Prospective evaluation of GPE's country-level support to education

Kenya Second Annual Report

UNIVERSALIA

RESULTS FOR DEVELOPMENT

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Acronyms

ACE	Adult and Continuing Education
APBET	Alternative Provision of Basic Education and Training
ASAL	Arid and Semi-Arid Land
BOM	Board of Management
CA	Coordinating Agency
CBC	Competency-Based Curriculum
CEQ	Core Evaluation Question
CIDA	Canadian International Development Agency
CL	Country Lead
CLE	Country-Level Evaluation
CLO	Country-Level Objective
CPD	Continuing Professional Development
CR	Completion Rate
CRS	Creditor Reporting System
CSEF	Civil Society Education Fund
CSO	Curriculum Support Officer
DAC	OECD Development Assistance Committee
DFID	UK Department for International Development
DLI	Disbursement-Linked Indicator
EAC	East African Community
ECD	Early Childhood Development

EDPCG	Education Development Partners Coordination Group
EFA/FTI	Education For All Fast Track Initiative
EGM	Early Grade Mathematics
EGMA	Early Grade Mathematics Assessment
EGRA	Early Grade Reading Assessment
EMIS	Education Management Information System
ESA	Education Sector Analysis
ESP	Education Sector Plan
ESPDG	Education Sector Plan Development Grant
ESPIG	Education Sector Plan Implementation Grant
EYC	Elimu Yetu Coalition
FPE	Free Primary Education
FSE	Free Secondary Education
GA	Grant Agent
GDP	Gross Domestic Product
GER	Gross Enrollment Ratio
GoK	Government of Kenya
GPE	Global Partnership for Education
GPI	Gender Parity Index
GRA	Global and Regional Activities
IBE	International Bureau of Education
IBRD	International Bank for Reconstruction and Development
ICT	Information and Communication Technology
IDA	International Development Association

IFFEd	International Financing Facility for Education
IIEP	International Institute for Education Planning
ISCED	International Standard Classification of Education
JFA	Joint Financing Arrangement
JICA	Japanese International Cooperation Agency
JSM	Joint Support Mission
JSR	Joint Sector Review
KCPE	Kenya Certificate of Primary Education
KCSE	Kenya Certificate of Secondary Education
KESSP	Kenya Education Sector Support Plan
KICD	Kenya Institute of Curriculum Development
KII	Key Informant Interview
KIX	Knowledge and Information Exchange
KNEC	Kenya National Examinations Council
KNESSP	Kenya National Education Sector Strategic Plan
KNUT	Kenya National Union of Teachers
KSH	Kenyan Shilling
LAS	Learning Assessment System
LEG	Local Education Group
LMIC	Lower-Middle-Income Country
M&E	Monitoring and Evaluation
MCA	Maximum Country Allocation
MLA	Monitoring Learning Achievement
MoE	Ministry of Education

MoICT	Ministry of Information, Communications and Technology
MP	Member of Parliament
NASMLA	National Assessment System for Monitoring Learner Achievement
NEMIS	National Education Management Information System
NER	Net Enrollment Ratio
NESP	National Education Sector Plan
NFE	Non-Formal Education
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
PDG	Program Development Grant
PDO	Project Development Objective
PPP	Purchasing Power Parity
PRIEDE	Primary Education Development
PRIMR	Primary Math and Reading
PTR	Pupil Teacher Ratio
QAR	Quality Assurance Review
RF	Results Framework
RTI	Research Triangle International
SABER	Systems Approach for Better Education Results
SACMEQ	Southern African Consortium for Monitoring Educational Quality
SAGA	Semi-Autonomous Government Authorities
SDELBE	State Department of Early Learning and Basic Education
SDI	Service Delivery Indicators
SDUE	State Department of University Education

SDVTT	State Department of Vocational Education and Technical Training
SEN	Special Educational Needs
SEQIP	Secondary Education Quality Improvement Program
SIP	School Improvement Plan
STEM	Science, Technology, Engineering and Mathematics
SWAp	Sector-Wide Approach
ToC	Theory of Change
TPAD	Teacher Professional Appraisal and Development
TSC	Teacher Service Commission
TVET	Technical and Vocational Education and Training
UK	United Kingdom
UIS	UNESCO Institute of Statistics
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
US$	United States Dollar
USAID	United States Agency for International Development
VT	Variable Tranche

Terminology

Alignment	Basing support on partner countries' national development strategies, institutions and procedures.[1]
Basic education	Pre-primary (i.e., education before Grade 1), primary (Grades 1-6), lower secondary (Grades 7-9), and adult literacy education, in formal and non-formal settings. This corresponds to International Standard Classification of Education (ISCED) 2011 levels 0-2.
Capacity	In the context of this evaluation we understand capacity as the foundation for behavior change in individuals, groups or institutions. Capacity encompasses the three interrelated dimensions of *motivation* (political will, social norms, habitual processes), *opportunity* (factors outside of individuals, e.g. resources, enabling environment) and capabilities (knowledge, skills).[2]
Education systems	Collections of institutions, actions and processes that affect the educational status of citizens in the short and long run.[3] Education systems are made up of a large number of actors (teachers, parents, politicians, bureaucrats, civil society organizations) interacting with each other in different institutions (schools, ministry departments) for different reasons (developing curricula, monitoring school performance, managing teachers). All these interactions are governed by rules, beliefs and behavioral norms that affect how actors react and adapt to changes in the system.[4]
Equity	In the context of education, equity refers to securing all children's rights to education, and their rights within and through education to realize their potential and aspirations. It requires implementing and institutionalizing arrangements that help ensure all children can achieve these aims.[5]

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[1] OECD, Glossary of Aid Effectiveness Terms. http://www.oecd.org/dac/effectiveness/aideffectivenessglossary.htm GPE understands 'country systems' to relate to a set of seven dimensions: Plan, Budget, Treasury, Procurement, Accounting, Audit and Report. Source: GPE, Methodology Sheet for GPE Indicator (29): Proportion of GPE grants aligned to national systems.

[2] John Mayne, The COM-B Theory of Change Model. Working Paper (2017).

[3] GPE, Equity and Inclusion in Education. A Guide to Support Education Sector Plan Preparation, Revision and appraisal (2010), 3. https://www.globalpartnership.org/content/equity-and-inclusion-education-guide-support-education-sector-plan-preparation-revision-and

[4] World Bank, *World Development Report 2004: Making Services Work for Poor People* (Washington, DC: World Bank; New York: Oxford University Press, 2003).

[5] GPE, Equity and Inclusion in Education. A Guide to Support Education Sector Plan Preparation, Revision and appraisal (2010), 3.

Financial additionality	This incorporates two not mutually exclusive components: (1) an increase in the total amount of funds available for a given educational purpose, without the substitution or redistribution of existing resources; and (2) positive change in the quality of funding (e.g. predictability of aid, use of pooled funding mechanisms, cofinance, non-traditional financing sources, alignment with national priorities).
Gender equality	The equal rights, responsibilities, and opportunities of women, men, girls, and boys, and equal power to shape their own lives and contribute to society. This encompasses the narrower concept of gender equity, which primarily concerns fairness and justice regarding benefits and needs.[6]
Harmonization	The degree of coordination between technical and financial partners in how they structure their external assistance (e.g. pooled funds, shared financial or procurement processes), to present a common and simplified interface for partner developing countries. The aim of harmonization is to reduce transaction costs and increase the effectiveness of the assistance provided by reducing demands on recipient countries to meet with different donors' reporting processes and procedures, along with uncoordinated country analytic work and missions.[7]
Inclusion	Adequately responding to the diversity of needs among all learners, through increasing participation in learning, cultures and communities, and reducing exclusion from and within education.[8]

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https://www.globalpartnership.org/content/equity-and-inclusion-education-guide-support-education-sector-plan-preparation-revision-and
[6] GPE, Gender Equality Policy and Strategy 2016-2020 (2016), 5.
http://www.globalpartnership.org/sites/default/files/2016-06-gpe-gender-equality-policy-strategy.pdf
[7] Adapted from OECD, Glossary of Aid Effectiveness Terms.
http://www.oecd.org/dac/effectiveness/aideffectivenessglossary.htm and from GPE, Methodology Sheet for GPE Indicator (30): Proportion of GPE grants using (1) cofinanced project or (2) sector pooled funding mechanisms.
[8] GPE (2010), 3.

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Acknowledgements

The evaluation team hereby wishes to express its gratitude to all stakeholders who have been involved in and supported this evaluation, in particular Martha Ekirapa, who, as the GPE focal point in the Ministry of Education, played a central role in the organization of our meetings in Kenya. We would also like to thank Dr Mary Otieno, who, as our Kenyan counterpart, worked with Martha to organize and facilitate this work. Additionally, we would like to extend our gratitude to all of the people and organizations that took part in this evaluation and contributed their time and views to substantiate the findings of this report.

Disclaimer

A draft version of this report was shared with the Secretariat, an Independent Technical Review Panel and the Local Education Group in Kenya. The report was revised based on comments provided by the first two of these groups. The evaluation team appreciates the feedback received from stakeholders.

Executive summary

A) Overview

This is the last annual report to be submitted during the three-year prospective evaluation of the Global Partnership for Education (GPE) in Kenya – one of eight country prospective evaluations that will be complemented by a total of 20 summative country evaluations, to be carried out between 2018 and 2020. It follows a baseline report on Kenya that was submitted in May 2018 and a first annual report delivered in December 2018. This report presents the findings of the final prospective evaluation mission to the country, which took place in July 2019. The report offers conclusions on the basis of the data collection, monitoring and assessment undertaken throughout the evaluation period and is written as a standalone report for the prospective evaluation 2017 – 2020.

B) Purpose and objectives

The purpose of the prospective evaluations is to assess whether GPE's inputs and influence are orienting education sector planning, implementation, monitoring, and financing toward the intermediary outcomes outlined in its theory of change (ToC). In the first two years of the evaluation, the prospective evaluations have been forward-looking, and explore what happens while it happens. They have closely observed initial decisions, documented the perspectives of decision-makers and focused on the activities and involvement of key stakeholders early in the period under review in order to understand whether progress is being made and whether, and to what extent, GPE is making a contribution. This report finalizes the evaluation for Nigeria with a summative view of the 2017-2020 period.

The objective of the prospective evaluations is to assess the relevance, efficiency and effectiveness of GPE's inputs at the country level, as well as the validity of GPE's ToC in light of the GPE Strategic Plan 2016–2020. The prospective evaluations seek to establish if and how GPE inputs and activities contribute to outcomes and potential impact at country level. They are designed to assess GPE's progress on its goals and objectives.

C) Education in Kenya

Kenya has shown great success in expanding access to education to all children with free primary education being introduced in 2003, and free secondary education in 2008. This lead to dramatic increases in enrolment, with Kenya being officially considered to have achieved universal primary education. In more recent years the focus has shifted to ensuring equity in access to education, with Arid and Semi-Arid Lands (ASAL) counties lagging behind other in terms of access.

A key policy focus for the ministry of education currently is the push to improve learning outcomes for those enrolled. A cornerstone of this has been the introduction of a new, competency based, curriculum (CBC). The CBC places emphasis on what children can do, rather than on what they know. This means a shift away from high stakes summative assessments towards continuous assessments based on in class work and assignment to be done in the home. The CBC also entails a move from an 8-4-4 (8 years primary school, four years secondary, and four years tertiary) to a 2-6-3-3 (two years pre-primary, six years

primary, three years lower secondary and three years upper secondary). 2018/19 saw the first stage of CBC implementation.

D)   GPE in Kenya

Kenya is a longstanding GPE partner, having been a part of the Education for All Fast Track Initiative (EFA-FTI) from 2005. Under the EFA-FTI Kenya received US$ 121 million, which contributed to a Sector Wide Approach (SWAp) to supporting the Kenya Education Sector Support Program. This was done under a Joint Financing Arrangement (JFA) with a number of other donors, coordinated by a project implementation unit in the Ministry of Education (MoE). In 2008 it was found under audit that the MoE could not account for a significant amount of donor funding. This lead to the dissolution of the JFA and the removal, after internal investigation, of a number of senior MoE officials.

In 2013, Kenya received an Education Sector Plan Development Grant (ESPDG) or US$ 250,000 to support the development of the National Education Sector Plan (NESP). To support implementation of the NESP GPE provided an Education Sector Plan Implementation Grant (ESPIG) of US$ 88.4 million, which funded the Primary Education Development (PRIEDE) program. PRIEDE is based on an expansion of the early grade mathematic component of the pilot Primary Math and Reading (PRIMR) initiative, aimed at improving the teaching of early grade mathematics, as well as increasing the supply of teaching and learning materials. In addition to this, PRIEDE has supported the delivery of the Education Sector Analysis in 2018, and the development of the Kenya National Education Sector Strategy Plan (KNESSP 2018-2022). PRIEDE is implemented through the MoE, with the World Bank acting as Grant Agent (GA), and in 2019 received extension funding as part of a new ESPIG. As Kenya has become a Lower Middle Income Country (LMIC), it is has received a reduction in its Maximum Country Allocation (MCA) from GPE. The ESPIG approved in 2019 has therefore been reduced to US$ 9.7 million.

In addition to funding to the MoE, GPE has provided three rounds of funding to a civil society umbrella organisation, the Elimu Yetu Coalition. This has been provided in 2016, 2017 and 2018 through the Civil Society Education Fund (CSEF) grant window.

In total Kenya has been allocated, in addition to non-financial inputs, US$ 210,281,299, of which US$ 195,335,796 has been disbursed as of 2019.

E)   GPE contributions to sector planning

State of sector planning in Kenya

The Kenya National Education Sector Strategic Plan (KNESSP 2018-2022) has been widely praised by development partners and civil society, despite being a year behind schedule (coming into implementation during the 2019/20 school year). The KNESSP was found to have met all of GPE's criteria for assessing sector plans, building on lessons learned from the Kenya Education Sector Support Plan (KESSP 2005-2010) and the National Education Sector Plan (NESP 2013-2017). The development of the KNESSP is widely regarded to have been a rigorous, government owned process. The Education Sector

Analysis (ESA) carried out in 2018 forms the theoretical grounding for the KNESSP, with strategies being linked directly to the assessment of the ESA.

The second evaluation mission found that the KNESSP is perceived to be a crucial document in ensuring that the education sector in Kenya moves towards being *proactive* rather than *reactive* in addressing challenges. The introduction of a governance and accountability program for the KNESSP, as well as better monitoring provision and financial modelling will improve the ability of the Ministry of Education (MoE) to implement its activities. It is felt that a flaw for the NESP was that it was too ambitious, with inadequate operational planning and resource allocation to adequately implement its activities. The strengthening of the governance and accountability program is perceived to be a strong solution to balancing ambition and achievability.

Provision for inclusion of vulnerable groups is reasonably strong in the KNESSP, but there are some key areas for improvement. A key criticism of the KNESSP has focused on the inclusion of a strategy to mainstream education for refugee populations. While such a strategy was initially included in the KNESSP, during the approval process the commitment was removed, which was felt by key stakeholders to be a step backwards in terms of ensuring that refugee students have adequate access to education, just like any other students without discrimination. In the stakeholders meeting, MoE representatives asserted that there was a clear statement in KNESSP that mentioned about education for all students including the vulnerable groups. However, the development partners and other participants clarified that vulnerability was a blanket statement without targets on specific categories of students and this was viewed as weak. Suggestions were geared to have clearer specific statements in the future plans to be more inclusive. In addition, this is seen by the MoE as a cross-ministerial issue, and therefore difficult to tackle specifically in MoE planning

The process of developing the plan was largely seen as being participatory, however better dissemination and communication of the KNESSP would ensure accountability to its targets. The Education Development Partners Coordination Group (EDPCG) was widely consulted in the development of the KNESSP, and its constituent bodies largely felt that their priorities were represented in the final plan. It has, however, been noted that a more bottom up approach to planning (i.e. starting with county or sub-county education offices), as well as a more thorough strategy for disseminating the plan and its key strategies, would ensure accountability to the KNESSP at all levels of implementation.

GPE contributions

Over the course of three sector plans, the role played directly by GPE funding has diminished as government inputs have become more prominent. The development of the KNESSP was a key indicator for the PRIEDE program and therefore received funding which supported technical support on financial forecasting. However, outside of this support, development of the KNESSP has been driven and owned by the directorate of planning and policy in the MoE. The MoE relied heavily on the experience of using the GPE guidelines for sector plan development as utilized in previous planning cycles, showing the lasting impact of GPE support on ensuring the development of sector plans. This demonstrates a successful transition away from GPE support and towards a credible, government owned sector planning process.

While stakeholders involved in the planning process recognise the value of the GPE Secretariat's appraisal process for sector plans, in the case of the KNESSP, it wasn't considered to have been significantly effective. This is largely due to the fact that the development of the plan was behind schedule, and needed to be finalised in time for the 2019/20 school year, leaving little time for a long period of appraisal and improvement.

F) GPE contributions to sector dialogue and monitoring

State of sector dialogue and monitoring in Kenya

The Education Development Partners Coordination Group (EDPCG) continues to play a key role in sector dialogue in Kenya. In general dialogue and trust between actors, including the MoE, Development Partners, Civil Society, and Teachers Unions is good and improving. The EDPCG is a crucial forum that brings together actors to share information on the education sector plans, with an aim to improve coordination and harmonization. The EDPCG has no fixed membership and is instead open to all education sector actors. It is currently chaired by UNESCO (on a yearly rotation which aligns with the role of coordinating agency for GPE grants). The rotating chair is seen as valuable, as it ensures balance and strong organization.

Alongside the ESPDG, an Informal Troike group acts as well-functioning mechanism for sector dialogue. As an informal advisory body the Troika currently consists of the MoE along with UNICEF, The World Bank, JICA, UNESCO, and USAID. While the Troika is an important advisory group for the MoE, it is felt by some as being too narrow and exclusive. The fact that membership is limited to the biggest funders in the sector means that other agencies with a technical mandate, or representatives of civil society are not included in high level discussions. The EDPCG is a good forum for decision making, but with key decisions being made in the smaller Troika group, it is felt that the EDPCG is *informed* but not *involved* in dialogue.

Looking forward, intention to monitor progress within the education sector in Kenya exists, with Joint Sector Reviews (JSRs) being planned against the KNESSP. However, monitoring against the previous sector plan has been weak. The first JSR of the KNESSP is planned to be held in February 2020, with a taskforce established in the MoE to organize the event. If successful this will improve upon a key weakness of the education sector in Kenya. Previously monitoring of progress against sector plans in Kenya has not been transparent, with little data being published, and no reliable forum in which to openly discuss and critique progress. The National Education Management Information System (NEMIS) has been created to be a "one stop shop" for education data, but is not yet operation due to challenges in registering primary school students (as students without birth registration documents cannot be registered). This means that apart from the ESA in 2018, there is no widely published data on the education system or a final assessment of the success of NESP implementation.

GPE contributions

GPE has played an instrumental role in improvements in sector dialogue across through financial and non-financial support some of which are by encouraging between government and development partners including local actors in education. The key support for mutual accountability has beenthrough the EDPCG, the Coordinating Agency (CA) who also acts as chair of the EDPCG. The EDPCG is an initiative strongly advocated for and facilitated by GPE as part of the KESSP in 2005, and its success is widely attributed to the influence of GPE. Support through the Civil Society Education Fund (CSEF) grant window has also been crucial for the strengthening of the Elimu Yetu Coalition, asa key voice for civil society accountability in Kenya. **The establishment of NEMIS and the 2018 ESA were both key outcomes for, and have been financed by the GPE funded PRIEDE program.** While the NEMIS is not yet operational, it is a key opportunity for Kenya to improve the quality and timeliness of education sector data. NEMIS will create an online platform which would enable the production of real time, student level data to be used by policy makers. While there have been challenges in its establishment, it will soon be operational and contributing to better monitoring of education. The improvements in data go hand in hand with the push for yearly JSRs, which was pushed for by the EDPCG along with the inclusion of a governance and accountability portion of the KNESSP. This is another important result of GPE's advocacy for better monitoring and accountability.

GPE contributions to sector financing

State of sector financing in Kenya

The funding targets set out in the KNESSP are ambitious, and while a steady increase in domestic funding is planned for, significant funding gaps still exist. The total financing gap for the KNESSP is over US$ 6 billion over five years. While this is clearly a significant gap, the MoE is confident that it will be covered by further increases in treasury allocations, as well as contributions from external funders, which were not covered in the KNESSP's financial forecasts. The MoE is positive that local funding if consolidated may cushion some of its activities even if not fully.

Free primary and free day secondary education in Kenya have been funded using a capitation grant scheme, which is considered to be effective. A fixed capitation is paid to schools for every student in Kenya, regardless of school location, income or demography. This has ensured that free education can be provided for all students. This has been important in achieving universal primary education. Suggestions from civil society are that the use of NEMIS data to better target capitation grants based on a needs assessment would ensure that schools received the funding needed. Currently schools in low cost areas receive more than they need, while those in high cost areas are comparatively underfunded (in terms of real purchasing power).

Donor trust was damaged by the financial irregularities associated with the KESSP (2005-2010), leading to a drop in the amount and quality of international financing (as well as the contingent technical assistance). After 2010 there was a period of mistrust, with donors either pulling funding out of Kenya, or choosing to fund off budget projects. Until PRIEDE, no donors invested money in the MoE, a marked change to the Joint Financing Mechanism employed to support the KESSP. Since PRIEDE trust is being rebuilt in the government, with the World Bank's SEQIP being a second large project implemented directly

through the MoE. Overall external funding for education has increased steadily from its low point in 2011, with US$ 108 million being allocated to education in 2017. Increasing this funding will be crucial for closing the KNESSP funding gap.

GPE contributions

GPE's contribution to sector financing in Kenya has been significant, particularly in terms of its commitment to investing in aligned support, and the impact on building trust in the MoE. PRIEDE was the first program to directly engage with the MoE, after the dissolution of the KESSP. This has been the key factor in the improved trust in the MoE, both in terms of a move towards more aligned funding, but also in terms of improving dialogue between the MoE and its partners. In addition to this, the support through PRIEDE for improved financial forecasting in the KNESSP provides an important framework to encourage greater alignment for other donors, by giving a clear picture of the size of the funding gap for different levels of education. Over the 2011-2017 period, GPE contributed 12 percent of total ODA to basic education.

G)   GPE contributions to sector plan implementation

State of sector plan implementation in Kenya

A lack of monitoring data since the mid term review in 2017 makes detailed summative assessment of NESP implementation performance challenging. However, it is possible to say that generally the implementation of the NESP can be considered a success. The more ambitious targets in the NESP, i.e. the CBC and NEMIS were not completed, and were considered to have drawn focus away from a more balanced approach to sector plan implementation (i.e. a reactive stance rather than a proactive one). These issues have moved across to the KNESSP, and are now considered to have more achievable timelines, and well considered implementation plans. There is a feeling that after a year long break for the development of the KNESSP, that the GoK is committed to using the KNESSP as a framework for implementation. The improved focus on monitoring, governance and accountability is specifically aimed at improving implementation capacity and will likely engender more effective progress towards targets.

The GPE appraisal of the KNESSP highlighted potential challenges that could be faced during implementation. The appraisal noted that the spending targets are ambitious and the potential funding gaps large. In the case that funding is not adequate to cover all activities outlined in the plan, prioritization of activities is important to maximize outcomes. This was noted as still being lacking from the KNESSP. Implementation capacity in certain domains has also been noted as a risk. For example, ECD has been devolved to county level, but it is felt that county education offices often do not have the capacity to implement the planned ECD activities. The implementation of the CBC also relies heavily on the capacity of schools, teachers and even parents (who play a significant role in project work), and there are concerns that adequate resources are not being made available to ensure smooth implementation.

GPE contributions

Implementation of PRIEDE has been widely praised, as has its role in building capacity for implementation within the MoE. Currently activities from PRIEDE are being integrated into the operating models of the relevant directorates in the MoE. This is being done using the 2019 ESPIG, allocated as an extension for PRIEDE. Integrating these activities, allows for the capacity built through PRIEDE in the project implementation unit to spread to other directorates in the MoE. This has been noted as a key benefit of the PRIEDE program as compared to other off budget programs such as TUSOME. In addition to this, the role of GPE in supporting the EDPCG has had a moderate contribution to better harmonization and dialogue between government and its partners, though it is difficult to see concrete evidence of the benefits of this strengthening of dialogue. While Kenya is in the process of deciding on how to implement Variable Tranche funding, it is considered that it will not have a significant effect on implementation efficacy, due to the relatively small size of the grant (at one third of the ESPIG value the variable tranche would be ca. US$ 3.2 million).

H)   Education System Strengthening

System level change

Expansion of access to education has been a success in Kenya, which has achieved near universal primary education. The challenge remains in ensuring *equity* in access, particularly for learners with special needs, nomadic communities, refugees and adults continuing in education. As noted in regards to the development of the KNESSP, it is felt that more could be done to accommodate those living in ASAL counties, as well as Kenya's large refugee population, who are currently excluded from mainstream education. In addition more needs to be done to expand access to adult and continuing education, for which enrolment has dropped significantly since 2012.

A number of changes are being made in Kenya, aimed at improving the quality and relevance of education. The introduction of the CBC is an ambitious move aimed at holistically improving the learning outcomes of students, and the quality and relevance of education. This puts the emphasis on providing education that is relevant to the modern economy of Kenya, as well as on a whole child approach to learning. While it is early days and there are some potential challenges in implementing the CBC, it is widely seen as a positive step. In contrast to this, issues with teacher numbers and absenteeism are persistent. The introduction of a Teacher Professional Appraisal and Development (TPAD) tool is aimed at remedying this, by giving curriculum support officers better oversight over teachers professional capacity.

The 2018 Education Sector Analysis highlights a challenge with overlapping institutional mandates in the management of the education sector. An example of this is the concurrent responsibility for quality assurance of teachers that both the MoE and Teacher Service Commission (TSC) have, or the role that MoE, TSC and the Kenyan Institute for Curriculum Design (KICD) all play in teacher training. Communication and co-working between these agencies is often weak (though the introduction of the NEMIS may improve this). Similarly the devolution of ECD to county governments has also led to a split mandate, and concerns that this will leave gaps in planning and monitoring. Currently the KNESSP has no

concrete plans to address these concerns, though the introduction of the NEMIS as a shared data platform is a positive development.

Likely links between sector plan implementation and system level change

The KESSP/NESP/KNESSP have provided structure and focus to system change since 2005. The development objective of the Education Sector Support Program was to assist the Government in the implementation of the Kenya Education Sector Strategic Plan (KESSP), and, as part of the process for attaining the KESSP goals. The implementation of KESSP which commenced in FY2005/2006 called for greater commitment and dedication of all MoE staff, stakeholders and development partners. To strengthen the performance of and in order to successfully implement the KESSP, stakeholders emphasized that, it is essential that effective (performance) accountability mechanisms are enforced so that MoE staff working at various levels can be held to account for the delivery of quality education services to Kenyans across the country. This has been directly linked to improved sector performance and accountability. In addition to this, most if not all system level changes in the last 15 years have been featured in the sector plans, and it is widely regarded that they act as a guiding framework for prioritization and implementation of system level changes.

I) Learning outcomes and equity

Changes in learning outcomes, equity and gender equality

Increasing access to and completion of education continues to be a success story in Kenya – with universal completion of primary education and improving enrollment in both pre-primary and secondary education. However, as noted, this improvement in access has not reached all learners equally. While Kenya performs well in terms of gender equity in enrollment, there are significant regional divides. Learners from low income backgrounds, or from ASAL counties are much less likely to be enrolled in education. This is equally true for refugees living in camps (such as Dadaab and Kakuma) who complete less school then their peers in mainstream education. However, overall the picture is bright with enrollment and gender parity increasing across all levels of education, along with the enrollment of learners with disabilities.

The most recent learning assessment data are from 2016 and show that Kenya performs well by regional standards. SACMEQ assessments, and the citizen led UWEZO assessments show Kenya outperforming neighbors Uganda and Tanzania. Uwezo 2015 learning assessment results show that, there was a 26 point difference (75 percent as compared with 49 percent) between the highest and lowest scoring counties in everyday mathematics. This mirrors the disparities seen in enrollment and completion.

Likely links to observed system level changes

It is clear that the improvements in enrolment at primary and secondary level over the last decade are at least in part attributable to the introduction of Free Primary Education policies, and an increase in institutions offering non-formal education can be linked to an increase in NFE enrollment. However, finding causes for changes in learning outcomes is more difficult, as the CBC being at too early a stage to trace any causal links to changes in learning outcomes. This should be a focus for future research.

J)   Conclusions and Strategic Questions

Conclusions

GPE support to be Kenya has been invaluable in supporting Kenya to achieve universal primary education. Over the 15 years of engagement with Kenya, GPE has provided valuable inputs to planning, the establishment of the EDPCG, the re-building of trust in the MoE after the dissolution of the KESSP, and the building of MoE implementation capacity. While challenges still remain in terms of improving equity in access for the most marginalized, and improving learning outcomes for those enrolled, significant progress has been made.

Strategic questions

The findings of this evaluation necessitate several strategic questions regarding GPE support to Kenya:

1. **How will GPE support Kenya in meeting its education goals in the future?** The key evolution in education in Kenya is the reduction of the MCA. This means that the logic behind GPE's Theory of Change, that is the use of financing to leverage improvements in key areas, is weakened. This raises the question of what role GPE will play in Kenya's future, and how it can maximize the effectiveness of its non-financial contributions, by leveraging partnership and technical expertise?.

2. **How can GPE effectively support other actors engaged in LMICS?** Considering the reduced financial role that GPE will play in the future, how will it support other bodies that will provide more financing. The international Financing Facility for Education (IFFEd) provides concessional financing for LMICs. How can GPE build on this concessional financing to provide complementary non-financial support?

3. **Considering the scale down of ESPIG funding, what is the value of the variable tranche funding in Kenya?** It is widely considered by MoE stakeholders that the application for Variable Tranche funding presents more of an administrative burden than it provides a financial pay off. Considering the sunk costs of engaging with VT funding, in terms of project design and monitoring, and the reducing motivational effect of a small payout, should VT funding be considered for countries with relatively small MCAs?

1 Introduction

1.1   Background and purpose of the prospective evaluation

1.   The Global Partnership for Education (GPE) is a multilateral global partnership and funding platform established in 2002 as the Education for All Fast Track Initiative (EFA/FTI) and renamed GPE in 2011. GPE aims to strengthen education systems in developing countries, in order to ensure improved and more equitable student learning outcomes, as well as improved equity, gender equality and inclusion in education.[9] GPE brings together developing countries, donor countries, international organizations, civil society, teacher organizations, the private sector and foundations.[10]

2.   This evaluation is part of a larger GPE study that comprises a total of eight prospective and 20 summative country-level evaluations (CLEs). The overall study is part of GPE's Monitoring and Evaluation (M&E) Strategy 2016-2020, which calls for a linked set of evaluation studies to explore how well GPE outputs and activities contribute to outcomes and impact[11] at the country level.

3.   The objective of each prospective CLE is to assess if GPE's inputs and influence are orienting education sector planning, implementation, financing and dialogue/monitoring toward the intermediary outcomes as outlined in the Theory of Change[12] (ToC). The prospective evaluations are forward-looking and explore what happens while it happens. They closely observe initial decisions, document the perspectives of decision-makers and focus on the activities and involvement of key stakeholders early in the period under review in order to make it possible to understand whether progress is being made and whether GPE is making a contribution.

4.   In this context, GPE support is defined as both financial inputs deriving from GPE grants and related funding requirements; and non-financial inputs deriving from the work of the Secretariat, the grant agent (GA) and the coordinating agency (CA), and from GPE's global-level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements).

Box 1.1 – Scope of this prospective evaluation

This prospective CLE is focused on eliciting insights that can help GPE assess and, if needed, improve its overall approach to supporting partner developing countries. It does not set out to evaluate the performance of the Government of Kenya (GoK) and other in-country stakeholders, or of specific GPE grants. The core review period for the evaluation is 2011-2019. This period is covered by a baseline report and a final report, which aims to track

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[9] GPE, GPE 2020. Improving Learning and Equity through Stronger Education Systems (2016).
[10] Information on GPE partners can be found at https://www.globalpartnership.org/about-us
[11] In the context of this assignment, the term 'impact' is aligned with the terminology used by GPE to refer to sector-level changes in the areas of learning, equity, gender equality and inclusion (reflected in GPE Strategic Goals 1 and 2 described in the GPE 2016-2020 Strategic Plan). While the CLEs examine progress towards impact in this sense, they do not constitute formal impact evaluations, which usually entail counterfactual analysis based on randomized control trials.
[12] The GPE ToC is shown in Annex B.

changes resulting from GPE activities. This final report represents a stand-alone summative perspective at the end of the evaluation period, and addresses changes between reporting periods in Section 6.

1.2   Methodology overview

5.   The methodology for the prospective evaluations is a theory-based contribution analysis approach, and the guiding framework is provided in an evaluation matrix and a generic country-level ToC, developed according to the existing overall ToC for the GPE Strategic Plan 2016-2020. The evaluation methodology envisages a seven-stage process. The first four stages focus on establishing a solid baseline for each country and the subsequent three stages constitute iterative annual country-level reporting. This is further described in the inception report.

6.   There are three key evaluation questions for the GPE CLEs (both the prospective and the summative evaluation streams), which are presented below. The full details of the evaluation questions are presented in an evaluation matrix (included in Annex A). Figure 1.1 represents how these key evaluation questions relate to the contribution claims[13] investigated in the evaluation:

- **Key Evaluation Question I:** Has GPE's support to Kenya contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring and more/better financing for education?[14] If so, how?

- **Key Evaluation Question II:** Has the achievement of country-level objectives[15] contributed to making the overall education system in Kenya more effective and efficient?

- **Key Evaluation Question III**: Have changes at education system level contributed to progress toward impact?

7.   The guiding frameworks for the evaluation are the evaluation matrix (Annex A) and the country-level ToC for Kenya (Annex B). A brief summary of the country evaluation methodology is provided in Annex D of this report. For further details, please refer to the inception report for the overall assignment (April 2018), and the revised approach for Years II and III, published November 2018.[16]

8.   This approach is consistent with that of the summative evaluations and thus contributes to a 2020 synthesis report. In the application of contribution analysis, the prospective evaluations in Year I of the evaluation were forward-looking and assessed whether inputs and influence in the education sector planning were conducive to intermediary outcomes, as per the ToC. Conversely, the summative evaluations trace the ToC ex-post from the contribution of inputs to intermediate outcomes, outcomes and impact. These final prospective evaluations combine the forward-looking prospective evaluations from previous evaluation years with a final ex-post evaluation of what has taken place since the previous annual report. The methodology for weighing confirming and refuting evidence is presented in Annex F.

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[13] The contribution claims are the theoretical mechanisms for change through GPE inputs. These are explained in more detail in Annex C.

[14] Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria of relevance, effectiveness and efficiency.

[15] GPE country-level objectives related to sector planning, plan implementation and mutual accountability through sector dialogue and monitoring.

[16] GPE, Modified Approach to Country Level Evaluations for FY II (2019) and FY III (2020) (2018), www.globalpartnership.org/content/modified-approach-country-level-evaluations-fy-ii-2019-and-fy-iii-2020

Figure 1.1 – The evaluation presents findings on key evaluation questions and contribution claims
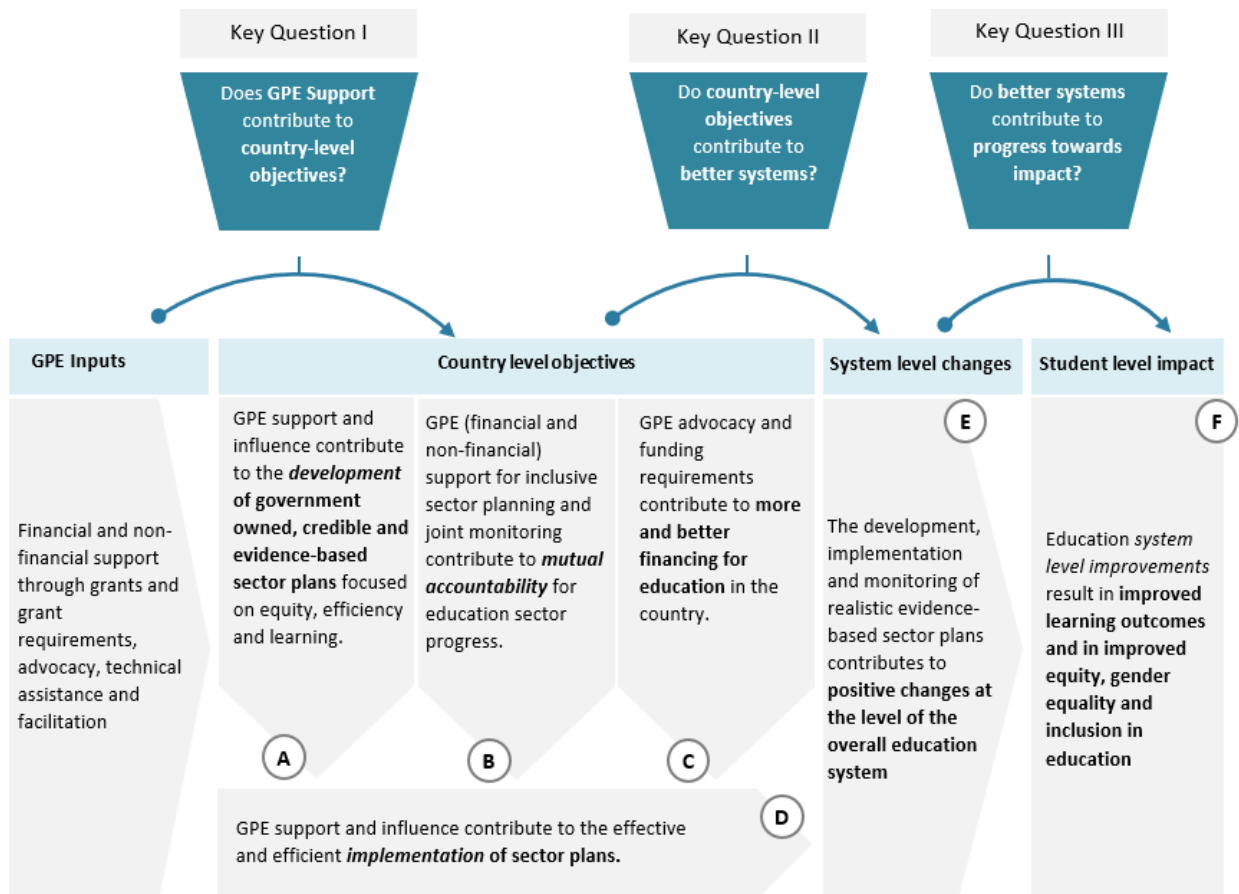
9. The focus for data collection and analysis is relevant to the key indicators in GPE's results framework (RF) and additional indicators described in the respective countries' education sector plans (ESPs). The evaluation team has not collected primary quantitative data but instead has drawn upon secondary data to place the evaluation findings on a solid quantitative basis. In addition, two rounds of data collection were conducted in 2018 and 2019. Each of these contributes to this final report.

10. Key informant interviews (KIIs) were conducted twice during the present evaluation in Kenya (in 2018 and in 2019) and gathered information on the following main lines of inquiry:

- Education planning;
- Implementation of the ESP (including the stage of implementation against plans and implementation challenges);
- Sector dialogue;
- Monitoring (including the strengths and weaknesses of monitoring systems, in terms of both data production and transparency);
- Education financing;
- GPE financial and non-financial support in relation to the above topics; and
- Donor partner activities.

Box 1.2 – Color ratings in the CLEs

Throughout the report, we use tables to provide readers with broad overviews of key CLE findings on the respective issue. To facilitate quick orientation, we use a simple color-coding scheme that is based on a three-category scale in which green equals 'strong/high/achieved', amber equals 'moderate/medium/partly achieved', red signifies 'low/weak/not achieved' and gray indicates a lack of data. In each table, the respective meaning of the chosen color coding is clarified. The color coding is intended as a qualitative orientation tool to readers rather than as a quantifiable measure.

11. For this Year II evaluation report, the evaluation team consulted a total of 43 stakeholders from a range of Ministry of Education (MoE) directorates, key parastatals, development partners, civil society and private sector organizations (see Annex G for a list of stakeholders), and reviewed a wide range of relevant documents, databases, websites as well as selected literature (references throughout). In addition to the KIIs, the evaluation country team also visited a number of schools, including schools that had received School Improvement Plan (SIP) support from the Primary Education Development Unit, as well as a school with a dedicated cerebral palsy unit. At the end of the country visit, the evaluation team carried out an open consultation on the preliminary findings from the evaluation, inviting all relevant stakeholders to engage with the findings and provide context and/or nuance. Throughout the process of writing the team engaged with country and GPE stakeholders to ensure the context in Kenya was being accurately evaluated and represented.

Purpose of Year II evaluation

12. Prospective evaluations give room for investigation of unexpected changes, and the examination of trends between years. This report is designed to read as a standalone final evaluation of GPE's contribution to education in Kenya but will also identify changes from the baseline and this final report. The report will also build on the first-year report by looking in more detail at the strength of evidence for claims made in Year I, as well as a deeper testing of the assumptions underlying GPE's ToC.

Limitations and mitigation strategies

13. There were no major limitations to collecting data in Kenya. Data collection for this 2019 endline report was carried out at a critical point for the Kenyan education system. MoE is on the verge of ratifying the new Kenya National Education Sector Strategic Plan (KNESSP), and the first cohort of students to complete examinations under the new Competency-Based Curriculum (CBC) sat these in September 2019. While this is not in itself a limitation, there is a feeling that a great deal will change in Kenya in during 2020, which unfortunately this report can only speculate upon.

1.3   Structure of the report

14. Following this introduction, **Section 2** presents the country context in which GPE support to Kenya takes place. It documents the broad political and geographical context of Kenya; reviews the education sector in Kenya; and outlines GPE financial and non-financial support to Kenya.

15. **Section 3** presents the evaluation findings related to GPE's contributions to sector planning; mutual accountability through inclusive policy dialogue and sector monitoring; sector financing; and sector plan implementation.

16. **Section 4** discusses education system-level changes in Kenya during the period under review (2011-2019) and likely links between these changes and progress made towards the country-level objectives.

17. **Section 5** presents an overview of the impact-level changes observable in Kenya.

18. **Section 6** presents the changes observed over time in Kenya.

19. Finally, **Section 7** presents overall conclusions of the evaluation and outlines several strategic questions to GPE.

2 Overview of Kenya

2.1   Country background

21. **Kenya is a constitutional republic in East Africa with a population of approximately 48 million, of whom almost three-quarters are below the age of 30.[17]** In the region, Kenya ranks high on standards of living measures and other human development dimensions. However, it has high levels of inequality. The country transitioned from low- to lower middle-income country in 2015, and has made steady progress over the past few decades. In 2019, Kenya ranked 56th (out of 190 countries) on the World Bank's Ease of Doing Business ranking, up from 113th in 2016.[18] The economy relies extensively on the agriculture sector, which, nevertheless, remains one of the least developed and exhibits large inefficiencies. The sector employs 75 percent of the workforce, a far larger proportion than in other more food-secure countries. However, the economy has seen much expansion in many areas, with tourism making up the second largest source of revenue following agriculture.

22. **Established in 2008, Vision 2030 aims to 'transform Kenya into a newly industrializing, middle-income country providing a high quality of life to all its citizens by 2030 in a clean and secure environment'.[19]** Vision 2030 sets out an agenda against four pillars: an economic, a social and a political pillar and one dedicated to enablers and macro issues (consisting of nine governance principles). Practical progress is measured against five-year medium-term plans; currently, the third medium-term plan (2018-2022) is active. The economic pillar focuses primarily on developing more secure agriculture production – including irrigation systems in arid and semi-arid land (ASAL) areas, fisheries and legislative reform in support of agri-business. The social pillar of Vision 2030 involves the objective of building a just and cohesive society that enjoys equitable social development in a clean and secure environment. The political pillar envisages a 'democratic political system that is issue-based, people-centered, results-oriented and accountable to the public'.[20] Politically, there has been a rapid and ambitious devolution process subsequent to the establishment of the new Constitution, which has created two levels of political authority (at the national and the county level, respectively). In addition to Vision 2030, the current president has declared a mandate on four key issues (the so-called "Big Four"): food security, affordable housing, manufacturing and affordable health care for all (education is notably absent).

2.2   Education sector in Kenya

Structure and features of the education system

23. **Increasing access to education has been a success story in Kenya but disparities in access across regional and social groups persist.** GoK has emphasized access to education, introducing the Free Primary Education (FPE) initiative in 2003, which abolished formal fees for primary school. This was followed by

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[17] http://worldpopulationreview.com/countries/kenya-population/
[18] Full rankings available at https://www.doingbusiness.org/en/rankings
[19] Full details on Vision 2030 and the aims within specific pillars can seen are at http://vision2030.go.ke/about-vision-2030/
[20] www.vision2030.go.ke

the policy of Free (day) Secondary Education (FSE) in 2008, under which GoK aims to meet the cost of tuition while parents pay for boarding fees and uniforms. While this national emphasis on education has resulted in more children enrolling and completing the primary cycle, recent policy focus has been on improving poor learning outcomes.

24. **The Ministry of Education (MoE) administers the education sector in Kenya, supported by a number of Semi-Autonomous Government Agencies (SAGAs).** MoE administration is divided between the State Department of Early Learning and Basic Education (SDELBE), the State Department of Vocational Education and Technical Training (SDVTT), the State Department of University Education (SDUE) and the State Department of Post Training Skills Development. Teachers are registered, recruited and deployed by the Teacher Service Commission (TSC), which is also responsible for reviewing supply and demand of teachers and advising the government on teacher-related matters.

25. **Kenya is federated into administrative counties, with some responsibility for education administration devolved to county offices.** Main oversight for education remains with the central MoE, but at the County level there are County Education Directors for each County for the 47 county offices that have a degree of autonomy to implement locally specific policy. Alongside limited policy freedoms, the sub-national offices have responsibility for ensuring effective implementation of the sector plan, and reporting upwards on local sector performance. In particular, county education offices have legislative and operational authority over early childhood development (ECD), while primary and secondary education is the authority of the national government, and other constitutional bodies (including the SAGAs and the TSC). Table 2.1 gives an overview of age groups and populations at different levels of schooling, while Table 2.2 provides overview data on enrollment, school numbers and teacher numbers.

Table 2.1 – Official school age by level

LEVEL	GRADE LEVELS	AGE GROUP (YEARS)	SCHOOL-AGE POPULATION
Preschool/pre-primary	Pre-Primary 1 and 2	3-5	4,202,959
Primary	Primary 1-6	6-11	8,242,448
Junior secondary	Lower Secondary 1-3	12-14	7,326,400[21]
Senior secondary	Upper Secondary 1-3	15-17	

Source: http://uis.unesco.org/en/country/ke

Table 2.2 – Outline of total enrollment, school numbers and teacher numbers

LEVEL[22]	ENROLLED STUDENTS	SCHOOLS			TEACHERS		
		PUBLIC	PRIVATE	TOTAL	TOTAL	% FEMALE	% TRAINED
ECDE	3,293,813	25,381	16,398	41,779	118,338	82.92	90.4

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[21] Data are UIS data, which are not disaggregated by level of secondary education.
[22] ESA data uses the 8-4-4 system to disaggregate enrollment, whereas UIS uses the 2-6-3-3 breakdown for school aged populations – making the two sets of data difficult to compare.

Primary (1-8)	10,403,700	23,584	11,858	35,442	211,809[23]	-	100
Secondary (1-4)	2,830,800	9,111	1,544	10,655	75,717	-	100

Source: ESA 2018 with data from TSC and National Economic Survey.

26. **Kenya hosts a significant refugee population (421,248 in 2018),[24] mostly located in the north of the country close to the borders with South Sudan and Somalia.** A significant proportion of these refugees are of school age. Of school-age refugees, 49 percent were out of school in 2017.[25] An Education Sector Analysis (ESA) commissioned by MoE in 2018[26] notes that gender parity for enrollment is significantly worse for refugees than for the host community – with the Gender Parity Index (GPI) consistently under 0.5 for secondary enrollment in refugee camps.

National policies, plans and curriculum reform

27. **Since 2005, the education sector in Kenya has been governed by three successive sectoral plans**. The Kenya Education Sector Support Program (KESSP) 2005-2010, the National Education Sector Plan (NESP) 2013-2017 and the Kenya National Education Sector Support Plan (KNESSP) 2018-2022 guide the education sector. Many key reforms (such as education management information systems reform and curriculum reform) included in the KNESSP are mandated by the Vision 2030 agenda. These sector strategies, and their corresponding operational plans, are intended to provide practical guidance for the education sector – while the Vision 2030 agenda acts as the strategic background to the development of the sector plans.

28. **The staged introduction of a new competency-based curriculum that began in the 2018/19 school year means a shift from an 8-4-4 to a 2-6-3-3 system.[27]** Since independence in 1963, education in Kenya has consisted of eight years of basic education followed by four years of secondary and four years of tertiary. Basic education has been free and compulsory, ending with the Kenya Certificate of Primary Education (KCPE) examinations, which has determined entry to secondary education. A review by the Kenya Institute of Curriculum Development (KICD) proposed an overhaul of the curriculum, focused on moving away from summative assessments of academic knowledge and towards a competency-based curriculum (CBC). The new curriculum moves towards five years of early years education (consisting of two years of pre-primary education and three years of lower primary), six years of middle school education (consisting of three years of upper primary and three years of junior school) and three years of senior school, in which students specialize into talents, social sciences or science, technology, engineering

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[23] Figures for primary and secondary teacher numbers are for the 2015/16 school year, from TSC data – which is not disaggregated by gender. Teachers registered with the TSC (including those employed by boards of management) must be trained, giving an imputed proportion of trained teachers at 100 percent – but this has not been verified.

[24] Data from https://data.worldbank.org/indicator/sm.pop.refg

[25] Taken from Education Sector Analysis (ESA) 2018.

[26] Reporting data from the United Nations High Commissioner for Refugees (UNHCR) Education Management Information System (EMIS).

[27] The difference in total number of years of schooling is accounted for by the fact that the 8-4-4 system included tertiary education but no pre-school education, whereas the 2-6-3-3 includes two years of ECD but no tertiary.

and mathematics (STEM) streams.[28] Figure 2.1 presents a visualization of the structure of the CBC. In practical terms, this has presented a challenge for schools. Grades 7 and 8, previously considered part of primary school, are now junior school and joined with one year of what was previously secondary school. This raises the issue of housing these grades. As of the time of writing, MoE had not given a definitive answer as to whether junior school would be housed with primary or with secondary education.

Figure 2.1 – Overview of 2-6-3-3 system
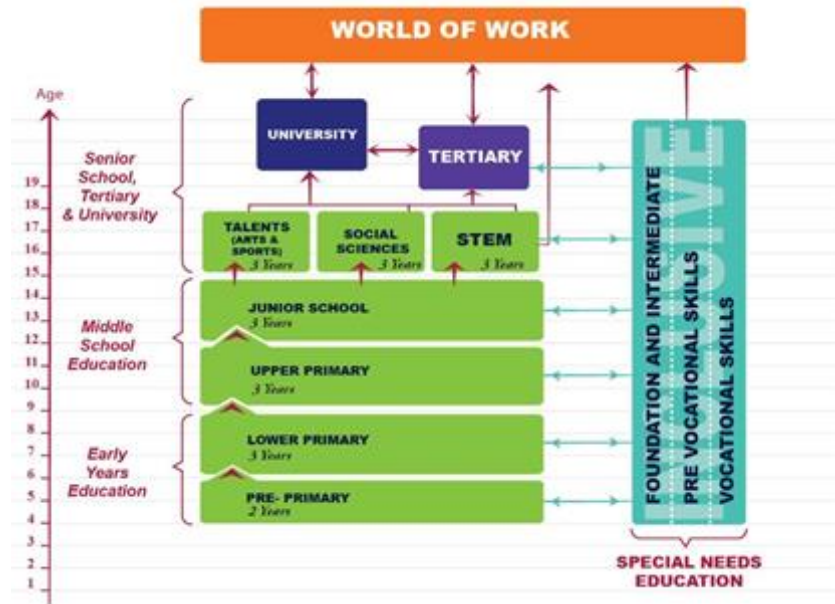
29. **Implementing this curriculum has meant the need to redesign text-books, activities and examinations to match these new competency areas.** In particular, the CBC involves significantly more project work and continuous assessment, with teachers managing student portfolios of work. The reformed assessment framework replaces the KCPE continuous assessments and in class exams.[29] All assessments will continue to be designed and distributed by the Kenya National Examinations Council (KNEC) but will be printed, delivered and marked by teachers. New teacher training and appraisal processes are key to the CBC, and the plans have been poorly received by teachers and by the Kenya National Union of Teachers (KNUT). This has played into an already difficult relationship between the TSC (the parastatal body that administers teachers and school administrators) and KNUT, which had already been involved in disputes over payment, promotion and transfer terms that had led to the threat of strike action in early 2019.[30]

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[28] For more details on the why, what and how of the CBC in Kenya see the United Nations Educational, Scientific and Cultural Organization (UNESCO) learning paper on the subject: https://unesdoc.unesco.org/ark:/48223/pf0000250431. The 2-6-3-3 designation refers to two years of pre-primary, six years of primary, three years of lower secondary and three years of upper secondary. While this does not reflect the 5-6-3 model described here it is the official designation, and so is used throughout this report.

[29] The first of which for Grades 1-3 is being undertaken at the time of writing.

[30] www.standardmedia.co.ke/article/2001329928/we-ll-back-cbc-when-you-raise-our-salary-kuppet-tells-state

Developments since the 2018 annual report

30. Since the research was conducted for the 2018 annual report of this evaluation, key developments in the sector have been related largely to a change in MoE leadership, the development of the new education sector strategy (the KNESSP) and implementation of the new curriculum. In March 2019, Professor George Magoha replaced Amina Mohamed as Cabinet Secretary for Education. This led to a change in the four principal secretaries.[31] Initially, the plan had been to introduce the CBC across all grades for the 2018/19 school year. However, with the change in political leadership, the decision was made to stage the introduction, with Grades 1-3 beginning in the 2018/19 school year.

2.3   GPE in Kenya

31. Kenya is a longstanding member of GPE, having joined EFA/FTI in 2005. Between 2005 and 2008, Kenya received EFA/FTI catalytic funding of US$ 121,000,000, which contributed to a joint financing initiative with a number of other development partners in support of KESSP. The donor collaboration on the KESSP sector-wide approach (SWAp) ended in controversy, with a final report finding that GoK could not account for over $120 million of donor funding. This led to the removal of over 30 ministry officials and dissolution of the Joint Financing Arrangement (JFA).[32] Between 2010 and 2013, there was a significant drop in investment in education in Kenya, particularly in GoK-delivered projects. Relationships with GPE (as EFA/FTI had become in 2013) were then re-established, with Education Sector Plan Development Grant and Program Development Grant (ESPDG and PDG) awarded in support of development of the NESP and the supporting Primary Education Development (PRIEDE) program. This was funded through Education Sector Plan Implementation Grant (ESPIG) financing in 2015.

Table 2.3 – GPE grants to Kenya

GRANT TYPE	YEARS	ALLOCATIONS	DISBURSEMENTS (TO SEPTEMBER 2019)	GRANT AGENT
Program Implementation (ESPIG)	2015-2019	$88,400,000	$73,458,563	**International Bank for Reconstruction and Development (IBRD)**
	2005-2008	$121,000,000	$121,000,000	**IBRD**
Program Development (PDG)	2014	$293,488	$291,074	**IBRD**

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[31] MoE is structured such that the cabinet secretary presides over all levels of education, with four principal secretaries presiding over the four state departments: Early Learning and Basic Education; University Education and Research; Vocational, Technical and Training; and Post Training and Skills Development. Both the cabinet secretary and the principal secretary positions are political appointments – with the highest civil role being the director general of education, who advises the principal secretaries and overseas the individual education directorates.

[32] Details on this can be seen in the World Bank's final Implementation Completion Report (2013): http://documents.worldbank.org/curated/en/931951468041351233/pdf/ICR18390P087470Official0Use0Only090.pdf

GRANT TYPE	YEARS	ALLOCATIONS	DISBURSEMENTS (TO SEPTEMBER 2019)	GRANT AGENT
Sector Plan Development (ESPDG)	2013	$250,000	$248,350	**IBRD**
Civil Society Education Fund (CSEF) III	2018	$87,037	$87,037	**Global Campaign for Education (GCE) (grantee: Elimu Yetu Coalition (EYC))**
	2017	$130,774	$130,774	
	2016	$120,000	$120,000	
Total		**$210,281,299**	**$195,335,798**	-

Source: https://www.globalpartnership.org/country/kenya

32. During the evaluation period (2013–2019), GPE's engagement has consisted of PRIEDE and non-financial support to planning, dialogue/monitoring and financing (e.g. technical support to the treasury regarding budgeting). PRIEDE is funded by the second (2015-2019) ESPIG, to the value of $88.4 million. This has been supplemented with S$8.8 million in GoK cofinance. PRIEDE has four key components:

- **Component 1:** Improvement of Early Grade Mathematics (EGM) competencies ($34.5 million), including scaling-up of the EGM methodology. This component focuses particularly on schools in rural areas, pockets of urban poverty and ASAL counties, which tend to perform poorly in mathematics;

- **Component 2:** Strengthening school management and accountability ($38.8 million);

- **Component 3:** Strengthening capacity for evidence-based policy development at national level ($10.8 million). This component aims to strengthen capacity for evidence-based (education sector) policy development at the national level;

- **Component 4:** Project coordination, communication and M&E ($4.3 million). This component covers project management functions, supervision and M&E.[33] Table 2.4 maps recent GPE-supported activities against evaluation activities in Kenya.

33. In 2019 Kenya was granted $9.7 million in additional financing, as a new Maximum Country Allocation (MCA). The MCA for Kenya was drastically reduced (from $88.4 million to $9.7 million)[34] to reflect the improved outcomes and financing for education since joining GPE. The additional financing, rather than being used for a new project, will act as an extension of PRIEDE until 2020 to focus on supporting the institutionalization of PRIEDE. This is reportedly because the perceived 'sunk costs' of project design were too high to make the reduced MCA viable as new project funding.

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[33] PRIEDE-Wrap up PPT Jan 28 2016_FINAL; [33] GoK ESPIG Application, September 24, 2014.
[34] This represents a reduction of 90 percent in the MCA – a fact that is central to the relationship between Kenya and GPE, and something that is addressed in detail throughout this report.

Table 2.4 – Timeline of key events in the education sector in Kenya

	2005-2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Legislation	Kenya Vision 2030 (2008-2030)										
	Constitution (2010)			**Education Act**							
Planning	**KESSP** (2005-2010)			**NESP** (2013-2017)					**KNESSP** (2018-2022)		
GPE grants	**KESSP Support** ($121m)			**ESPDG** ($0.25m)	**PDG** ($0.28m)	**PRIEDE** ($88.4m)				**PRIEDE Extension** ($9.7m)	
							CSEF III allocation ($87k)	**CSEF III allocation** ($130k)	**CSEF III allocation** ($120k)		
GPE CAs						**DFID**	**Canadian High Commission**	**UNICEF**		**UNESCO**	
Other education policies	**TSC established** (2010)		**KICD and KNEC Act** (2012)								
Other programs[35]			**PRIMR** (USAID/RTI)			**Tusome** (USAID/RTI)					
									SEQIP (World Bank/MoE)		
		Uwezo 2011	**Uwezo 2012**	**Uwezo 2013**	**Uwezo 2014**	**Uwezo 2015**					
Evaluation review period				**2013-2019**							
National monitoring									ESA		

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[35] Selected programs only.

3 GPE contributions to sector planning, dialogue/monitoring, financing and implementation

3.1 Introduction

34. This section summarizes findings related to **Key Evaluation Question I** of the evaluation matrix: 'Has GPE's support to Kenya contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education? If so, how?'[36]

35. The GPE country-level ToC, developed in the inception report and adapted to the Kenya context, outlines four contribution claims related to GPE's influence on progress towards achieving to country-level objectives (one claim per objective). Each contribution claim is based on several underlying assumptions (see Annex C).

36. This section is structured around the four contribution claims. Each sub-section assesses the contribution claim by answering two sub-questions. First, what changed in sector planning, mutual accountability, sector financing or ESP implementation, respectively, during the period under review? And second, has GPE's support contributed to observed changes in (and across) these areas?

3.2 GPE contributions to sector planning[37]

37. Table 3.1 provides a high-level overview of evaluation findings on sector planning during the review period. These observations are elaborated on through the findings and supporting evidence presented below.

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[36] Improved planning, dialogue/monitoring, financing and plan implementation correspond to Country-Level Objectives (CLOs) 1, 2, 3 and 4 of GPE's 2016-2020 Strategic Plan.

[37] This section addresses Country Evaluation Questions (CEQs) 1.1 a and 1.2 a, as well as (cross-cutting) CEQs 3.1 and 3.2.

Table 3.1 – Overview: CLE findings on sector planning and related GPE contributions

PROGRESS TOWARDS GOVERNMENT-OWNED, CREDIBLE AND EVIDENCE-BASED SECTOR PLANS FOCUSED ON EQUITY, EFFICIENCY AND LEARNING [38]	DEGREE OF GPE CONTRIBUTION[39]	DEGREE TO WHICH UNDERLYING ASSUMPTIONS HOLD[40]				
Strong: The KNESSP (2018-2022) is a robust and comprehensive document that is well rooted in data and evidence and meets key GPE standards. Creation of the new plan has been driven by GoK in a wholly government-owned and government-led process. The plan focuses on equity and learning issues identified through the ESA; however, some important equity aspects, e.g. refugees and children with disabilities, have not received due attention.	**Modest:** GPE technical support has encouraged MoE to create a more credible ESP. GPE sector planning policy and guidelines provided a strong framework on which the KNESSP was based. Therefore, while GPE financial support in this round of planning was not instrumental, as it was a largely government-funded and government-driven initiative, GPE's contribution was a valued and useful one in terms of its technical support and therefore modest in terms of contribution.	1	2	3	4	5
		STRENGTH OF THE CONFIRMING/REFUTING EVIDENCE				
		1	2	3	4	5

Characteristics of sector planning during the review period (2013-2019)

Finding 1: The KNESSP (2018-2022) is a comprehensive government-led and government-owned document that has been developed based on strong data and evidence with key technical inputs from donor partners and through a largely inclusive and consultative process engaging a wide range of stakeholders.

38. **The KNESSP is the guiding framework for Kenya's investment in the education sector for the period 2018-2022.** It is the third strategic sector plan the country has developed. The KNESSP will be used as a basis for a new ESPIG application and was developed without ESPDG funding and guided by a team of experts from the International Institute for Education Planning (IIEP) of the United Nations Educational, Scientific and Cultural Organization (UNESCO) (supported with funding from PRIEDE). The GA for the

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[38] In this case, the objective is considered 'achieved' if a sector plan underwent a rigorous appraisal process, as per GPE/International Institute for Education Planning (IIEP) guidelines, and was endorsed by development partners in country.

[39] This assessment is based on whether the CLE found evidence of 1) GPE support likely having influenced (parts of) sector planning; 2) stakeholder perceptions on the relevance (relative influence) of GPE support; and 3) existence or absence of additional or alternative factors beyond GPE support that were equally or more likely to explain (part of) the noted progress.

[40] For sector planning, the five underlying assumptions in the country-level ToC were 1) country-level stakeholders having the *capabilities* to jointly improve sector analysis and planning; 2) stakeholders having the *opportunities* (resources, time, conducive environment) to do so; 3) stakeholders having the *motivation* (incentives) to do so; 4) GPE having sufficient leverage within the country to influence sector planning; and 5) EMIS and Learning Assessment System (LAS) producing relevant and reliable data to inform sector planning.

current GPE grant, the World Bank, has offered to support the KNESSP refinement and visions, with the development of the KNESSP being a key PRIEDE objective.

39. **The KNESSP itself shows that planning has progressed and strengthened across recent cycles in the country.** A wide range of stakeholders acknowledged that GoK had completely owned the process of plan development, which is clear, positive and a core strength. The GoK took full ownership of the planning process right from the initial planning of the sector plan through to its completion. GoK also encouraged engagement of a wide range of stakeholders, coordinating efforts to this end as well as driving the sector analysis process to ensure planning was evidence-based. However, some stakeholders suggested that this meant the plan might lack the extra level of detail and neutrality in the presentation of sector data and analyses that an independent consultant could have provided.

40. **The KNESSP is underpinned by a thorough ESA.** MoE's 2018 ESA provides a detailed analysis of Kenya's education sector (from pre-primary to university) based on a wide range of data and evidence. It gives an overview of the demographic and macro-economic as well as the social and humanitarian context. It also provides an analysis of education sector governance and finances and discusses sub-sectoral issues such as basic education, adult and continuing education (ACE), technical and vocational education and training (TVET), teacher management, special needs education and university education. The ESA formed the basis for the development of the KNESSP (2018-2022). The ESA was guided by a team of experts from IIEP in Paris as well as a wide range of governmental departments. This team trained a team of ministry staff and technical experts in the ESA methodology, who then conducted the analysis to produce a high-quality report.

41. **A technical working group was initiated with representations from all directorates within basic education, as well as from external ministries such as the Treasury and the Bureau of Statistics, to assist in the development of the KNESSP.** This was, therefore, a multi-agency team with support from a range of stakeholders. Budgeting and financing also formed a core part of discussions. The KNESSP planning committee. comprised of about thirty members which included MoE, members drawn from the four State department namely Early Learning and Basic Education, University Education and Research, Technical and Vocational Training and Post Skills Development. Also included are semi-autonomous government Agencies. The development of the KNESSP was governed by a National Steering Committee chaired by the Principal Secretary (PS) of the MoE supported by four departments PSs and then all CEOs of SAGAS, all Directors of MoE, representatives of the EDPCG, Teachers Unions, and parents representatives. Technical planning was done by a Technical Working Group with a core team of ten members, comprising of four (4) chief economists from the four state departments, four officials from the four state departments, one coordinator from directorate of policy and one representative from PRIEDE project. The core team were all involved in the day to day coordination, planning of the development of KNESSP. Since this was a consultative process, there was consultation throughout and therefore development partners were wholly involved in the development of KNESSP.

42. **Alignment to the ESA ensures that the KNESSP is well rooted in data and evidence, as there is alignment across the two documents.** Key challenges faced by the education sector as identified within the ESA are the target focus areas within the KNESSP, so as to ensure the sector plan is context-appropriate and meets the needs of the country. Consulted stakeholders noted that the ESA was a key strength of this planning cycle, in that it allowed for a better understanding of the most important areas for intervention. The ESA was also noted to be invaluable in that it ensured that GoK considered all of the potential issues facing the education sector. This is reflected in the final document, which clearly lays out the data justifying strategies in the KNESSP.

43. **Stakeholders noted that the process of developing plans had been important for focusing the sector, particularly in being 'proactive' rather than 'reactive' when faced with challenges.** Primary data

collected during the second country mission indicate that stakeholders were of the opinion that the KNESSP was a significant improvement on previous plans in terms of clarity and structure but also because it had a much stronger focus on governance and accountability, allowing for a proactive approach to plan implementation. Addition of the section on governance and accountability in the new plan was a response to the non-achievement of a number of targets from the previous ESP. An additional strength of the new plan is that it is supported by predictable Treasury allocations of the budget towards education, thereby enabling better future financial planning.

Table 3.2 – GPE appraisal of the NESP (2013-2018) and KNESSP (2018-2022)

GPE APPRAISAL CRITERIA	NESP 2013-2018	KNESSP 2018-2022	COMMENTS (AS ASSESSED BY GPE, GPE ESP COMMENTS, MAY 2018)
Criterion 1 Guided by an overall vision	Met	Met	The document provides the vision and goals of GoK for education and the national guiding framework.
Criterion 2 Strategic	Met	Met	The KNESSP does identify many underlying challenges in equity (e.g. poverty, direct and indirect school costs, cultural factors etc.), however, additional information on certain marginalized groups, such as refugee children, would enhance the document. The plan would also be strengthened by an articulated ToC for equity, equality and efficiency.
Criterion 3 Holistic	Not Met	Met	The plan is on the whole holistic and covers all education sub-sectors.
Criterion 4 Evidence-based	Met	Met	The KNESSP is evidence-based, but could benefit from strengthened links between detailed ESA findings and strategies identified in the KNESSP.
Criterion 5 Achievable	Not Met	Met	The ESP has not provided sufficient evidence that implementation challenges relating to financial, technical and political constraints will be met. For example, it has been recommended that a multi-year action plan be developed for more effective implementation of plan objectives. The GPE assessment of the KNESSP found it to be achievable, based on the financial modeling and its inclusion of the funding gap, as well as its increased focus on monitoring and accountability. This judgment does not account for whether filling the funding gap is achievable, or an assessment of the operational plans. Overall, the judgment is reasonable, given improvements between the NESP and the KNESSP, but concerns regarding achievability are legitimate.
Criterion 6 Sensitive to the context	Met	Met	Major assumptions, risks and mitigation strategies have been presented.

GPE APPRAISAL CRITERIA	NESP 2013-2018	KNESSP 2018-2022	COMMENTS (AS ASSESSED BY GPE, GPE ESP COMMENTS, MAY 2018)
Criterion 7 Attentive to disparities	Met	Met	There is information on gender and geographic disparities; however, data and analysis can be improved in some areas such as on refugees.

Source: Analyses undertaken by GPE for the RF (2017 and 2019 reports).

Interview evidence from the first (2018) and second (2019) country missions suggested that some stakeholders viewed the previous NESP (2013-2018) as too ambitious. The implication of this was that some viewed it as having never been truly integrated into MoE thinking. The new plan (the KNESSP 2018-2022) is considered a more realistic and achievable plan, particularly as these stakeholders suggested that it benefited from better financial modeling and forecasting. This has led to the GPE assessment making a positive appraisal of MoE's approach to gross domestic product (GDP) growth forecasting and the size of the domestic education budget over the KNESSP lifecycle. As mentioned earlier, there is a significant funding gap to fill over the plan's lifecycle – but MoE is aware of this and is confident in its ability to secure the resources to fill this gap. Early assessments by GPE noted a need for more rigorous forecasting, and this has been partially achieved. The forecasting in the KNESSP is thorough and accurate but does not necessarily provide strategic direction on ensuring funding gaps will be filled.

44. **This evaluation found the planning process to be inclusive.** Key stakeholders from civil society indicated that they had been consulted during the process of developing the plan**.** Evidence collected through stakeholder interviews confirmed that the sector plan had been developed in consultation with the Education Development Partners Coordination Group (EDPCG) and that the consultative nature of this process had been a significant improvement on the process in the previous plan. Members of civil society acknowledged their involvement in all three sector plans and confirmed that there had been a progressive increase in involvement of civil society, make it possible to raise more difficult questions during the sector plan development. This was suggested to have led to a greater focus on inclusivity, governance and accountability in the new sector plan. However, some stakeholders within the private sector felt that, while they had been well informed about the new sector plan, the process had not included their involvement in a sufficiently consultative manner. Some multilateral organizations were also of the opinion that they could have been more deeply involved in planning, making the approach 'co-creation' rather than consultation. Stakeholder feedback was garnered during the planning process but some questioned whether this had truly been integrated into the final document.

45. **Evidence would indicate that the planning process was comprehensive and inclusive. However, this may have had an impact on timing.** Some stakeholders suggested that the speed at which planning takes place presents a major challenge, with plans not coming to effect until well into the planning cycle they cover. This is particularly given that the plan was only finalized in mid-2019 (placing it a full year behind its implementation plan). Some stakeholders suggested that the creation of a smaller technical working group focused solely on planning might have been helpful in improving the timeliness of developing plans. MoE revealed that discussions were on-going on mainstreaming and inclusion of refugee populations in the education system. It was one of the issues already included in the sector plan for 2018-2022 and guidelines to include refugee populations have been developed. MoE also emphasized that refugee issue was a multi- agency approach and it cannot be decided by one group in terms of content and context – in this regard it was work in progress.

Finding 2: Planning for vulnerable populations (e.g. children with disabilities and the refugee population) could be improved. While the focus on inclusive education is a critical strength of the KNESSP, some key equity challenges require further focus.

46. **The ESA formed the foundation of the KNESSP, though a key gap identified in the use of this evidence relates to the provision of education services for refugees in the final planning document**. The ESA recognizes that there is a growing number of refugee children in the country and that their educational needs must be recognized and met going forward. This evaluation found that original drafts of the KNESSP included more substantial plans to mainstream refugee children into the wider education system. However, these appear to have been removed in later rounds of validation. Some of the stakeholders interviewed during the course of the second mission expressed concern that the policies relating to refugee children were not concrete enough. There are varying explanations as to why this focus changed, according to stakeholders, but it seems to have been driven by the issue of mainstreaming service provision for refugees as a cross-ministerial issue, which should first be prioritized centrally before becoming part of planning in line ministries. During initial consultations the MoE asserted that refugees would included under provision for vulnerable groups. However, this was seen by development partners as a blanket statement without targets on specific categories of students and this was viewed as weak. Suggestions were geared to have clearer specific statements in the future plans to be more inclusive.

47. **The KNESSP is more holistic in nature than previous plans in its incorporation of strategic and operational plans as well as in the inclusion of a wider range of sub-sectors (ECD, TVET and tertiary) and the focus on inclusion and peace-building.** However, some stakeholders suggested that more operational clarity was required, with specific roll-out objectives, implementation strategies and clear, costed plans. It was also suggested that costing predictions for the KNESSP were neither detailed enough nor well linked to strategies within the plan. Furthermore, stakeholders suggested that consultations with the Treasury during the planning process could have been more extensive, given that the Treasury plays a crucial role in ensuring any plans are adequately funded.

48. This evaluation has found that, although the plan is a sufficiently strong document, there are questions as to whether MoE has adequate capacity to implement and monitor an ambitious plan. While stakeholders were generally positive about the usefulness of the ESA and KNESSP process, some suggested that county-level stakeholders could have been more deeply involved in the planning process to improve triangulation. These stakeholders suggested more increased 'bottom-up' engagement in planning, with counties more involved in the preparation of first drafts that could later be synthesized at the national level. Finally, stakeholders suggested that accountability to the KNESSP could be strengthened by making sure the plan was disseminated and understood not only by education stakeholders but also by the general public.

GPE contributions to sector planning

Finding 3:	The importance of GPE support to sector planning has evolved over time. As planning has become a more government-owned and government-driven process, GPE criteria and guidelines have remained important but direct financial inputs have become less prominent. Despite this, key technical support for the KNESSP was funded through PRIEDE, particularly on financial forecasting.

49. GPE offers a series of financial and non-financial mechanisms to support sector planning. Table 3.3 reviews these, grouped by whether they are likely to have made a significant, a moderately significant or limited/no contribution to improvements in sector planning over the review period. This grouping does not constitute a formal score but rather an indicative classification.

Table 3.3 – GPE contributions to sector planning during the 2012-2019 review period

SIGNIFICANT CONTRIBUTION TO SECTOR PLANNING
Technical support from the GA for financial modeling: The KNESSP is widely regarded as having better financial forecasting than the NESP, which is attributed to the support provided, through PRIEDE, by the World Bank to improve this aspect of the KNESSP.
Funding for ESA: The ESA is seen as a key document in developing a more holistic and equitable sector plan. The ESA was a key project objective for PRIEDE and was funded using PRIEDE funds.
GPE guidelines for sector planning: Despite not being supported directly by GPE, the experience of developing the KESSP (2005-2010) and the NESP (2015-2018) led to MoE using the GPE/IIEP guidelines for sector planning as its guiding principles for developing the KNESSP.
MODERATE CONTRIBUTION TO SECTOR PLANNING
Technical support through IIEP, funded by PRIEDE: While no direct financial support was provided for developing the KNESSP, support for its development was included as a distinct budget line in the PRIEDE program. Funding was used to engage with expertise from IIEP to support planning, which was seen as useful, but felt by some not to have been enough to get the plan finished in time.
LIMITED/NO CONTRIBUTION TO SECTOR PLANNING
GPE appraisal/ratification: While stakeholders in MoE, and other Troika members thought the appraisal process was theoretically useful, it was felt that not enough time had been given for it in Kenya. It was also felt that the change to the provision for learners in refugee camps after the last consultation with EDPCG had undermined the thoroughness of the process.
Incentives provided by ESPIG application: There is still a desire in Kenya for MoE to access ESPIG funding. However, the greatly diminished MCA and the strength of the intrinsic motivation for planning meant that the ESPIG application credible planning criterion was not a decisive factor in pushing better planning for the KNESSP.
NOT APPLICABLE/ TOO EARLY TO TELL
ESPDG funding: No direct funding was provided for the most recent sector plan.

Source: Authors' elaboration.

50. **GPE Secretariat recommendations on the KNESSP provided focused technical advice on key equity considerations within the new plan.** Comments on the draft KNESSP aimed to assess whether planning had focused adequately on equity considerations. The new sector plan contains key positive priorities that

focus on children with special needs. However, comments from the GPE Secretariat included a recommendation that these equity considerations be broadened to other disadvantaged groups and in particular refugee children. Therefore, it was recommended that the refugee education policy be updated, given the growing refugee population in the country and the potential impact this might have on the sector. Additionally, it was also recommended that the ESP consider school security in vulnerable regions. While these recommendations ultimately did not lead to inclusion of the refugee policy, it is clear from interviews with stakeholders involved in planning that GPE recommendations were taken seriously and were a welcome contribution to the KNESSP development process.

While it appears that education sector planning has strengthened in the country over time, GPE Secretariat comments on the KNESSP suggest that it could be further strengthened by focusing on lessons learned from previous sector planning, and in particular on which strategies have been successful and those that have been a challenge to implement. However, evidence garnered from stakeholders suggests this current sector plan has learned from previous planning initiatives, particularly in relation to ensuring the inclusion of strategies on governance and accountability. Additionally, as highlighted by a Secretariat informant, experience from a wide range of countries would support this finding that, in many contexts, first sector plans are usually too ambitious. It is not until the second or third planning cycle that the learning gained over time is reflected in better and more achievable plans – much like the experience with the KNESSP.   Through the GPE Regional and International Meetings, MoE staff networked and reached out to IIEP teach that trained the KNESSP, TWG on education sector planning; Priede supported the ESA, WB; Supported the workshops for the development of KNESSP by TWG; used GPE guidelines for education sector plans; through Priede project – GPE had a key interest on KNESSP and was involved in the quality assurance of documents; through Priede, involvement of LEG was very strong, for example, with the education actors in the country.

51. **There was indirect GPE financial support to development of the sector plan, within the PRIEDE budget, through an allocation towards supporting planning meetings for development of the plan.** While no ESPDG was allocated for the development of the KNESSP, specific GPE financial support played a significant role in the development of the plan. Additionally, this evaluation fund out that, through PRIEDE, the World Bank was able to provide important technical expertise, for example in undertaking financial modeling. Development of the KNESSP was a key Project Development Objective (PDO) for PRIEDE, and thus was provided with financial and technical support through the PRIEDE program. In particular, stakeholders credited the Troika group[41] as playing a significant role in improving financial modeling and costing the new plan. This shift away from direct support for planning and towards a greater focus on government ownership demonstrates a success of GPE's model in Kenya. Despite this shift, the GPE secretariat provided key technical inputs. Specifically the secretariat was able to provide guidelines on the development of education sector plan to the thematic working group, as well as providing quality assurance of the KNESSP document at various stages which was seen to greatly improve the quality of the document.

52. **The GPE framework for planning was a critical guiding mechanism in the creation of this sector plan, demonstrating the ongoing value of GPE engagement in Kenya.** Stakeholder interviews highlighted that Kenya's representation on key GPE boards and committees had enabled the country to engage technical

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[41] This originally included MoE as well as the World Bank, the United Nations Children's Fund (UNICEF) and the United States Agency for International Development (USAID), but was recently expanded to include UNESCO and the Japan International Cooperation Agency (JICA), and is sometimes known as the 'Troika Plus'. This report refers to it simply as the 'Troika group' to avoid confusion.

expertise from the Secretariat to support its planning initiatives. Government stakeholders also noted that GPE standards and appraisal processes had played an important role in encouraging MoE to focus on quality in planning and advocacy around the use of evidence for planning. However, the use of these standards was driven by MoE's experience of developing the previous sector plans (which had had more direct support from GPE partners on the use of its standards). Similarly to the shift in financial support outlined above, this shift from supply-driven technical support to demand-driven use of GPE standards and technical support implies that past direct inputs into planning in Kenya will continue to influence process into the future.

Unintended negative/unplanned positive effects of GPE support

53. During the sector planning process, one potentially unplanned positive effect of working with organizations external to the government (e.g. the GA, as per stakeholder reports) is that the GoK was encouraged and guided to consider 'including thorny issues' in the sector plan. An example of this was that, despite reports of GoK not being comfortable with including sensitive issues (e.g. relating to sexual violence in schools, gender-based violence, inclusion of refugees, etc.), these were addressed in the final plan, in part because of the support of GPE partners, particularly the GA. While it is difficult to track the empirical impact of these inputs, this view was widely reported by stakeholders.

54. An unintended negative consequence highlighted is that the focus on specific programs and targets at times can result in lack of a 'big picture focus', as attention could potentially be diverted to the details at the cost of the holistic aggregate.

Additional factors beyond GPE support

55. One aspect relevant to Kenya and beyond GPE's involvement that has faced many countries relates to decentralization and the tension involved in striking a balance between the levels of administration (national/county). In Kenya, the new sector plan is defined by a high level of delegation between the center and the sub-national level, meaning that sub-national government has a much larger role to play in planning – something that is beyond GPE support to planning currently.

56. **The key non-GPE factor that supported development of the KNESSP was MoE's incumbent ability in developing sector plans.** The KNESSP is the third sector-wide plan developed by MoE, and, while the first two (the KESSP and the NESP) were heavily supported, financially and technically, by GPE partners, the KNESSP has been notably less so. Sector planning is now seen as a core element of education in Kenya, and as such has wide support from MoE and the Treasury, as well as ample technical resources in the Directorate of Policy and Planning. This is supported by the existence of a specific directorate (again, Policy and Planning) that has consistently taken ownership of planning processes. Even though some staff from this directorate were seconded in 2018 to the Secondary Education Quality Improvement Program (SEQIP) (see Section 3.4), staffing has remained consistent over time, institutionalizing a skills base built over successive planning cycles. While this reduces the direct contribution of GPE in the short term, it is a sign of growth arising as a result of long-term membership of GPE.

57. The appraisal process of the KNESSP was conducted by a local consultant, which provided added value, given that they had good contextual knowledge that meant they were better placed to assess the relevance and appropriateness of the document.

Implications for GPE's ToC and country-level operational model

A key implication of evidence collected during the course of this evaluation is that GPE should support ongoing and holistic planning in partner countries. This has been suggested to mean looking beyond the

creation of national strategic and operational plans and ensuring operational planning is built into GPE's mindset to ensure national governments continue to focus on planning throughout the policy cycle. Similarly, the provision of technical support for operational planning at the sub-national level could be strengthened. Support to SIPs is an important step in ensuring improved planning capacity at every level. However, there is room for a more concerted and deliberate effort by GPE partners to build planning capacity at national, sub-national and school levels. This could imply providing guidelines as well as the foundations for a framework that countries can apply not only to create plans at different governance levels but also to support integration of planning from different levels (something not seen in the SIPs in Kenya).

Box 3.1 – Testing assumptions and assessing strength of evidence

For sector planning, the five underlying assumptions in the country-level ToC were 1) country-level stakeholders having the capabilities to jointly improve sector analysis and planning; 2) stakeholders having the opportunities (resources, time, conducive environment) to do so; 3) stakeholders having the motivation (incentives) to do so; 4) GPE having sufficient leverage within the country to influence sector planning; and 5) the Education Management Information System (EMIS) and the Learning Assessment System (LAS) producing relevant and reliable data to inform sector planning.

Assumption 1 holds. Through the Directorate of Policy and Planning there is strong capability in MoE, as demonstrated by the development of the KNESSP with minimal external inputs.

Assumption 2 partially holds. While the technical capacity for planning exists, issues with human resources have meant that planning takes place more slowly than would be hoped, with the KNESSP being implemented a year late (in 2019/20 rather than 2018/19).

Assumption 3 holds. The KNESSP has been a key policy push for Kenya and MoE treats it with great importance.

Assumption 4 holds. While the MCA for Kenya has decreased, GPE membership is still a strong motivator for Kenya. While GPE funding was not used for the KNESSP, it was heavily influenced by the GPE standards.

Assumption 5 partially holds. While data in the EMIS are generally strong, there is still an issue with timeliness of data production, which hinders the creation of yearly operational plans at sub-national level.

The evidence for assessing changes in the education system in Kenya is strong. It is easy to chart development of sector planning in Kenya over the review period, with all of the planning and surrounding documents (including all of the GPE appraisals) being available to the evaluation team. Interviews were also carried out with all the key personnel involved in developing and appraising the KNESSP.

3.3   GPE contributions to mutual accountability through sector dialogue and monitoring[42]

Table 3.4 presents a high-level overview of evaluation findings on mutual accountability for education sector progress and on related GPE contributions during the review period. These observations are elaborated on through the findings and supporting evidence presented below.

Table 3.4 – Summary of progress and GPE contributions to mutual accountability through sector dialogue and monitoring

PROGRESS MADE TOWARDS MUTUAL ACCOUNTABILITY (<u>SECTOR DIALOGUE</u>)	DEGREE OF GPE CONTRIBUTION (<u>SECTOR DIALOGUE</u>)	PROGRESS MADE TOWARDS MUTUAL ACCOUNTABILITY (<u>SECTOR MONITORING</u>)	DEGREE OF GPE CONTRIBUTION (<u>SECTOR MONITORING</u>)	DEGREE TO WHICH UNDERLYING ASSUMPTIONS HOLD[43]			
Progress towards better dialogue in Kenya has been **strong**. The EDPCG is an inclusive group, allowing all sector of society a voice in education.	**Strong:** GPE support was crucial in establishing the EDPCG, and the CA sits as chair of the group.	**Modest:** While some progress is being made in improved monitoring of the sector, more needs to be done, including producing better data through the National EMIS (NEMIS) and holding yearly Joint Sector Reviews (JSRs) against the KNESSP.	**Strong:** While progress is modest, what progress has been made has been heavily advocated for by GPE – particularly in pushing for JSRs and the inclusion of governance and accountability in the KNESSP.	1	2	3	4
				STRENGTH OF UNDERLYING EVIDENCE			
				1	2	3	4

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[42] This section addresses evaluation questions CEQ 2.1, 2.2 and 2.3, as well as to (cross-cutting) CEQs 3.1 and 3.2.
[43] For sector dialogue and monitoring, the four underlying assumptions in the country-level ToC were 1) GPE has sufficient *leverage* at global and country levels to influence Local Education Group (LEG) existence and functioning; 2) country-level stakeholders having the *capabilities* to work together to solve education sector issues; 3) stakeholders have the *opportunities* (resources, time, conducive environment) to do so; and 4) stakeholders have the *motivation* (incentives) to do so.

Characteristics of sector dialogue

Finding 4: The EDPCG continues to play a key role in sector dialogue in Kenya. However, the general preference to have an open membership and wide mandate leads the EDPCG to tend towards a lack of focus on policy advocacy and structured change.

58. **The Local Education Group (LEG) in Kenya – the EDPCG – is a broad-based, highly representative stakeholder forum that has engaged a wide-range of stakeholders.** The first year annual report provided evidence that sector dialogue in the country had improved over the past few years and had particularly benefited from the involvement of GPE, resulting in greater collaboration and transparency across the different stakeholder groups. The EPDCG is co-chaired by MoE and a rotational chair position held by a development partner.[44] Membership is purposely kept open, with a standing invitation to any bodies involved in the education sector to take part. The chair sees this as being important for ensuring diversity and inclusivity in voices and positions in meetings. This is in marked contrast to the Troika (or Troika Plus) group, which is viewed as a closed group without easy pathways for engagement by parties outside of the large sector donors.

59. The Year I findings have been reiterated in the second mission, with several stakeholders across different groups confirming that dialogue at the higher levels is inclusive and brings in a cross section of the education sector. Stakeholders view this as an effective way of bringing interested parties together and creating a sense of a sector-wide approach to education issues. In particular, several stakeholders reported that recent activities towards the introduction of the CBC had been consultative and had engaged stakeholders through several forums and conference proceeding.

60. **Relationships across the sector have improved, particularly those between the TSC and GoK and between sub-national officials and school-level stakeholders.** KNEC has also been deeply involved in sector dialogue and this has improved, particularly at the county level, according to stakeholders, with KNEC assessment results feeding into policy dialogue. Relationships with civil society was commended, with regular participation of these groups in events organized by MoE. However, some civil society organizations noted that they had not been fully engaged in the dialogue process. Similarly, private sector involvement in policy dialogue was reported to be minimal despite the fact that a fifth of children in the country attend private schools.

61. **Government dialogue with teachers has reportedly occurred mainly through the TSC, which has been critical in trying to improve the tense relationship with the teacher unions.** Some stakeholders suggested that sector dialogue had suffered because of higher-level ministry staff turnover, particularly of those who attend the EDPCG. This has resulted in a lack of structure in maintaining relationships. Sub-national dialogue has reportedly improved. However, some stakeholders suggested a further need to strengthen coordination at the county level, particularly as no official groups currently exist at the sub-national level. This raises the question of whether it would be appropriate to have groups that mirror the EDPCG at county level – particularly in relation to ECD, which is the remit of county governments.

62. **The EDPCG is a valuable forum for 1) information-sharing, 2) pushing for greater harmonization and 3) proposing new ideas and garnering support for them.** It was also suggested that the LEG had not performed well enough in aligning external funding with the government system and that this had resulted in a financing gap in the latter years of the ESP. Stakeholders in MoE and the EDPCG reported that the group was useful for aligning funding efforts with the sector plans, but this has not manifested in

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[44] Currently this position is held by UNESCO; previously (between 2017 and 2019) it was held by UNICEF.

any on plan support for the KNESSP. Evidence from stakeholder interviews suggests that its open nature is a positive attribute in that it allows all groups to join the conversation. In this vein, it was also suggested that MoE had been good in using this forum as a pool for finding ideas, particularly in relation to scaling-up in the sector.

63. Interviews with key stakeholders also suggested that the EDPCG had been working well to avoid duplication of efforts through effective coordination with donor partners and other government agencies. Stakeholders also suggested that rotating the chair of the EDPCG (a critical position) had been beneficial, with several stakeholders paying tribute to the efforts of the current chair. However, it was suggested that the EDPCG could be better coordinated to ensure that all parties were informed of meetings in a timely manner to allow for wider participation among partners.

> **Finding 5: The focused dialogue forum of the Troika is a well-functioning mechanism for sector dialogue. However, widening actual engagement to the larger EDPCG may strengthen sector dialogue further.**

64. **This evaluation has found that the EDPCG is not focused on policy decision-making. Policy decisions appear to be informed mainly by the Troika group and reported to the EDPCG, rather than being made with strong EDPCG input.** Some stakeholders noted this imbalance of power within the EDPCG, with certain parties having a more prominent voice than others. Some stakeholders suggested that the EDPCG could be strengthened by actually involving all members of the group in informing decision-making. Stakeholders did suggest that the Troika group functioned well as a focused dialogue forum but noted that there was room to strengthen communication between groups as well as the complementarity of mandates.

65. **Members of the EDPCG that due to the limited nature of the Troika group, certain key issues in the sector may be overlooked due to the agendas of core members being focused on.** For example, it was suggested that refugee issue had not received due attention and this might be because it was not a primary focus of the core Troika members. The membership of the Troika (or more appropriately the Troika Plus) is driven largely by (or at least correlated with) the size of the financial contribution of actors to the sector, to the exclusion of technical agencies, those with smaller investments and civil society organizations. While this is in some ways a natural format, it runs the risk of excluding agencies with interests that are important but not well funded, such as the issue of refugee education, which is largely driven by the United Nations High Commissioner for Refugees (UNHCR) without significant financial backing.

Characteristics of sector monitoring

> **Finding 6:   Looking forward, intention to monitor progress within the education sector in Kenya exists, with JSRs being planned against the KNESSP. However, transparency in monitoring against the previous sector plan has been weak.**

66. **Evidence from the Year I mission noted that monitoring at the sector level had been weak in the country, particularly given that no Joint Sector Reviews (JSRs) have taken place in the recent past.** During implementation of the KESSP (2005-2008), yearly JSRs were carried out by MoE and the development partners involved in the JFA for the KESSP. While the JSRs were thorough and transparent, their incidence was driven by the requirement for them in the JFA; once this had dissolved, the process was discontinued. During the NESP implementation, a mid-term review of PRIEDE was carried out (in 2016), but this constituted a monitoring exercise for PRIEDE rather than for the education sector at large.

It was reported that, at the project level (for a wide range of projects, such as PRIEDE, Tusome, etc.), monitoring had been far more effective, with more systematic and documented monitoring processes in place through this Joint Support Mission (JSM) mechanism. Stakeholders were of the view that the lack of clarity in monitoring (in relation to roles and monitoring processes and objectives) in the sector had made it more challenging for partners to target resources to the most marginalized areas. The second country mission provided evidence that *political will* for monitoring was strong within the country, as evidenced by policy documents and stakeholder interviews.

67. **The KNESSP (2018-2022) recognizes that its success depends on a well-established and effective implementation framework.** There is also recognition that previous sector plans have been hindered by weak M&E systems, thus this plan aims to adopt a harmonized, sector-wide approach with a much more effective framework for implementation to ensure it does not fall victim to similar challenges. The core monitoring instruments put forward in the KNESSP are quarterly reports on budget and activities/program implementation; county-level reports and bi-annual reviews; bi-annual JSRs (one with a small group focusing on budget and formative evaluation and one comprehensive with a large audience to develop the annual report); and annual financial external audits. MoE (The first JSR for the KNESSP is currently being planned by the MoE (specifically the Directorate of Policy and Planning) and is scheduled to take place in February 2020. At the time of writing, a format for the review had not been fixed upon, but the planning team was interested in a much wider and more inclusive review than had been done under PRIEDE, and in technical inputs from the GPE Secretariat and other partner countries with a longer history of annual reviews.

68. **The KNESSP recognizes that strengthening governance and enhancing institutional integrity within the sector is critical to achieving national educational goals and objectives**. For this reason, the KNESSP begins by proposing a governance and accountability sub-sector with a set of programs to deal with foreseen challenges, in the aim of strengthening governance and accountability at the sector level. Various reforms and initiatives have been implemented to strengthen governance and accountability across the entire sector in Kenya.

69. **Governance and accountability play a critical role in education in Kenya, and public accountability to the KNESSP will be key to its success.** In particular, consulted stakeholders noted that dissemination of the KNESSP was an important factor in ensuring accountability; more wide-reaching awareness of the goals of the plan means that GoK can be held accountable if targets are not reached. It was suggested that transparency within GoK could be improved. While it was recognized that the previous plan had been monitored through GoK's collection of monitoring data, the fact that these data were not shared outside of Moe meant that MoE could not be held to account by stakeholders. Therefore, improving transparency in monitoring of the current plan could strengthen the efficacy of its implementation.

70. **The JSR mechanism continues to remain a weakness in the country.** There is currently no forum to hold MoE to account on progress against its plan. Since 2016, no JSR has taken place. However, the second country mission has provided evidence that the current CA, UNESCO and GPE are pushing for this to happen. It was reported that a JSR committee had been set up to plan the first JSR of the KNESSP in February 2020. This timing will allow for the collection and presentation of data from the 2018/19 school year[45] at the JSR, and also enough time to operationalize recommendations before the 2020/21 school year. One stakeholder suggested that it would improve accountability across the sector to re-establish the National Education Board, which, on expiry of its first term, had not been renewed. This was identified as having been potentially harmful to accountability and transparency in the country.

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[45] The Kenyan school year runs from January until the end of October.

71. **Monitoring (in terms of collection and collation of data to assess implementation and outcomes) at the sub-national level also requires strengthening.** It was suggested that one of the key challenges to accountability in the country was capacity for monitoring at the county level. While there are personnel at this level, their capacity to create reports for MoE as well as their ability to travel to schools and to collect data is lacking. One recent improvement reported in this regard has been the strengthening of the role of the curriculum support officers (CSOs), on which improvements in accountability and monitoring rely heavily. While there has been progress in building the capacity of these personnel, dissemination of information, including on the KNESSP, has not been consistent. Better communication between the Directorate of Policy and Planning and those on the ground would allow for continual monitoring and course correction. These plans did appear to have been distributed but one stakeholder questioned whether those on the frontline had read and fully comprehended them.

72. Similarly, at the school level, it was suggested that the quality assurance function (namely, the processes that have been established to ensure or support the efficacy or quality of various policies) of the GoK needed to be strengthened, as currently many schools do not receive support in this regard. Similar concerns were voiced with regard to quality assurance in the private sector. While private schools do not fall under the inspection remit of GoK, the fact that these schools receive no support means that quality assurance standards are unacceptably low (see discussion below). This is also true with respect to National Education Management Information System (NEMIS) data collection, with private schools receiving no support in adjusting to the new requirements (including provision for staff training or the purchase of the necessary information and communication technology equipment).

GPE contributions to sector dialogue and monitoring.

Finding 7:	GPE has played an instrumental role in improvements in sector dialogue and monitoring across the country through financial and non-financial support.

73. GPE inputs have contributed to improving mutual accountability through financial and technical support and advocacy enacted by the GPE Secretariat, the CA (currently UNESCO) and the GA (World Bank), as well as through support to civil society coalitions (in this case the Elimu Yetu Coalition (EYC)). Table 3.5 outlines these contributions, categorized by the degree to which they have affected mutual accountability. **This grouping is indicative and does not constitute a formal score**.

Table 3.5 – GPE contributions to mutual accountability during the 2013-2019 review period

SIGNIFICANT CONTRIBUTION TO MUTUAL ACCOUNTABILITY
Support through the CA for the EDPCG: The EDPCG is a direct result of GPE's engagement with Kenya, and the roles of chair of the EDPCG and CA for GPE grants overlap.
PRIEDE funding for NEMIS development: PRIEDE funding has been essential in supporting MoE and the Ministry for Information, Communication and Technology (MoICT) in the technical development of NEMIS.
PRIEDE funding for the ESA: The ESA is a crucial assessment of data from the past few years, particularly considering the lack of data currently being produced by NEMIS. The ESA is a key outcome of PRIEDE and likely would not have happened without PRIEDE support.
MODERATE CONTRIBUTION TO MUTUAL ACCOUNTABILITY
Advocacy through the LEG for an accountability focus in the KNESSP: GPE advocacy and support through its standards pushed for a greater focus on monitoring and accountability in the KNESSP. This has partly led to

the inclusion of a governance and accountability sub-sector, and a greater focus on monitoring against the KNESSP.

Support for the EYC through the Civil Society Education Fund (CSEF). While GPE support for the EYC has been key in its growing strength as a civil society voice in education in Kenya, it does not yet play a key role in monitoring or promoting accountability.

LIMITED/NO CONTRIBUTION TO MUTUAL ACCOUNTABILITY
None

NOT APPLICABLE/TOO EARLY TO TELL

Advocacy for developing JSRs: GPE, through the GA, CA and Secretariat Country Lead (CL), advocates strongly for the institutionalization of annual JSRs against the KNESSP. While the JSR has been included in the KNESSP and a taskforce has been set up to organize the first JSR in 2020, it is too early to say how this will contribute to mutual accountability in the sector.

Source: Authors' elaboration.

74. **In line with the Year I findings, there continues to be a widely held view across a range of stakeholders that GPE's contributions, both financial and technical, have been instrumental in relation to the improvements that have been seen in terms of sector dialogue and monitoring.** GPE (through the CL, CA and GA) has been a strong voice in pushing for more inclusive dialogue, particularly around key issues on KNESSP and CBC development. Historically, GPE has been seen as having an instrumental role in mending relationships with donors' post-KESSP 2008, with stakeholders suggesting that the PRIEDE program was the turning point in terms of rebuilding trust between donors and GoK. Similarly, stakeholders during both years of the mission recognized the hugely important role that GPE had played in data-driven accountability within the country, particularly through the creation of NEMIS, which has been a significant improvement on the previous EMIS (in that it provides a digitalized platform for collating data). Kenya has also benefited from having a position on the GPE Board, making it feel like a fully integrated member of a global partnership, with great opportunities for knowledge-sharing with other GPE member states.

75. **As mentioned in the previous section, the KNESSP was based heavily on GPE sector planning guidance and benefited from GPE technical support.** As part of this, the GPE Secretariat made several recommendations to improve M&E aspects of the KNESSP in its appraisal document. A key recommendation was to include a full RF with targets that are easy to monitor. In addition, it was recommended that a full M&E plan be developed and that an annual JSR be established.

> **Finding 8:** **NEMIS is MoE's flagship monitoring innovation and GPE support has been important in its development.**

76. **Although NEMIS has been lauded and GPE has been credited for much of the progress that has been made, the system still faces challenges, including problems in registering students, particularly at the primary and ECD levels.** Improvements are required in relation to the timeliness, publishing and dissemination of data, particularly if these are to be used as a key tool for producing accountability and truly evidence-based policy-making. NEMIS has made good progress towards integrating refugee learners, through the use of registration numbers in the absence of birth certificates. This lack of birth certificates has also been a limitation in the registration of citizens, particularly for primary school students (as secondary school students must have a birth certificate in order to sit the Grade 8 exams). At the school level, school leaders' use of data could be improved, particularly given that the credibility of these data is paramount, as capitation grants are based on these figures. Future efforts could also focus on ensuring

that all intra-ministry data are incorporated (teachers, financial management, learning assessment, etc.) as well as integrating cross-sectoral data on children into NEMIS.

77. Other data initiatives have also provided evidence on accountability in the sector. Stakeholders noted that Uwezo[46] data in particular had been a 'wake-up call' to the country, holding GoK to account and showing the need for better learning data. However, since Uwezo data collection has not been conducted since 2015, GoK and other education stakeholders including donors could provide support and momentum for such initiatives, to help triangulate findings from GoK-sourced data. Going forward, strengthening data collection processes on aspects such as timeliness, accuracy and coverage will be critical to monitor progress against KNESSP objectives. These data will need to be credible and widely accessible to truly meet their goals. As previous statistical digests were developed by UNICEF, and currently NEMIS is not fully functional, it is not possible to say what MoE's capacity is in producing timely EMIS data.

Unintended negative/unplanned positive effects of GPE support

78. While it is not necessarily an unintended consequence of GPE support, the fact that the JSR is associated with being a review of the NESP as a program perhaps highlights a projectized view of the sector by MoE. The NESP had a mid-term review, and for the KNESSP there will annual reviews, highlighting a conception of the JSR as a review of the sector plan as a project, rather than as a reflection on the sector as a whole. While this is perhaps only a semantic distinction, it will be interesting to see whether the first of these reviews manages to balance its accountability function as a review of progress against the sector plan with its formative function as a forum for thinking about issues that do not fall within the KNESSP. This misses an opportunity to involve thinking on a more diverse range of more speculative issues, sourcing innovation and generating thinking that could influence future planning.

Additional factors beyond GPE support

79. **The formation of parastatal entities such as the TSC, KNEC and KICD has benefited the sector hugely in capacity, given the decentralized structure of sector management. However, the ESA noted that this had potentially resulted in overlapping mandates and functions.** The education sector comprises four state departments and the TSC. Each state department is characterized by many Semi-Autonomous Government Authorities (SAGAs), and devolution and decentralization has resulted in even more institutions at the sub-national level. This has resulted in sub-optimal deployment of limited resources, given the overlapping mandates of all of these institutions. This is particularly the case for accountability functions, with several bodies (MoE, TSC, KICD) having some form of quality assurance oversight for schools. The ESA 2018 provided some indications as to improvements that could be made to education sector governance. The structure of the sector and its many institutions should be reviewed to improve synergies and linkages and thus the efficiency of each of its institutions, while ensuring a focus on the learner. Reducing the number of institutions may also help improve dialogue and monitoring.

Implications for GPE's ToC and country-level operational model

80. **GPE could provide more guidance on the organization of the LEG and in particular in creating a binding set of roles and responsibilities.** Evidence from this evaluation suggests that the new CA has been working well with partners, particularly given its strengths as a technical agency. Stakeholders suggested

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[46] A citizen-led initiative collecting learning outcomes data at the household level. In Swahili, *uwezo* means ability or capability.

that the roles of the CA and GA were working well and that improvements had been witnessed in this regard. It was suggested, however, that GPE could further and more clearly delineate these roles going forward. To ensure that dialogue does not become structured around the priorities of individual LEG members, there should be clearly mandated roles and responsibilities. Co-creation (involving a wide range of relevant parties) of the terms of reference for the LEG and its constituent members would strengthen the functioning of the LEG. This is particularly relevant in Kenya, where the CA role rotates on a yearly basis, to ensure consistency across cycles.

Box 3.2 – Testing assumptions and assessing strength of evidence

For sector dialogue and monitoring, the four underlying assumptions in the country-level ToC were 1) GPE has sufficient leverage at global and country levels to influence LEG existence and functioning; 2) country-level stakeholders have the capabilities to work together to solve education sector issues; 3) stakeholders have the opportunities (resources, time, conducive environment) to do so; and 4) stakeholders have the motivation (incentives) to do so. The final assessment at the end of the final year of this evaluation is:

Assumption 1 holds. GPE, through its in-country partners, as well as its global presence, has a significant influence over Kenya – despite the reduction in the MCA. The EDPCG is retained as a GPE-conceived instrument, and participation in the global Board by MoE means that the influence that GPE ideas have on dialogue and monitoring in Kenya are strong.

Assumption 2 holds. The EDPCG and Troika groups are well organized and coordinated – with both GoK and partners having ample human resources and technical capabilities to facilitate dialogue and monitoring.

Assumption 3 partially holds. Similarly, the amount of resources that can be dedicated to dialogue and monitoring is high – particularly with the increased focus placed on governance and accountability in the KNESSP.

Assumption 4 partially holds. While motivation for improving dialogue is strong, there is no strong motivation to improve accountability and transparency, as evidenced by the long delay in institutionalizing the JSR process.

The evidence for assessing changes in mutual accountability in Kenya is strong. While there is not a lot of documentation available on accountability exercises, a range of stakeholders in Kenya can speak authoritatively about participation in these exercises, many of whom took part in this evaluation. In addition to this, the ESA and KNESSP provide good background on structural issues around communication and accountability.

3.4   GPE contributions to sector financing[47]

81. Table 3.6 provides a high-level overview of evaluation findings on sector financing and related GPE contributions during the review period (2011-2019). These observations are elaborated on through the findings and supporting evidence presented below.

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[47] This section addresses evaluation questions CEQ 1.5 and 1.6, as well as to (cross cutting) CEQs 3.1 and 3.2.

Table 3.6 – Progress made and GPE contributions to sector financing (2011-2019)

PROGRESS MADE TOWARDS MORE/BETTER EDCUATION SECTOR FINANCING (2011-2019)					LIKELIHOOD OF GPE CONTRIBUTIONS TO[48]:		
Total domestic education exp.	Education share of domestic budget	Met 20% goal?[49]	Total intl. education financing to country	Quality of intl. financing	Amount of domestic financing	Amount of intl. financing	Quality of intl. sector financing
Increase MoE budget has increased by 260% from $1.6b to $4.3b (nominal) since 2011.	**Stable** While UIS figures show a decrease, other sources show stable figures.	**Met** While UIS figures show spending below 20%, other sources[50] show targets being met.	**Increase** Total ODA for education has increased by over 40% since 2011.	**Improved** Since 2013, trust in MoE has increased, encouraging more donors to provide on budget support to GoK.	Modest	Modest	High
					STRENGTH OF UNDERLYING EVIDENCE		
					1	3	4
					ASSUMPTIONS[51]		
					1	2	3

Characteristics of sector financing during review period

Finding 9:   **GoK has shown commitment to increasing funding under the KNESSP. The KNESSP sets out ambitious spending plans and it will be a challenge to fill funding gaps over the next four years.**

Amount and quality of public expenditure on education

82. Table 3.7 outlines trends in public expenditure on education in Kenya. Data are taken from a variety of sources (referenced in footnotes where possible);it is notable that, on a key indicator – proportion of public expenditure going to education – there is some inconsistency between sources.

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[48] Assessment is based on 1) existence/absence of positive change in respective area; 2) stakeholder views on likelihood of GPE support/funding criteria having influenced domestic or international funding decisions; and 3) absence or existence of additional factors that are as/more likely than GPE support to explain noted trends.

[49] One of GPE's ESPIG funding requirements is that 20 percent of government expenditure be invested in education, or that government expenditure on education show an increase toward the 20 percent threshold.

[50] Particularly the calculations done for the recent ESPIG application

[51] 1) GPE has sufficient leverage to influence the amount and quality of domestic education sector financing; 2) external (contextual) factors permit national and international stakeholders to increase/improve the quality of sector financing; 3) stakeholders have the opportunities (resources, time, conducive environment) to do so.

Table 3.7 – Selected domestic financing trends (2011-2018)

CATEGORY	2011	2012	2013	2014	2015	2016	2017	2018	TREND
GDP Current $ billions, World Bank[52]	-	50.41	55.1	61.45	64.01	69.2	78.76	87.9	Rising
Total government expenditure Current $ billions, World Bank	8.31	12.10	12.95	15.92	20.47	22.83	27.77	27.65	Rising
Total domestic education expenditure All levels, current $ billions, UIS	1.60	2.41	2.48	2.72	3.13	3.25	4.15	4.31	Rising
Total domestic education expenditure Primary sub-sector, current $ billions, GPE calculations	-	-	-	-	1.186	1.371	1.654	-	Rising
Expenditure on education as a share of total government budget allocations, UIS[53]	19.3%	19.9%	19.1%	17.1%	16.7%	17.3%	17.6%	-	Fluctuating
Expenditure on education as a share of total government budget allocations, GPE RF				21.6%	21.4%	21.5%	21.5%	20.5%	Stable
Recurrent expenditure on education as a share of total recurrent expenditure, ESA estimated	22.4%	25.7%	23.4%	23.1%	24.6%	24.3%			Fluctuating
Expenditure on education as a share of GDP, UIS	5.3%	5.5%	5.4%	5.3%	5.3%	5.4%	5.2%	-	Stable
Expenditure per student Primary sub-sector, PPP $	-	254	-	291	314	-	-	-	Rising

Sources: http://uis.unesco.org/en/country/ke / data.worldbank.org / GPE ESPIG application (2018)

83. **The absolute amount of funding for education in Kenya has increased steadily over the past 10 years, and per student spending is higher than in neighboring countries.** In 2017, according to UIS data, Kenya dedicated 17.6 percent of its government expenditure to education – below the figure of 20 percent recommended by GPE. GPE ESPIG application criteria recommend that a country's education expenditure, if not above 20 percent of budget allocations, be increasing towards that figure. According to UIS data, the proportion of the Kenyan budget allocated to education has fallen slightly, from a high of 19.9 percent in 2012. Contrary to this, data collected against the GPE RF show budget allocations for education remaining consistently at around 21 percent from 2014 to 2018.[54] Latest per student estimates are for

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[52] https://data.worldbank.org/indicator/NY.GDP.MKTP.CD?locations=KE
[53] http://uis.unesco.org/en/country/ke
[54] This is the result of differences in calculation methods from different sources. For example, the GPE RF focuses specifically on government expenditure *excluding* debt servicing – and includes education-related expenditure from non-education ministries – e.g. spending by the Ministry of Agriculture on agricultural colleges, etc.

2015, when $314 per student was spent on primary education. This is significantly more than in neighboring Uganda ($99), Tanzania ($242) and Ethiopia ($116).[55]

Figure 3.1 – Breakdown of education expenditure by Category (2014/15 from ESA 2018)
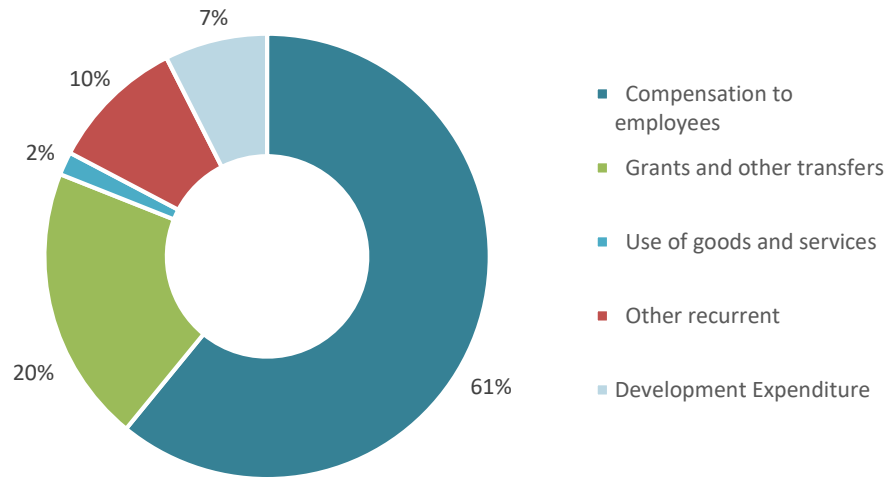
84. **Free primary education, implemented since 2001, is made possible through per student capitation payments to schools by government.** Capitation grants are paid at a flat rate across the country at both primary and secondary levels, and their introduction has been shown to have a positive effect on KCPE scores, as well as attendance.[56] Capitation is paid for all students in public schools, without adjustments to school situation (or other wealth proxies). In the 2017/18 school year, the cost of FPE capitation grants was $180 million, and capitation grants to cover the costs of free day secondary cost $600 million.[57] Figure 3.1 gives a breakdown of expenditure by category, showing that overall 7 percent of education is spent on development expenditure (non-recurrent), with 61 percent going to the TSC for remuneration and 20 percent allocated to grant transfers (which MoE considers to be recurrent expenditure, though much of it goes to school-level capital investment). No data are available on the reliability of MoE budget disbursements, though stakeholders in the finance department of MoE reported that there were few issues with funding being released as scheduled.

85. **While the KNESSP outlines detailed spending plans, the associated budgets are ambitious, and plans to fill funding gaps are not clear.** The total cost of the KNESSP (outlined in more detail in Table 3.8) between 2018 and 2022 will be $28.9 billion, with a steady increase in yearly expenditure from $4.3 billion in 2018 to $6.8 billion in 2022. This increase of $2.5 billion is accompanied by a projected increase in public resources of $1 billion, leaving a final year funding gap of $1.7 billion. Looking specifically at the basic

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[55] All figures for primary education in 2016 PPP$. Data sourced from uis.unesco.org
[56] Juma O. M., Owino G. C. and Anyango O. M. (2016). Effects of Capitation Grant on Implementation of Free Primary Education in Kenya. *Merit Research Journals.* 4 (4) 36-47: https://www.meritresearchjournals.org/er/content/2016/April/Owuor%20et%20al.pdf
[57] Figures taken from the 2018 UNICEF budget brief for Kenya: https://www.unicef.org/esaro/UNICEF-Kenya-2018-Education-Budget-Brief.pdf

education sub-sector, the funding gap is smaller, but in 2022 is still projected to reach $0.543 billion. While the KNESSP has been commended for work done on setting out a well costed and modeled plan, the lack of clarity on how this domestic funding gap will be filled is a weakness. The reduced GPE MCA for Kenya of $9.7 million will have little impact in relation to closing this gap.

Table 3.8 – KNESSP 2018-2022 cost and funding projections (US$ millions)58

	2018	2019	2020	2021	2022	Total
Total sector						
KNESSP expenditure requirements	4,360	5,430	5,932	6,371	6,810	28,903
Total projected public resources for education sector	4,046	4,283	4,533	4,798	5,077	22,737
Total projected donor financing	0	0	0	0	0	0
Total expected resources	4,046	4,283	4,533	4,798	5,077	22,737
Financing gap	314	1,147	1,399	1,573	1,732	6,165
Basic education sub-Sector						
KNESSP expenditure requirements	2,844	2,986	3,195	3,414	4,091	16,529
Total projected public resources for basic education	2,828	2,994	3,169	3,353	3,549	15,893
Total projected donor financing	0	0	0	0	0	0
Total expected resources	2,828	2,994	3,169	3,353	3,549	15,893
Financing gap	16	-7.71	26	60	543	637

Source: KNESSP 2018-2022

86. **The successes of the FPE and FDSE programs, have partly been attributed the capitation grant scheme viewed as   efficient and equitable.** Capitation grants are given at a flat rate to all schools regardless of area. While this is the most administratively simple method of disbursement, it means that urban schools, in terms of purchasing power, receive less than rural schools or schools in lower-cost areas. Actors both within the government and in civil society have suggested that the data produced by NEMIS be used to adapt capitation grant figures to enable a more nuanced, needs-based funding approach (though there is as yet no clear understanding of what this would entail and what data would be needed from NEMIS), which would potentially save GoK money. It is also hoped that NEMIS will reduce leakage in the capitation system by tying capitation to student registration. This would mean that, when students move schools, their capitation amount moves with them – ensuring that all schools receive what they should. GoK hopes that this will also reduce the costs of FPE and FSE.

87. **The counterargument to the inefficiency of the capitation grant system is its redistributive effect, evidenced by the proportion of education funding allocated to the bottom two wealth quintiles.** According to the 2018 ESA, over 53 percent of education sector spending goes to the poorest 40 percent of Kenyan society, while the richest 20 percent attracts just 9.4 percent of spending.[59] This is perhaps because of the greater uptake of private schooling in the wealthier quintiles. A comparison of the amount

[58] Currency exchange using year beginning rates for 2018/2019. Exchange for 2020-2021 based on actual rate at time of writing. Rates taken from www.xe.com
[59] Data taken from calculations for the 2018 ESA.

of government expenditure on education with average household expenditure revealed that, for the poorest households, government investment in education equated over 20 percent of household expenditure. For the wealthiest quintile, this figure was just 1.6 percent. What this shows is that the introduction of FEP has removed a much more significant burden from poor families than it has from rich families. While there is room for improved efficiency in the calculation of capitation grants, any recalculation should be based on serious, pro-poor analyses of the consequences to households.

Amount and quality of international financing

Finding 10:   **Donor trust was damaged by the financial irregularities associated with the KESSP (2005-2010), leading to a drop in the amount and quality of international financing (as well as the contingent technical assistance). While there has been a steady recovery, there is a need to increase the amount of donor financing and its alignment with the KNESSP (2018-2022) to cover the significant funding gaps in the plan.**

Table 3.9 – Trends in international financing for education (2011-2017)

CATEGORY	2011	2012	2013	2014	2015	2016	2017	2011-17	TREND
Total ODA 2017 constant $ millions, OECD-DAC CRS	2,547	2,993	3,377	2,769	2,802	2,632	2,945	*20,069*	Fluctuating
Total ODA as % of net national income (in 2010 constant $), World Bank	7%	8%	9%	7%	6%	5%	6%	*7%*	Fluctuating
Total ODA for education 2017 constant $ millions, OECD-DAC CRS	63.16	93.36	96.92	87.64	100.07	102.1	108.3	*651.64*	Rising
ODA for education as % of total ODA	2%	3%	3%	3%	4%	4%	4%	*3%*	Rising
Total ODA for basic education 2017 constant $ millions, OECD-DAC CRS	25.98	28.10	40.31	43.67	46.86	43.43	48.32	*276.66*	Rising
ODA for basic education as % of ODA for education	41%	30%	42%	50%	47%	43%	45%	*42%*	Fluctuating

Sources: stats.oecd.org/data.worldbank.org

88. **Education in Kenya receives a relatively small proportion of total national official development assistance (ODA).** Between 2011 and 2017, $20 billion in ODA was granted to Kenya (accounting for 7 percent of net national income), of which $0.65 billion went to education. This equates to 3 percent of ODA going to education, which is half of the global average of 6.5 percent. For the 2011 to 2017 period, the largest donors to education were the United States, Germany, the African Development Fund, the United Kingdom and Canada. The largest currently active education projects in Kenya are Tusome (funded by United States Agency for International Development (USAID) and implemented by Research Triangle International (RTI)), SEQIP ($200 million funded by the World Bank and implemented by MoE) and PRIEDE ($98.1 million[60] funded by GPE and implemented by MoE). Of ODA to education, 42 percent is allocated to basic education. Currently, projects such as PRIEDE and SEQIP are implemented by MoE and are

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[60] $88.4 million from ESPIG 2015-2018 and $9.7 as an extension from ESPIG 2019-2023.

accounted for in ministry budgets, with funding delivered through the Treasury (with specific donors having liaison offices in the Treasury).

89. **From 2005 to 2010, donor funding to education was pooled through the KESSP, which was not re**-**established after its initial cycle amid evidence of financial impropriety.** The KESSP was funded using a SWAp – in which a number of donors (the International Development Association (IDA), the United Nations Children's Fund (UNICEF), the UK Department for International Development (DFID), FTI & the Canadian International Development Association (CIDA)) pooled $326 million (or 5.9 percent of the total funding) through a JFA governed by a secretariat within MoE. Other donors contributed on-budget support to the KESSP but not through the JFA. Stakeholders in the Treasury noted that, while this arrangement was welcome in terms of sustainability and predictability of funding, the use of separate reporting standards by donors both in the JFA and separately meant a significant administrative burden for the Ministry secretariat. The KESSP project ended badly, with the final audits discovering $105 million of ineligible expenses, as well as serious relational issues, including MoE refusing to supply documentation or assist with the audit (which the World Bank noted allowed for the possibility of evidence being tampered with).[61] This resulted in 31 MoE staff members losing their jobs, and a decision to move away from SWAps and on-budget support to the education sector, leading to a 52 percent decrease in the amount of ODA to education between 2009 and 2010.

90. **Since the KESSP JFA, most aid has been delivered off-budget and GoK still perceives there to be a problem with the predictability, alignment and harmonization of donor funding.** For the development of the KNESSP, MoE stated that it had intended to include funding commitments (whether on- or off-budget) from development partners against the projected funding gap. Stakeholders within MoE (as well as in development partners) voiced some frustration that this had not been achieved, citing a lack of predictability and willingness to commit to figures for funding for education over the period of the KNESSP. There is a feeling that, given the success of the Projects and Partnerships Directorate in implementing and managing the PRIEDE program (and the initial successes of SEQIP), there should be some consideration of a return to a SWAp to funding education. The absence of donor commitments to the KNESSP is particularly important considering that the funding gap ($637 million 2018-2022) is more than twice as much as ODA for the last equivalent period ($222 million 2013-2017).

91. **The transition to lower-middle-income country (LMIC) status has had significant implications for Kenya's ability to access concessional financing.** No longer having access to zero interest financing from IDA means that Kenya only has the option of taking commercial loans, with much higher associated costs. Many in Kenya feel that this amounts to being 'punished for success' and that, particularly in education, there are still significant regional disparities that make the need for easily accessible international financing important. Some in the Treasury suggested that a transitional arrangement would have helped the country prepare more adequately, with Kenya now paying much higher interests than its neighbors on regional projects for which IDA/IBRD financing has been used.

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[61] Notes on the financial irregularities in the KESSP can be seen in the Implementation Completion Report: http://documents.worldbank.org/curated/en/666051475114943516/pdf/000020051-20140625070311.pdf

GPE contributions to sector financing

Finding 11:	The reduction in Kenya's ESPIG allocation has not been favorably received. However, it is recognized that GPE has made a long-term contribution to financing in education through its advocacy for alignment, and the work PRIEDE has done in rebuilding confidence in GoK.

92. GPE's contributions to sector financing in Kenya can be divided into its financial contributions to ESP funding and non-financial contributions through advocacy, the imposition of standards as part of grant applications and technical support from the Secretariat, GA and CA. Table 3.10 outlines these contributions, categorized by the degree to which they contributed to more and better domestic and international financing. **This grouping is indicative and does not constitute a formal score.**

Table 3.10 – GPE contributions to sector financing during the 2012-2019 review period

SIGNIFICANT CONTRIBUTION TO INTERNATIONAL FINANCING
Improved donor confidence through the GPE ESPIG-funded PRIEDE program, providing GoK with the opportunity to demonstrate its re-established trustworthiness and competence: Donor confidence in GoK was low after the misappropriation of funds for the KESSP. PRIEDE was the first major on-budget support program for education since and has been widely cited as having built trust and confidence in GoK.
MODERATE CONTRIBUTION TO INTERNATIONAL FINANCING
Advocacy for improved harmonization of funding through the EDPCG: The Troika group and the EDPCG, facilitated by GPE through the CA, have been important in promoting better harmonization of funding, though there is still work to be done, particularly in aligning donor funding with government systems.
Support to the KNESSP as a tool for harmonization: By supporting the development of successive education sector plans, GPE has contributed to providing a framework for better harmonization. While this framework has not yet resulted in more harmonized funding, there are signs that it is shifting perceptions among donors on the importance of harmonized funding.
Financial contribution of ESPIG Funding: ESPIG funding contributed 12 percent of ODA to basic education over the 2011-2017 period, and 4.9 percent of total ODA to education.
LIMITED/NO CONTRIBUTION TO INTERNATIONAL FINANCING
Advocacy for increased budget allocations for education: GoK has consistently been dedicated to funding education as one of the key activities in the Vision 2030 agenda. In this sense. GPE advocacy has not been the key driving factor in these improvements.
NOT APPLICABLE/TOO EARLY TO TELL
Multiplier funding: While it is likely that Kenya will leverage additional funding in order to access grants through the multiplier funding window, this has not yet happened. At the time of writing (October 2019), GoK was in discussions, through the Troika, as to how best leverage additional funding.

93. **Kenya received catalytic funds from EFA/FTI from 2005 to 2008, and then subsequently from GPE from 2013 onwards, totaling $207 million between 2005 and 2019.** In 2018, along with the new ESP (the KNESSP), Kenya was eligible to apply for a follow-on ESPIG. A recalculation of the MCA for Kenya meant that the amount awardable ($9.7 million) was much smaller than previous grants. This being considered, MoE decided that the grant would be used as an extension to the PRIEDE program, with extended efforts focusing on integrating core elements of the PRIEDE and Tusome programs into MoE processes and ways of working. Thirty percent of the new ESPIG allocation, agreed upon in 2019, will be released on

attainment of targets on Disbursement Linked Indicators (DLIs). DLIs for the new ESPIG had not, at the time of writing, been agreed upon. Kenya is also eligible to apply for funding under GPE's multiplier grant window (on the proviso that GoK leverages additional funding in a ratio of 3:1).

94. **The wisdom of reducing in the MCA for Kenya has been widely questioned by stakeholders.** The MCA for Kenya has been reduced to $9.7 million from $88.4 million based on a number of factors, including the country's transition to LMIC status in 2013 and the achievement of universal primary education (measured by 99 percent primary completion rates). Many stakeholders (both in government and in the EDPCG) feel that this decision (as with the loss of access to concessional financing) amounts to punishing the country for its success, and fails to recognize the fragility of this success. Stakeholders maintain that continuation of funding is required to ensure that the gains made in the past decade can be maintained, as well as to address key sectoral issues such as regional inequalities and the issue of integrating refugees into the mainstream education system. While there is logic to this, and the decrease is drastic, there is a strong counterargument that, considering the limited resources available to GPE, the focus should be on financial support for those systems most in need. While there is a significant funding gap in Kenya, the resources available for education are still significantly higher than in other GPE member countries.

Table 3.11 – GPE disbursements to Kenya 2005-2019 ($ millions)

	2005	2006	2007	2008	2009-2012	2013	2014	2015	2016	2017	2018	2019
FTI catalytic funds	30.25	30.25	30.25	30.25	…							
ESPDG					…	.25						
PIG					…		.29					
ESPIG					…				7	25	30	24
Total	**30.25**	**30.25**	**30.25**	**30.25**		**.25**	**.29**		**7**	**25**	**30**	**24**

95. **Post-KESSP relationships were strained, and GPE funding has been essential in rebuilding trust in GoK.** After the KESSP, donor funding to education in Kenya reduced significantly (from $95 million in 2009 to $46 million in 2010). Stakeholders across the sector reported a period of deep mistrust and caution as donors moved their investments off-budget. In 2015, PRIEDE was the first program to re-establish a close working relationship between partners and GoK, and led to the SEQIP investment in GoK by the World Bank. Currently, government actors are beginning to float the idea of re-establishing a JFA, showing that the country is recovering from the KESSP period.

96. **There are ongoing discussions in the EDPCG about how best to leverage the 3:1 ratio needed to access the multiplier fund grant allocation for Kenya.** A strong possibility is that money will be reallocated from the cross-sectoral IDA pipeline, but this has yet to be confirmed. Similarly, it has been decided that 30 percent of the ESPIG funding allocated to the PRIEDE extension will be performance-linked, but it has yet to be decided who will monitor the DLIs, and stakeholders reported uncertainty about how useful variable funding was with the MCA so reduced. It was reported that MoE and key partners in the Troika group felt that the incentives provided by the variable tranche funding (which, if 30 percent of the MCA is used, would be $3.2 million) would be lower than the associated costs and administrative burden.

Unintended negative/unplanned positive effects of GPE support

97. The ripple effects of GPE's decision to reduce the MCA for Kenya are important unintended consequences. While the model of transitional support, with direct GPE support being reduced as a country achieves certain indicators, is strong and working positively in Kenya, there are unintended consequences. The use of ESPIG funding, and particularly variable tranche ESPIG funding, as a motivator for improved sector performance is a key part of GPE's country-level ToC. Naturally, as the amount of funding available decreases, the level of GPE involvement (particularly through the secretariat as GA and CA will maintain their influence through their other projects) will decrease as well. This is not necessarily negative, as GPE can maintain its support and influence through the technical aspects of its partnership and advocacy model. However, it is perhaps not being explicitly considered and accounted for in how GPE interacts with countries such as Kenya. The danger is that GPE technical inputs and the added value of the partnership would decrease, or be viewed with decrease importance as funding is reduced. Currently there is no comparable case to assess how this would happen.

Additional factors beyond GPE support

98. **Alongside its inputs as GA for GPE grants, the World Bank in Kenya has played a key role in promoting harmonization and alignment of funding.** SEQIP has been a crucial additive factor to the impact PRIEDE has had in building confidence in the sector, as was the consultative support provided by the World Bank in helping MoE establish costings and financial models for the KNESSP. In addition to this is the work done by other members of the Troika group and the EDPCG in supporting conversations around harmonization and alignment of funding.

Implications for GPE's ToC and country-level operational model

99. **There is room for greater clarity in communicating GPE's methodology behind MCA calculations.** In Kenya, there is a general sense of how the reduction came about in the calculation of the reduced MCA – that it is related to universal primary education and the graduation to LMIC status. Stakeholders consulted suggested that a more direct approach to mainstreaming refugee education in the KNESSP (as in Uganda, which ahs recently received a much higher MCA) could have resulted in a higher allocation for Kenya. Regardless of the veracity of this belief, a clearer outline of how the MCA is calculated would open up the potential for GPE to use that calculation to ensure effective and equitable allocation of ESPIG funding by offering an increased MCA if funding were to be allocated to specific causes (such as mainstreaming of refugee education). This speaks to the potential for GPE to affirm its position as a funder of education in low-income countries. With the advent of the International Financing Facility for Education (IFFEd), which aims at supporting LMICs with concessional financing for education, a sensible delineation would be for GPE to provide grants to low-income countries. This would allow it to focus its attention in middle-income countries on advocacy, knowledge exchange and technical support, with financing becoming the mandate of IFFEd.

100. **The case of the KESSP and the subsequent period shows the risks inherent to using SWAps without adequately assessing capacity in government implementation units to administer the funding.** It is evident in retrospect, and from the assessment of the Implementation Completion Report for the World Bank's contributions to the KESSP SWAp, that the secretariat in MoE charged with coordinating implementation did not have the public financial management capacity to manage the on-budget support provided. It also emerges from the documentation, as well as from interviews with key Treasury officials, that the design of the SWAp was not well harmonized in terms of common reporting structures between contributors, leading to an unwieldy administrative burden for government administrators. The fallout from the dissolution of the KESSP SWAp set back relationships between GoK and donors, as well as the

amount of funding available for the sector. Conversely, the PRIEDE program has had much more success in using on-budget support to build in ministry capacity and partnership. This is perhaps evidence that when, considering aligned support of SWAps, a measured approach by government and its partners should be taken to ensure adequate structures, resources and safeguards are in place. If a SWAp again became a possibility in upcoming funding cycles, reduced ESPIG funding would be well positioned to provide the 'sunk costs' of setting up the structures necessary to coordinate a SWAp, funding the instrument rather than the system (e.g. by working to harmonize reporting structures, support monitoring and accountability and assist the Projects and Partnerships Directorate in MoE if it were to coordinate such a SWAp).

Box 3.3 – Testing assumptions and assessing strength of evidence

For sector financings, the three underlying assumptions in the country-level ToC were 1) GPE has sufficient leverage to influence the amount and quality of domestic education sector financing; 2) external (contextual) factors permit national and international stakeholders to increase/improve the quality of sector financing; and 3) stakeholders have the opportunities (resources, time, conducive environment) to do so.

The final assessment at the end of the final year of this evaluation is:

Assumption 1 partially holds. While GPE has influence on domestic policy-making in Kenya (particularly as Kenya is directly represented on the GPE Board), the motivation for increasing funding for education is strong within GoK – meaning that this influencing power is not a crucial factor.

Assumption 2 partially holds. The amount of international financing to Kenya is increasing steadily and the strengthening of project implementation capacity in MoE provides an increasing incentive for donors to invest directly in KNESSP implementation. However, the move to LMIC status has restricted the ability of GoK to access concessional loan funding.

Assumption 3 holds. There is strong motivation in GoK to improve the quality of financing, particularly by encouraging more external actors to invest directly into the KNESSP.

The evidence for assessing changes in sector financing in Kenya is strong. There are a number of sources for sector financing data in Kenya, including the Treasury, the UNESCO Institute of Statistics (UIS), GPE and the recent ESA. The latter in particular has provided important analysis on the wealth distribution of spending. Kenya produces important academic data on the quality of financing, particularly around the impact and aftermath of the 2005-2010 SWAp.

3.5   GPE contributions to sector plan implementation[62]

101.   Table 3.12 provides a high-level overview of evaluation findings on sector plan implementation and on related GPE contributions during the review period. These observations are elaborated on through the findings and supporting evidence presented below.

Table 3.12 – Progress made and GPE contributions to sector plan implementation

PROGRESS MADE TOWARDS SECTOR PLAN IMPLEMENATION	DEGREE OF GPE CONTRIBUTION	DEGREE TO WHICH UNDERLYING ASSUMPTIONS HOLD [63]				
Modest: Assessment of the previous sector plan, the NESP, is that, while its outcomes were mostly achieved, it is not clear that it was a truly *living* document that really shaped implementation. It is difficult currently to assess the progress of the new sector plan implementation. Since the 2018 report of this evaluation, there has been no active sector plan, with focus being put on developing the KNESSP (2018-2020).	**Modest**: The activities that GPE has directly funded – training for teachers and procurement of textbooks – were the strongest areas of implementation of the NESP (2013-2018). However, the overall contribution of GPE inputs to sector plan implementation outside of the PRIEDE program are less prominent.	1	2	3	4	5
		STRENGTH OF THE CONFIRMING/REFUTING EVIDENCE				
		1	2	3	4	5

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[62] This section addresses evaluation questions 1.3 and 1.4, as well as (cross-cutting) CEQs 3.1 and 3.2.

[63] For sector plan implementation, the five underlying assumptions in the country-level ToC were 1) relevant country-level actors have the technical capabilities, motivation (political will, incentives) and opportunity (funding, conducive environment) to implement all elements of the sector plan; 2) available domestic and international funding is sufficient in quantity and adequate in quality to implement all elements of the sector plan; 3) country-level development partners have the motivation and opportunity (e.g. directive from respective donor government) to align their own activities with the priorities of the sector plan and to work through the LEG as a consultative and advisory forum; 4) country-level stakeholders take part in regular, evidence-based JSRs and apply recommendations deriving from these to enhance equitable and evidence-based sector plan implementation; and 5) the sector plan includes provisions for strengthening EMIS and LAS to produce timely, relevant and reliable data.

Characteristics of sector plan implementation

> **Finding 12:**   Implementation of the NESP was largely successful, but some of the more ambitious targets, such as implementation of the CBC and NEMIS were not fully achieved and have been restructured into the KNESSP. A lack of transparent monitoring data makes detailed summative assessment of NESP implementation performance challenging.

102.   **The Year I evaluation in Kenya noted that several elements of the NESP had been implemented. However, the targets appeared to be overambitious in many areas.** Many stakeholders interviewed in Year I suggested that project activities were limited in relation to how they fitted within the NESP. This signals a need for both MoE and its donor partners to focus on the bigger sector plan picture and how the different components of a plan contribute to the wider goals of the education sector in Kenya. The Year II mission corroborates this finding and indicates that the situation has remained unchanged over the past year, with many nongovernmental stakeholders equating plan implementation with project-level implementation, whether this be donor projects or government programs. The KNESSP (2018-2022) is yet to be fully ratified, meaning there has been a gap in implementation against a sector plan for the 2018/19 school year (between the NESP 2013-2017 and the KNESSP 2018-2022). It remains to be seen whether the February 2020 JSR will be used as an opportunity to integrate lessons learned from NESP implementation into planning for implementing the KNESSP.[64] Considering this, an evaluation of sector plan implementation since the Year I report of this evaluation (published December 2018) cannot be conducted. Evaluation of progress against NESP targets from 2013 to 2018 (as detailed in the Year I report of this evaluation) is included in Annex N.

103.   **Evidence gathered during this evaluation supports a sense that GoK appears to be more committed to following the new sector plan rigorously.** This is contrast with the situation under the previous NESP (2013-2018), which appeared, according to the first evaluation, not really to have been used to guide implementation**.** Recent establishment of the Directorate of Projects and Partnerships in MoE was cited to have improved the capacity of MoE to implement donor projects, as well as its own agenda. Low implementation capacity at the sub-national level was seen as a reason why GoK had struggled to hit its targets, particularly in the area of ECD. Some stakeholders were also of the opinion that GoK was too siloed on implementation and that the various agencies and parastatals involved in implementation were not well coordinated.

104.   **The GPE appraisal of the KNESSP[65] highlighted some potential implementation challenges.** The most critical of these is the fact that the sector plan is not accompanied by a multi-year action plan. This is generally a requirement of GPE funding because ensuring that sector plans are accompanied by actionable strategies is key to effective implementation of those plans. The appraisal noted that a weakness of the new sector plan was the challenge of establishing prioritization of different objectives and activities within each objective. So that implementation is not hampered, the KNESSP would benefit from an operational plan with clear, detailed information on the sequencing of activities, resourcing per activity and responsibilities accompanying each priority area. Stakeholders interviewed during the second country mission also had concerns about actionability and operationability and, therefore, the ultimate

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[64] As covered in Section 3.1, the ESA was used well to integrate sector-wide lessons into the KNESSP, and, while the ESA was not an evaluation of NESP implementation, it is likely that many of the lessons learned from the NESP are concurrent with the findings of the ESA.
[65] GPE comments on the KNESSP (2018).

achievability of the new plan. While GoK appears in general to have the implementation capacity, specific training on budgeting, work planning, preparation of concept notes and other project management skills needs to be developed across all directorates, according to some stakeholders.

> **Finding 13:   Costed implementation plans have been recommended to ensure the ambitions of the KNESSP are more likely to be realized, particularly around implementation of the CBC, which is one of the key areas of focus of the new sector plan.**

105.   Introduction of a new CBC was a target of the previous sector plan, but rollout has been delayed, only beginning in the 2018/19 school year. Implementation of this new system of education as designed by the KIDC is well underway across the country. While the popular press and political activity in the country would suggest that this initiative has divided stakeholders, this evaluation's second country visit found overwhelming support for the CBC, with all stakeholders appearing to support this type of pedagogy. The progressive rollout of the CBC lies at the core of the KNESSP as MoE's flagship education policy. There is therefore an inherent risk that GoK will develop tunnel vision, focusing attention on the CBC at the cost of other areas of focus in the KNESSP. This issue was noted with the NESP, with development partner stakeholders noting that MoE had a tendency to be reactive in implementation, focusing on emerging issues not on the implementation of plans. Having costed yearly workplans for the KNESSP will be crucial to ensure the CBC is rolled out, but also that the other initiatives of the KNESSP occur.

106.   The training of teachers (if measured in terms of numbers of teachers trained) in the CBC has been relatively successful (based on data collected on numbers of teachers trained as well as evidence from press reports and stakeholder interviews). The evidence on whether teachers are fully supportive of the curriculum changes is mixed. Evidence garnered through this year's evaluation supports the finding that non-financial support for schools in the rollout of the new curriculum has been strong, with several conferences and workshops organized particularly for school leaders. However, some stakeholders were less positive in relation to the quality of teacher training conducted, in particular the efficacy of the cascade model of training. The reason for this is that the cascade approach could enable claims of huge numbers of teachers attending training without the corresponding level of actual instructional competence being achieved. That is, cascade training, by its very nature, allows a large number of people to attend training. However, if the quality of the latter stages of the cascade is low, the actual content learned and skills acquired may be questionable. These weaknesses in the training model may have resulted in teachers not fully understanding the benefits of the new pedagogy, thereby leading them to resist this change, as evidenced in the very public protestations of teachers against the CBC.[66] This would suggest that CBC implementation focused on quantity targets rather than thorough quality objectives of training teachers. Capacity-building may also be an area of concern in the implementation of the CBC, in particular in relation to areas such as assessment (ensuring assessment officers are ready for CBC implementation) and, crucially, school-level capacity, especially given that the housing (in primary schools or secondary schools) of Grades 7 and 8 students is yet unclear. Stakeholders from the private sector noted that private schools should also be more supported in implementing the CBC.

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[66] More analysis on the issues associated with in-service training programs can be seen in Popova, Evans and Arancibia's 2016 meta-analysis of what works in training programs: https://www.riseprogramme.org/ sites/www.riseprogramme.org/files/inline-files/Evans_Inside_In_Service_Teacher_Training_CLEAN_v2016-06-22.pdf

107.   Stakeholders also voiced concerns about the implementation of ECD, which has been devolved to the county level. Similar concerns were voiced in relation to the implementation of policies relating to refugee and special educational needs (SEN) children.

GPE contributions to sector plan implementation

Finding 14:	Good progress has been made in relation to meeting the implementation targets of the PRIEDE program, in particular in relation to SIPs, which are widely appreciated as having the potential to enhance capacity within schools as well as at national and sub-national levels.

108.   **Evidence from the final evaluation mission has suggested that GPE has contributed to sector plan implementation in Kenya, through its focus on global and regional learning.** Stakeholders were of the view that the global focus of GPE had motivated MoE to push forward the education agenda and given the education sector in the country various opportunities to learn from neighbors and partner countries. Kenya sits in a relatively privileged position, representing Anglophone Africa on the GPE Board, as well as having previously been part of the civil society representation on the Board through EYC. This means MoE is much more aware of its position as a member of a global partnership than other countries. This has manifested in greater engagement with other countries and an outward-looking focus, which allows MoE to pick up best practice in implementation from its neighbors.

109.   **Indications from interviews in the second mission are that good progress has been made in relation to meeting the implementation targets of the PRIEDE program.** Several stakeholders held the view that the provision of textbooks throughout PRIEDE not only had led to a 1:1 ratio but also had improved the framework for procuring textbooks, which may prove a benefit for CBC implementation. However, one stakeholder noted that, while GoK had benefited through PRIEDE on economies of scale in procuring textbooks, this could have been extended to private schools, which had yet to benefit from these savings. It was also noted that, while GoK had been clear on its achievement of the 1:1 ratio, no verifiable data have been published to attest to this achievement.

110.   GPE's contributions to sector plan implementation in Kenya can be divided into its financial contributions to ESP funding and non-financial contributions through advocacy, the imposition of standards as part of grant applications and technical support from the Secretariat, GA and CA. Table 3.13 outlines these contributions, categorized by the degree to which they contributed to more and better domestic and international financing. **This grouping is indicative and does not constitute a formal score.**

Table 3.13 – Contributions to sector plan implementation during the 2013-2019 review period

SIGNIFICANT CONTRIBUTION TO SECTOR PLAN IMPLEMENTATION
ESPIG funding for PRIEDE program: While the amount of financing provided by PRIEDE was not hugely significant, its effect has been, both in supporting key interventions (providing textbooks and training for the CBC) and in strengthening systems (such as the procurement systems for buying textbooks).
MODERATE CONTRIBUTION TO SECTOR PLAN IMPLEMENTATION
Strengthening of the Project Implementation Unit: PRIEDE has played a key role in strengthening the Projects and Partnerships Directorate in MoE. The effect of this is mixed. While it has been significant in strengthening

implementation of projects, it is not clear what change the development of this unit has leveraged in MoE as a whole.

Better harmonization and dialogue through the EDPCG: The EDPCG and the Troika group have played a key role in harmonizing partners around the sector plans to support intervention, though the absence of high-level MoE participation and significant participation by key parastatals (KNEC, KICD and TSC) limits the effectiveness of the EDPCG and the Troika group in supporting ESP implementation.

Support for sector plan development (KESSP 2005-2010, NESP 2015-2018, KNESSP 2018-2022): The use of sector plans as core guiding documents for sector-wide implementation in Kenya is a story of steady progress. The KESSP suffered from capacity issues and implementation was mired in the JFA scandal. The NESP was a more widely supported document but still suffered from not being an entirely living document. Hopes are high for the KNESSP, which places greater focus on promoting accountability and short-term operational planning. While it remains to be seen how effective this will be, it is fair to say that the use of overarching sector plans has had a moderate positive impact on the coordination and efficiency of implementation in Kenya.

PRIEDE support for school planning: Support to SIPs through PRIEDE has led to improvements in the effectiveness of schools in operationalizing and implementing the funding available to them, as well as in leveraging more funding from communities. While the changes have not been transformational in strengthening grassroots implementation capacity, they have been a positive step in the right direction.

LIMITED/NO CONTRIBUTION TO SECTOR PLAN IMPLEMENTATION
None

NOT APPLICABLE / TOO EARLY TO TELL

Variable tranche ESPIG funding. Stakeholders widely acknowledged that introducing performance-based financing would have a positive impact on implementation capacity in MoE. However, at the time of writing (October 2019), this funding had not yet been implemented.

Source: Authors' elaboration.

111.	During the first evaluation mission, the benefits of running the PRIEDE program parallel to Tusome were emphasized, and this was reiterated during the second year by several stakeholders. Tusome is the national-level government reading program, funded by DFID and USAID and implemented by RTI. The alignment of Tusome and PRIEDE was recognized as important, given the links between the ability to read and success in mathematics, as were the efficiency gains, given that the same teachers teach both subjects. CSOs and teachers were trained jointly to implement both programs. However, Tusome was housed outside MoE and is expected to be absorbed within it in the immediate future. PRIEDE, on the other hand, has always functioned through and within the GoK system.

112.	Tusome was perceived to be more 'efficient' than PRIEDE (according to evidence collected in the first mission) because it functioned outside of the bureaucracies and slow mechanisms of government systems. In contrast, however, the Year II mission found that, actually, in the longer term, PRIEDE may establish itself as more valuable because, by working within government systems, it has built ministerial capacity and is more sustainable. PRIEDE's deep embedding and integration within MoE has meant that the scale-up process has developed capacity not only across MoE but also within the sub-national government system. SIPs, a key component of PRIEDE, were lauded by several stakeholders during the second mission as ultimately being a success, despite their development being challenging as a result of low capacity among CSOs. The SIP initiative was suggested to have improved governance and administration in schools and also to have huge potential for system-wide changes if appropriately scaled up, though no formal assessment of impact has been carried out.

113.   **Teachers initially resisted the Teacher Performance Appraisal and Development (TPAD) tool.** However, MoE and civil society stakeholders viewed the benefits in terms of improving teacher standards as far outweighing the challenges. While GPE supported TPAD at the national level, stakeholders noted a gap in funding for its uptake at the county and sub-county levels. Stakeholders suggested that Tusome did not involve the TSC in the way that PRIEDE did, and saw this and the use of government agencies as a key strength of the PRIEDE program. Efficient and effective implementation of the TPAD will rely on the ability of MoE to ensure teachers are properly trained and supported to use it.

114.   Evidence collected during the second mission also supports the view that implementation of SEQIP builds on the capacity developed during PRIEDE implementation, which has meant more coherence and consistency, as it uses many of the same people and has learned from the challenges and mistakes made in PRIEDE.

Table 3.14 – PRIEDE implementation and contribution to overall ESP implementation

INTERMEDIATE RESULTS OBJECTIVE	2018	2019	TARGET	NESP COMPONENT
Improving early grade mathematics competencies				
Number of EGM textbooks distributed	7,617,068	10,469,754	6,000,000	**Priority 3:** Education Quality
Number of teachers trained in EGM	117,484	102,157	40,000	
Number of classroom observations conducted	17,121	103,848	120,000	
Strengthening school management and accountability				
Number of participating schools receiving KCPE analysis report	4,000	4,000	4,000	**Priority 3:** Education Quality
Number of teachers appraised in participating school	29,159	32,775	30,000	
Number of schools submitting SIPs	4,000	4,000	4,000	
Number of schools receiving school grants	3,990	3,976	4,000	
Number of schools audited	3,997	4,000	4,000	
Strengthening capacity for evidence-based policy development at national level				
Percentage of schools submitting EMIS data	95	20%	98%	**M&E**
Sector diagnosis covering access, equity and efficiency	no	yes	Yes	
Preparation of the next five-year ESP	no	yes	Yes	

Source: World Bank Implementation Status Results Report #7 (April 2018), #9 (April 2019).

Unintended negative/unplanned positive effects of GPE support

115.   Some views of stakeholders indicate that the focus on government ownership in the development of the KNESSP had led to a inadequate capacity, which was seen to be partially responsible

for the delay in ratifying the KNESSP – with fewer people available for the development of the plan than for previous iterations. This delay meant that effectively there has been a year in Kenya in which no sector plan has been fully functional in guiding implementation. This is an issue that governments should consider when looking at long-term planning, to incorporate realistic estimates of how long development of the next plan will take, what resources are needed to ensure it can be completed in time and what contingencies or transitional measures should be in place in the event that a plan comes into effect later than expected.

Additional factors beyond GPE support

115.   Focusing human resources in MoE on implementing projects funded by donors (such as PRIEDE or SEQIP) has had the unintended consequence of reduced capacity for other ministry initiatives. The Projects and Partnerships Directorate, which implements projects such as PRIEDE and SEQIP, is staffed through secondments from other directorates. For example, a large number of senior personnel for SEQIP were moved from the Policy and Planning Directorate, which was reported to have reduced its capacity in the short term.

116.   Turnover of staff within MoE has also hindered implementation within the sector. This factor is beyond the control of GPE support. However, one mitigating approach that GPE already adopts is to ensure relationships are not personnel-dependent but institutionally embedded. The Directorate of Partnerships and Projects – the Project Implementation Unit within MoE – takes staff from other directorates for its projects. For the development of SEQIP, for example, staff were taken primarily from the Policy and Planning Directorate. This reportedly left a temporary shortage of key staff working on policy priorities.

Implications for GPE's ToC and country-level operational model

117.   Strong evidence was collected during the final mission to Kenya to suggest that GPE's operational model of working through and with government systems is a key strength that not only helps build national capacity but also ensures sustainability. Several stakeholders lauded this model's long-term benefits despite initial teething problems.

118.   This evaluation has suggested strong national political will on the part of GoK in planning in the education sector, but some capacity gaps in relation to the subsequent implementation of plans. A key question for donors is how they can support continuing this momentum into the implementation stages, particularly when financial support from these donor organizations is not attached to key target objectives within the sector plan.

Box 3.4 – Testing assumptions and strength of evidence

For sector plan implementation, the five underlying assumptions in the country-level ToC were 1) relevant country-level actors have the technical capabilities, motivation (political will, incentives) and opportunity (funding, conducive environment) to implement all elements of the sector plan; 2) available domestic and international funding is sufficient in quantity and adequate in quality to implement all elements of the sector plan; 3) country-level development partners have the motivation and opportunity (e.g. directive from respective donor government) to align their own activities with the priorities of the sector plan and to work through the LEG as a consultative and advisory forum; 4) country-level stakeholders take part in regular, evidence-based JSRs and apply recommendations deriving from these to enhance equitable and evidence-based sector plan implementation; and 5) the sector plan includes provisions for strengthening EMIS and LAS to produce timely, relevant and reliable data.

The final assessment at the end of the final year of this evaluation is:

Assumption 1 partially holds. Development of a dedicated Project Implementation Unit in MoE shows that there is strong implementation capability in the Ministry but that on occasion this does not spread into all directorates. Similarly, the devolution of ECD means that an important sub-sector relies on implementation capacity in county governments, which is weaker than at the national level.

Assumption 2 partially holds. While the education sector in Kenya is generally well funded (as outlined in Section 3.3), the ambitions of the KNESSP are high, and the funding gap is large, potentially presenting challenges in the future..

Assumption 3 partially holds. While there is mixed evidence on how central the NESP was an organizing document for implementation, for the new KNESSP there is strong motivation to implement its activities.

Assumption 4 does not hold. The most significant threat to implementation of the KNESSP will be the absence of open and constructive joint monitoring exercises. That these begin to happen as scheduled in January 2020 is essential to the success of the KNESSP.

Assumption 5 holds. MoE is focused strongly on improving NEMIS capacity, as well as building assessment capacity in the KNEC through the National Assessment System for Monitoring Learner Achievement (NASMLA) mechanism.

The evidence for assessing changes in the education system in Kenya is moderate. While the ESA gives a good diagnosis of sector-wide progress, few data were produced through direct monitoring of implementation of the NESP, making it difficult to actually speak to the success of the NESP as a sector plan.

4 Progress towards a stronger education system[67]

4.1   Introduction

119.   This section summarizes evaluation findings related to **Key Evaluation Question II** from the evaluation matrix: 'Has sector plan implementation contributed to making the overall education system in Kenya more effective and efficient?'

120.   Progress towards a stronger education system is measured by drawing on evidence of achievements in the broad priority areas laid out in the current and previous sector plans. As Kenya is at a transitional point between the NESP and the KNESSP and evidence from both will be drawn upon. The analysis focuses on changes that go beyond specific activities or outputs, and, instead, constitute changes in the existence and functioning of relevant institutions (e.g., schools, MoE, county governments and parastatals), as well as changes in relevant rules, norms and frameworks (e.g. standards, curricula, teaching and learning materials) that influence how actors in the education sector interact with each other.[68]

4.2   Progress towards a stronger education system (2013-2019)

121.   Table 4.1 provides an overview of system-level improvements observed in selected key aspects, whether the respective issue had been addressed in the ESP and whether ESP implementation had likely contributed to the observed changes.[69] While the KNESSP covers the period going back to 2018, it was endorsed fully only for the 2019/20 school year and therefore has had little impact on the education system. Instead, this section focuses on the potential impact of NESP (2013-2018) implementation in terms of facilitating progress towards a stronger education system. As GPE-supported sector plan implementation in Kenya stretches back to 2005, 2013 to 2019 are used as the review period.[70]

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[67] This section triangulates findings against RF indicators 11, 12, 13, 15.

[68] Please see definition of 'education systems' in the terminology table of this report. The GPE 2020 Corporate RF defines six indicators for measuring system-level change: 1) increased public expenditure on education (RF10, covered in Section 3.3 on education financing); 2) equitable allocation of teachers (RF11, covered here under Access and Equity); 3) improved ratios of pupils to trained teachers at the primary level (RF12, covered below under Quality and Relevance); 4) reduced student dropout and repetition rates (RF13, covered in Section 5; 5) the proportion of key education indicators the country reports to UIS (RF14, covered here under Sector Management); and 6) the existence of a learning assessment system for basic education that meets quality standards (RF15, covered below under Quality and Relevance).

[69] The fact that a certain issue had been addressed in the ESP does not guarantee that related changes occurred because of ESP implementation.

[70] Some reported data may fall outside of this date range but generally 2013 is used a start date for review in order to line up with the NESP.

Table 4.1 – Assessment of the contribution of ESP implementation to system level change

PROGRESS/IMPROVEMENTS MADE DURING REVIEW PERIOD (2013-2019)	HAD ISSUE BEEN ADDRESED IN THE ESP?	LIKELIHOOD OF ESP (NESP 2013-2018) IMPLEMENTATION HAVING CONTRIBUTED TO NOTED IMPROVEMENTS	DEGREE TO WHICH UNDERLYING ASSUMPTIONS HOLD [71]			
Access and Equity: The establishment and expansion of FPE and FSE has been an important success in Kenya – but future focus should be on ensuring equity in access for learners with special needs, those in ASAL areas and adults continuing in education.	FPE and FSE have been core components of the last two sector plans (NESP and KNESSP).	**Moderate:** FPE and FSE have been driven and coordinated across multiple ministries. It is likely that implementation would have been slower without the use of the NESP/KNESSP.	1	2	3	4
Quality and Relevance: Implementation of the CBC is slower than initially intended and it is not clear what impact it will have on the quality of instruction. While improvements are being made, issues remain with the quality of teacher In-service training.	Design and implementation of the CBC, as well as improvements to teacher training and the provision of learning materials, are all central to sector planning.	**Moderate:** The CBC is a plan that has been included in the Vision 2030 agenda and it is possible that it would be occurring regardless, but its operationalization has been strengthened by the NESP/KNESSP.				
Management: While NEMIS will have the potential to play an important role in improving policy-making and sector-wide accountability, issues remain with institutional complexity and overlapping mandates.	Governance was not included in the NESP – and, while it has been added to the KNESSP, there are no strategies to account for complexity and the challenges of devolution.	**Moderate:** The lack of clear targets for improved management limited the contribution of the NESP. However, targets around the development of NEMIS positively contributed to a push for better data.	STRENGTH OF THE CONFIRMING/REFUTING EVIDENCE			
			1	2	3	4

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[71] The four underlying assumptions for this contribution claim were 1) sector plan implementation leads to improvements of previous shortcomings in relation to sector management; (2) there is sufficient national capacity (technical capabilities, political will, resources) to analyze, report on and use available data and maintain EMIS and LAS; 3) ESP implementation leads to improvements of previous shortcomings in relation to learning; and 4) it leads to improvements in relation to equity.

Progress towards a stronger education system during the review period (2013-2019)

System changes related to access and equity in education

> **Finding 15:** Expansion of access to education has been a success in Kenya, which has achieved near universal primary education. The challenge remains in ensuring *equity* in access, particularly for learners with special needs, nomadic communities, refugees and adults continuing in education.

122.	**While the expansion of FPE and FSE has been a success in Kenya, further work is needed to ensure inclusivity in education.** Kenya was judged in 2015 to have achieved universal primary education (measured by 99 percent completion rates in primary school). This has been the result of GoK's policies on FPE and FSE. School fees have been progressively replaced by government-paid capitation fees. This has been accompanied by expansions in infrastructure programs, as well as demand-side interventions such as the CBC (designed to improve belief in the practical value of school) and community outreach programs. Gaps exist in the provision of education for marginalized groups, particularly SEN learners, nomadic communities and those from ASAL areas. The ESA focuses on challenges in the provision of infrastructure for special needs education (including a lack of assistive devices) as well as a lack of training for special needs teachers. The key challenges highlighted for ASAL and nomadic communities included lack of infrastructure, teachers and programs to increase demand for education.

123.	**More needs to be done to expand learning opportunities for first time and continuing adult learners.** In Kenya, education for adults who have not completed basic education is referred to as adult and continuing education (ACE). Access to ACE has dropped in recent years, with dramatic decreases in enrollment seen between 2012 and 2017, as total enrollment decreased from 305,000 to 227,000. The ESA cites as reasons for low enrollment two primary causes: family responsibilities and inability to pay fees. There has been no push in Kenya to provide ACE fee-free for returning learners.

124.	**While refugee populations are falling, there is still a significant population of school-age refugees with limited mainstream education opportunities.** In Kenya, most refugees live in two large camps, Dadaab and Kakuma. They receive the Kenyan curriculum but in schools administered and funded by nongovernmental organizations or UN agencies (particularly UNHCR). While this is working for basic education, stakeholders observed that having parallel systems was shutting off opportunities for further education and more integrated involvement in the education sector. While MoE has signed up to the Djibouti Declaration, which addresses the importance of mainstreaming education for refugees, it has made little progress in taking coordination responsibility, or setting out a timeline for reforming the provision of education for refugees.

System changes related to the quality and relevance of teaching

> **Finding 16:** A number of dramatic changes are being made in Kenya, aimed at improving the quality and relevance of education. The CBC and the TPAD have the potential to greatly improve instructional quality. Both are at early stages, though, and will rely on being effectively implemented to make a real difference.

125.	**The CBC is the flagship policy of MoE and is designed to improve the quality and relevance of instruction.** The development of a CBC in Kenya is a move designed to prepare the future workforce for a

more flexible, post-industrial economy, by focusing on the development of practical skills and meta-cognitive abilities.[72] In pedagogical terms, the CBC is designed to emphasize the significance of developing skills and knowledge and applying these competencies to real-life situation**.** This represents a shift from an objectives-based curriculum to one that focuses on what learners can do with the education they have received. It focuses on identifying competencies that learners will be required to attain at different points in their education with the aim of ensuring that education responds more closely to the needs of society particularly as articulated in Kenya's Vision 2030. During the development of the CBC, officers from KICD and KNEC received training from the UNESCO International Bureau of Education (IBE-UNESCO), the British Council and a range of Kenyan and international curriculum experts. This resulted in a curriculum that is designed to promote seven core competencies:

- Communication and collaboration;

- Critical thinking and problem-solving;

- Creativity and imagination;

- Citizenship;

- Self-efficacy;

- Digital literacy;

- Learning to learn.

126.   The decision to reform the curriculum was made by KICD in 2016, based on a needs assessment, as well as on the desire for greater curriculum alignment between the East African Community (EAC) members.[73] Implementation of the CBC began with the first three grades of primary school in 2018/19, meaning that, at the time of writing (September 2019), the first tranche of students had just completed their first assessments, aligned with the CBC. While the CBC is widely regarded by stakeholders at all levels of the education system (including parents) as a positive step, the following challenges were noted in interviews:

- **Increased cost burden on households.** The CBC includes a much more engaged attitude towards homework, with children expected to complete practical projects at home. For the poorest families, this represents a significant resource burden, in terms of the need to purchase specific materials for activities (the exact detail of what activities are needed is not clear but they seem to include a range of materials related to practical crafts and skills) and one that it is felt has not been accounted for.

- **School-level infrastructural challenges.** Moving from an 8-4-4 system to a 2-6-3-3 system means that where junior secondary will be domiciled becomes an issue. School leaders are unsure whether the final two grades of what is now primary school will be housed with secondary schools (leaving two classrooms empty) or whether one grade of what was previously secondary will be housed in primary schools (leading to over-crowding). This is particularly challenging for private schools, which cannot rely on the government for financial support in improving infrastructure.

- **Examinations and assessments.** The first assessments given to Grade 3 students in 2019 were distributed electronically to school heads, who were then expected to print, deliver and correct the

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[72] Detail on the content, aims and principles of the CBC can be found in the IBE-UNESCO Working Paper on the why, what and how of the CBC: https://unesdoc.unesco.org/ark:/48223/pf0000250431

[73] Kenya, Tanzania, Uganda, Rwanda and Burundi.

results and upload them to the KNEC servers. This represents a significant challenge for schools, particularly those without in-house printing facilities or with connectivity issues. It also raises questions around the security of papers.[74] While assessments are for monitoring purposes rather than being high-stake, there is still a risk of fraud to contend with.

127.   **Issues persist with regard to the number and equity of teacher deployment in Kenya, as well as with classroom absenteeism.** When modeling teacher numbers for a hypothetical school with 400 pupils, the 2018 ESA found a maximum of 16 deployed teachers (a pupil teacher ratio (PTR) of 25:1), and a minimum of four (a PTR of 100:1).[75] This shows significant disparities in the distribution of teachers, and a significant shortage of teachers in certain regions (largely the ASAL counties). The TSC predicts a shortage of 119,000 teachers in Kenya by the end of 2019. To cope with this shortage, school Boards of Management (BOM) employ teachers[76] – who are paid on average less than 25 percent of what their government-deployed colleagues receive.[77] In 2016, there were 35,851 BOM teachers in public primary schools and 101,056 in private primary schools. This demonstrates that, although the teacher training colleges are producing enough graduates,[78] the TSC is not employing and deploying enough teachers, particularly to remote areas. Stakeholders widely agreed that the incentives provided to teachers for deployment to remote and/or dangerous areas (particularly along the Somali border) were insufficient. In addition to this, teacher absenteeism is a persistent issue in Kenya, as Figure 4.1. The Service Delivery Indicators (SDI) Survey data (which, notably, are seven years old, and do not necessarily represent the current reality) reflected that engagement with a non-classroom program (e.g. training or staff meetings) was the most common reason for absence, but that this did not reduce the negative impact for students of being in an 'orphaned' classroom.[79]

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[74] The first round of examinations took place during the fieldwork for this evaluation – meaning, that, while there were stakeholder reports of risks, no data had yet emerged on the success of their delivery.

[75] 2016 figures from the TSC, quoted in the 2018 ESA.

[76] For public schools, BOM teachers must be qualified and registered with the TSC. BOM consist of parents and local community figures and contribute to school governance as voluntary advisory and fund-raising entities.

[77] Taken from calculations done for the 2018 ESA.

[78] Though the number graduating from public teacher training colleges has fallen in recent years, from 9,623 in 2014 to 7,776 in 2016 – possibly attributable to the lack of government opportunities being provided to graduates (data taken from the 2018 ESA).

[79] For the purpose of this survey, 'school absence' and 'class absence' refer to the location of the designated class teacher, while the 'orphaned classroom' figures show the proportion of classrooms for which the assigned teacher was absent and no replacement had been found.

Figure 4.1 – Status of teachers in inspected classrooms (SDI Survey, 2012)
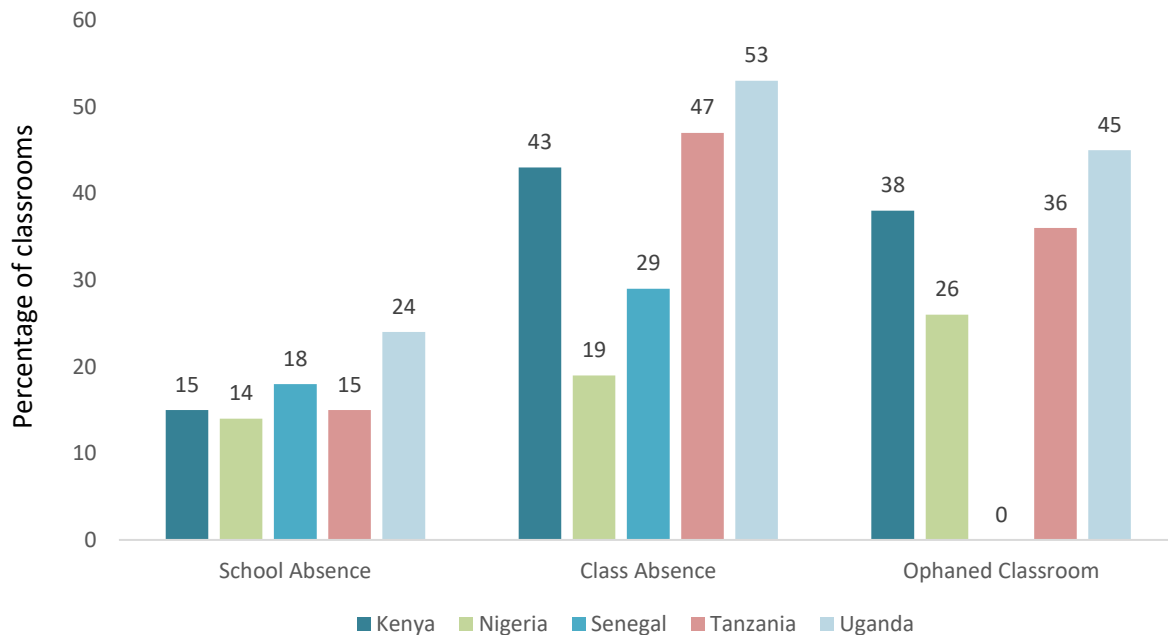
128. **Pre-service and in-service training present longstanding challenges for the Kenyan education system, and the introduction of the CBC has not improved this. However, development of the TPAD tool is a positive step.** An assessment of primary teacher education in Kenya[80] in 2004 noted that, while there was political will to improve teacher education and a large pool of qualified applicants, the quality of primary teacher education was poor. This was largely attributed to inadequate funding, untrained teacher trainers and an overloaded curriculum. A Systems Approach for Better Education Results (SABER) assessment of policies for teacher education noted that this issue was persistent, with a lack of practical training and limited pre-service training for primary school teachers (Table 4.2 shows the full SABER assessment). The same assessment found in-service training to be the weakest element of teacher policies, with no mandate for teachers to attend continuing professional development (CPD).[81] Since 2014, the key development in teacher training has been the new requirements for the CBC. The use of a cascade model for training teachers in the new curriculum has been criticized as outdated and inadequate in preparing teachers for the increased pedagogical requirements of the CBC. The TPAD,[82] introduced as part of the PRIEDE program, allows the TSC to digitally track teacher attendance and syllabus coverage, as well as engagement in CPD. This should allow for greater professionalization of teachers but only if paired with greater investment in CPD opportunities for teachers. The TPAD faces similar challenges to NEMIS, relying on teachers' information and communication technology (ICT) capacity and school-level ICT infrastructure.

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[80] Carried out by the Center for International Education at the University of Sussex: http://www.sussex.ac.uk/cie/projects/completed/tpa/kenya
[81] For the full SABER assessment of teacher policies in Kenya see: http://wbgfiles.worldbank.org/documents/hdn/ed/saber/supporting_doc/CountryReports/TCH/SABER_Teachers_Kenya_CR_Final_2014.pdf
[82] For an overview of the TPAD see: https://www.globalpartnership.org/blog/transforming-teaching-kenya

Table 4.2 – SABER assessment of teacher policies in Kenya (2014)

Criterion	Assessment[83]
1. Setting clear expectations for teachers	Established
2. Attracting the best into teaching	Emerging
3. Preparing teachers with useful training and experience	Emerging
4. Matching teachers' skill with student needs	Emerging
5. Leading teachers with strong principals	Emerging
6. Monitoring teaching and learning	Established
7. Supporting teachers to improve instruction	Latent
8. Motivating teachers to perform	Emerging

Source: World Bank SABER – Kenya Country Report (2014).

129.   **There has been a steady improvement in the supply of textbooks and learning materials in the past decade; however it is uncertain whether a 1:1 ratio has been achieved.** Historical studies[84] show serious shortages of textbooks, with a 2000 study finding that over 80 percent of classrooms had less then one mathematics textbook per 20 students, with the result being a significant negative impact on learning. In the past decade, as the agenda has focused on *quality* education, the number of textbooks has steadily increased, for example reaching 1.4 student per mathematics textbook in 2016.[85] The 2018 report of this evaluation noted that this meant GoK had not yet achieved the intended 1:1 ratio, quoting the 2016 NASMLA study, which showed that the majority of textbooks were shared between more then one student (53.4 percent in English and 53.6 percent in mathematics).[86] While stakeholders interviewed during the 2019 country visit were positive about the 1:1 ratio having been achieved in 2018/19, no verifiable data have been published and the introduction of the CBC is likely to cause a setback, as schools will need to procure new sets of textbooks. Positively, MoE stakeholders had noted improvements in how textbooks are procured, delivered and managed,[87] leading to significant cost reductions and ensuring better supply for the future.

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[83] SABER assessments are on a four point scale (from weakest to strongest): Latent, Emerging, and Established
[84] For example, work done by the Poverty Action Lab on the relationship between student textbook ratios and learning from 2000: https://www.povertyactionlab.org/evaluation/textbooks-and-test-scores-kenya
[85] Taken from data.uis.unesco.org
[86] The presentation of these NASMLA results can be found here: https://slideplayer.com/slide/14116574/
[87] Notably, textbooks are now branded and monitored to ensure teachers or schools cannot resell them.

System changes related to sector management

> **Finding 17:** While NEMIS has the potential to be a valuable tool in policy-making and sector management, there are issues with inefficiency in the structure of education sector governance in Kenya, with multiple agencies having concurrent mandates on key issues.

130. **Sector governance in Kenya is complicated by the existence of multiple agencies with overlapping mandates; the move to increased sub-national autonomy has not helped with this.** The 2018 ESA notes that the Kenyan education system has issues with overlapping responsibilities. For example, the TSC and MoE have concurrent responsibility for quality assurance of teachers, without a necessarily harmonized approach, and a range of agencies including MoE, the TSC and KICD play a role in teacher training. Schools are owned by MoE but effectively administered by the TSC through its deployment of school heads (in primary schools) and principals (in secondary schools). This again means that agencies have different interests in schools, which are managed separately. This is not necessarily an issue, except that communication and co-working between agencies is often weak (although if NEMIS can become a common data platform across issues, this may support better joint planning). The devolution of ECD to county government level in 2013 is perceived to have added to this diffusion of responsibility. While literature correlates devolution in Kenya with increased investment in infrastructure and increased enrollment,[88] stakeholders in national and county governments saw it as having made governance and accountability more complex.

131. **Establishment of NEMIS has been an important success in terms of promoting efficiency and transparency in the Kenyan education sector.** With the introduction of FPE and FSE, funded by per student capitation grants for schools, MoE ran into an issue of tracking students and ensuring efficient distribution of grants. Driven partly by this, and partly by a need for better data for policy-making, MoE, in collaboration with MoICT, developed NEMIS. The idea of this is to have a 'one-stop shop' for education data, input by schools, with students identified by their birth certificate registration number (which raises issues around data security and privacy – particularly for vulnerable groups). As detailed in Section 3.3, the registration of students, particularly in primary schools, has been slowed by many students not having a registered birth certificate.[89] Notwithstanding this, NEMIS is a major tool in developing a stronger education system in Kenya. An assessment of EMIS quality in Kenya, using the World Bank's SABER criteria,[90] is shown in Table 4.3. The latest GPE RF data on data production show that, in 2016 (pre-NEMIS), Kenya reported to UIS on 10 out of 12 key indicators.

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[88] Paul, A. O. (2018). Devolution of Early Childhood Development and Education in Kenya: Improvement in the Status of Infrastructural Facilities and Its Influence on Enrollment in Siaya County. *Journal of Education and Training.*

[89] This has not been an issue in secondary schools as all students must have birth certificates to sit the KCPE, meaning they join secondary school with a birth certificate. MoE has agreed to allow students living in refugee camps to be registered using their camp registration number (meaning that those children not officially registered as refugees are not captured by the system).

[90] Guidelines used broadly rather than with use of the detailed questionnaires used for official SABER assessments.

Table 4.3 – Assessment of NEMIS using SABER criteria

SABER CRITERIA	ASSESSMENT[91]
Enabling Environment (legal frameworks, organizational structure and institutionalized processes, human resources, infrastructural capacity, budget and a data-driven culture)	**Strong:** MoE has placed strong emphasis on the development of NEMIS, creating an inter-ministerial task force for its development. Allocation of resources at school level is lagging behind, with more investment required in training of school heads, and provision of the requisite ICT infrastructure to ensure full coverage.
System Soundness (data architecture, data coverage, data analytics, dynamic system and serviceability)	**Strong:** NEMIS currently aims to collect a wide range of education data but is essentially open-ended. There is some intention within MoE to collaborate with other ministries to collect health and social data on children – allowing for greater cross-sectoral policy analysis.
Quality Data (methodological soundness, accuracy and reliability, integrity and periodicity and timeliness)	**Strong:** While it is too early in NEMIS implementation to draw definitive conclusions on the accuracy or reliability of the data provided, it should have no issues of timeliness or periodicity – as it is a real-time, web-based platform (though it will depend on the competency and timeliness of school officials to log data).
Utilization in Decision-Making (openness to EMIS users, operational use, accessibility and effectiveness in disseminating findings and results)	**Moderate:** Again, it is to early to draw final conclusions on this – but there is an observation in academic and civil society groups that, while MoE collects a wide range of data, it is less efficient at publishing and using data operationally. The current intention is to publish annual NEMIS digests – but none has yet been published (instead they are stored in a password-protected web platform).

Source: Authors' elaboration (background references noted where appropriate)

132.   **A number of learning assessment systems exist in Kenya, but the lapse of Uwezo citizen-led assessments is a clear loss.** In addition to administering the Kenya Certificates of Primary and Secondary Education (KCPE and KCSE), KNEC runs an assessment center to carry out yearly learning assessments for monitoring learning outcomes. The Early Grade Mathematics Assessment EGMA) is carried out at Grade 2, the National Assessment System for Monitoring Learner Achievement (NASMLA) at Grade 3 and the Monitoring Learner Achievement (MLA) at Form 2. In addition to this, Kenya takes part in the Southern and Eastern African Consortium for Monitoring Educational Quality (SACMEQ) at Class 6, the last edition (SACMEQ IV) of which took place in 2015. From 2011 until 2015, Kenya took part in Uwezo citizen-led assessments of educational quality, which all stakeholders considered to have made a valuable

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[91] The assessment does not rigorously apply all SABER criteria but uses them as a guide for assessing EMIS function.

contribution to policy discourse. However, since 2015, these have not taken place, representing a loss to education discourse in East Africa. It was suggested that this owed mainly to a lack of funding.

133. **There has been a lapse in the establishment of the National Education Board, despite its existence being mandated by the 2013 Education Act.** The 2013 Basic Education Act[92] called for the establishment of boards of education at national and county level. These would have the mandate of advising the cabinet secretary (National Education Board) and the county secretary for education (at county level) on policy issues, as well as monitoring and reporting on the work of MoE. Members of the National Education Board were to be appointed by the cabinet secretary on the condition that they were not political (whether MPs or other elected officials) and were suitably qualified. Appointments were to be on three-year terms, once renewable. While the county education boards are still operational, the cabinet secretary failed to reappoint the National Education Board after its first term (ending in 2016). The justification for this by MoE was a desire for legislative simplicity, but interviewed civil society actors viewed it as a move away from transparency and accountability, with no impetus from MoE to re-establish the board.

Did ESP implementation contribute to system-level changes?

Finding 18: The KESSP/NESP/KNESSP has provided structure and focus to system change since 2005. Particularly on core issues such as introduction of the CBC, NEMIS and the TPAD tool, the NESP and KNESSP have ensured a continued mandate for action and a guiding tool for collaboration with donor-funded projects (PRIEDE/Tusome/SEQIP).

134. Table 4.4 shows how the system-level changes outlined in this section are covered in sector planning documents, as well as how implementation of these plans has led to the observed changes, and the degree to which they have been supported by external funding. The key question is whether the use of a sector-wide plan has an impact on system strengthening, as compared with *ad hoc* or projectized implementation of system change. In Kenya, a wide range of actors and agencies are involved in education, both in GoK (MoE, TSC, KICD, KNEC, county governments) and outside (donor agencies, multilaterals, civil society, private sector). What is seen in the sector is, however, a relatively unified approach to interventions and system change. This is partly because of strong dialogue mechanisms, but more importantly owes to the role GoK has played in setting a unified agenda – both through its whole government agenda (Vision 2030) and through its sectoral planning (KESSP, NESP and KNESSP). The KNESSP is a more holistic plan then the previous NESP (in that it covers governance, TVET and tertiary education, not covered in the NESP), which means it has the potential to become a more central document, encompassing the work of more agencies.

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[92] http://www.parliament.go.ke/sites/default/files/2017-05/BasicEducationActNo_14of2013.pdf

Table 4.4 – List of system-level improvements in the review period, against NESP 2013-2017/KNESSP 2018-2022

SYSTEM-LEVEL CHANGES	COVERAGE IN THE NESP/KNESSP?	CHANGES OWING TO PLAN IMPLEMENTATION?	IMPROVEMENT RELIED ON DONOR FUNDS?
SYSTEM CHANGES RELATED TO ACCESS AND EQUITY IN EDUCATION			
FPE and FSE	Establishment and expansion of FPE and FSE are core policies covered by the last three sector plans, dating back to 2005.	Basing the KESSP, NESP and KNESSP around FPE and FSE has been the key driving force in their implementation.	While donor efforts support FPE and FSE, GoK has mobilized the core funding.
School feeding programs	The provision of school feeding was included in the KNESSP, as recommended in the ESA. School feeding was not included in the NESP, however.	School feeding was not included in the NESP and it is too early to say whether its provision will improve owing to KNESSP implementation.	Previously the World Food Program was funding school feeding in Kenya.
Lack of mainstream provision of education for refugees	Provisions for mainstreaming education for refugees were initially included in the KNESSP but these were removed before final publication. Mainstreaming of refugee education was also not included in the NESP.	Absence of a central strategy for mainstreaming education for refugees is perceived to be holding back progress in strengthening equity and access.	Provision for education for refugees is funded and managed mainly by UNHCR, with the support of a range of donors and nongovernmental organizations. PRIEDE and Tusome both extend to students in Kakuma and Dadaab.
SYSTEM CHANGES RELATED TO THE QUALITY AND RELEVANCE OF TEACHING			
Stagnation in the supply and status of teachers	The KNESSP includes a reduction in the number of BOM teachers (from 80,000 to 23,000) as a core goal.	It is too early to say whether KNESSP implementation will lead to an improved supply of teachers.	Teacher employment and deployment is largely the domain of the TSC.
Challenges with teacher training and quality	The KNESSP and NESP both include significant provisions for the improvement of teacher training.	While the NESP paved the way for development of the NESP, it has not shown significant effects yet on the quality of teachers or teacher training.	PRIEDE, Tusome and more recently SEQIP have been instrumental in improving the quality of pre- and in-service training.
Improvement in the supply and procurement of learning materials	Improving the supply of textbooks has been laid out progressively in the NESP and now the KNESSP.	The focus on textbook procurement in the NESP/KNESSP has been crucial in mobilizing donor support, which has improved provision of learning materials.	PRIEDE and Tusome have been the key driving force in financially supporting this element of the NESP/KNESSP.
Introduction of the CBC	The CBC was included in the NESP but not achieved by its close – it has been included in the KNESSP as a central strategy across levels of schooling.	CBC was not successfully implemented under the NESP – so a longer (more realistic) timeframe is used in the KNESSP. It remains to be seen how successful this will be.	CBC training has been widely supported by PRIEDE and Tusome.

SYSTEM-LEVEL CHANGES	COVERAGE IN THE NESP/KNESSP?	CHANGES OWING TO PLAN IMPLEMENTATION?	IMPROVEMENT RELIED ON DONOR FUNDS?
SYSTEM CHANGES RELATED TO SECTOR MANAGEMENT			
Introduction of NEMIS	While the NESP did not include a governance and accountability pillar, the strengthening of the NEMIS program has been a key target in the NESP and KNESSP strategies.	The focus on NEMIS in the NESP/KNESSP has been key to its successful implementation.	NEMIS was partly supported through PRIEDE and other programs (e.g. UNHCR for uptake in refugee camps) – but was primarily driven by MoE.
Complexity of mandate and accountability in governance	One of the key improvements in the KNESSP was more attention to governance and accountability in the sector. However, there are no strategies explicitly looking at institutional reform.	It is too early to say whether the governance and accountability pillar of the KNESSP will effect change, but its focus on increased devolution would be seen by some as pushing in the wrong direction.	While governance and accountability is not supported by donor funding, a number of Troika group/EDPCG members are providing significant inputs into development of the JSR process.
Lapse in assignment of National Education Board	While the Board is mandated by the 2013 Education Act, its function was not covered by the NESP or KNESSP.	Failure to maintain the Board is perhaps in part a result of its absence from MoE plans.	This is advocated for by some civil society organizations but not supported directly.

Source: Authors' elaboration based on NESP/KNESSP documents.

Implications for GPE's ToC and country-level operational model

135.   **GPE has an opportunity to better support institutional reform.** Looking across countries, in Zimbabwe GPE funding has been used to fund a holistic organizational development review intended to assess and address causes of institutional inefficiencies. Considering the comments made in the ESA on the need to address institutional inefficiencies, particularly in light of devolution of ECD, this may be a useful approach in Kenya. GPE is in a position to set out technical guidelines, or at least to advocate for institutional reviews in its member countries, placing a direct focus on how institutional arrangements and relationships support or hinder the development of stronger education systems. This is particularly prescient considering the number of countries currently pursuing devolution of governance.

Box 4.1 – Testing assumptions and strength of evidence

The four underlying assumptions for this contribution claim were 1) sector plan implementation leads to improvements on previous shortcomings in relation to sector management; 2) there is sufficient national capacity (technical capabilities, political will, resources) to analyze, report on and use available data and maintain EMIS and LAS; 3) ESP implementation leads to improvements on previous shortcomings in relation to learning; and 4) it leads to improvements in relation to equity.

The final assessment at the end of the final year of this evaluation is:

Assumption 1 partially holds. Key issues highlighted in the ESA related to the negative effects of systematic complexity in Kenya are not covered by the NESP or the KNESSP.

Assumption 2 holds. Data analysis and policy-making capacity and political will are high in Kenya.

Assumption 3 holds. The focus in the NESP/KNESSP on improving learning outcomes is linked to steady improvements in learning outcomes over the past number of years.

Assumption 4 holds. Kenya has been successful in improving access and equity in its education system in the past decades.

The evidence for assessing changes in the education system in Kenya is **strong.** The ESA 2018 provides detailed information on progress made in the education sector, complemented by a strong body of literature from recent decades.

5 Progress towards stronger learning outcomes and equity[93]

5.1 Introduction

136.   This section provides a brief overview of medium-term trends in relation to basic education learning outcomes, equity, gender equality and inclusion in Kenya up to and during the review period (**Key Evaluation Question III** from the evaluation matrix: 'Have improvements at education system level contributed to progress towards impact?') Key sub-questions are:

- During the 2012-2018 period under review, what changes have occurred in relation to 1) learning outcomes in basic education and 2) equity, gender equality and inclusion in education? (CEQ 6)

- Is there evidence to link changes in learning outcomes, equity, gender equality and inclusion to system-level changes identified under CEQ 4? (CEQ 6)

- What other factors can explain changes in learning outcomes, equity, etc.? (CEQ 6)

- What are implications of evaluation findings for GPE support to Kenya? **(Key Evaluation Question IV)**

5.2 Progress towards impact-level outcomes

137.   In the assessment of learning outcomes changes in the past decade, what is most notable is that, until recently (particularly with the introduction of the CBC), and for a long time, focus in policy-making has been on improving access to education, with little attention to improving quality. While this has had significant improving effects in terms of achieving universal primary education, it has not led to improved quality in schools. This is now changing, with key interventions in the KNESSP focused on improving the amount students learn (better provision of textbooks, the TPAD and the CBC). It is hoped that this will manifest in a boost in learning outcomes to catch up with improvements seen in improving access to education. Table 5.1 summarizes the assessment of the impact that system-level changes have had in terms of improving access, equity and learning outcomes in Kenya in the past decade.

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[93] This section triangulates findings against RF indicators 1-9.

Table 5.1 – Overview: CLE findings on contribution of system-level changes to impact-level changes

IMPROVEMENTS MADE DURING THE 2012-2019 REVIEW PERIOD	LIKELIHOOD THAT TRENDS WERE INFLUENCED BY SYSTEM-LEVEL CHANGES DURING REVIEW PERIOD	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE[94]	
Equity, Gender Equality and Inclusion: Expansion of education opportunities has been a success in Kenya – and, while there are still issues of inequity between regions and wealth quintiles, in general opportunities are improving.	GoK's concerted plans to achieve universal basic education – including the introduction of free primary and secondary education – have had a notable effect.	1	2
Learning: Kenya performs well compared with neighboring countries, but in absolute terms learning levels are low and not improving quickly.	While several interventions (the CBC and progress made towards a 1:1 ratio on school books)[95] have the potential to positively influence learning levels, they have not taken affect yet. The issues seen in teacher quality are likely to have a negative impact on the amount students learn.		

Trends in learning outcomes, equity, gender equality and inclusion in the education sector in Kenya 2012-2019

Equity, gender equality and inclusion in basic education

Finding 19: Increasing access to and completion of education continues to be a success story in Kenya – with universal completion of primary education and improving enrollment in both pre-primary and secondary education.

138. Table 5.2 summarizes trends across a number of key student-level indicators in Kenya. These data are largely derived from the 2018 ESA, as well as from other sources, such as UIS and Uwezo.[96] There has been a lapse in EMIS data in Kenya, caused by the switch to NEMIS and difficulties in registering students in primary schools – though MoE is making efforts to resolve these, which will lead to better real-time data on access, equity and inclusion.

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[94] The underlying assumptions for this contribution claim are 1) changes in the education system positively affect learning outcomes and equity and 2) country-produced data on equity, efficiency and learning allow for measuring/tracking these changes.

[95] Though as mentioned earlier there are some disputes about the degree of progress made.

[96] Though, owing to the lapse in EMIS data and Uwezo data, neither source has recent data on student outcomes.

Table 5.2 – Trends in indicators for equity, gender equality and inclusion in basic education

INDICATORS THAT IMPROVED DURING THE 2012-2018 PERIOD
The **number of learners enrolled in non-formal education programs** (ESA 2018) increased from 148,009 to 275,139 between 2012 and 2016 – divided between national polytechnics, public technical and vocational colleges and vocational training centers.
Gross secondary enrollment (ESA 2018) increased from 50.5 to 69 percent between 2013 and 2017, with net enrollment increasing from 33.9 to 51.1 percent.
Gross pre-primary enrollment (ESA 2018) increased from 71.6 to 77.1 percent between 2013 and 2017.
GPI for secondary enrollment (ESA 2018) increased from 0.88 to 0.95 between 2012 and 2017.
NFE GPI (ESA 2018) is *low* but increasing, from 0.65 to 0.78 between 2012 and 2016 – showing significant female under-enrollment in Kenya.
Enrollment of learners with disabilities (ESA 2018) is not available but what data are available show a consistent increase in the number of SEN learners enrolled. Before FPE was introduced in 2003, there were 22,000 learners with SEN in education; this had risen to 234,153 by 2017.
INDICATORS THAT REMAINED STABLE DURING THE 2012-2018 PERIOD
Gross primary enrollment is relatively stable – falling slightly from 105 to 104 percent between 2013 and 2017, with net enrollment increasing slightly from 88 percent to 91 percent over the same period.
Pre-primary GPI (ESA 2018) fell from 1.03 to 0.96 between 2012 and 2017, showing a slight shift, but with both figures comfortably inside the range considered by the GPE RF as equitable.
Primary GPI (ESA 2018) was consistent at 0.97 between 2012 and 2017.
Primary completion/secondary transition (ESA 2018): Universal primary education[97] was achieved in 2015, and since then completion rates in primary school have remained consistent at around 100 percent, with similar numbers seen for transition to secondary school.
INDICATORS THAT DETERIORATED DURING THE 2012-2018 PERIOD
The **number of adults enrolled in ACE** (ESA 2018) has fallen in the past two years. Enrollment was consistent at 305,000 between 2012 and 2015, before falling to 227,000 in 2017.

Sources: Various (noted in table).

139.   **While FPE and FSE have resulted in universal primary completion, regional and wealth disparities in completion and retention remain, particularly at secondary level, and at primary level for poor and rural learners.** The survival rate from Standard 1 (first grade of primary school) to form 4 (final grade of secondary school) is 87 percent for those in the richest quintile but only 14 percent of those in the poorest quintile.[98] Secondary retention for urban girls stands highest, at 87 percent, whereas for rural boys it is at 54 percent. Looking at counties, when looking at the proportion of out-of-school children (as defined by UIS, approximately equivalent to primary level), there is a 30 percentage point difference between the strongest and weakest counties – with Samburu county having 33 percent of students out of school.[99] Across grades, enrollment rates are slightly higher for girls than for boys, with the differences greater at higher grades (90 percent compared with 86 percent in Standard 6, and 53 percent compared with 45 percent in Form 4) – a disparity that is notable in both urban and rural areas[100]

[97] Universal Primary Education is measured by the gross intake ratio at the last grade of primary schools – i.e. do all student complete primary school.
[98] ESA 2018.
[99] Data taken from 2014 Uwezo survey.
[100] ESA 2018.

Learning outcomes in basic education

> **Finding 20:** The most recent learning assessment data are from 2016 – and show that Kenya performs well by regional standards – but that significant disparities in achievement exist regionally and between urban and rural students.

140. **Kenya is covered by a number of learning assessments, but in recent years some of these have ceased to operate.** Kenya is a member country of Uwezo, an East African civil society learning assessment, and of SACMEQ, a Southern and Eastern African regional learning assessment. While both of these have historically been praised, in recent years they have ceased to be delivered regularly. Uwezo carried out its last assessment in 2015, while SACMEQ IV was carried out in 2014. At the national level, assessments have been carried out as part of PRIEDE and Tusome, as well as by NASMLA, operated by the KNEC assessment center. NASMLA was carried out in 2018 but data are yet to be published. Table 5.3 outlines the various learning assessments and their latest findings on learning in Kenya.

Table 5.3 – Summary of learning assessments and results

Assessment	Coverage	Age	Last assessment	Findings
SACMEQ	Southern and Eastern Africa (15 countries)	Class 6	2014 (SACMEQ IV)	**Mathematics:** National score of 651, an increase of 94 between 2000 and 2013 and above the SACMEQ average of 584.
				Reading: National score of 601, an increase of 63 on 2000, and above the SACMEQ average of 558.
UWEZO	Eastern Africa (6 countries)	All primary classes	2015	**Mathematics:** Trends show an increase between 2011 and 2014 from 45.2 to 46.9 percent in the number of students (age 7-13) who can carry out primary school operations.[101]
				English: 2011-2014 shows an *increase* in the number of students (aged 7-13) who can read a story, from 46 to 50.1 percent.
NASMLA	National	Class 3	2016 (2018 unpublished)	**Mathematics:** Results show most students achieve basic competencies in mathematics (83.1 percent) but few reach higher-order competency (4.5 percent).
				English: 60 percent capable of spelling words and recognizing simple sentences, 28.6 percent capable of reading passages for meaning.
MLA	National	Form 2	2014-2017	**Mathematics:** Just 20.8 percent of all Form 2 students considered to have met minimum competency in numeracy in 2017.

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[101] Defined by Uwezo as numbers, counting, addition, subtraction, multiplication and division.

				English: 62.7 percent of Form 2 students considered to have met minimum competency in literacy in 2017.
EGMA	National	Class 2	2016	**Mathematics:** 69.38 percent achieving minimum competency (across a range of competencies).

Sources: Authors' elaboration on various sources (shown in footnotes).

141.   **Figures show that Kenya is making slight improvements, and performs well compared with neighboring countries.** The regional assessments by SACMEQ and Uwezo show that Kenya outperforms its neighbors in both mathematics and English. For SACMEQ IV, Kenya was the second highest performer in mathematics (behind Mauritius) and it was third highest in reading (behind Mauritius and Seychelles). For Uwezo, Kenya consistently outperforms the other two participant countries (Uganda and Tanzania). Time series comparisons are less flattering, with Uwezo scores for 2011 to 2014 showing that, while Kenya has seen improved results in reading and mathematics, these are minor. This shows that, while student learning in Kenya is improving, it is not improving quickly. Ultimately, as Uwezo concludes, the quality of learning in Kenya is low, with more students unable to complete tasks aimed at their class group than can complete them.

142.   **Despite reasonable learning outcomes, equity in improving these presents a significant challenge.** Across learning assessments, the disparity in outcomes between counties is starkly visible. The 2015 Uwezo report[102] found a 26 percentage point (75 percent as compared with 49 percent) difference in the proportion of students who could do everyday mathematics between the highest- and lowest-scoring counties; and that ASAL counties were most likely to be in the lowest performing. In addition to this, it was found that attendance of private school, socio-economic background and level of maternal education were all statistically significant predictors of better learning performance.

Is there evidence to link changes in learning outcomes, equity, gender equality and inclusion to system-level changes identified? What other factors can explain observed changes (or lack thereof)?

Finding 21:   The core intervention for improving student learning – the CBC – is at its formative stage and therefore cannot be linked to changes in learning outcomes. GoK's implementation of FPE and FSE is strongly linked to improved access at primary and secondary level.

143.   It is difficult to draw out strong causal links between system-level changes and changes in student outcomes. Table 5.4 highlights key changes in student outcomes and proposes potential correlations with system-level changes (as outlined in Section 4). The strength of correlation (as outlined by the color rating) is not intended to be a definitive or quantifiable judgment, rather an indicative measure based on the authors' assessment.

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[102] http://www.uwezo.net/wp-content/uploads/2016/12/UwezoKenya2015ALAReport-FINAL-EN-web.pdf

Table 5.4 – Plausible links between system-level changes and student outcomes

Observed impact-level changes	Plausible links to system-level changes
Improved enrollment at secondary level, maintenance of full enrollment at primary level	The dramatic improvements in enrollment seen in Kenya in the past 15 years are easily correlated with the introduction of FPE (in 2003) and FSE (in 2014).
Improved enrollment rates in pre-primary education	This could plausibly be linked with the devolution of pre-primary education and the concurrent increased investment in facilities.
Relative stagnation in improving learning outcomes	There are a number of system-level factors that affect learning outcomes. While the CBC and improved provision of textbooks will plausibly have a positive effect on outcomes in the future, to this point the issues with teacher training and competency have been strongly linked with the challenge of improving learning outcomes.[103] Learning outcomes are also linked to the systematic changes arising from the PRIEDE and Tusome programs, particularly in relation to teacher competency.
Improved enrollment in NFE	The number of NFE institutions has increased significantly in recent years – focused on equitable distribution of centers – which likely has had an impact on uptake of services.
Worsening enrollment in ACE	The ESA theorizes that the issues with enrollment in ACE have two main causes – issues with the quality of instruction in ACE and social and economic factors.
Improved enrollment of learners with SEN	FPE was seen as having a huge boosting effect for learners with disabilities.
Regional and wealth disparities in enrollment.	There is little happening at the system level that explicitly aims to boost education opportunities in ASAL areas.

Source: Authors' elaboration.

Implications for GPE's ToC and country-level operational model

144.   **GPE should consider whether and how its model can support citizen-led learning assessment.** Uwezo was a huge asset to policy-making and citizen-led accountability in Kenya, and its absence in the past four years should have been avoided. There is room for GPE to consider what approach it can take to supporting regional learning assessments. Both Uwezo and SACMEQ have not occurred regularly in the past five years, despite generating valuable cross-national insights. Supporting these kinds of learning assessments could perhaps fall under the remit of GPE's support for Global and Regional Activities, the Knowledge and Information Exchange (KIX) Program, and could be supported by civil society at a national level through the Advocacy and Accountability grant window (which is to replace the CSEF).

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[103] This is detailed in UWEZO reporting from 2014 and 2015

6 Changes over time and key influencing factors

145.   This prospective evaluation is the culmination of a baseline report, a first annual report and this final second annual report. This final report is summative in nature, reporting on the efficacy of GPE support to Kenya during the full evaluation period. However, comparisons between findings at the baseline report stage of the evaluation and the final findings (second annual report) provide insight into the key influencing factors across the ToC.

146.   This section reflects on the assessment of the contribution claims and assumptions that emerged at the conclusion of Year I of the evaluation and in Year II and highlights any lessons learned. It presents any insights emerging from comparing the plausibility of GPE contribution claims over time.

Table 6.1 – Assessment of the plausibility of each contribution claim at Year 1 and endline

Contribution claim	Assessment at Year 1	Endline
Claim A: 'GPE (financial and non-financial) support and influence contribute to the development of government-owned, credible and evidence-based sector plans focused on equity, efficiency and learning.'	*Plausible*	*Partially plausible*
Claim B: 'GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to mutual accountability for education sector progress.'	*Plausible*	*Plausible*
Claim C: 'GPE advocacy and funding requirements contribute to more and better financing for education in the country.'	*Plausible*	*Plausible*
Claim D: 'GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans.'	*Plausible*	*Partially plausible*
Claim E: 'The implementation of realistic evidence-based sector plans contributes to positive changes at the level of the overall education system.'	*Not yet clear*	*Partially plausible*
Claim F: 'Education system-level improvements result in improved learning outcomes and in improved equity, gender equality and inclusion in education.'	*Plausible*	*Partially plausible*

147.   **The endline evaluation assessment of the plausibility of the contribution claims is presented in Table 6.1.** The most notable trend is that Kenya is moving away from direct support from GPE (either through funding or through the application of its standards). This means that current progress in Kenya is much less dependent on GPE inputs (and indeed on donor inputs generally) than it was previously – with key interventions (the CBC, NEMIS and the KNESSP) being driven and owned by government.

▪   In relation to contribution **claim A**, the assessment at endline is partially plausible. Unlike the previous sector plan, the new KNESSP was not funded using GPE contributions. However, some support from GPE did aid the development of this plan, in that GPE guidelines formed the foundation to the process and GPE comments were garnered during it.

▪   In relation to **claim B**, GPE support continues to actively contribute to dialogue and monitoring as evidenced by the data collected during the final mission. This is most clear in its coordination of the EDPCG, and in the push by GPE for Kenya to engage in yearly JSRs against its sector plans.

- **Claim C** is assessed as plausible in that GPE advocacy and funding appear to have contributed to more and better finance for education within the country based on analyses conducted over the final evaluation period.

- With regard to **claim D**, the evaluation concludes that sector plan implementation has benefited from GPE support and influence to some extent. However, this year's finding of partially plausible (as compared with plausible last year) reflects the fact that this sector plan has only just come into effect and, therefore, it is too early a stage in the policy process to draw strong plausibility conclusions.

- In relation to **claim E**, it was deemed in 2018 that it was too early to tell whether the use of sector plans had had a meaningful impact on progress made towards a stronger education system. After the second year of the evaluation, this is evaluated as being partially plausible. While the NESP and the KNESSP are key guiding documents in shaping the sector, major government programs have almost been added ex post to these plans. For example, the CBC is included in plans but has not been implemented in line with those plans.

- **Claim F** has also been deemed partially plausible at endline – system changes such as the introduction of FPE and FSE have been crucial in expanding access to education but there is a lack of evidence currently to say if changes at the system level can efficiently bring about meaningful improvements in student learning outcomes. This is something that should be tracked alongside implementation of the TPAD and the CBC.

7 Conclusions and strategic questions/issues

148.		This final section of the report draws **overall conclusions** deriving from the evaluation findings and formulates several **strategic questions** that have been raised by the findings of the Kenya evaluation. These questions are of potential relevance for GPE overall and may warrant further exploration in other upcoming country-level evaluations.

## 7.1	Conclusions[104]

149.		**The KNESSP (2018-2022) is a comprehensive, government-led and government-owned document that is evidence-based and has been developed largely inclusively.** Its key strength is its focus on inclusive education; however, areas such as children with disabilities and ECD still require further focus. Planning within the country could benefit from further operational clarity and in particular costed implementation plans with targeted resources. Refugee children and those who attend alternative provision of basic education and training (APBET) schools could benefit from more comprehensive strategies to ensure they receive a quality education.

150.		**The EDPCG plays a key role in sector dialogue.** However, this evaluation recommends that it draw up a clearer operational mandate. While motivation for monitoring in the country is strong, JSR processes remain lacking. GPE has been instrumental in improving sector dialogue and monitoring. Harmonization of donor activities should be built on, giving a clearer mandate for dialogue and monitoring and greater predictability of international financing.

151.		**GoK has shown commitment to increasing funding for education and the KNESSP sets out ambitious plans for spending.** However, the identified funding gaps projected over the next four years will be a challenge to fill, calling into question whether the KNESSP is a realistic document. The PRIEDE program has played a pivotal role in rebuilding confidence in GoK and demonstrates a critical contribution of the partnership to sector financing.

152.		**Whether the KNESSP will be effectively implemented remains to be seen; however, in working towards this, a more detailed multi-year operational plan is required that includes costed and targeted resources.** This is particularly important for implementation of the CBC, which, according to several stakeholders, is progressing successfully. PRIEDE implementation has been successful, according to evaluation evidence, and in particular the SIPs have been lauded, with the process of completing them praised as enhancing capacity at the national, sub-national and school levels.

153.		**Kenya appears to be progressing towards a stronger education system, with expansion of access particularly successful at the primary level.** The challenges that remain are in equity of access, particularly for learners from marginalized communities, such as those with disabilities and children of refugees. There have been a number of drastic changes aimed at improving the quality and relevance of education, particularly implementation of the CBC and the TPAD tool. It is not possible to assess their impact at these early stages; however, the evidence suggests they have the potential to substantially improve instructional quality.

154.		**To further strengthen of accountability, MoE and its donor partners (including GPE) could consider providing institutionalized support to independent citizen-led learning assessments.** One

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[104] This section addresses evaluation questions CEQ 7 and 8.

recommendation emerging from this evaluation is that GPE consider how its model could support other learning assessment initiatives, especially given that such initiatives (e.g. Uwezo and SACMEQ) have historically been a huge asset to policy-making and accountability and yet have not occurred regularly in the recent past. This issue could also be raised as part of GPE's ongoing support to civil society, and the shift away from the CSEF funding window and towards the Advocacy and Accountability grants, which could perhaps be used to channel funding to Uwezo (or similar assessments) through EYC.

7.2   Strategic questions

155.   In terms of the key strategic questions for GPE, one is, given that financial support to Kenya no longer plays as large a role as it did previously, **how will GPE support Kenya in meeting its education goals in the future?** This then becomes a question about the role of GPE in providing funding for middle-income countries, and a broader question about the global education architecture. With the genesis of IFFEd as a source of concessional financing for education for LMICs, one could question the value of GPE funding for countries such as Kenya (though this raises the question of how non-monetary inputs from IFFEd would complement those provided by GPE). A more structured, delineated system would have GPE concentrating funding and technical resources on low-income countries, with countries transitioning to support from IFFEd, with GPE maintaining technical support, and access to global knowledge exchange.

156.   Another key question arising from this evaluation relates to multiplier funding. This innovative finance structure provides incentives and financial resources aimed at catalyzing more and better investment in education by enabling partner countries to invest additional resources in education, thereby increasing total support. However, Kenya, despite being eligible for up to $15 million in multiplier funding, has yet to apply for these funds. Evidence collected from this evaluation suggests that the matched funding requirement has been key hindrance here. This raises a critical question for GPE: **what can GPE do to support the operationalizing of this progressive funding opportunity?**

157.   Finally, the case of Kenya raises a question about the value of the variable tranche funding in cases with reduced MCAs. The feeling across the sector in Kenya is that the MCA of $9.7 million is too small to be effectively operationalized as a standalone project (hence it being delivered as a PRIEDE extension). This raises the questions of the sunk costs a country faces in operationalizing GPE funding (with requirements seen across countries as being more onerous than those for other donors), and particularly the variable tranche funding, with its increased levels of scrutiny. Below a certain funding threshold, the effort put in outweighs the benefit gained. In these cases, it would perhaps be wise to use untied budget support, which would entail reduced reporting requirements (though less ability to monitor funding). It would also seem that some recognition is needed that below a certain threshold the motivating ability of the variable tranche funding is also drastically reduced.

Annexes

Annex A   Revised Evaluation Matrix

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
Key question I: Has GPE support to Kenya contributed to achieving country-level objectives related to sector plan implementation, sector dialogue and monitoring, and more/better financing for education?[105] If so, then how?			
CEQ 1: Has GPE contributed to education sector plan implementation in Kenya during the period under review? [106] How?			

CEQ 1.1a (prospective CLE) What have been strengths and weaknesses of sector planning during the period under review?[107]
 	
What are likely reasons for strong/weak sector planning?
	• Extent to which the country's sector plan met the criteria for a credible ESP as put forward in GPE/IIEP Guidelines[108]
	  – ESP is guided by an overall vision
	  – ESP is strategic, i.e. it identifies strategies for achieving its vision, including required human, technical and financial capacities, and sets priorities)
	  – ESP is holistic, i.e. it covers all sub-sectors as well as non-formal education and adult literacy
		• Sector plan(s) for the period covered by the most recent ESPIG
		• Education Sector Analyses and other documents analyzing key gaps/issues in the sector
		• GPE ESP/TEP quality assurance documents
		• GPE RF data (Indicator 16 a-b-c-d)[112]
			• Descriptive analysis
			• Triangulation of data deriving from document review and interviews

[105] OECD DAC evaluation criteria of relevance, effectiveness, and efficiency.

[106] The core period under review varies for summative and prospective evaluations. Prospective evaluations will primarily focus on the period early 2018 to early 2020 and will relate observations of change back to the baseline established at this point. The summative evaluations will focus on the period covered by the most recent ESPIG implemented in the respective country. However, where applicable, (and subject to data availability) the summative evaluations will also look at the beginning of the next policy cycle, more specifically sector planning processes and related GPE support carried out during/towards the end of the period covered by the most recent ESPIG.

[107] This question will be applied in prospective evaluations in countries that have not yet developed a (recent) sector plan, such as Mali, as well as in countries that have an existing plan, but that are in the process of embarking into a new planning process. In countries where a sector plan exists and where related GPE support has already been assessed in Year 1 reports, future reports will use a similarly descriptive approach as outlined under question 1.1b, i.e. briefly summarizing key characteristics of the existing sector plan.

[108] Global Partnership for education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Guidelines for Education Sector Plan Preparation. Available at: https://www.globalpartnership.org/content/guidelines-education-sector-plan-preparation

[112] If the respective ESP has not been rated by GPE (i.e. if no specific information is available on indicators 16 a-d), the evaluation team will provide a broad assessment of the extent to which the ESP meets or does not meet the quality criteria. This review will be based on *existing* reviews and assessments of the sector plan, in particular the appraisal report. To the extent possible, findings of these assessments will be 'translated' in terms of the GPE/IIEP quality standards.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	− ESP is evidence-based, i.e. it starts from an education sector analysis − ESP is achievable − ESP is sensitive to context − ESP pays attention to disparities (e.g. between girls/boys or between groups defined geographically, ethnically/culturally or by income) • For TEPs: Extent to which the country's sector plan met the criteria for a credible TEP as put forward in GPE/IIEP Guidelines[109] − TEP is shared (state-driven, developed through participatory process) − TEP is evidence-based − TEP is sensitive to context and pays attention to disparities − TEP is strategic, i.e. it identifies strategies that not only help address immediate needs but lay the foundation for realizing system's long-term vision − TEP is targeted (focused on critical education needs in the short and medium term, on system capacity development, on limited number of priorities) − TEP is operational (feasible, including implementation and monitoring frameworks) • Extent to which the ESP/TEP meets GPE quality criteria as outlined in the GPE 2020 results framework (indicators 16a, b, c and d)[110]	• Other relevant reports or reviews that comment on the quality of the sector plan • Interviews	

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[109] Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2016. Guidelines for Transitional Education Plan Preparation. Available at: https://www.globalpartnership.org/content/guidelines-transitional-education-plan-preparation

[110] If no GPE ratings on these indicators are available, evaluation team's assessment of extent to which the ESP meets the various criteria outlined under indicator 16a-d.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS

	• Extent to which the ESP/TEP addresses the main issues/gaps in the education sector (as identified through Education Sector Analyses and/or other studies)
	• Extent to which the process of sector plan preparation has been country-led, participatory, and transparent[111]
	• Stakeholder views on strengths and weaknesses of the most recent sector planning process in terms of:
	  – Leadership for and inclusiveness of sector plan development
	  – Relevance, coherence and achievability of the sector plan		

CEQ 1.1b (summative CLE) What characterized the education sector plan in place during the core period under review?	• ESP/TEP objectives/envisaged results and related targets
	• <u>For ESPs</u>: Extent to which the country's sector plan met the criteria for a credible ESP as put forward in GPE/IIEP Guidelines[113]
	  – ESP is guided by an overall vision
	  – ESP is strategic, i.e. it identifies strategies for achieving its vision, including required human, technical and financial capacities, and sets priorities)
	  – ESP is holistic, i.e. it covers all sub-sectors as well as non-formal education and adult literacy
		• Sector plan(s) for the period covered by the most recent ESPIG
		• GPE ESP/TEP quality assurance documents
		• GPE RF data (indicator 16 a-b-c-d) [116]
		• Other relevant reports or reviews that comment on the quality of the sector plan
			• Descriptive analysis

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[111] Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Available at: http://unesdoc.unesco.org/images/0023/002337/233768e.pdf

[113] Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Guidelines for Education Sector Plan Preparation. Available at: https://www.globalpartnership.org/content/guidelines-education-sector-plan-preparation

[116] If the respective ESP has not been rated by GPE (i.e. if no specific information is available on indicators 16 a-d), the evaluation team will provide a broad assessment of the extent to which the ESP meets or does not meet the quality criteria. This review will be based on *existing* reviews and assessments of the sector plan, in particular the appraisal report. To the extent possible, findings of these assessments will be 'translated' in terms of the GPE/IIEP quality standards.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	– ESP is evidence-based, i.e. it starts from an education sector analysis – ESP is achievable – ESP is sensitive to context – ESP pays attention to disparities (e.g. between girls/boys or between groups defined geographically, ethnically/culturally or by income) • <u>For TEPs</u>: Extent to which the country's sector plan met the criteria for a credible TEP as put forward in GPE/IIEP Guidelines[114] – TEP is shared (state-driven, developed through participatory process) – TEP is evidence-based – TEP is sensitive to context and pays attention to disparities – TEP is strategic, i.e. it identifies strategies that not only help address immediate needs but lay the foundation for realizing system's long-term vision – TEP is targeted (focused on critical education needs in the short and medium term, on system capacity development, on limited number of priorities) – TEP is operational (feasible, including implementation and monitoring frameworks) • Extent to which the ESP/TEP meets GPE quality criteria as outlined in the GPE 2020 results framework (indicators 16a, b, c and d) [115]		
CEQ 1.2a (prospective CLE) Has GPE contributed to the observed	a) Contributions through GPE ESPDG grant and related funding requirements:	• Draft and final versions of the sector plan	• Triangulation of data deriving from document review and interviews

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[114] Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2016. Guidelines for Transitional Education Plan Preparation. Available at: https://www.globalpartnership.org/content/guidelines-transitional-education-plan-preparation

[115] If no GPE ratings on these indicators are available, evaluation team's assessment of extent to which the ESP meets the various criteria outlined under indicator 16a-d.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS

characteristics of sector planning? How? If no, why not?
a) Through the GPE ESPDG grant- (funding, funding requirements)
b) Through other support for sector planning (advocacy, standards, quality assurance procedures, guidelines, capacity building, facilitation, CSEF and ASA grants, and cross-national sharing of evidence/good practice)[117]
	• ESPDG amount as a share of total resources invested into sector plan preparation.
	• Types of activities/deliverables financed through ESPDG and their role in informing/enabling sector plan development
	b) Contributions through other (non ESPDG-related) support to sector planning:
	• Evidence of GPE quality assurance processes improving the quality of the final, compared to draft versions of the sector plan
	• Stakeholder views on relevance and appropriateness/value added of GPE Secretariat support, in-country assistance from GA/CA, , Secretariat/GA/CA advocacy, capacity building, facilitation; GPE standards, guidelines, CSEF and ASA grants, and knowledge exchange in relation to:
	  − Improving the quality (including relevance) of education sector plans
	  − Strengthening in-country capacity for sector planning
		• Related GPE ESP/TSP quality assurance documents
		• Secretariat reports, e.g. country lead back to office/mission reports
		• Other documents on advocacy/facilitation provided by Secretariat, CA or GA
		• Country-specific ESPDG grant applications
		• Interviews
		• Education sector analyses and other studies conducted with ESPDG funding	

CEQ 1.2b-d (summative CLE – currently in Part B of the matrix below and labelled CEQ 9-11)			
CEQ 1.3 What have been strengths and weaknesses of sector plan implementation during the period under review? What are likely reasons for strong/weak sector plan implementation?	• Progress made towards implementing sector plan objectives/meeting implementation targets of current/most recent sector plan within envisaged timeframe (with focus on changes relevant in view of GPE 2020 envisaged impact and outcome areas). • Extent to which sector plan implementation is funded (expected and actual funding gap)	• Sector plan(s) for the period covered by the most recent (mostly) complete ESPIG • DCP government ESP/TEP implementation documents including mid-term or final reviews • Relevant programme or sector evaluations, including reviews	• Descriptive analysis • Triangulation of data deriving from document review and interviews

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[117] Advocacy can include inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed upon standards). Knowledge exchange includes cross-national/global activities organized by the Secretariat, as well as the sharing and use of insights derived from GRA and KIX grant-supported interventions.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS

	• Evidence of government ownership of and leadership for plan implementation (country specific).[118]
	 • Government implementation capacity and management, e.g.:
	   − Existence of clear operational/implementation plans or equivalents to guide sector plan implementation and monitoring
	   − Clear roles and responsibilities related to plan implementation and monitoring
	   − Relevant staff have required knowledge/skills/experience)
	 • Extent to which development partners who have endorsed the plan have actively supported/contributed to its implementation in an aligned manner.
	 • Extent to which sector dialogue and monitoring have facilitated dynamic adaptation of sector plan implementation to respond to contextual changes (where applicable)
	 • Extent to which the quality of the implementation plan in the ESP/TEP and of the plan itself is influencing the actual implementation (e.g. achievability, prioritization of objectives).
	 • Stakeholder views on reasons why plan has or has not been implemented as envisaged
		preceding the period of GPE support under review
		 • JSR reports
		 • Reports or studies on ESP/TEP implementation commissioned by other development partners and/or the DCP government
		 • CSO reports
		 • Interviews
		 • DCP's plan implementation progress reports	

CEQ 1.4 Has GPE contributed to the observed characteristics of sector plan implementation? If so, then how? If not, why not? a) Through GPE EPDG, ESPIG grants- related funding requirements and	Contributions through GPE EPDG and ESPIG grants, related funding requirements and variable tranche under the NFM (where applicable) • Proportion of overall sector plan (both in terms of costs and key objectives) funded through GPE ESPIG	• ESP implementation data including joint sector reviews • GPE grant agent reports and other grant performance data	• Triangulation of data deriving from document review and interviews • Where applicable: Comparison of progress made towards ESPIG grant

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[118] For example, in some countries one indicator of country ownership may be the existence of measures to gradually transfer funding for specific ESP elements from GPE/development partner support to domestic funding. However, this indicator may not be applicable in all countries. Stakeholder interviews will be an important source for identifying appropriate, context-specific indicators for government ownership in each case.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS

the variable tranche under the New Funding Model (NFM)[119]
b) Through non-financial support (advocacy, standards, quality assurance procedures, guidelines, capacity building, and facilitation, and cross-national sharing of evidence/good practice)[120]
	• Absolute amount of GPE disbursement and GPE disbursement as a share of total aid to education
	• Evidence of GPE grants addressing gaps/needs or priorities identified by the DCP government and/or LEG
	• Degree of alignment of ESPIG objectives with ESP objectives.
	• Grant implementation is on time and on budget
	• Degree of achievement of/progress toward achieving ESPIG targets (showed mapped to ESPIG objectives, and sector plan objectives)
	• Evidence of variable tranche having influenced policy dialogue before and during sector plan implementation (where applicable)
	• Progress made towards sector targets outlined in GPE grant agreements as triggers for variable tranche under the NFM, compared to progress made in areas without specific targets (where applicable)
	• EPDG/ESPIG resources allocated to(implementation) capacity development
	• Stakeholder views on GPE EPDG and ESPIG grants with focus on:
	  − Value added by these grants to overall sector plan implementation;
	  − the extent to which the new (2015) funding model is clear and appropriate especially in relation to the variable tranche;
	  − how well GPE grant application processes are working for in-country stakeholders (e.g. are grant requirements clear? Are they appropriate considering available grant amounts?);
	Contributions through non-financial support
		• Secretariat reports, e.g. country lead back to office/mission reports
		• GPE ESP/TSP quality assurance documents
		• Other documents on GPE advocacy/facilitation
		• Country-specific grant applications
		• Interviews
		• Education sector analyses
		• Country's poverty reduction strategy paper
			objectives linked to specific performance targets with those without targets (variable tranche under the New Funding Model)

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[119] Where applicable.

[120] Facilitation provided primarily through the GPE Secretariat, the grant agent and coordinating agency. Advocacy – including inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed upon standards). Knowledge exchange - including cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS

	• Types of GPE support (advocacy, facilitation, knowledge sharing) aimed at strengthening sustainable local/national capacities for plan implementation
	• Relevance of GPE non-financial support in light of DCP government's own capacity development plan(s) (where applicable)
	• Stakeholder views on relevance and effectiveness of GPE non-financial support with focus on:
	  – GPE non-financial support contributing to strengthening sustainable local/national capacities relevant for plan implementation
	  – GPE non-financial facilitating harmonized development partners' support to plan implementation
	• Possible causes for no/ limited GPE contribution to plan implementation.		

CEQ 1.5 How has education sector financing evolved during the period under review? a) Amounts of domestic financing b) Amounts and sources of international financing c) Quality of domestic and international financing (e.g. short, medium and long-term predictability, alignment with government systems)? 1. If no positive changes, then why not?	a) Amounts of domestic education sector financing • Changes in country's public expenditures on education during period under review (absolute amounts and spending relative to total government expenditure) • Extent to which country has achieved, maintained, moved toward, or exceeded 20% of public expenditures on education during period under review • Changes in education recurrent spending as a percentage of total government recurrent spending b) Amounts and sources of international financing • Changes in the number and types of international donors supporting the education sector • Changes in amounts of education sector funding from traditional and non-traditional donors (e.g. private foundations and non-DAC members) • Changes in percentage of capital expenditures and other education investments funded through donor contributions c) Quality of sector financing	• Creditor Reporting System (CRS) by OECD-DAC • UIS data by UNESCO • National data (e.g. Education Management Information Systems, National Education Accounts, Joint Sector Reviews, public expenditure reviews) • GPE results framework indicator 29 on alignment	• Trend analysis for period under review • Descriptive analysis

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Changes in the quality (predictability, alignment, harmonization/modality) of international education sector financing to country • Changes in the quality of domestic education financing (e.g. predictability, frequency and timeliness of disbursements, program versus input-based funding) • Extent to which country dedicates at least 45% of its education budget to primary education (for countries where PCR is below 95%) • Changes in allocation of specific/additional funding to marginalized groups • Changes in extent to which other donors' funding/conditional budget support is tied to the education sector		
CEQ 1.6 Has GPE contributed to leveraging additional education sector financing and improving the quality of financing? If yes, then how? If not, then why not? a) Through ESPIG funding and related funding requirements? b) Through the GPE multiplier funding mechanisms (where applicable)? 2. Through other means, including advocacy[121] at national and/or global levels?	a) Through ESPIG funding and related requirements • Government commitment to finance the endorsed sector plan (expressed in ESPIG applications) • Extent to which GPE Program Implementation Grant-supported programs have been co-financed by other actors or are part of pooled funding mechanisms • Stakeholder views on extent to which GPE funding requirements (likely) having influenced changes in domestic education financing • Changes in relative size of GPE financial contribution in relation to other donor' contributions • Trends in external financing and domestic financing channelled through and outside of GPE, and for basic and total education, to account for any substitution by donors or the country government • Alignment of GPE education sector program implementation grants with national systems[122]	• ESPIG grant applications and related documents (country commitment on financing requirement • Donor pledges and contributions to ESP implementation) • Creditor Reporting System (CRS) by OECD-DAC • UIS data by UNESCO • National data (e.g. Education Management Information Systems, National Education Accounts, Joint Sector Reviews, public expenditure reviews) • Interviews with national actors (e.g. Ministry of Finance, Ministry of Education, Local Education Groups/ Development partner groups)	• Comparative analysis (GPE versus other donor contributions) • Triangulation of quantitative analysis with interview data

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[121] Through the Secretariat at country and global levels, and/or GPE board members (global level, influencing country-specific approaches of individual donors)
[122] GPE's system alignment criteria including the 10 elements of alignment and the elements of harmonization captured by RF indicators 29, 30 respectively.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Possible reasons for non-alignment or non-harmonization of ESPIGs (if applicable) b) Through the GPE multiplier funding mechanism • Amount received by DCP government through the GPE multiplier fund (if applicable) • Stakeholder views on clarity and efficiency of multiplier application process c) Through other means (especially advocacy) • Likelihood of GPE advocacy having contributed to country meeting/approaching goal of 20% of the total national budget dedicated to education • Changes in existing dynamics between education and finance ministries that stakeholders (at least partly) attribute to GPE advocacy123 (e.g. JSRs attended by senior MoF staff) • Amounts and quality of additional resources likely mobilized with contribution from GPE advocacy efforts at country or global levels • Amounts and sources of non-traditional financing (e.g. private or innovative finance) that can be linked to GPE leveraging		
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, then how?			

CEQ 2.1 Has sector dialogue changed during the period under review?
If so, then how and why? If not, why not?
	• Composition of the country's LEG (in particular civil society and teacher association representation), and changes in this composition during period under review; other dialogue mechanisms in place (if any) and dynamics between those mechanisms
	• Frequency of LEG meetings, and changes in frequency during period under review
	• LEG members consulted for ESPIG application
	• Stakeholder views on changes in sector dialogue in terms of:
	  – Degree to which different actors lead, contribute to, or facilitate dialogue
	  – Inclusiveness
	  – Consistency, clarity of roles and responsibilities
		• LEG meeting notes
		• Joint sector reviews or equivalents from before and during most recent ESPIG period
		• GPE sector review assessments
		• ESP/TSP, and documents illustrating process of their development
		• Back to office reports/memos from Secretariat
		• ESPIG grant applications (section V – information on stakeholder consultations)
		• Interviews
			• Pre-post comparison
			• Triangulate results of document review and interviews
			• Stakeholder analysis and mapping

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[123] This advocacy can have taken place in the context of GPE support to education sector planning, sector dialogue, and/or plan implementation

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	− Meaningfulness (i.e. perceptions on whether, when and how stakeholder input is taken into account for decision making) − Quality (evidence-based, transparent) − Likely causes for no/limited (changes in) sector dialogue		

CEQ 2.2 Has sector monitoring changed? If so, then how and why? If not, why not?	• Extent to which plan implementation is being monitored (e.g. results framework with targets, performance review meetings, annual progress reports… and actual use of these monitoring tools)
	• Frequency of joint sector reviews conducted, and changes in frequency during period under review; nature of JSR meetings held; and any other monitoring events at country level (e.g., DP meetings…)
	• Extent to which joint sector reviews conducted during period of most recent ESPIG met GPE quality standards (if data is available: compared to JSRs conducted prior to this period)
	• Evidence deriving from JSRs is reflected in DCP government decisions (e.g. adjustments to sector plan implementation) and sector planning
	• Stakeholder views on changes in JSRs in terms of them being:
	  − Inclusive and participatory, involving the right number and types of stakeholders
	  − Aligned to existing sector plan and/or policy framework
	  − Evidence based
	  − Used for learning/informing decision-making
	  − Embedded in the policy cycle (timing of JSR appropriate to inform decision making; processes in place to follow up on JRS recommendations)[124] and recommendations are acted upon and implemented
		• LEG and JSR meeting notes
		• Joint sector review reports/aide memoires or equivalents from before and during most recent ESPIG period
		• GPE sector review assessments
		• Grant agent reports
		• Back to office reports/memos from Secretariat
		• Interviews
			• Pre-post comparison
			• Triangulate the results of document review and interviews

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[124] Criteria adapted from: Global Partnership for Education. Effective Joint Sector Reviews as (Mutual) Accountability Platforms. GPE Working Paper #1. Washington. June 2017. Available at: https://www.globalpartnership.org/blog/helping-partners-make-best-use-joint-sector-reviews

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Stakeholder views on extent to which current practices of sector dialogue and monitoring amount to 'mutual accountability' for the education sector. • Likely causes for no/ limited (changes in) sector monitoring.		
CEQ 2.3 Has GPE contributed to observed changes in sector dialogue and monitoring? If so, then how? If not, why not? a) Through GPE grants and funding requirements[125] b) Through other support (capacity development, advocacy, standards, quality assurance, guidelines, facilitation, cross-national sharing of evidence/good practice)[126]	a) Grants and funding requirements • Proportion of total costs for sector dialogue mechanisms (and/or related specific events) funded through GPE grants • Proportion of total costs for sector monitoring mechanisms (e.g. JSR) funded through GPE grants • Stakeholder views on extent to which GPE funding process (e.g. selection of grant agent, development of program document, grant application) and grant requirements positively or negatively influenced the existence and functioning of mechanisms for sector dialogue and/or monitoring b) Non-grant related support • Support is aimed at strengthening local/national capacities for conducting inclusive and evidence-based sector dialogue and monitoring • Support is targeted at gaps/weaknesses of sector dialogue/monitoring identified by DCP government and/or LEG • Support for strengthening sector dialogue/monitoring is adapted to meet the technical and cultural requirements of the specific context in Kenya a) and b)	• LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat • Interviews • CSEF, KIX documents etc.	• Triangulate the results of document review and interviews

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[125] All relevant GPE grants to country/actors in country, including CSEF and KIX, where applicable.

[126] Capacity development and facilitation primarily through Secretariat, coordinating agency (especially in relation to sector dialogue) and grant agent (especially in relation to sector monitoring). Advocacy through Secretariat (country lead), CA, as well as (possibly) GPE at the global level (e.g. Board meetings, agreed upon standards). Knowledge exchange includes cross-national/global activities organized by the Secretariat, as well as the sharing and use of insights derived from GRA and KIX grant-supported interventions. Knowledge sharing also possible through other GPE partners at country level (e.g. other donors/LEG members) if provided primarily in their role as GPE partners.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Stakeholder view on relevance and appropriateness of GPE grants and related funding process and requirements, and of other support in relation to: – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. around JSRs) • Possible causes for no/ limited GPE contributions to dialogue/monitoring.		
CEQ 3: Has GPE support had unintended/unplanned effects? What factors other than GPE support have contributed to observed changes in sector planning, sector plan implementation, sector financing and monitoring?			
CEQ 3.1 What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector planning, financing, plan implementation, and in sector dialogue and monitoring?	• Changes in nature and extent of financial/non-financial support to the education sector provided by development partners/donors (traditional/non-traditional donors including foundations) • Contributions (or lack thereof) to sector plan implementation, sector dialogue or monitoring made by actors other than GPE • Changes/events in national or regional context(s) – Political context (e.g. changes in government/leadership) – Economic context – Social/environmental contexts (e.g. natural disasters, conflict, health crises) – Other (context-specific)	• Documents illustrating changes in priorities pursued by (traditional/non-traditional) donors related implications for Kenya • Relevant studies/reports commissioned by other education sector actors (e.g. donors, multilateral agencies) regarding nature/changes in their contributions and related results • Government and other (e.g. media) reports on changes in relevant national contexts and implications for the education sector • Interviews	• Triangulate the results of document review and interviews
CEQ 3.2 During the period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support?	• Types of unintended, positive and negative, effects on sector planning, financing, sector plan implementation, sector dialogue and monitoring deriving from GPE grants and funding requirements • Types of unintended, positive and negative, effects deriving from other GPE support.	• All data sources outlined for CEQs 1 and 2 above • Interviews	• Triangulate the results of document review and interviews

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
Key question II: Has sector plan implementation contributed to making the overall education system in Kenya more effective and efficient?			
CEQ 4 During the period under review, how has the education system changed in relation to: a) Improving access to education and equity? b) Enhancing education quality and relevance (quality of teaching/instruction)? c) Sector Management?[127] If there were no changes in the education system, then why not and with what implications?[128]	a) Improving education access and equity - focus on extent to which DCP meets its own performance indicators, where available, e.g. related to:[129] • Changes in number of schools relative to children • Changes in the average distance to schools • Changes in costs of education to families • Changes in the availability of programs to improve children's' readiness for school) • New/expanded measures put in place to ensure meeting the educational needs of children with special needs and of learners from disadvantaged groups • New/expanded measures put in place to ensure gender equality in education b) Enhancing education quality and relevance (Quality of teaching/instruction) – focus on extent to which DCP meets its own performance indicators, e.g. related to: • Changes in pupil/trained teacher ratio during period under review • Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school) • Changes in relevance and clarity of (basic education) curricula • Changes in the quality and availability of teaching and learning materials • Changes in teacher pre-service and in-service training • Changes in incentives for schools/teachers	• Education Management Information System (EMIS) • UIS data • World Bank data • Household survey data • ASER/UWEZO other citizen-led surveys • Grant agent progress reports • Implementing partner progress reports • Mid-term Evaluation reports • GPE annual Results Report • Appraisal Reports • Public expenditure reports • CSO reports • SABER database • Education financing studies • Literature on good practices in education system domains addressed in country's sector plan • Interviews • ESPIG grant applications • Relevant documents/reports illustrating changes in key ministries' institutional capacity (e.g. on restructuring, internal resource allocation)	• Pre-post comparison of statistical data for periods under review • Triangulate the results of document review with statistical data, interviews and literature on 'good practice' in specific areas of systems strengthening

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[127] The sub-questions reflect indicators under Strategic Goal #3 as outlined in the GPE results framework as well as country-specific indicators for system-level change and elements (such as institutional strengthening) of particular interest to the Secretariat.

[128] Implications for education access and equity, quality and relevance, and sector management, as well as likely implications for progress towards learning outcomes and gender equality/equity.

[129] The noted indicators are examples of relevant measures to indicate removal of barriers to education access. Applicability may vary across countries. Where no country specific indicators and/or data are available, the CLE will draw upon UIS (and other) data on the described indicators.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	c) Sector Management – focus on extent to which DCP meets its own performance indicators, e.g. related to: • Changes in the institutional capacity of key ministries and/or other relevant government agencies (e.g. staffing, structure, organizational culture, funding) • Changes in whether country has and how it uses EMIS data to inform policy dialogue, decision making and sector monitoring • If no functioning EMIS is in place, existence of a realistic remedial strategy in place • Changes in whether country has and how it uses quality learning assessment system within the basic education cycle during period under review (a-c): • Likely causes for no/ limited changes at system level (based on literature review and stakeholder views)		
CEQ 5 How has sector plan implementation contributed to observed changes at education system level?	• The specific measures put in place as part of sector plan implementation address previously identified bottlenecks at system level • Alternative explanations for observed changes at system level (e.g. changes due to external factors, continuation of trend that was already present before current/most recent policy cycle, targeted efforts outside of the education sector plan)	• Sources as shown for CEQ 4 • Literature on good practices in education system domains addressed in country's sector plan • Education sector analyses • Country's poverty reduction strategy paper	
Key question III: Have improvements at education system level contributed to progress towards impact?			
CEQ 6 During the period under review, what changes have occurred in relation to: a) Learning outcomes (basic education)? b) Equity, gender equality and inclusion in education? Is there evidence to link changes in learning outcomes, equity, gender equality, and inclusion to system-level changes identified under CEQ 4? What other factors can explain changes in learning outcomes, equity, etc.?	Changes/trends in DCP's core indicators related to learning/equity as outlined in current sector plan and disaggregated (if data is available). For example: a) Learning outcomes • Changes/trends in learning outcomes (basic education) during period under review (by gender, by socio-economic group, by rural/urban locations) b) Equity, gender equality, and inclusion • Changes in gross and net enrollment rates (basic education) during review period (by gender, by socio-economic group, by rural/urban) • Changes in proportion of children (girls/boys) who complete (i) primary, (ii) lower-secondary education	• Sector performance data available from GPE, UIS, DCP government and other reliable sources • Teacher Development Information System (TDIS) • Education Management Information System (EMIS) • National examination data • International and regional learning assessment data • EGRA/EGMA data	• Pre-post comparison of available education sector data (examination of trends) during and up to 5 years before core period under review • Triangulation of statistical data with qualitative document analysis

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Changes in transition rates from primary to lower secondary education (by gender, by socio-economic group) • Changes in out of school rate for (i) primary, (ii) lower-secondary education (by gender, socio-economic group, rural/urban location) • Changes in dropout and/or repetition rates (depending on data availability) for (i) primary, (ii) lower-secondary education • Changes in the distribution of out of school children (girls/boys; children with/without disability; ethnic, geographic and/or economic backgrounds) • Plausible links between changes in country's change trajectory related to learning outcomes, equity, gender equality, and inclusion during period under review on the one hand, and specific system-level changes put in place during the same period • Additional explanations for observed changes in learning outcomes, equity, gender equality, and inclusion other than system-level changes noted under CEQ 4 and 5 • Likely reasons for impact-level changes during period under review	• ASER/UWEZO other citizen-led surveys • Grant agent and Implementing partner progress reports • Mid-term Evaluation reports • GPE annual Results Report • Studies/evaluation reports on education (sub)sector(s) in country commissioned by the DCP government or other development partners (where available) • Literature on key factors affecting learning outcomes, equity, equality, and inclusion in comparable settings	
Key question IV: What are implications of evaluation findings for GPE support to Kenya?			

CEQ 7 What, if any, aspects of GPE support to Kenya should be improved? What, if any, good practices have emerged related to how GPE supports countries? [130]	• Insights deriving from answering evaluation questions above e.g. in relation to:
	  – Clarity and relevance of the roles and responsibilities of key GPE actors at the country level (Secretariat, GA, CA, DCP government, other actors)
	  – Strengths and weaknesses of how and whether GPE key country-level actors fulfill their roles (both separately and jointly i.e. through a partnership approach)
		• All of the above as well as (for summative evaluations) sources applied for CEQs 9, 10 and 11 (part B below)	• Triangulation of data collected and analysis conducted for other evaluation questions

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[130] For both questions CEQ 7 and 8 the notion of 'good practice' refers to acknowledging processes, mechanisms, ways of working etc. that the CLE found to work well and/or that were innovative in that specific context. The intention is not to try and identify globally relevant benchmarks or universally 'good practice'.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	– The relative influence/benefits deriving from GPE financial and non-financial support respectively (with focus on the NFM, where applicable) – Extent to which logical links in the GPE theory of change are, or are not, supported by evidence – Extent to which originally formulated underlying assumptions of the ToC appear to apply/not apply and why – Extent to which different elements in the theory of change appear to mutually enforce/support each other (e.g. relationship sector dialogue and sector planning) – Stakeholder satisfaction with GPE support		
CEQ 8 What, if any, good practices have emerged related to how countries address specific education sector challenges/how countries operate during different elements of the policy cycle?[131]	• Insights deriving from answering evaluation questions above e.g. in relation to: – Effectiveness of approaches taken in the respective country to ensure effective sector planning, sector dialogue and monitoring, sector financing, sector plan implementation. – Successful, promising, and/or contextually innovative approaches taken as part of sector plan implementation to address specific sector challenges[132]	• All of the above as well as (for summative evaluations) sources applied for CEQs 9, 10 and 11 (part B below)	• Triangulation of data collected and analysis conducted for other evaluation questions

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[131] This could mean, for example, highlighting strengths of existing mechanisms for sector planning that either reflect related GPE/IEEP guidelines and quality criteria or that introduce alternative/slightly different approaches that appear to work well in the respective context.

[132] For example, highlighting promising approaches taken by the respective government and development partners to try and reach out of school children. Please note that 'innovative' means 'innovative/new in the respective context', not necessarily globally new.

Annex B   GPE ToC

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LEGEND

Non-financial GPE inputs/support (technical assistance, facilitation, advocacy)

GPE **financial** inputs/support (grants) and related funding requirements

Country-level objectives that GPE support/influence directly contributes to

Global-level objectives that GPE support/influence directly contributes, which have consequences at country level (policy cycle continuum)

Global-level objectives with ramifications at country level, that are influenced but not solely driven by GPE's global and country-level interventions and/or influence

Intermediate outcomes: Education system-level changes

Impact: Changes in learning outcomes, equity, equality, and inclusion

Contextual factors

S.O. # 3 Corresponding Strategic Objective in the GPE 2020 Strategic Plan

1 Numbers represent the key areas where **logical linkages** (explanatory mechanisms) connect different elements of the theory of change to one another (*'because of x, y happens'*). Numbers are aligned with the anticipated sequencing of achievements (1. sector plan development, 2. sector plan implementation, sector monitoring and dialogue, 3. education system-level changes, 4. envisaged impact.

Annex C Explanatory mechanisms and (implicit) contribution claims

#	EXPLANATORY MECHANISM	(IMPLICIT) CONTRIBUTION CLAIM
	1 – GPE contributions to sector planning	
1.1, 1.2, 1.3 and 1.4	**BECAUSE** • (1) GPE provides Education Sector Plan Development Grants and guidance, quality assurance, capacity development and technical guidance • (2) GPE promotes (at global and country levels) evidence-based and adaptive planning • (3) GPE promotes and facilitates cross-national sharing of evidence and good practice • (4) GPE fosters clear roles, responsibilities and accountabilities among stakeholders in policy dialogue and their collaboration in a coordinated, harmonized way to solve sector issues • (5) Data on systems, equity, and learning generated through quality EMIS and LAS are fed back and used to inform sector planning **DCP government produces and owns credible and evidence-based sector plans focused on equity, efficiency, and learning**	**Contribution claim A:** GPE (financial and non-financial) support and influence contribute to the *development* of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning.
	2 - GPE contributions to sector plan implementation, sector monitoring, and dialogue	
2.1	**BECAUSE** • (1) GPE provides CSEF and ASA grants • (2) GPE supports and promotes evidence-based and inclusive national sector monitoring and adaptive planning at global and country levels • (3) GPE promotes and facilitates cross-national sharing of evidence and good practice • (4) GPE fosters clear roles, responsibilities and accountabilities among stakeholders in policy dialogue and their collaboration in a coordinated, harmonized way to solve sector issues **There is mutual accountability for sector progress through inclusive sector policy dialogue and monitoring**	**Contribution claim B:** GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to *mutual accountability* for education sector progress.
2.2	**BECAUSE** • (1) GPE advocates for and establishes mechanisms for increased, harmonized, and better aligned international financing for education, and • (2) GPE funding requirements include the promotion of improvements in domestic financing for education promotes **There is more and better financing for education mobilized in the country**.	**Contribution claim C:** GPE advocacy and funding requirements contribute to more and better financing for education in the country.
2.3, 2.4, 2.5, 2.6	**BECAUSE** • (1) GPE provides funding through PDGs and ESPIGS	**Contribution claim D:** GPE (financial and non-financial) support and influence

#	EXPLANATORY MECHANISM	(IMPLICIT) CONTRIBUTION CLAIM
2.7 and 2.8	• (2) GPE provides quality assurance, processes, guidelines, capacity building and technical guidance for ESPIG development and implementation • (3) there is mutual accountability for education sector progress • (4) the country has developed a credible and evidence-based sector plan • (5) more and better domestic and international financing for education is available • (6) GPE promotes and facilitates cross-national sharing of evidence and good practice • (7) Data on systems, equity, and learning generated through quality EMIS and LAS are fed back and used to inform sector plan implementation **The country implements and monitors credible, evidence-based sector plans based on equity, efficiency and learning**	contribute to the effective and efficient *implementation* of sector plans.
**3. From country-level objectives to system-level change (intermediary outcome)**	
3.1	**BECAUSE** • (1) countries implement and monitor realistic, evidence-based education sector plans based on equity, efficiency and learning **The education system becomes more effective and efficient towards delivering equitable quality educational services for all**	**Contribution claim E:** The development, implementation and monitoring of realistic evidence based sector plans contributes to positive changes at the level of the overall *education system*.
3.2	**BECAUSE** • (1) sector plan implementation includes provisions for strengthened EMIS and LAS • (2) because GPE promotes and facilitates sharing of evidence and mutual accountability for education sector progress **Country produces and shares disaggregated data on equity, efficiency, and learning**	
**4. From system-level change (intermediate outcomes) to impact**	
4	**BECAUSE** of improvements at the level of the overall education system, **there are improved learning outcomes and improved equity, equality, and inclusion in education**.	**Contribution claim F:** Education system-level improvements result in *improved learning outcomes* and in *improved equity, gender equality, and inclusion* in education.

Annex D   Interview protocols

These guidelines are not intended as questionnaires. It will not be possible to cover all issues in all categories with all individuals or groups. The evaluation team members will use their judgment and focus on areas which are likely to add most to the team's existing knowledge, while allowing interviewees and groups to highlight the issues that are most important to them.

The evaluators will formulate questions in a (non-technical) way that respondents can easily relate to, while generating evidence that is relevant to the evaluation questions that the evaluators have in mind.

Approach to interviews

- Interviews will be a major source of information for this evaluation. These will be a means to extract evidence, as well as to triangulate evidence drawn from other interviews and the document review, and will form part of the consultative process.
- A stakeholder analysis, as presented in baseline report, will inform the selection of interviewees. Over the evaluation period the evaluation team aims to target a comprehensive range of stakeholders that fully represent all significant institutional, policy and beneficiary interests. The team will periodically review the list of those interviewed to ensure that any potential gaps are addressed and to prevent under-representation of key stakeholders.

- All interviews will comply with the team's commitment to the respective evaluation ethics (the work of the evaluation team will be guided by: OECD DAC Evaluation Quality Standards for Development Evaluation;[133] UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System;[134] the World Bank's principles and standards for evaluating global and regional partnership programs;[135] ALNAP's Evaluation of Humanitarian Action Guide;[136] the Sphere Handbook and Standards for Monitoring and Evaluation;[137] and Guidance on Ethical Research Involving Children.[138])
- Interviews will be conducted in confidence and usually on a one-to-one or one-to-two basis (to enable note-taking). Reports will not quote informants by name and will not include direct quotes where it could risk revealing the participant's identity or attribution without prior consent.
- A protocol and standard format for recording interview notes is presented below. This will be used for all interviews and will ensure systematic recording of details, while allowing for flexibility in the specific questions asked. Interview notes will be written up, consolidated into an interview compendium and shared among team members via the internal team-only e-library. To respect interviewee confidentiality, the interview notes will be accessible only to team members. The compendium of interview notes will facilitate analysis across all interviews and will enable

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[133] http://www.oecd.org/development/evaluation/qualitystandards.pdf
[134] http://www.uneval.org/document/detail/21 and http://www.uneval.org/document/detail/22 ,
http://www.uneval.org/document/detail/102 and http://www.unevaluation.org/document/detail/100
[135] http://siteresources.worldbank.org/EXTGLOREGPARPROG/Resources/sourcebook.pdf
[136] http://www.alnap.org/resource/23592.aspx
[137] http://www.sphereproject.org/silo/files/sphere-for-monitoring-and-evaluation.pdf
[138] http://childethics.com/

searches on key thematic terms, initiatives and so on. This will maximize the analytical potential of interviews and the possibilities for triangulation.

Focus group discussions

- The evaluation team may also make use of focus group discussions. Similar to the interview guides, the sub-headings and discussion guide points used are linked to the areas of enquiry and evaluation questions set out in the evaluation matrix, and are intended as a guide only, for the evaluation team to follow flexibly in order to maximize its learning from each discussion group.
- All focus group discussions will reflect with the evaluation team's commitment to appropriate evaluation ethics (as referenced above).

Annex E   Risks to the Evaluation and Ethics

Risks to the evaluation

The table below outlines the key anticipated risks and limitations as outlined in the risk management and contingency plan section of the inception report. It also puts forward the anticipated mechanisms to mitigate risks.

Annex Table 1:   Key anticipated risks and limitations, and proposed mitigation mechanisms

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
Delays in the timing of the 24 country visits Consequences: some country evaluation reports are submitted later than required to inform GPE strategy and impact committee and/or Board meetings, or to feed into the synthesis report. *Likelihood: High*	If full evaluation/progress reports are not yet complete, the evaluation team will provide the Secretariat with at least an overview of emerging key findings at the agreed-upon timelines that are linked to SIC and Board meetings or the submission of synthesis reports. The full reports will be submitted as soon as possible thereafter and will be reflected in subsequent synthesis reports in case important information was missed.
Conflict or fragility undermine the ability of our teams to conduct in-country data collection for summative or prospective evaluations Consequences: international consultants cannot conduct in-person data collection on the ground. Delays in conducting of site visits and of subsequent deliverables. *Likelihood: Medium to high*	Change timing of site visits, and postpone related deliverables. Change order in which 22 summative evaluations are conducted and/or make use of the contingency provision of two extra countries included in the sample for summative evaluations. Collect data from individual in-country stakeholders via email, telephone, Skype; use electronic survey to reach several stakeholders at once. Increase level of effort of national consultant(s) to ensure in-country data collection.
Interventions are not implemented within the lifecycle of the evaluation This constitutes a particular risk for the *prospective* evaluations. While a lack of implementation can create learning opportunities in impact evaluations, such situations do not present value for money. *Likelihood: Medium*	If interventions are not implemented within the lifecycle of the evaluation, data on bottlenecks, barriers, contextual factors and the political economy will be able to shed light on why implementation did not take place and the extent to which such factors were within GPE's control.
Large data and evidence gaps Consequences: inability to conduct reliable trend analysis. Lack of a solid basis on which to assess country progress made in strengthening the overall education system and education outcomes, as well as GPE contributions along the ToC.	Inclusion of data availability as a consideration in the sampling strategy. Work with the Secretariat and in-country stakeholders to fill data gaps. For prospective evaluations, if gaps identified as baseline cannot be filled, adjust the prospective evaluation focus to make the most of alternative data that may be available.

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
Likelihood: Medium, but varying by country	Use of qualitative data – e.g. based on stakeholder consultations – to reconstruct likely baseline for key issues relevant for assembling the contribution story. Clearly identify data gaps and implications for data analysis in all deliverables.
Structure of available data is limiting To assess education sector progress, the evaluation team will use the best data available at country level. However, the format of available data may vary by country. For example, countries may use different criteria to define 'inclusion' in their data. This can pose challenges to synthesizing findings on GPE contributions in the respective area. *Likelihood: Medium*	As qualitative synthesis does not face the same limitations, we will mitigate this risk by describing differences in measurement criteria across countries.
Inaccessibility of in-country partners, resulting in incomplete datasets; limited triangulation; partners not fully seeing their views reflected in, and therefore rejecting, evaluation findings and forward-looking suggestions; increases in costs and time required for data collection; and delays in completing data collection and submitting deliverables. *Likelihood: Medium*	Reaching out to in-country stakeholders as early as possible before scheduled missions to explore their availability. Data collection via email, telephone, Skype, or through local consultants before or after site visits. Close collaboration with the Secretariat country lead and in-country focal point (e.g. coordinating agency) to identify and gain access to all key in-country stakeholders. Consult other individuals from the same stakeholder group if key envisaged informants are not available.
Being part of an evaluation changes the behavior of actors, independent of GPE support GPE partners within *prospective* evaluation countries may, involuntarily, perceive the prospective evaluation countries as showcase examples and increase efforts due to the evaluation. *Likelihood: Medium to low*	The evaluation team will review the performance data for the full set of GPE countries and see if the prospective evaluation countries have moved in their performance ranking over the lifecycle of the evaluation.
Evaluations (perceived to be) not sufficiently independent from the Secretariat Consequences: negative effects on credibility of evaluation findings and forward-looking suggestions in the eyes of key stakeholders. Limited use of evaluations to inform decision-making and/or behaviors of key stakeholders. Reputational damage for the Secretariat and consortium members. *Likelihood: Medium to low*	Findings, conclusions and forward-looking suggestions will be based on clearly identified evidence. Review of all draft deliverables by an Independent Technical Review Panel (ITRP). The evaluation team will incorporate feedback received on draft deliverables as follows: (a) factual errors will be corrected; (b) for other substantive comments, the evaluation team will decide based on the available evidence whether (and how) to incorporate them or not. If comments/suggestions are not accepted, the evaluation team will explain why.

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
Prospective **country evaluation teams becoming excessively sympathetic to GPE or others through repeat visits** This can result in overly positive reports that miss areas requiring constructive criticism. *Likelihood: Medium to low*	The internal, independent and external quality assurance mechanisms described in Section 4.3, as well as feedback received from the ITRP, will make it possible to identify any cases where prospective evaluation reports provide insufficient evidence for overly positive assessments.
Countries no longer willing to participate in, or wish to withdraw partway through, an (prospective) evaluation Consequences: an unbalanced sample of summative or *prospective* evaluations. Difficulty completing all eight prospective evaluations in a consistent manner. *Likelihood: Medium to low*	A transparent selection/sampling process. Early work with GPE country leads and in-country implementing partners to build support for all country-level evaluations. Early and ongoing direct engagement with senior decision-makers in DCPs to ensure that key stakeholders understand the nature and anticipated duration –especially of the prospective evaluations.

Ethics

The members of our consortium abide by and uphold internationally recognized ethical practices and codes of conduct for evaluations, especially when they take place in humanitarian and conflict situations, and with affected and vulnerable populations.

For this evaluation the team has been guided by: OECD DAC Evaluation Quality Standards for Development Evaluation; UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System; the World Bank's principles and standards for evaluating global and regional partnership programs; ALNAP's Evaluation of Humanitarian Action Guide; the Sphere Handbook and Standards for Monitoring and Evaluation; and Guidance on Ethical Research Involving Children.

Annex F   Confirming and refuting evidence methodology

1.   This evaluation pays attention to how contribution analysis can identify and determine the extent of influencing factors and alternative explanations and weighs confirming and refuting evidence. Following Lemire, Nielsen and Dyadal,[139] we use the Relevant Explanation Finder (REF) as an operational framework to provide structure for enabling transparent and explicit decision-making regarding weighing confirming and refuting factors in the evaluative inquiry.

2.   For each item of evidence the evaluation team recorded the contribution claim the evidence relates to, described the item of evidence, recorded the data source and assessed whether the evidence confirms or refutes the contribution claim. The degree of influence on the contribution claim was assessed for each item of evidence, being judged on the basis of certainty, robustness, validity, prevalence and theoretical grounding.

3.   Confirming and refuting evidence emerging from interview data was assessed by analyzing the impartiality of the informant (to what extent does this person have a vested interest in the subject of the fragment?), knowledge (How much knowledge/experience does the subject have of the subject of the fragment?) and coherency (How coherent is their point? Do they provide evidence?).

4.   The assessment of plausibility for each contribution claim was then made on the basis of:

- The preconditions of contribution are in place (did the change happen? If not, there could not have been a contribution)
- Where GPE provided inputs or support for this change
- Other support provided outside of the partnership
- Supporting and refuting evidence
- The extent to which the assumptions hold; and
- Logical reasoning

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[139] Lemire, Nielsen and Dybdal, 2012. *Making contribution analysis work: A practical framework for handling influencing factors and alternative explanations*. Evaluation volume 18: 294.

Annex Table 2   Strength of evidence assessment example – documents

Number	Certainty	Robustness	Validity	Prevalence	Theoretical grounding
	Degree to which the evidence is confirming or refuting the explanation (i.e. identifier)	*Degree to which the evidence is identified as a significant explanation or influencing factor across a broad range of evidence*	*Degree to which the evidence measures the explanation and is reliable*	*Degree to which the evidence contributes to the outcome of interest across a wide range of contexts*	*The evidence is informed by theory (identifies existing theories of which it is an example) and is cast in specific terms (i.e. it is not vague)*
Doc1	weak	n/a	moderate	strong	strong
Doc2					

Annex Table 3   Strength of evidence assessment - interviews

Fragment #	Interviewee	Contribution Claim	Position	View	Impartiality	Knowledge	Coherency
	Use interviewee code	*To which contribution claim does the view stated pertain*	*Does the viewpoint confirm or refute the contribution claim*	*Give details of the view of the interviewee given in the fragment*	*To what extent does this person have a vested interest in the subject of the fragment*	*How much knowledge/experience does the subject have of the subject of the fragment*	*How coherent is their point? Do they provide evidence?*
1	MoE4a	A		Interviewee asserts that CSOs were involved at all stages of planning	n/a	weak	weak
2							

Annex Table 4   Example of weighing of evidence to support contribution claim plausibility and identification of influencing factors

Preconditions	GPE support/inputs	Non-GPE support/inputs	Supporting Evidence	Refuting Evidence	Assumption met	Assessment	Reasoning
What has been achieved in sector planning in the review period	*What (specifically) has GPE done to support each of these achievements?*	*What (specifically) have others done to support each of these achievements?*	*List docs and interviews that support or refute GPE support resulted in a contribution*		*Were the generic assumptions met*	*On the basis of the precondition being met, GPE inputs and the evidence, is the GPE contribution plausible*	*What is the overall narrative for why the contribution is plausible or not plausible?*
Follow up from year one issue 1	Did GPE input to address this issue?	Who else supported or inputted into this and how?	Doc 4, 7, 9, 11 etc	Doc4	Country level stakeholders have the *capabilities* to jointly improve sector analysis and planning	Plausible	A credible quality plan is in place + it was developed through inclusive processes + GPE provided financial support for plan development + GPE provided technical support which improved the quality of the plan + most members of the LEG agree GPE contributed + the ESPIG completion reports detail GPE contributions + plans prior to becoming a GPE member were not
Follow up from year one issue 2	Did GPE input to address this issue?	Who else supported or inputted into this and how?	Doc3	Int3	stakeholders have the *opportunities* (resources, time, conducive environment) to do so		
Follow up from year one issue 3	Did GPE input to address this issue?	Who else supported or inputted into this and how?	Int1		stakeholders have the *motivation* (incentives) to do so		
ESP is guided by an overall vision, is strategic and holistic	Did GPE input to this?	Who else supported or inputted into this and how?	Int3		GPE has sufficient leverage within the country to influence sector planning		
ESP is achievable, sensitive to content and pays	Did GPE input to this?	Who else supported or inputted into this and how?			EMIS and LASs produce relevant and reliable data to inform sector planning		

attention to disparities							credible and did not focus on equity, efficiency and learning.
ESP meets GPE quality criteria	Did GPE input to this?	Who else supported or inputted into this and how?					
Process has been country-led, participatory and transparent	Did GPE input to this?	Who else supported or inputted into this and how?					
	Other areas of support						

Annex G   List of consulted individuals

Annex Table 5

Organisation	Name	Title and Department	M/F
Government			
MoE	Dr Belio Kipsang	Principal Secretary	M
MoE	Elias Abdi	Director General	M
MoE	James Kimotho	County PRIEDE Coordinator - Nairobi	M
MoE	Elijah Mungai	Ag. Director - Projects, Coordination and Delivery	M
MoE	Martha Ekirapa	GPE Focal Point/PRIEDE Coordinator	F
MoE	Ann Gachoya	Director - Policy, Partnership and East Africa Community Affairs	F
MoE	Jane W. Mbugua	National Project Coordinator - SEQIP	F
MoE	Josephine	Director - PRIEDE	F
Treasury	Freisha Ndegwa	Chief Economist, Treasury	F
Treasury	Winnie Mwalimu	Senior Economist WB Division	F
Ministry of Finance	Edgar Kamara	E.A Director PPP Unit/ PPP Department	M
Ministry of Finance	Ada Orlando	E.A Director PPP Unit	F
Parklands Primary School	Irene Ngugi	Head Teacher	F
Parklands Primary School	Hellen Mumbi	Board of Management Chair	F
Parklands Primary School	Florence Musau	PRIEDE Champion	F
Kangemi Primary School	Mary Mudaki	Head Teacher	F
Kangemi Primary School	Rebecca Balongo	BOM Chair	F
Kangemi Primary School	Essau Shitsukane	PTA Chair	M
Parastatals			
KNEC	Mercy Karogo	Ag Secretary/Chief Executive	F
KNEC	Dr Asumpta Matei	Ag. Coordinator National Assessment Centre	F
Teacher Service Commission	Miriam Sogo	Director - TPAD	F
Teacher Service Commission	Gabriel Malenge	Deputy Director - Quality Assurance	M

Teacher Service Commission	Dr. Ndamburi	Director - Quality Assurance	M
Development Partners			
RTI Tusome	Salome Ongele	Chief of Party, Tusome Early Grade Literacy project, Director TUSOME, RTI	F
RTI Tusome	Francis Njagi	Senior Education Policy Specialist	M
RTI Tusome	Onesmus Kiminza	Senior Education Policy Specialist	M
UNESCO	Virginia	National Program Officer	F
UNESCO	Charles	IIEP Officer	M
UNHCR	Jennie Taylor	Head of education	F
UNICEF - Kenya	Janeanne Kiviu	Education Specialist	F
UNICEF - Kenya	Marolyn	Chief of Station	F
UNICEF - Kenya	Florian Rabenstein	Education Officer	M
UNICEF - Regional	Abhiyan Jung Rana	Regional Advisor, Education, Eastern and Southern Africa Regional Office, UN	M
GPE	Fazle Rabani	Country Lead - Kenya	M
JICA	Simon Macharia Kariuki	Consultant - Education and Child Protection	M
JICA	Mika Okamura	Project Formulation Advisor,	M
Civil Society			
Women Education Researchers of Kenya	Sophia Yiega	Executive Officer, WERK	F
WERK	Lucy Tengeye	Proramme Manager opportunity scools, WERK	F
Elimu Yetu Coalition	Joseph Wasikhongo	National Coordinator	M
GESCI	Jerome Morrissey	Chief Executive Officer	M
TWAWEZA	Dr Emmanuel Manyasi	Executive Officer	M
Private Sector Organisations			
Bridge International Academies	Andrew White	Managing Director - East Africa	M
Kenya Private Schools Association	Dr Peter Ndoro	Chief Executive Officer	M
Kenya Private Schools Association	Mugambi Gatimu	Deputy CEO	M

Annex H   ESPIG funded project contributions to NESP 2015-2019 implementation

Annex Table 6 - Summary of Progress against PRIEDE objectives

PROJECT DEVELOPMENT OBJECTIVES (PDOS)	BASELINE (July 2015)	ISR7 (April 2018)	ISR9[140] (May 2019)	TARGET (June 2019)
Improvement in basic mathematics competency level of Grade 2 pupils	79%		81.90%	84%
Number of participating schools completing top two priorities in the School Improvement Plans	0	3,569	4,000	4000
EMIS data for primary education published annually from 2016	N	Y	N	Y
National assessment (NASMLA) for Standard 3 students conducted and disseminated in 2015 and 2018	N	Y	Y	Y
EGM textbooks distributed to schools	0	7,617,068	10,469,754	7,020,000
Teachers trained in EGM	0	117,484	102,157	40,000
Classroom observations conducted under the project	0	17,121	103,848	120,000

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[140] Color codes refer to progress made towards achieving final targets – with green denoting achieved and red denoting not achieved.

Participating schools receiving KCPE analysis report	0	4,000	4,000	4,000
Teachers appraised in the participating schools	0	29,159	32,775	30,000
Participating schools submitting satisfactory school improvement plans	0	4,000	4,000	4,000
Participating schools receiving annual school grant allocation	0	3,990	3,976	4,000
Participating schools being audited	0	3,997	4,000	4,000
Percentage of primary schools submitting EMIS data	60%	95%	20%	98%
Sector diagnosis covering access, equity and efficiency	N	N	Y	Y
Preparation of the next five year education sector plan launched	N	N	Y	Y
Direct project beneficiaries	0	7,258,427	7,258,427	6,040,000
Female beneficiaries	0	53%	53%	40%

Annex I   Kenya sector financing data

Annex Table 7

ISSUE	DATA
DOMESTIC FINANCING	
Total domestic educ. expenditure	**159 percent increase between 2011 and 2018** with expenditure rising from US$ 1.6 billion in 2011 to US$ 4.15 billion in 2018[141]. In the same period population has increased by 16 percent, meaning that **per capita education spending has risen by 123 percent**[142]
Education share of total government Expenditures	**Decrease from 19.25 percent in 2011 to 17.58 percent in 2017.** Different methods of calculating this per
% of domestic education financing allocated to <u>Basic education</u>	**Increase** from 56.5 to 63.8 % between 2012-2015
Funding by expenditure type (salary, non-salary recurrent, investment)	**Capital funding for education has been consistently between 5 and 7 percent** since 2011[143]. Not data is available for divisions between salary and non-salary recurrent expenditure.
INTERNATIONAL FINANCING	
Total ODA (all sectors) during review period from 2011 to 2017. *(OECD-DAC CRS, 2017 Constant US$, Gross Disbursements)*	Total ODA to Kenya **increased by 15 percent** from US$ 2.5 billion in 2011 to US$ 2.9 billion in 2017.
Total amount of ODA to education during review period from 2011 to 2017. *(OECD-DAC CRS, 2017 Constant US$, Gross Disbursements)*	Total ODA for education **increased by 72 percent** from US$ 63 million to US$ 108 million between 2011 and 2017
Education ODA as share of overall ODA during review period from 2011 to 2017. *(OECD-DAC CRS, 2017 Constant US$, Gross Disbursements)*	Between 2011 and 2017 the **share of ODA going to education averaged at three percent**, and varied between two and four percent – with no distinct trend visible.
Total amount of ODA to <u>Basic</u> Education during review period from 2011 to 2017. *(OECD-DAC CRS, 2017 Constant US$, Gross Disbursements)*	Total ODA for *Basic* **Education increased by 86 percent** from US$ 26 million to US$ 48 million between 2011 and 2017
Basic Education ODA as share of total education ODA during review period from 2011 to 2017. *(OECD-DAC CRS, 2017 Constant US$, Gross Disbursements)*	The share of Education ODA going to basic education fluctuated between 2011 between 30 and 48 percent – **averaging 42 percent across the 7 year period** and finishing on 45 percent in 2017. As Kenya has achieved universal primary enrollment it is no longer bound by a 45 percent target for basic education spending.

[141] Figures taken from various budget policy statements – figures originally in KSH – converted using a flat rate of 100 – representing a five-year average (with little deviation from this rate in the past five years).
[142] This is per capita not per student spending. Calculations based on World Bank population estimates.
[143] Data taken from ESPIG application documents, Economic Surveys and Budget Policy statements.

ISSUE	DATA
DOMESTIC FINANCING	
ESPIG amount as share of education ODA	ESPIG funding in Kenya has been in place from 2005 to 2008 (US$ 120m under the EFA/FTI window) and from 2015 to 2019 (under GPE). As ODA figures only run up until 2017 – it is only for 2016 and 2017 that there is comparative data. In 2017 US$ 25 million was disbursed from the ESPIG, equating to **19 percent of ODA for education[144].** Over the 2011 – 2019 period, GPE provided US$ 32 million in education funding, equating to **5 percent of ODA for education[145].**
ESPIG amount as share of financing required to fill the ESP funding gap at time of approval	At the time of application the total funding gap for the NESP was US$ 422 million over four years (2015-2018) – in the same period ESPIG funding was predicted to be 88.4 million of **21 percent of the NESP funding gap.** Total NESP cost for *basic education* was US$ 288 million, meaning that ESPIG funding equated to **35 percent of the basic education sub-sector funding gap.**
ESPIG amount as % of total <u>estimated</u>/expected ESP financing	At the time of application the projected cost of the NESP (2015-2018) was US$ 16.4 billion over four years. ESPIG funding of US$ 88.4 million therefore was projected to cover **.54 percent of the total NESP costs**. In the basic education sub-sector, total NESP costs were projected to come to US$ 7.71 billion – with **ESPIG funding accounting for 1.15 percent of basic education costs.**

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[144] This figure is based on the US$ 108 million of ODA recorded by OECD-DAC (in which ESPIG funding is not recorded) and the US$ 25 million of ESPIG funding.
[145] This is taking into account that no ESPIG funding was disbursed between 2011 and 2015

Annex J   ESPIG Funding Application Figures

CATEGORY	ACTUAL VALUES FOR THREE YEARS			TARGET VALUES FOR THE PERIOD OF THE PROGRAM				
Overall Education Sector:	**2012**	**2013**	**2014**	**2015**	**2016**	**2017**	**2018**	**TOTAL**
Education Sector Plan Cost	2,466	2960	3,550	3,849	4,079	4,160	4,333	**16,421**
Domestic Funding	2,307	2,682	3,098	3,759	3,870	4,089	4,281	**15,999**
Funding Gap (excluding GPE Funds)	48	278	452	90	209	71	52	**422**
GPE Support as % of total Funding Gap	0%	0%	0%	22%	12%	35%	35%	**21%**
Basic / Primary Education								
Education Sector Plan Cost	1,024	1,364	1,512	1,708	1,841	1,988	2,175	**7,712**
Domestic Funding	978	1,147	1,395	1,598	1,742	1,942	2,141	**7,423**
Funding Gap (excluding GPE Funds)	46	217	118	110	99	45	34	**288**
Requested GPE Funding	0	0	0	20	25	25	18.4	**88.4**
GPE Support as % of total sub-Sector Funding	0	0	0	1.2	1.4	1.3	0.8	**1.15%**
GPE Support as % of total sub-Sector Funding Gap	0%	0%	0%	18%	25%	56%	54%	**31%**

Annex K   OECD-DAC CRS Data for Kenya (2011-2017)

Annex Table 8 - ODA data for Kenya (All data in 2017 Constant US$/gross disbursements/millions)

Category	2011	2012	2013	2014	2015	2016	2017	2011-2017
Total ODA for Education by Donor Type								
Official Donors, Total	**63.16**	**93.36**	**96.92**	**87.64**	**100.07**	**102.16**	**108.32**	651.64
DAC Countries, Total	57.19	66.46	76.77	73.80	78.65	81.06	89.67	523.60
Multilaterals, Total	5.20	25.68	19.46	12.17	19.74	19.42	17.47	119.14
Non-DAC Countries, Total	0.77	1.22	0.69	1.66	1.69	1.69	1.18	8.90
Total ODA for Education by Individual Donor								
Official Donors, Total	**63.16**	**93.36**	**96.92**	**87.64**	**100.07**	**102.16**	**108.32**	651.64
United States	10.40	14.01	10.41	7.04	18.76	28.11	39.22	127.95
Germany	13.44	15.44	12.54	12.59	16.02	19.46	17.04	106.53
African Development Fund	3.92	22.49	17.99	10.12	16.78	14.83	10.95	97.08
United Kingdom	10.07	9.37	23.20	20.59	13.59	4.30	2.97	84.09
Canada	1.39	3.88	10.51	16.83	9.17	5.00	5.48	52.26
Japan	6.67	9.23	7.95	4.79	6.22	8.76	8.51	52.12
Korea	4.91	5.51	2.46	1.02	2.60	3.81	4.90	25.21
Italy	0.55	0.46	1.23	0.84	2.90	2.47	2.62	11.07
Belgium	2.30	2.29	1.56	1.19	1.06	0.82	0.83	10.05
France	2.27	1.33	1.21	1.11	1.02	1.12	1.20	9.25
Other	*7.23*	*9.36*	*7.87*	*11.53*	*11.95*	*13.49*	*14.61*	*76.03*
Total ODA for Education by Sub-Sector								
Education, Level Unspecified, Total	**14.16**	**33.77**	**23.71**	**12.23**	**11.48**	**10.35**	**11.41**	117.11
Education policy and administrative management	7.73	25.18	13.96	5.81	3.56	2.65	3.52	62.40
Education facilities and training	3.12	6.06	7.31	4.17	6.22	6.05	6.40	39.32
Teacher training	3.31	2.50	2.17	1.81	1.20	1.33	0.84	13.16
Educational research	-	0.03	0.27	0.44	0.50	0.33	0.66	2.23
Basic Education, Total	**25.98**	**28.10**	**40.31**	**43.67**	**46.86**	**43.43**	**48.32**	276.66
Primary education	23.37	25.78	37.31	37.68	41.33	39.68	44.81	249.96

Basic life skills for youth and adults	2.11	1.99	1.69	2.21	3.37	2.89	2.32	16.57
Early childhood education	0.50	0.33	1.30	3.77	2.16	0.86	1.19	10.12
Secondary Education, Total	**9.62**	**16.22**	**17.92**	**11.61**	**15.21**	**13.74**	**13.88**	98.20
Secondary education	1.05	1.31	5.54	1.79	1.72	2.76	2.69	16.85
Vocational training	8.58	14.91	12.38	9.81	13.49	10.98	11.20	81.34
Post-Secondary Education, Total	**13.39**	**15.28**	**14.98**	**20.13**	**26.53**	**34.65**	**34.71**	159.67
Higher education	12.85	14.58	14.35	19.15	25.72	33.05	32.84	152.53
Advanced technical and managerial training	0.54	0.71	0.63	0.98	0.81	1.60	1.87	7.14

Annex L   Additional PRIEDE Financing Figures (QAR I, II & III)

Implementing Agency	GPE Grant Funding(US$)	Share of Total GPE funding (%)
MOEST	36,018,427	41%
Basic Education Department , MOEST	34,528,341	39%
Planning Department, MOEST	4,199,379	5%
School Audit Department, MOEST	4,112,694	5%
ESQAC	1,005,956	1%
KNEC	3,594,433	4%
TSC	4,940,771	6%
Total	88,400,000	100%

Components/Sub-components	Funding (US$)		
	GPE	GoK	Total
Component1. Improvement of early grade mathematics competencies	**34,528,341**	**24,352**	**34,552,693**
Sub-component 1.1. Improving teacher competencies for developing early grade numeracy	13,815,602	0	13,815,602
Sub-component 1.2. Provision of classroom instructional materials	12,530,029	24,352	12,554,381
Sub-component 1.3. Enhancing teacher pedagogical supervision	2,166,987	0	2,166,987
Sub-component 1.4. Sensitization of pre-service training college leadership & educators	86,704		86,704
Sub-component 1.5. EGM management & coordination	5,929,019	0	5,929,019
Component 2. Strengthening school management & accountability	**38,793,456**	**0**	**38,793,456**
Sub-component 2.1. Provision of KCPE analysis & feedback to schools	1,685,309	0	1,685,309

Sub-component 2.2. Teacher appraisal	4,940,771	0	4,940,771
Sub-component 2.3. School Improvement Program	28,054,683	0	28,054,683
Sub-component 2.4. Strengthening school audit	4,112,694	0	4,112,694
Component 3. Strengthening capacity for evidence-based policy development at national level	**10,787,739**	**12,047**	**10,799,786**
Sub-component 3.1. Strengthening Data/EMIS in primary education.	4,199,379	0	4,199,379
Sub-component 3.2. Monitoring learning achievement.	1,909,124	9,459	1,918,583
Sub-component 3.3. Policy development	4,679,236	2,588	4,681,824
Component 4. Project management and coordination and monitoring & evaluation	**4,290,464**	**0**	**4,290,464**
Grand Total	**88,400,000**	**36,399**	**88,436,399**

Component	Share of Total Expenditure Category (GPE Funding, %)				
	Goods	Consultant	Training	Operational Costs	Grants
Component 1	76%	35%	76%	24%	
Component 2	8%	27%	20%	39%	100%
Component 3	13%	17%	4%	27%	
Component 4	2%	21%	0%	10%	
Total (US$)	**16,013,865**	**7,519,188**	**17,995,175**	**24,871,772**	**22,000,000**
Total (%)	**18%**	**9%**	**20%**	**28%**	**25%**

Annex Figure 1 - Cumulative PRIEDE Disbursements (ISR 9)
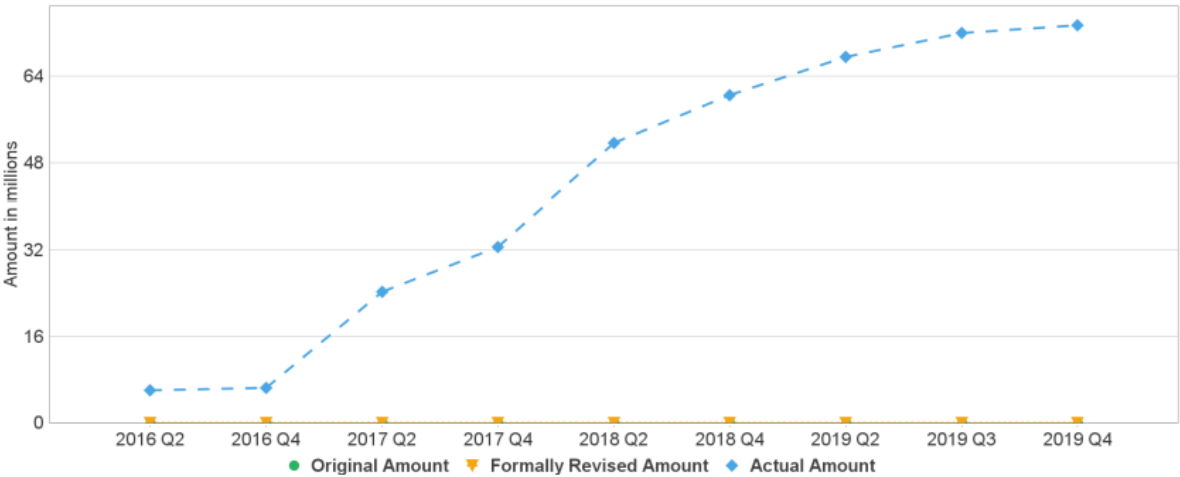
Annex M   KNESSP 2018 – 2022 Cost Projections

Table M1 – Macro Economic Projections used for KNESSP cost modelling (Current US$ Millions)

	2017	2018	2019	2020	2021	2022
GDP	75,237	78,999	82,949	87,096	91,451	96,023
Domestically-generated revenues as % of GDP	18.50%	18.60%	18.80%	18.90%	19.10%	19.20%
Domestic revenues excluding grants	13,915	14,730	15,591	16,502	17,464	18,482
Share of Domestic Revenue spent in recurrent Education	27%	27%	27%	27%	27%	27%
Total recurrent resources expected in Education Sector	3,711	3,929	4,158	4,401	4,658	4,929
Total recurrent resources expected in Basic Education	2,594	2,746	2,906	3,076	3,256	3,445

Source: National Education Sector Strategic Plan 2018 – 2022 (Draft)

Table M2 – Sector Projections used for KNESSP Cost Modelling

	2017	2018	2019	2020	2021	2022
Pre-primary						
Gross Enrollment Rate	76.60%	78.90%	81.10%	83.40%	85.70%	88.00%
Pupil Teacher Ratio	31	31	31	30	30	30
Average Class Size	47	45	43	42	40	38
Total Enrollment in Pre-primary	3,199,841	3,334,386	3,473,303	3,616,718	3,764,762	3,917,569
Public Enrollment in Pre-primary	2,144,563	2,234,736	2,327,840	2,423,958	2,523,178	2,625,591
Number of teachers	68,823	72,255	75,834	79,567	83,460	87,520
Primary Education						
Retention Between Standard 7 and 8	80.60%	84.50%	88.40%	92.20%	96.10%	100.00%
Gross Enrollment Rate	106.70%	105.50%	104.30%	102.90%	102.00%	101.30%
Pupil Teacher Ratio	35	36	36	37	37	38
% of BOM Teachers	14%	13%	13%	12%	11%	10%
Average Class Size	35	36	37	38	39	40

	2017	2018	2019	2020	2021	2022
Total Enrollment in Primary	10,544,485	10,656,753	10,774,684	10,910,527	11,065,111	11,222,185
Public Enrollment in Primary	8,595,111	8,683,547	8,776,180	8,883,358	9,005,264	9,128,824
Total number of Government Teachers	214,196	216,294	218,456	221,022	223,862	226,654
Secondary Education						
Transition from Primary to Secondary	81%	83%	84%	85%	87%	88%
Gross Enrollment Rate	68%	64%	64%	67%	74%	83%
% of BOM Teachers	34.00%	31.20%	28.40%	25.60%	22.80%	20.00%
Average Students Per Stream	35	35	34	34	33	33
Total Enrollment in Secondary	2,830,838	2,718,788	2,779,170	2,997,012	3,375,816	3,826,755
Public Enrollment in Secondary	2,512,743	2,416,647	2,473,756	2,671,365	3,013,184	3,420,415
Total number of Government Teachers	85,567	87,029	94,075	107,138	127,295	152,044
Enrollment in Adult Education						
Enrollment in Youth Polytechnic	80,856	172,944	171,243	166,134	160,351	153,556
Tertiary Education						
Number of students per 100,000 population in TVET	435	609	782	956	1,130	1,304
Enrollment in TVET	121,700	291,271	384,437	482,079	584,212	690,841
Number of students per 100,000 population in HE	1,211	1,269	1,298	1,327	1,356	1,385
Enrollment in University	564,507	607,449	637,763	668,887	700,808	733,513
Enrollment in Public University	479,312	509,811	528,991	548,241	567,526	586,810
Number of lecturers in public Universities	13,654	15,572	17,390	19,478	21,896	13,654

Source: National Education Sector Strategic Plan 2018 – 2022 (Draft)

Table M3 – KNESSP Cost and Financing Projections 2018-2022 (Current US$ Millions)

	2018	2019	2020	2021	2022	Total
Total Sector						
KNESSP expenditure requirements	4,360	5,430	5,932	6,371	6,810	28,903
Total projected public resources for education sector	4,046	4,283	4,533	4,798	5,077	22,737
Total projected donor financing	0	0	0	0	0	0
Total expected resources	4,046	4,283	4,533	4,798	5,077	22,737
Financing gap	314	1,147	1,399	1,573	1,732	6,165
Total Recurrent						
KNESSP expenditure requirements	4,236	4,721	5,202	5,624	6,122	25,904
Total projected public resources for education	4,046	4,283	4,533	4,798	5,077	22,737
Total projected donor financing	0	0	0	0	0	0
Total expected resources	4,046	4,283	4,533	4,798	5,077	22,737
Financing gap	190	438	669	826	1,045	3,167
Basic Education Recurrent						
KNESSP expenditure requirements	2,844	2,986	3,195	3,414	4,091	16,529
Total projected public resources for basic education	2,828	2,994	3,169	3,353	3,549	15,893
Total projected donor financing	0	0	0	0	0	0
Total expected resources	2,828	2,994	3,169	3,353	3,549	15,893
Financing gap	16	-7.71	26	60	543	637

Annex N   Review of NESP Implementation (2013-2018)

NESP COMPONENTS[146]	IMPLEMENTATION (AS OF DECEMBER 2018)
PRIORITY ONE: SECTOR GOVERNANCE AND ACCOUNTABILITY	A National Pre-Primary Education Policy was adapted in 2018 and the Basic Education Regulations, 2015 outline institutional and agency responsibilities. The NEMIS has been established and there is improved data collection, availability, integration, access and capacity at county and sub-county level. While there was no direct evidence regarding the upgrading and expanding of the FMIS, there is secondary evidence to suggest that since the introduction of FMIS employee's ethical conduct has improved and that this was predominantly achieved through the provision of rules, processes and procedures for employees. In addition, there is evidence that FMIS lead to a positive effect on financial probity where there is management commitment, capacity and training and positive views of FMIS.[147]
PRIORITY TWO: ACCESS TO FREE AND COMPULSORY BASIC EDUCATION	The registration guidelines for alternative provision of basic education and training (APBET) were released in 2015 to cover the range of education providers. Policies to promote supportive and equitable learning environments include the basic education regulations, 2015. The regulations include the mandatory facilities to be required in every institute of basic education and training. Equitable and effective targeting of secondary is reflected in the approved SEQIP. Approved in September 2017, SEQIP is expected to run for a six-year period and will support 7, 852 primary and, 127 secondary schools that, across 30 counties that are economically and educationally disadvantages We did not find evidence that the special needs education policy framework of 2009 has been updated. Alternative provision of basic education and training is dealt with expressly in part v of the basic education regulations of 2015. There is evidence of alternative pathways available for students to enter TVET institutions and progress to universities for students who have completed their KCPE but have not completed their KCSE.[148] however, it is unclear how many TVET institutions offer these alternative pathways and the level of community engagement regarding the opportunities provided by alternative pathways.

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[146] As detailed in the MEST NESP Operational Plan.

[147] Bosire, K. 2016. *The Impact of Integrated Financial management Information System (IFMIS) on Financial Performance in the Public Sector in Kenya.*

[148] KTN News. *Little Known Alternative Path in Education for Kenyans.*
https://www.standardmedia.co.ke/lifestyle/article/2000202930/little-known-alternate-path-to-higher-education

PRIORITY THREE: EDUCATION QUALITY	Some key strengths identified by the evaluators is that 2017 saw increased commitment from the government of Kenya in devising policies aimed at improving educational quality
	With respect to quality, the 2015 Regulations stipulate that the Education Standards and Quality Assurance Council (ESQAC) is mandated to carry out standards assessments, quality assure, monitor, evaluate and oversee the implementation of the Alternative Providers of Basic Education and Training programs for quality education.
	PRIEDE implementation, (see GPE contribution to ESP implementation below).
	The Basic Education Regulations, 2015 addresses the issue of teacher training, which provides that all persons deployed to teach in basic education institutions of learning and training shall be required to have undertaken a training program approved or recognized by the Cabinet Secretary (CS) and be registered by the Teachers Service Commission (TSC). The regulations define 'institution of basic education and training' broadly to include pre-primary, primary and secondary school.
	According to the Education Sector Report (2016), the number of teacher's managed by the Teacher Resource Management Commission falls short of the number of teachers required to staff all schools in the country (which would require the employment of an additional 87,489 teachers).
	The TSC developed guidelines on teacher deployment in 2017. Changes included a limit to the number of years heads of institutions should service in one station, the introduction of a competitive basis for recruitment, the use of performance contracting and teacher performance appraisals and supervision of curriculum implementation by school heads.
	CEMESTEA has implemented training of ICT integration in education in order to prepare teachers in using ICT in the roll-out of the digital literacy programme of the government of Kenya.
PRIORITY FOUR: EQUITY AND INCLUSION	An Education and Training Policy on Learners and Trainees with Disabilities was enacted in May 2018. This is complemented by implementation guidelines for the sector regarding the policy for learners and trainees with disabilities
	The Education and Training Sector Gender Policy was updated in 2015.
	The National Council for Nomadic Education in Kenya released the Strategic Plan 2015-16 and the Revised Policy Framework on Nomadic Education in Kenya in 2015.
	Policy studies on cost-effective model of financing education in ASAL areas, disadvantaged and informal settlements in Mombasa and Nairobi, and teacher deployment and utilization in primary education in Kenya.

Annex O   Selected system-level country data

Annex Table 9   Changes suited to remove barriers to equitable access to education

ISSUE	OBSERVATIONS
Changes in # of schools relative to # of children	**Pre-primary:** The number of ECCDE centers has increased by 5%, but the number of students per school remains low (79). 39 percent of ECCDE centers are privately owned, a figure which has not changed significantly between 2012 and 2016 **Primary:** The number of primary schools has increased by 33 percent between 2012 and 2017 – meaning a decrease in the number of students per school from 368 in 2012 to 294 in 2017. The number of privately-owned schools has increased more rapidly than the number of publicly owned schools, meaning their proportion has changed from 24 percent of the total in 2012 to 33 percent of the total in 2017. **Secondary:** The number of secondary schools grew by 49 percent between 2012 and 2017 – but the average school size didn't (changing from 267 to 266 in the same period) implying that there was an equivalent growth in the number of enrolled students. The proportion of private schools has remained consistent at 14 percent during the review period (2012 – 2017)

Annex Table 10   Changes suited to remove barriers to quality education

ISSUE	OBSERVATIONS[149]
Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school	According to the 2018 ESA – teacher distribution (as measured by the R^2 Correlation of school size to number of teachers) **was .52 for primary schools and .7 for secondary schools** (with 1 implying a perfect correlation and therefore perfectly equitable allocation of teaching resources). This data is for teachers registered with the Teacher Service Commission (TSC) i.e. for qualified teachers. There is no data on the distribution of community or un-qualifed teachers. A simulation of number of TSC registered teachers for a school with 400 pupils, carried out for the ESA showed a large geographical variance in allocation of teachers, with 4 teachers per school in the least served county (Turkana in this case), and 16 teachers per school in the most served (Baringo). In 2016 the TSC projected teacher shortages of 116,000 by 2019 – mostly due to rapidly growing enrollment. Part of dealing with this shortage has been for school Boards of Management (BoMs) to employ teachers, who must be trained and registered by the TSC but are not employed or administered by the TSC.
Changes in relevance and clarity of (basic education) curricula	The largest shift in relevance and quality of the curriculum has been the push to introduce a competency based curriculum (CBC) across school levels (from ECD to secondary). It was intended that the CBC would be introduced for the 2018/19 school year – but this was postponed (partly due to a number of teachers' strikes and a focus on developing the new KNESSP) and has been postioned as a core goal for the 2018-2022 KNESSP.
Changes in availability and quality of	

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[149] All data in this table, unless otherwise indicated, is taken from the 2018 education sector analysis.

teaching and learning materials	
Changes to pre-service teacher training	
Changes to in-service teacher training	
Changes in incentives for schools/teachers	There have been a number of teachers' strikes in Kenya in 2018 and 2019. A central issue in these strikes has been the accusation that the GoK has reneged on the collective bargaining agreement signed up to by the Kenyan National Union of Teachers and the Teacher Service Commission. Reneging on this deal has led to the government having the ability to demote teachers and reduce salaries – a fact which has caused striked in August 2019[150]. To account for teacher shortages, school Boards of Management (BoMs) have recruited teachers, which are registered with the TSC but have yet to be formally absorbed. A study[151] of teachers in Nairobi showed that **Civil Service Employed teachers were paid more than three times more that BoM teachers (US$ 261/month as compared to US$ 56/month).**

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[150] https://citizentv.co.ke/news/knut-threatens-strike-after-tsc-demotes-teachers-cuts-salaries-267792/

[151] Bold, T., Kimenyi, M., Mwabu, G., and Welcome, P. D.-C. (2012). Interventions & institutions experimental evidence on scaling up education reforms in Kenya.

Annex P   Selected System Level Data Tables

Annex Table 11 - Change in number, ownership and size of schools (2012 - 2017)[152]

	2012	2013	2014	2015	2016	2017
Pre-primary						
Public	24,654	24,702	24,768	24,862	25,175	25,381
Private	15,104	15,443	15,443	15,913	16,073	16,398
Total	39,758	40,145	40,211	40,775	41,248	41,779
Average School Size	68	71	75	78	78	79
Primary						
Public	20,307	21,205	21,718	22,414	22,939	23,584
Private	6,242	6,821	7,742	8,919	10,263	11,858
Total	26,549	28,026	29,460	31,333	33,202	35,442
Average school size	368	352	338	322	310	294
Secondary						
Public	6,188	6,807	7,686	8,297	8,592	9,111
Private	986	1,027	1,048	1,143	1,350	1,544
Total	7,174	7,834	8,734	9,440	9,942	10,655
Average school size	267	269	267	271	273	266

Source: Education Sector Analysis (2018)

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[152] Data taken from the 2018 Education Sector Analysis

Annex Q   Selected impact-level country data

Annex Table 12   Progress in strengthening sector management

ISSUE	OBSERVED TRENDS (UP TO AND INCLUDING DURING REVIEW PERIOD)
Learning outcomes	
Changes/trends in **learning outcome**s (basic education) during period under review (<u>by gender, by socio-economic group, by rural/urban locations</u>)	
Equity, gender equality and inclusion	
Changes in (i) **gross and (ii) net enrollment rates** (basic education <u>including pre-primary</u>) during review period	**Pre-primary:** GER has **increased from 71.6 percent to 77.1 percent** between 2013 and 2017 **Primary:** GER has **remained stable**, changing from 105 percent in 2013 to 104.4 percent in 2017. **NER has increased slightly** from 88.1 percent to 91.2 percent – showing an increase in the number of primary school aged students enrolled in primary schools. **Secondary:** GER has **increased** from 50.5 percent to 69 percent between 2013 and 2017. This is accompanied by an increase in NER from 33.9 percent to 51.1 percent in the same period (implying that 48.9 percent of secondary school aged children are either in primary school or out of school). **Equity in enrollment:** Significant variance in enrollment rates between counties. Garissa county has a primary NER of 40 percent while Nyeri has an NER of 96.8 percent. This shows the difference between urban and rural areas.
Enrollment in non-formal education	**The number of learners enrolled in NFE programs has increased from 77,260 to 113,963 between 2012 and 2016.** This is divided between national polytechnics, public technical and vocational colleges, and vocational training centres.

ISSUE	OBSERVED TRENDS (UP TO AND INCLUDING DURING REVIEW PERIOD)
Gender parity index of enrollment *(2018 Education Sector Analysis)*	**Pre-primary:** The GPI for pre-primary enrollment, **has reduced from 1.03 in 2012 to .96 in 2017**, showing a shift from a slight under-enrollment of boys to a slight under-enrollment of girls – though both figures fall within the GPE advised range[153] **Primary:** GPI for primary enrollment **stayed consistent** at .97 percent between 2012 and 2017 **Secondary:** GPI for secondary school enrollment **increased from .88 to .95** between 2012 and 2017 – showing a decrease in the under-enrollment of girls in secondary schools. **Non-formal Education:** GPI for NFE attendance is **low – moving from .65 to .78** between 2012 and 2016[154]. This shows a significant under enrollment of girls in non-formal education.

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[153] The GPE results framework advises an acceptable GPI to be between .88 and 1.11
[154] It should be noted that, the change between .66 and .78 from 2015 to 2016 is mostly due to the inclusion of private technical and vocational colleges in the EMIS data for that year. The private colleges have a GPI of 1.11 – which raises the average across NFE services – while other services haven't improved in the same way.