation, broadly confirms the DESO findings. Results information linking rights and education performance (e.g. participation levels, dropout rates) is comparatively robust, as analysed in the annual performance report. Poverty impact analysis is less comprehensive, due to limited information and analysis of education performance in geographical areas with high poverty incidence. Nevertheless, the Sida commissioned education PER offers comprehensive guidance for more poverty-focused expenditure, within the broader pooled education support programme.

Sida assessment memos need a more robust and outcome oriented results analysis and framework. The evaluation team's analysis of Sida education programme documentation highlights a number of features. Assessment MOUs pay only limited attention to results frameworks and performance indicators, although in Rwanda, the government's ESSP performance framework partly compensates. Sida appraisal processes pay only limited attention to the linkage between policies/strategies and likely results, especially limited attention to institutional and organisational capacity analysis. There is also a tendency to blur performance and process indicators, with an assumption that carrying out a process (e.g. formulating a plan) will produce a result. Notwithstanding,

the growing focus on strengthening implementation capacity and better alignment of spending and expected results is a positive feature. Sida is reported to be playing a strong and constructive role in these debates. These findings are broadly consistent with that of previous Sida assessments.

9. Country Overview: Russia (non-delegated authority, micro projects, managed by HQ)

Limited attention to more system oriented results chain. Assessment memoranda set out clearly defined outputs and activities and timeframes that were reported to be generally effective for progress monitoring by Sida country and HQ staff and country implementing agencies. Longer term institutional development and broader poverty and human rights impact indicators were less clearly defined. It was reported that these results frameworks were sufficient to guide field monitoring operations by Sida country staff.

Annex 13 Summary of Field and Distance Case Study Findings: Organisational Arrangements for Using Education Results Information

1. Overview of Methodology

In the case of Bangladesh, DRC and Tanzania, a full field visit was conducted by the evaluation team. In the case of the other countries, teleconference interviews and home-based documentation reviews were conducted. In terms of aid modalities, the countries were typified as (i) most aligned assistance through general/sector budget support, using government financial systems (e.g. Rwanda, Tanzania); (ii) harmonized assistance approaches through forms of pooled funding but not channelled through country financial systems (Bangladesh, Bolivia, Ethiopia); and (iii) more traditional project investments, with selected delegated authority to other UN/NGO managing agencies (e.g. Afghanistan, DRC, Ethiopia). In some cases, Swedish education support incorporated more than one modality.

2. Country Overview: Democratic Republic of Congo (non-delegated authority, project approach, delegated cooperation with UN/NGO agencies)

Emerging education donor group constitutes a critical organisational arrangement for results analysis and strategic thinking. Sida plays its part in contributing to all major government, donor and NGO mechanisms for policy dialogue. The primary responsibility for engaging in this way and for gathering and analysing DRC sector information lies with the national programme officer. The intensity of this task is likely to increase. The degree to which this range of information and evidence guides Sida thinking and programme development cannot yet be fully assessed given the length of time that projects and sector policy processes have been in place. Nevertheless lessons learned since 2004 will be very important in the strategic review of 2008.

Internal organisational arrangements to use results information will be critical as part of any education cooperation strategic review. The proposed education strategy review will necessitate well organised arrangements for results analysis, including (i) the ability to digest and analyse a growing number of policy documents (mostly in French) may require some assessment in terms of time and capacity; (ii) regular bilateral discussion with donors and NGOs may also grow dependent on the outcome of the post 2008 strategy discussions; (iii) the adviser in HQ has access to a wide variety of comparative results based information and experience; and (iv) the Counsellor and the NPO have access to some of this at a distance and through the intranet but very largely through the advice of the HQ adviser.

3. Country Overview: Bangladesh (delegated authority, pool-funded approach)

Sida is being proactive in ensuring effective internal and external arrangements for use of results' analysis. Internally, the division of roles and responsibilities for managing evidence-based results and information equals the division of roles and responsibilities for managing the planning and implementation of development cooperation. The Embassy holds main responsibility and may request support from HQ as seen useful. This applies to both the pooled funded and project oriented education support.

Externally, the pooled donor funded group constitutes the key organisation for results analysis and forward strategic thinking, within which Sida has been proactive. In 2006 the Embassy did, for instance, require input from HQ to conduct a three-days' workshop 2006 in Dhaka introducing and explaining the main features of a SWAp and monitoring results rather than activities, first and foremost, intended for internal purposes but also inviting other development partners. The workshop was then followed by individual consultations to gain support moving to the Swap modality.

Sida has been proactive in promoting stronger organisations within government for results analysis, through the pooled donor group. There was a growing awareness in GoB of the need to look at results to be able to monitor change. Through providing consultancy support to the GoB to develop the recently agreed PEDP-II performance framework Sida also contributed to strengthening the GoB monitoring system in education as well as GoB monitoring capacity. Sida's strong support to improving the results-management system for PEDP-II is seen as a combination of coincidence of a perceived need for moving towards RBM and a strong interest within the Embassy to be active within this area.

The focus of the Embassy on results-based management is in turn very much in line with the efforts in Education Division to do so (as mentioned above). Sida was further able to capture the emerging opportunity thanks to the flexibility in its actions, which in the view of development partners is character-

istic of Sida development cooperation. It is highly appreciated among development partners that Sida's instruments allow rapid reactions to ad hoc needs, such as workshops, and consultancy inputs.

4. Country Overview: Tanzania (delegated authority, general budget support, with extensive sector dialogue)

The existing NPRS and sector level aid architecture and organisations are critical for effective use and analysis of results. A number of organisational arrangements are in place within the Swedish Embassy, between the Embassy and Sida HQ (including the education division), with government and donor partners and local NGOs for effective use of more results oriented information systems. A key finding of the evaluation is that in Tanzania, the Swedish Embassy has been proactive in helping to build up and use these organisational arrangements through high levels of engagement and putting in place the necessary internal capacity.

Delegated authority allows for timely use of results analysis for decisions on country strategy for education cooperation. The delegated authority to the Swedish Embassy and its commitment to strongly engage in the local aid architecture and systems is a key factor in these internal and external organisational arrangements. Delegated authority provides the Swedish Embassy with the mandate, use of human and operational resources to engage in these local organisational arrangements, which harmonize use of results and information.

Delegated authority facilitates internal decision making on how to adjust country and sector strategy and make decisions on release of discreet education support funds. The transition from sector budget support to general budget support has changed the location of this internal decision making authority. For example, under pooled funding support for PEDP, decision making was delegated to the education specialist. Under general budget support, the role of the education specialist becomes advisory, in consultation with the Counsellor and country economist.

The NPRS aid architecture has positively influenced internal organisational arrangements for results analysis, especially poverty and economic perspectives. Delegated authority and the local aid architecture have contributed to adjustment of internal organisational arrangements for use of results information. Internal working groups are in place to use results information in preparation for the annual NSGRP performance review process, involving close consultation between the Counsellor, country economist, education and other sector specialists. This ensures that internal use of poverty oriented results information, education sector level information and broader institutional development results provide a comprehensive body of evidence for decision making and consultation.

A well organised filing system is a critical tool for organising historical information on results and new staff induction. Another organisational arrangement for effective use of information, induction of incoming education staff and broader organisational learning is the internal knowledge management system (e.g. the historical filing system). An evaluation team review indicated that in the Swedish Embassy in Tanzania, the knowledge management system is robust. The filing system provides a comprehensive and well-documented picture and justification for the transition from project to sector budget support to general budget support. The use of the previous education specialist, relocated back to Stockholm in 2006, also helped strengthen organisational memory.

NPRS and sector aid architecture provides an organisational arrangement for effective results information flows. The local aid architecture provides the framework for organisational arrangements with government and other donors for sharing and using information. Key organisational arrangements include (i) participation and/or chairing of the NSGRP social well-being thematic group and education sector donor partner group; (ii) participation in the annual education sector performance review process; and (iii) using the education donor group as a mechanism for information exchange and use of results information, originating from a range of other donor programme appraisals, strategic studies and evaluations. There is significant evidence that through the government/donor partnership arrangements, education sector results information is being increasingly used for harmonized policy and strategy dialogue, as opposed to previously narrower programming and disbursement considerations.

A key finding of the evaluation was a high priority accorded to organisational learning through use of results-based evidence. Arrangements for doing so include (i) internal review of NSGRP and education sector performance review findings; (ii) extensive participation in Sida education division results project team activities (e.g. Tanzania is a key case study); (iii) regular consultation with the designated Sida education adviser in Stockholm; (iv) formal and informal discussions with development partners (e.g. with DFID on the use of general budget support as a mechanism for education sector dialogue); and (v) regular commissioning and use of operational research (e.g. the Zanzibar education programme evaluation, use of Haki Elimu operational research).

The current policy environment also helps promote a harmonized approach to strengthening country education results information systems. For example, the education donor group (with Sweden as part of the troika leadership) has been promoting measures to strengthen sector performance monitoring and information systems and help identify sources of donor support (e.g. UNESCO). Similarly, through the NSGRP thematic group, Sweden is a partner in promoting and supporting strengthening of financial performance results information systems, as part of broader PER and PFM initiatives.

5. Country Overview: Afghanistan (non-delegated authority, project approach, with delegated cooperation to UN/NGO agencies)

Internal organisational arrangements are well defined, with results used mainly for programme output/activity monitoring. Internally, within Sida, the organisational arrangements for using results information are well-defined. Sida education division HQ, through the designated adviser, is responsible for using whatever results information is acquired during country visits (or fed back from the country programme officer) in pre-assessment, assessment and contribution decision making phases of the process. This information appears to be primarily at the output/activity/input level, which may be sufficient for narrow programme monitoring but less so for future sector strategy and planning purposes. The organisational arrangements for using results information for more day to day operational matters are also clear and dedicated to the incountry education programme officer.

Organisational arrangements between the embassy and HQ for using education results may have to be reviewed as the transition from relief to development evolves. There is some evidence (in assessment memos) that Sida HQ, in the design of the education programme, draws on other sources of results information, especially UNICEF data. To some degree, this is inevitable given the current limitations of macro and sector development information systems within government agencies, as highlighted by the OECD DAC assessment above.

Nevertheless, there appears to be more scope for drawing on more strategic education sector performance assessments and results (e.g. from World Bank, Asian Development Bank) and participation in joint sector analytical work or joint missions. Based on the documentation, there is little evidence of using results information related to progress made in sector systems and institutional development (e.g. education management information systems, public financial management, staff recruitment, deployment, remuneration), which are invaluable in charting a transition from relief/reconstruction to longer-term development.

6. Country Overview: Ethiopia (delegated authority, previously pool-funded arrangement, now project approach, delegated to UN agency)

Donor pooled funding arrangements have facilitated effective use of results and formed the basis for significant organisational learning. The evaluation team found substantial evidence of a commitment to organisational learning within Sida for the design and implementation of the education programmes. The design documents draw heavily on and use effectively analytical work by Sida, other pooled funding donors and UNICEF. The designs also demonstrated a clear

understanding and use of Sida steering documents, especially related to gender equity, operationalizing alignment/ harmonization and Sida at Work (especially in the girls' education project). Evaluation team interviews with Sida staff confirmed this assessment.

The evaluation team also found that the regular policy dialogue with government and other donors, through annual and mid-term review processes, contributed significantly to Sida organisational learning. This was reflected in the new design features of the proposed TDP second phase (although not implemented). The very systematic monitoring/evaluation process for TDP, alongside discreet pooled donor funding meetings, clearly contributed to Sida organisational learning, at least at the country level. The previous Sida education specialist in Ethiopia confirmed that these processes made Sida better informed.

7. Country Overview: Bolivia (delegated authority, pooled funding arrangement)

Pooled donor funding arrangement has facilitated results analysis and Sida organisational learning. The design process reflects a strong organisational learning process, drawing on (i) country CSP results analysis; (ii) use of the lessons learned from the World Bank led CDF process; (iii) findings of Sida education programme evaluations (Ibid 3); (iv) building on preceding design processes for Netherlands support to education; and (v) extensive joint review and appraisal of the Bolivian PRS and education strategy. The lessons learned over the period 1997/2004 are fully reflected in the assessment MOU.¹⁵²

A potential constraint on sustained organisational learning is the high turnover of HQ advisers, whose primary role is to feed back lessons learned into HQ knowledge management processes. While continuity of country programme staff partly offsets these risks, maintaining strong management of country knowledge in HQ is a priority, through clearly defined knowledge management responsibilities for HQ staff in the ARM process.

8. Country Overview: Rwanda (partially delegated authority, general budget support, with selective technical monitoring delegated to DFID)

Education sector aid architecture has promoted better use of results and facilitated Sida decision making. The design of the Sida education cooperation in Rwanda reflects an extensive Sida learning process over a number of years, especially the decisions to (i) selectively delegate aspects of cooperation (e.g. performance assessment) to DFID; and (ii) provide a mix of sector and general bud-

¹⁵² Memorandum Assessment clearly sets out lessons learned, design implications and risk management strategies in section 3.

et support. Key Sida organisational learning processes have included (i) active participation in the joint annual review (JAR); (ii) extensive participation in the education donor group; and (iii) a number of Rwanda case study analyses on aid modalities and results based management.

One outcome of this organisational learning process was the decision to adjust the Sida country staff skill mix to focus on poverty and economic analysis, through a country economist rather than an education sector professional. This took account of the perceived comparative advantage of DFID at the sector level. Nevertheless, Sida's comparative advantage on aspects of education economics/public expenditure has resulted in Sida taking an important lead on education public expenditure analysis, feeding into NPRS and education sector policy dialogue.

Significant staff turnover can potentially undermine organisational memory and effectiveness. Nevertheless, evaluation team interviews suggest that both Sida and DFID staff turnover constitutes a potential constraint on organisational memory and learning. Despite every effort, it is not always easy for the Sida country economist with a wide brief and extensive workload to effectively manage country knowledge about the sector. The newly arrived DFID adviser acknowledged heavy reliance on long-standing DFID locally-appointed Rwandan education programme staff. From the Sida viewpoint, ensuring effective knowledge exchange and management between the country office and HQ advisers is a critical issue.

9. Country Overview: Russia (non-delegated authority, micro projects, managed by HQ)

The Russia country strategy and specific education assessment memoranda revealed extensive use of lessons learned from previous assistance, other political economy and sector assessments. The main location of this institutional memory rested with HQ project managers, as opposed to the two country programme staff, located in Moscow and St. Petersburg. It was reported that HQ has a comprehensive knowledge, especially in SEKA, of the capacity of various Swedish organisations (e.g. universities, NGOs) applying for Swedish grants.

List of Discussants

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Ms. Christina Etzell, First Secretary

Ms. Rachel Boketa, National Programme Officer

Mr. Magnus Carlquist, Former Head of Development Cooperation
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These two gentlemen were however travelling outside Dar).

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Ms. Marianne Kronberg, Country Economist

Russia

Ms. Christina Danielsson, First Secretary

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Policy Guidance and

Results-Based Management of Sida's Educational Support

This is an evaluation of policy guidance and results-based management in Sida's educational support. It examines user relevance of the guidance instruments, in the form of policies and guidelines, and results information from evaluation and monitoring instruments. The evaluation also assesses the organisational conditions in Sida and the framework organisations that influence the actual use of policies and results information.

It is concluded that there is a clear need to make steering instruments more accessible to staff both at Sida Stockholm and in the field, as well as to provide stronger incentives to use the instruments. With regard to results information availability is varied, as is quality of existing information. It follows that basic preconditions for results-based management are lacking in the educational sector. An overall conclusion is that management in the education sector is based on blueprint formats rather than a systematic use of policy instruments or information on results.

The evaluation was carried out by a team of international consultants, led by GRM International.



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