Section 3

Education Sector Budget Support (SBS) Programme in Zambia

SBS EVALUATION

Po 6975

TERMS OF REFERENCE

Duration: 29 months

Inception: 3 months ending 31st January 2016

Implementation: 26 months

1. List of Acronyms

2. Introduction

The Department for International Development (DFID's) mission is to help eradicate poverty in the world's poorest countries and this is underpinned by our set of values:

- Ambition and determination to eliminate poverty
- Ability to work effectively with others
- Desire to listen, learn and be creative
- Diversity and the need to balance work and private life
- Professionalism and knowledge

DFID is seeking to work with Service Providers (SP) who embrace the DFID supplier protocol and in addition demonstrate Corporate Social Responsibility (CSR) by taking account of economic, social and environmental factors in an ethical and responsible manner, complying with International Labour Organisation (ILO) standards on labour, social and human rights matters.

Value for Money (VfM) is important for all DFID programmes and as such, in all our activities, we will seek to maximise the impact of DFID's spend on programmes and encourage innovative ideas from our partners and suppliers to help us to deliver Value for Money.

The DFID Zambia programme supports initiatives to improve the quality of service delivery in the country. As part of its Human and Social Development Programme, DFID supports the Government of the Republic of Zambia through the Ministry of Education Science Vocational Training and Early Education.

Over the next three years (2013 - 2016), the UK will support the improvement of education quality and participation of girls in the education system in Zambia through effective implementation of the Government of the Republic of Zambia's (GRZ) Education National Implementation Framework (NIF) Phase III. We will invest £37.5m of UK aid to leverage step changes in the effectiveness of the Government of Zambia's £3.2 Billion investment in education, over the period. As DFID is the Supervising Entity responsible for disbursement and monitoring impact of the Global Partnership for Education (GPE), our support will be combined with £21.7 million funding from the GPE (2013 - 2015), bringing the total support from the UK to £59.2m from 2011- 2016.

This is a joint evaluation by DFID and GPE. DFID will appoint a Supplier to undertake an independent evaluation of the Education SBS programme. The contract will be for duration 2 years. Although support to the education sector has been on-going through General Budget Support, the Sector Budget Support is a new instrument for DFID and GPE in the education sector.

3. The Rationale and Objective

This evaluation will help to develop the evidence that will provide sufficient information and guidance for the Government of the Republic of Zambia to take action at a policy level on improving education quality. Therefore, it is proposed that the evaluations are formative, providing the information on processes in place and how different practices result in different learning outcomes.

The evaluation has two main objectives:

- to review and determine the effectiveness of SBS as an aid modality in the education sector, which is an external evaluation of GRZ/CP interactions (summative)
- to assist the GRZ to evaluate an element of its own policy (teacher deployment/retention), and build up evaluation skills in Zambia as part of capacity development for integrated, evidence-based and results-focused planning, management and accountability. This is an internal formative evaluation.

4. The Recipient

The recipients of the services are DFID Zambia and GPE. The primary audience for the report is the MESVTEE and DFID/GPE. The secondary audience are the key stakeholders in the sector, including cooperating partners, civil society organisations, other relevant line Ministries and Departments. Reporting requirements are set out in paragraph 9.

5. The Scope of Work and Evaluation Questions

For both aspects of the evaluation of the SBS Programme, a quasi-experimental evaluation design involving a comparison group would not be feasible because it would be difficult, if not impossible, to identify a comparison group as this is a national programme.

Learning about SBS as a modality constitutes one aspect of the evaluation. A separate framework should be developed to capture both DFID's and GRZ's learning expectations and requirements around SBS. It is proposed that such a framework focus on SBS from a VfM point of view, incorporating its effectiveness, efficiency and economy from both DFID's and GRZ's point of view, in delivering the programme results. It would especially be important to assess the extent to which the assumption that SBS would strengthen GRZ financial management system holds true. As part of a review of the processes, we would expect to also review the public financial management issues related to the risks inherent in a sector budget support approach.

Evaluation Questions

In 2013, DFID updated our evaluation policy. One significant addition to the policy was the inclusion of evaluation criteria that build upon the Development Assistance Committee (DAC) criteria for evaluation. It is expected that the evaluation questions will be guided by these evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability). DECD audit guidelines which will help answer the process evaluation questions can be found at <u>http://enterprise-development.org/page/audits</u> The additional criteria of coverage and inclusivity are also relevant here, particularly in considering whether there was any difference in levels of support to boys and girls and if there was any differential impacts by gender.

The final list of evaluation questions will be agreed during the inception phase of the Service Provider's assignment. However, it is anticipated that the evaluation *may* address the following questions.

The key evaluation questions to answer have been divided into two areas: external and internal.

External:

For the SBS aid modality the questions would be:

- a. Impact: How has the SBS plus technical assistance and advisory support led to institutional strengthening?
- b. Effectiveness: How effective was the programme in delivering the promised outcome and impact by having agreed DLMs and did they accelerate changes (achievements in targets) in the specific DLM indicators?
- c. Efficiency/Sustainability: How does small scale sector budget support improve equity in the distribution of education resources and outcomes?

Internal:

For the GRZ policy on human resource management the question would be:

- a. Effectiveness: Have GRZ policies and practice in PFM and/or HR management improved to decrease (male and female) teacher absenteeism and improve pupil/teacher contact time for boys and girls?
- b. To what extent does increased pupil teacher contact time and tracking teacher absenteeism lead to improved learning outcomes for boys and girls?
- c. To what extent are barriers to increased pupil teacher contact time gendered and how could those identified be addressed?
- **d.** What factors lead to the improved use of education data by leaders and management in schools and education systems and what impact does that have on learning outcomes?
- e. Relevance: What are the perceptions of stakeholders on how the ministry's management capacity has changed over the period?

6. Methodology

The evaluation will be a combination of formative and summative evaluations that will focus on policy instruments, service delivery mechanisms and management practices and examine the links between these. They will include desk reviews, interviews and reviews of the school census questionnaires and data, EMIS and the examination council of Zambia data. The data is a good time series and although has its weaknesses it is the accepted data used within the sector and considered the strongest in Zambia. There are issues of seasonality that will determine when the surveys will be conducted, which are to some extent dependent on the school calendar, farming and planting schedules and rainfall patterns.

The monitoring strategy will greatly facilitate the portion of the evaluation focused on a review of the aid modality, as there are significant improvements planned within the Ministry of Education Science, Vocational Training Early Education (MESVTEE) through the EMIS unit as part of the monitoring strategy. The evaluation will assess if there is now increased ministry capacity in financing and reporting processes against results and will use an analysis of improvements in performance reporting through the JAR review reports, annual progress reports and improved availability and access of EMIS data to all stakeholders. This will include improvements in performance reporting in the:

- i. Joint Annual Review Reports for the Education sector
- ii. Annual Progress reports
- iii. Education Statistical Bulletins released annually.

With respect to the evaluation of the Human resources management for teachers in rural areas, the programme will support a rural service delivery survey (with a purposive or random design) to collect data on deployment, retention, absenteeism, contact time, which will add to the routine data collected through EMIS.

Theory driven-approach

Because of the nature of the programme – which aims to play a catalytic role by engaging in a number of interventions many of which may be quite nimble in nature – DFID Zambia would favour a conceptual framework which follows a **theory-driven approach**. We anticipate the evaluation will be guided by the following three principles:

- Understanding the context through a thorough review of documents and discussions with different stakeholders;
- Rigorously analysing the facts (through understanding who actually benefits from the programme, how, why and to what extent); and
- Using a mixed methods approach (through integrating the methods and tools used for collecting and analysing quantitative and qualitative data).

Theory-driven evaluations do not imply any specific methodological approach, and DFID Zambia would like to commission an evaluation which can tell us about the impact of the programme as robustly as possible. This means choosing from a menu of methodological options, according to the evaluation questions and the feasibility of collecting different types of data in the context of this programme. However, it also means thinking as robustly as possible about causality and attribution. A theory-driven evaluation that aims to unpack the causal mechanisms is inherently concerned with questions of causality – since it involves thinking about alternative explanations for the outcomes observed. These questions are important when considering a programme that aims to achieve its impacts in a catalytic fashion.

Mixed methods approach

It is expected that a mixed methods approach combining quantitative and qualitative data gathering and analysis techniques will be appropriate to respond to the evaluation questions. Quantitative data may be derived from a range of sources including project monitoring and research work (see next paragraph) and primary and secondary data sources. Qualitative data may be derived from sources such as interviews and focus groups. The Service Provider will take primary responsibility for collating additional data gathering if required. The framework used to analyse both quantitative and qualitative data should be rigorous and sufficiently robust in order to attribute the impact or contribution to impact of the programme.

Bidders must clearly state the specific evaluation methodology and approach that they intend to use in order to address the evaluation questions outlined above. This approach will be refined during the inception phase but the proposal must state the proposed data gathering activities that will be undertaken and the analytical frameworks that will be used to analyse the data gathered. The evaluation methodology must be of sufficient rigour to contribute to the evidence base and academic debate on the effectiveness of sector budget support as a delivery model for the education sector in Zambia.

The evaluation team will be expected to review and use the references from the business case. Thought this is not an exhaustive list, it can be used as the main sources of data and information in the initial stages.

Inception Phase (3 months)

During the inception phase, the Service Provider will conduct an initial diagnostic review and develop an evaluation design for the programme. The Service Provider will also undertake a brief review of the current progress of the programme.

The initial diagnostic review should assess the coherence and 'evaluability' of programme's outcomes and results chain as set out in the Theory of Change and the

SBS business case. The Service Provider is expected to coordinate very closely with the SBS programme and the Service Provider for the TA component of the SBS programme.

The Evaluation Design should be developed based on the initial diagnostic review and in consultation with the GRZ through the Ministry of Education Science Vocational technical and Early Education (MESVTEE), cooperating partners, civil society and other key stakeholders. The Service Provider will review and revise and/or develop the evaluation questions, design methodologies for answering them, a process for data collection, delivery of evaluation reports and continued inclusiveness and consultation with stakeholders.

The Service Provider will clearly specify the data collection and research that will be conducted by MESVTEE, the TA service provider, and the data collection and research that will be undertaken by the Service Provider. The primary responsibility for collating additional data will rest with the Service Provider. In the data collection process, the Service provider should also ensure additional ethical considerations in relation to girls are also considered and treated appropriately. The baseline will be conducted as part of the implementation phase.

Implementation Phase (26 months)

Annual progress reports/visit to the programme to check the quality and relevance of data being collated and assess any possible changes to the evaluation design to respond to any changes in programme implementation (geographical and sectoral) will be made. These visits will take place each year to coincide with the GRZ reporting period. The months of when these visits will take place should be set out in the inception period.

The Service Provider will take part in the Joint annual review of the SBS programme as part of this process and lead on the completion of the DFID annual review report as it relates to the evaluation, in 2016 and 2017. DFID will bring in additional technical experts to supplement the Service Providers personnel, if deemed appropriate.

The Service Provider will also design and communicate the results of a baseline survey that focuses on outcomes, outputs and their respective assumptions by the end of the inception period. Further, the Service Provider will need to deliver a dissemination strategy during the inception phase. The evaluation approach will be agreed with DFID managers at the end of the inception period and following the submission of the Inception report as per the output delivery schedule

A final programme evaluation will be produced. Findings will need to be communicated throughout the evaluation, through producing a range of evidence outputs (for example, through articles in peer-reviewed journals to policy notes and articles for the media) and disseminating findings (e.g. of the reviews and Final Evaluation) through meetings, events and so forth in Zambia and abroad as appropriate. The findings should also be communicated in an article in a peer-reviewed evaluation journal. It will be essential that the evaluation findings are commissioned, collected, disseminated and communicated in ways appropriate to the audience. MESVTEE and other key education sector stakeholders will need to be engaged at different stages in the evaluation to ensure the results are discussed in the appropriate fora and could then used for planning and budgeting purposes in the future.

The Service Provider will need to ensure that the evaluation reports (baseline report, annual reviews and the final evaluation report) encourage and facilitate withinprogramme learning and course-correction. The MESVTEE and the TA service provider will work with the service provider to collect all baselines and internal monitoring data for the programme.

An Evaluation Advisory Group (EAG) will be established to guide the implementation of the evaluation. This group will report through the agreed sector dialogue channels in the Monitoring and Evaluation Technical Committee (METC) through to the Policy Implementation Technical Committee of the MESVTEE.

The Service Provider will also undertake additional relevant tasks as agreed with DFID managers.

7. Outputs

The following key outputs are expected to be delivered under the Evaluation contract. All reports should contain actionable recommendations where appropriate. The final evaluation report should include an executive summary, detailed methodology, key findings, recommendations and conclusions and be presented in a publishable format to be agreed with DFID.

Output	Delivery date	
Inception Phase		
 Inception report, Evaluation Framework The inception report should include the proposed structure of the process and evaluation, as well as a communications and dissemination strategy of findings. Consideration should be given to risks of implementing the evaluation and how these will be mitigated. The inception report should also include a Ghantt chart for timeline on the agreed outputs. 	31 January, 2016tbc	
The evaluation framework should include the evaluation questions , data sources, analytical approaches and methodologies to be employed, relevant theories of change and ways of working with other key stakeholders, a communications and knowledge management plan and dissemination strategy. This should recognise the different audiences, including girls and ensure communications products are designed appropriately.		
2.		
 Implementation Phase 3. The baseline report should present baseline findings on the evaluation questions agreed in the evaluation plan, as well as recommendations for refining evaluation questions and future rounds of data collection. Baseline data could be used from existing reports and should be jointly agreed between DFID, GRZ and the service provider before finalisation. 	30 th April, 2016	

	Progress reports – 6 monthly progress reports should reflect progress, barriers to implementation and a review of the risks associated with the evaluation. There will be progress reports submitted to DFID in the lead up to the Annual reviews in 2015 and 2016.	Semi Annually
1.	<i>Final report</i> A summary of the Final Evaluation and dissemination	31 January, 2018
	plan (to be signed off by DFID) to ensure the information gleaned reaches the intended audiences.	
2.	The final evaluation report should have an executive summary and should be no longer than 40-50 pages and answer the evaluation questions and address, but not be limited to, the following: (i) what are the short-term and long-term effects of the programme; (ii) the conclusions e.g. about its sustainability, effectiveness etc. (iii) Lessons learned. The report should contain an executive summary and recommendations. Finding should be disaggregated by boys and girls and geographically. An accessible communication tool to inform policy	
	makers (this may include presentation workshops for government partners, civil society and other donors).	
4.	An evaluation workshop to dissemination findings to relevant stakeholders.	

8. Risks and Challenges

The risks and challenges for the SBS programme implementation have been spelled out in the Business Case, which is included in the annex of this TOR. This should be reviewed, in particular the risk register for the SBS programme. The SP will then be able to identify risks as part of the inception report and report against them in subsequent progress reports.

9. Roles and Responsibilities

Reporting shall be through the Monitoring and Evaluation Technical Committee (METC) of the MESVTEE and to DFID Zambia, with the final responsibility for signing off on the main outputs will be the responsibility of DFID Zambia. This will include submitting of all reports which shall be of an agreed length and format, to be confirmed during the inception period. In the event the METC does not meet, the reporting can move directly to DFID Zambia.

All reports will require sign-off by DFID and MESVTEE and should include review from the Policy and Implementation Technical Committee (PITC) through the METC before they are finalised and can be published. Reports will then be published as quickly as possible through the DFID website and potentially through other avenues such as peer-reviewed journals as appropriate.

Overall coordination of the programme will rest with the DFID Zambia Education Adviser. The Programme Manager in DFID Zambia will be responsible for financial and administrative issues arising. DFID Zambia advisors on gender and results will also provide guidance during the inception and implementation phases. DFID Zambia, and the TA component of the SBS programme service provider once that contract has been finalised, will ensure that the external provider has access to all relevant DFID/GPE/MESVTEE programme project documents.

The evaluation will cover the full project period and end in March 2018. It will be let through the DFID Global Evaluation Framework Agreement (GEFA).

After the contract is awarded, the contract will be overseen in DFID Zambia by the Programme Manager with technical support from the Education Advisor.

The contract will be for 29 months in total . Progression from one year to the next will be subject to the satisfactory performance of the Service Provider, the continuing requirement for the services and agreement on work plans, Key Performance Indicators (KPIs), outputs and budgets for the following period.

The Service Provider will ensure effective management of the contract and will meet in person or via telecom with DFID Zambia/GPE/ TA service provider at least every 6 months when not in country to follow up on progress and review work plans and KPIs. The frequency of meetings will be more regular during the inception phase, and 6 monthly progress reports will be submitted. In addition, there will be policy dialogue meetings with the MESVTEE (METC and PITC) to sign-off key milestones in the evaluation (e.g. inception phase report including methodological approach, and final evaluation reports) as well as to guide the evaluation at critical points. The evaluation will cover the costs of generating, analysing and quality assuring data, producing reports, and disseminating the results of the evaluation to all the key stakeholders.

Confirmation of these arrangements will be made and finalised in the inception period.

10. Duty of Care

The Service Provider is responsible for the safety and well-being of their personnel and third parties affected by their activities detailed in this TOR. They will also be responsible for the provision of suitable security arrangements for their domestic and business property.

The Service Provider is responsible for ensuring appropriate safety and security briefings for all of their short-term personnel delivering work as defined in these TOR and ensuring, where appropriate that their long-term personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and the supplier must ensure they (and their personnel) are up to date with the latest position.

11. The Timeframe

The contract will be for 29 months in total and split into two phases.. The inception phase will be for three months and the implementation phase will be for 26 months. Progression to the implementation stage is dependent upon DFID's approval of the inception report and satisfactory performance of the supplier. There is a continued

requirement and satisfactory performance of the supplier, should a fuller understanding of the long-term sustainability of interventions be required.

The bidder is asked to provide a Ghant chart setting out the timelines for activities of the evaluation before the end of the inception period.

12. Budget

The budget is in the range of £400,000 to £600,000.

13. Annexes

- 1. Education Sector Budget Support Programme in Zambia (Final Business Case which includes the Theory of Change (TOC))
- 2. Education SBS programme Logframe
- 3. TA component of the SBS Programme technical bid and/or inception report from chosen service provider (when finalised)
- 4. SBS risk register

14. Background Context of DFID/GPE Intervention

Given the high extent of poverty still in Zambia (60%) despite high growth rates, it is imperative to improve education service delivery in a sustainable manner to all Zambians. Zambia has made huge progress on access with 1.7 million more children enrolled in school from 2000 to 2010. ^{II} However, quality and equity remain key concerns.

Education **quality** has suffered from years of insufficient funding, rapid expansion of new schools for better access, poor incentives for teachers, poor accountability of Government to its citizens, and a lack of attention to the systems that make things work. Only around 35% of children in Grade 5 have sufficient English and around 39% sufficient maths skills. Around one-third of children enrol in grade 8 (junior secondary school).

In lower secondary examinations on average, 12% fewer **girls** pass than boys, with 62% girls completing 9 years of education up to grade 9, compared to 67% for boys. The situation is even worse for girls living in rural areas. Both quality and access must be tackled at the same time for the education system to be effective. The supply of quality services relies on a combination of availability of adequate funding, infrastructure, well-trained staff, teaching supplies, and capable management & leadership at school level.

The disproportionate wage bill (73% of the education budget) leaves little funding for running costs, quality improvement initiatives and teaching and learning materials. **Management of funds** remains a concern to ensure that priorities, such as the basic acquisition of literacy and numeracy, are sufficiently funded and accounted for from the national to the school level.

The number of **skilled graduates entering work** and participation of girls and women in such areas remains low. ^{III} To address this issue the Government is now prioritising access to secondary education. It aims to create a two-tier system of general and vocational secondary schools to tackle the shortage and poor quality of

skills in the Zambian economy. The expansion of the economy has increased demand for a more flexible, innovative, client-oriented workforce.

This programme is building on existing General Budget Support by shifting to SBS for the education sector. This will complement GBS, the existing pooled donor fund, and projects; all of which support the education sector-wide approach and the NIF III. Our education sector support programme will blend SBS, TA and active policy dialogue. It will give us opportunities to support the GRZ to improve the effectiveness of their annual \$1bn spend in education. This will include supporting the Government's financial and other service delivery systems to improve their effectiveness and efficiency down to the school level, improving the learning/teaching environment, and increasing participation of girls and other vulnerable groups. SBS also allows the opportunity of improved policy and strategy dialogue with government counterparts on the issues of public financial management, inclusive growth and skills development, and improved accountability.

To improve the return on investment by DFID and GPE, cash transfers will be complemented with targeted TA to both mitigate risk and strengthen the capacity and approach of the Ministry of Education's sector reform agenda. This TA will help to improve planning and management capacity. In addition, by targeting girl's participation and improved performance at secondary levels, the programme can contribute to improved reproductive health, HIV/AIDS awareness, nutrition, and livelihoods in general.^V

Working through Government systems, the **impact** of the programme will be **increased achievement in learning for boys and girls** by increasing equitable access to quality education and skills training to enhance human capacity for sustainable national development.^{vi}

The outcome will be more and better quality education and skills training for boys and girls from pre-primary to tertiary education and the outcomes would be:

- Increase from 60 to 72.5% the number of boys and girls transitioning from primary to junior secondary and from 45% to 53% from junior to senior secondary school
- Reduced number of districts that have a Pupil Teacher Ratio(PTR) of more than 60:1 in lower primary (grades 1-4) from 37 to 5 districts
- Increase % of gr. 9 pass rate from 35% to 47 for boys and 46% for girls
- 100% of GRZ education sector PAF disbursement linked milestones are met each year

The **outputs** will be stronger Government systems better equipped for delivery of quality education services and improved value for money. Outputs will be delivered through support to implementation of the NIF III that will include the key points from the NIF II and are:

- Stronger systems for financial management in the Ministry of Education by 2015
- Improved leadership and management systems and capacity across all levels of service
- Improved access and availability of data for evidence-based planning and budgeting

• Enhanced professional standards, qualifications and capacity of teachers

Monitoring of both the DFID and GPE funds will be a significant element of the programme and capacity will be built in this area to improve sustainability. In particular there will be increased monitoring of learning assessment at different levels, and of public financial management through public expenditure reviews and tracking surveys, audits and assessing implementation of the Financial Management Action Plan (FMAP). An education sector Performance Assessment Framework (PAF) will be used to annually review performance and the extent to which the expected results have been achieved. The provision of support through SBS has been assessed to provide the best value for money: providing high returns on investment.

There are currently 6 donors that support the education sector. Of those there are four active bilaterals (including DFID) and three multilateral CPs providing both financial and technical support to the education sector in Zambia in its implementation of the NIF III up to 2015. They work using a variety of aid modalities as shown in table 2.

Table 2: Active Cooperating Partners support to the Education Sector by Aid Modality					
Agency	Funding modality	Sub-sector Support within the SWAP	Total support 2011- 2015		
Irish Aid	Pooled Fund	All areas, Financial Management	\$48.0m		
Japan	Pooled Fund and projects	Teacher education	\$21.0m		
USAID	Projects	Primary (reading), system Strengthening	\$91m		
UNICEF	Parallel funding mechanism to the pool	Early Childhood, Primary, secondary, (Life skills and HIV + AIDS education)	\$54.6m		
AfDB	Project and GBS	TEVET	\$35.3m		
GPE	SBS	All areas, financial management	\$35.2m		
DFID	SBS	All areas, financial management	£37.5m		

These bilateral donors (Japan, USAID and Ireland) are committed to supporting the education sector through the NIF III period and beyond. Ireland and UNICEF are coleads in the sector dialogue, along with DFID as the supervising entity for GPE.

There are currently three funding modalities to support the Government to achieve its education objectives: projects, a pooled fund and Sector Budget Support. There is strong coordination of the CPs through the monthly Cooperating Partners Coordination Committee (CPCC) meetings. In addition, the Policy Implementation Technical Committee meetings (PITC) include Government, CPs and Civil Society Organisations (CSOs). These meetings ensure good flow of information, early discussions on agencies' priorities to avoid duplication, and a common focus on assisting the Government of Zambia effectively implement the education sector plan (NIF III).

ⁱ This would benefit local consultants in evaluation skills as well it could working in conjunction with evaluation association of Zambia

 ⁱⁱ Education Statistical Bulletin (ESB), MESVTEE, 2010
 ⁱⁱⁱ National Implementation Framework III, MESVTEE 2012
 ^{iv} Strategic Plan 2010- 2014 of MSTVT; 2009 NIF III MESVTEE, 2012; and Labour Force Survey Report, Central Statistics Office (CSO), 2010 ^v Sector Budget Support ODI paper, 2011; this is also referred to as GBS ^{vi} NIF III, MESVTEE, 2012