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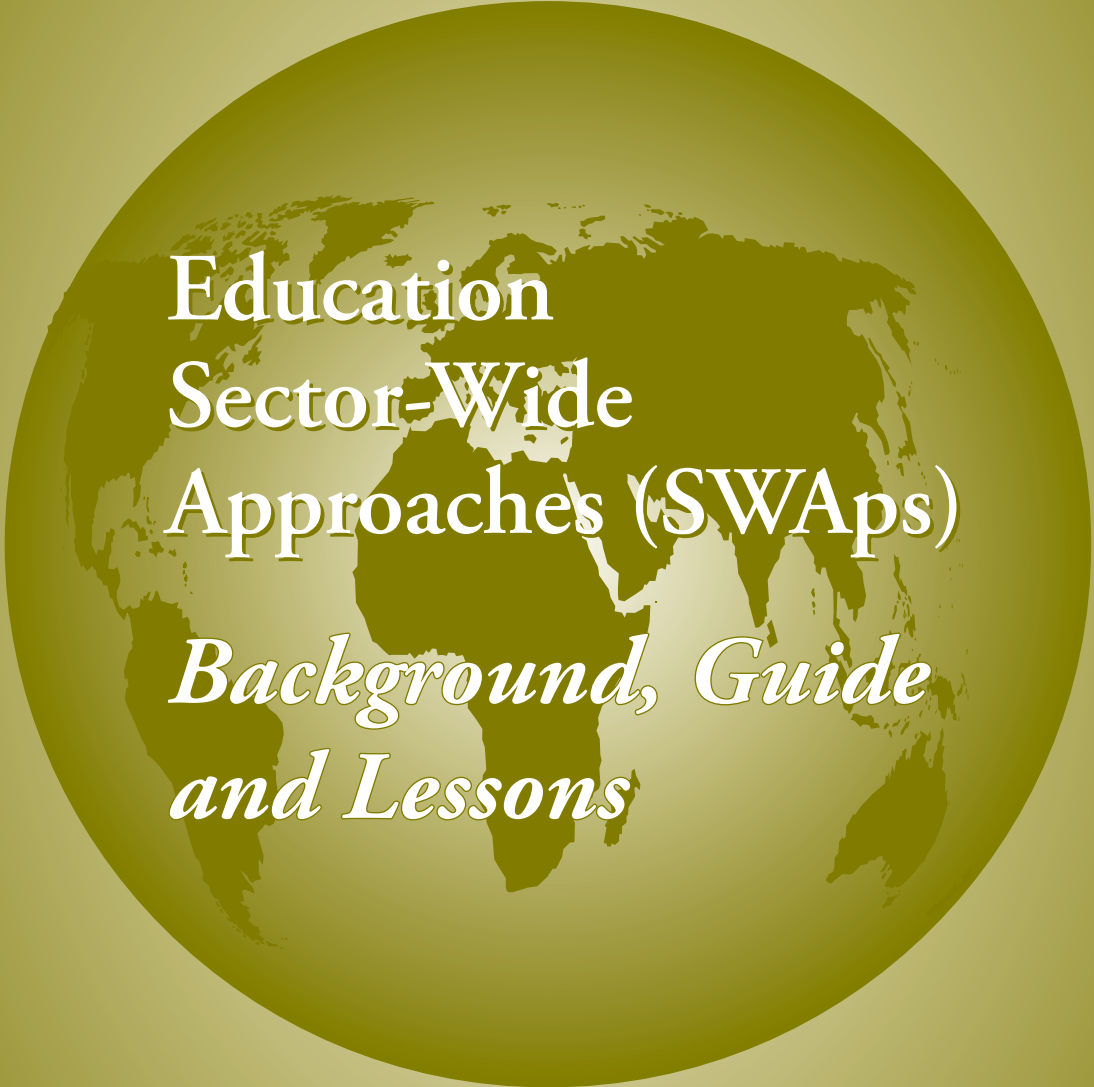
United Nations
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EDUCATION
STRATEGIES
AND FIELD
SUPPORT

12

Education Sector-Wide Approaches (SWAps)

Background, Guide and Lessons

Education Policies and Strategies 12

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Background, Guide and Lessons

UNESCO

This document on Sector-wide approaches (SWAps) in education was prepared by Abby Riddell. In light of her rich experience in this area, the author wrote this paper, standing back from the literature, to have a broader perspective. The purpose of the references, in addition to citing texts, was to serve as a resource for those who would like to dig deeper into particular case studies, particular agencies' guidelines and other materials.

The preparation of this book has been supervised and coordinated by Mohamed Radi, Chief of Section for Education Support Strategies, UNESCO Division of Educational Strategies and Field Support, with Faryal Khan, Programme Specialist.

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Preface

This is the twelfth volume in the series *Education Policies and Strategies* launched by UNESCO's former Division of Educational Policies and Strategies. Its publication coincides with the comprehensive reform being implemented by the Education Sector with a view to improving service delivery to Member States by the divisions at headquarters, field offices and institutes. Within this framework, the extension of the Division of Educational Policies and Strategies into a newly formed Division of Education Strategies and Field Support, is aimed at facilitating a more focused programme support to countries, referred to as a "UNESCO National Education Support Strategy" (UNESS). UNESS will thus constitute the basis for cooperation at the national level, founded on evidence-based analysis of each country's specific educational contexts and needs.

UNESS is embedded in a sector-wide approach, or SWAp, the relatively new aid modality. It is hoped that this volume on SWAps along with providing guidance and review of some of the experiences of different countries in education, will also assist UNESCO's own field offices in defining their roles – often without major finance – vis-à-vis the ministries of education in the countries in which they are active.

Sector Wide Approaches (SWAps) in education aim at enabling development partners at the country level to work jointly with the Government to review national education sector plans and priorities, as a basis for pooling support through a sector budget or a general budget support process. There is considerable variation in the interpretation of how a SWAp should function. The mechanism of United Nations Country Teams (UNCTs) facilitates UN agencies at country level to coordinate and harmonise their support, enhancing aid effectiveness and predictability of aid flow. Under the recent United Nations reform initiative that advocates joint programming among UN agencies in 8 pilot countries in the first phase, and then scaling up to a larger number of countries, the UNCTs become significant as a mechanism for consolidating their efforts and offering effective support to countries, as well as providing more efficient partnerships with other development actors.

SWAps also offer an arena for coordination of support to EFA, even though their scope goes beyond the EFA goals. In the coordination of EFA at country level, government leadership is the central element in the SWAp process, bringing stakeholders together around a national education sector plan. At the international or regional levels, the role of the EFA *Global Action Plan* would be to strengthen existing fora in which coordination can take place, such as groupings of external partners around SWAps, FTI, PRS, as well as EFA fora, UN processes (CCA/UNDAF, UNCTs), and other networks.

Within this changing context of international cooperation, UNESCO's policy of accountable decentralization will be implemented through the Regional and field offices, supported by the UNESCO Institutes and Headquarters. The Field Offices, strengthened for the purpose, will thus be called upon to play a more proactive role in supporting the ministries of education and other national stakeholders. However, not being a conventional development partner itself, the role that UNESCO can play in-country, amidst the sea of donors, is quite distinct. Its added value to the development and renewal of national education systems relies on the services provided as an "honest broker" and its capacity to mobilize technical support through its networks both at regional and international levels.

We are grateful to the author of this volume, Abby Riddell, UNESCO expert, who obtained her experience of education SWAp development through her extensive missions and work in many countries. The seminars she organized on SWAPs have contributed to the dialogue between national decision makers and donors and the strengthening of national capacities in coordination of external assistance. She is particularly thankful to the many education professionals, researchers and civil servants who attended her workshops, for their incisive comments, which helped to shape the views presented in this publication.

It is hoped that this volume will assist Member States in strengthening their capacity in sector-wide planning, using their resources more effectively and voicing with assurance their strategic priorities amidst the tide of benchmarks and targets created for aid effectiveness, with a view to mobilizing the required support and resources.

Mir Asghar Husain
Director
Division of Education Strategies and Field Support

Table of Contents

Acronyms

CSO	Civil Society Organization
DAC	Development Assistance Committee
DBS	Direct Budget Support
EFA	Education for All
EMIS	Education Management Information System
FTI	(EFA) Fast Track Initiative
GBS	General Budget Support
IDP	International Development Partner
LENPA	Learning Network on Programme-Based Approaches
MTEF	Medium-Term Expenditure Framework
NGO	Non-Governmental Organization
ODI	Overseas Development Institute
OECD	Organization for Economic Cooperation and Development
PBA	Programme-Based Approach
PIU	Project Implementation Unit
PRS	Poverty Reduction Strategy
SBS	Sector Budget Support
SIP	Sector Investment Programme
SWAp	Sector-Wide Approach
UNCT	United Nations Country Team
UNESCO	United Nations Educational, Scientific and Cultural Organization

Introduction

This publication is addressed to ministries of education and ministries of finance and planning in those Member States dependent for their educational development on external finance. The purpose of the publication is to present some guidelines for interacting with funding and other development agencies contributing to Member States' educational development, especially in the context of sector-wide approaches, or SWAps, as they have become known, providing an easy reference to the country experiences to date in such partnerships and the lessons that have been learned.

As donor agencies have tried to make their official development assistance more effective, they have tried different aid modalities first to harmonise the efforts of different agencies assisting a particular country and second, to align their assistance with the priorities and objectives of the country's national development plans. Efforts at **harmonisation** have been addressed at trying to reduce the transaction costs (administrative burdens) of countries having to deal with a multiplicity of agencies, a multiplicity of conditions and a multiplicity of individual donor identification, monitoring, review and evaluation missions.

Efforts at **alignment**, increasingly, have been concerned with the development of the countries' own institutions, competencies and systems, matching assistance, with the countries' own plans. A concomitant thrust of SWAps has been a shift towards the alignment of international development partners' (IDPs') agendas with recipient countries' priorities. Indeed, it has been to develop sectoral reviews and analyses which are geared increasingly to the **accountability** of ministries of education and the Parliaments that vote bills to fund them, to recipient country citizens, rather than accountability to the funding agencies and their overseas constituencies. The partnerships between funding agencies and Member State governments or ministries of education are intended to contribute first and foremost to the achievement of the *recipient* country's goals and objectives.

SWAps, themselves, can be viewed substantively, from the recipient country perspective, as sectoral development plans, even if the choice of countries and disbursement modalities by the funding agencies depend on the agencies' particular criteria. The building blocks necessitated by these different modalities, however, are similar, and even in cases in which it is not possible to establish a SWAp, some of these building blocks, in themselves, will be well worth pursuing.

The most important aspect of a SWAp is the strategic, sector-wide education development plan, which necessitates the prioritisation of sub-sectoral objectives - and trade-offs between them - within a coherent medium-term expenditure framework, consolidating external with domestic resources, so that the rationale for

any sub-sectoral expenditure is embraced within this wider framework. What this means is that negotiation and policy dialogue, both amongst national constituencies and with international development partners, is sector-wide. For example, the rationale for an early childhood educational sub-sector will be played out against other priority sub-sectors – e.g. basic or higher education - and the dialogue, rather than being around wish lists, centres on the budget lines required for achieving the different mixes of sub-sectoral objectives within a national budget that encompasses predictable aid funds.

The publication is presented in three parts: 1) background to SWAps; 2) steps leading toward and processes within SWAps; and 3) experience and lessons learned from education SWAps. The references and annexes provide a wealth of material that can be used and adapted as necessary to different country contexts.

Part I: Background to SWAps

Part I is intended to 'place' SWAps against a backdrop of other aid modalities, explaining what a SWAp is, what it entails, its typical prerequisites and the roles typically taken by different stakeholders in an education SWAp.

1. What is a SWAp?

Sector-wide Approaches, or SWAps, as they have come to be called, developed in the second half of the 1990s as one of several means for development agencies to achieve greater coherence in *their* approaches to providing development assistance. Whilst most countries produced their own development plans, and typically, plans for the development of their education sectors, seldom was the allocation of external funding at the discretion of national authorities; nor was it predictable. Development agencies would come with their preferred sub-sectors, whether higher education or basic education, geographical areas, or projects for textbooks or teacher training or curriculum development, and governments would agree to accept funding of these particular areas without necessarily covering the full gamut of areas requiring development.

As a result, aid-dependent governments would plan the allocation of their domestic resources for education, predominantly their recurrent costs, and they might identify capital projects which they would put on the table if funding agencies showed an interest in funding their education sectors. If these projects weren't funded, the education system would continue to run, but its development would typically be starved not only of capital funds, but as the demand for education expanded, and the realisation that poor quality education would not retain students, the system would also be starved of other developmental costs such as for teacher training. Indeed, many countries have been unable to pay their fully trained teachers even when they have been able to afford more teacher training, because their recurrent budgets would not stretch that far.

For their part, government's 'plans' were not always costed, nor prioritised, often comprising more of an overall compass, than a strategic plan with accompanying budget lines. Planning, as it was often carried out, ratcheted up the current year's budget on the basis of the past year's, and not on the total costed demand for education in society, which such aid-dependent governments knew they couldn't afford, even if they produced the figures.

Sector-wide approaches, it could be said, were a response by development agencies to the intractable problems in which their projects seemed to make marginal inroads:

schools would be built, teachers would be trained, projects would be 'successful', but the system as a whole would limp on, and too small percentages of pupils would become employable, or achieve basic levels of learning achievement or simply complete school, whatever measures one wanted to utilise to assess progress. In addition, agencies could see the inefficiencies as well as ineffectiveness of their contributions in the multitude of demands made of the same staff in the same ministries for the same types of information, alongside every other development agency making similar demands, occupying staff with the agencies' business rather than their own.

So, SWAps made sense: they comprised a means of consolidating the support, the review, the monitoring and the evaluation of different development agencies for the *sector-wide education development plan* of a country.

Although there are several **definitions of a sector-wide approach[1]**, or SWAp, the following is the most commonly accepted definition, comprising the type of development cooperation in which:

- All significant public funding for the sector supports a single sector policy and expenditure programme;
- Under Government leadership;
- With common approaches adopted across the sector by all funding parties; and
- A progression towards relying on Government procedures to disburse and account for all public expenditure, however funded.[2]

The *movement toward* having these defining characteristics is what is important as well as the emphasis in this definition on Government leadership and Government procedures. A large part of the initial thrust toward SWAps came from the push toward greater recipient country 'ownership' of the process, not least through the recognition of the failure of externally imposed 'conditionalities' attached to development assistance, which became particularly prominent and associated with structural adjustment loans.

After all, if a sector policy and expenditure programme are not the government's, but the product of a series of external consultancies with little to no national ownership, then speaking of SWAps is but an exercise in semantics, and not a new *approach*.

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1 See, for instance, TABLE 1: Definitions/Meanings of Programme-Based Approaches According to Different Development Agencies in: Abby Riddell, Synthesis Report on Development Agency Policies and Perspectives on Programme-Based Approaches, Prepared for the Forum on Accountability and Risk Management Under Program-Based Approaches, Organized by the Learning Network on Program-Based Approaches, Ottawa, Canada, June 19-21, 2002.

2 Adrienne Brown, Mick Foster, Andy Norton and Felix Naschold, The Status of Sector Wide Approaches, Centre for Aid and Public Expenditure, Overseas Development Institute, January 2001, p.7.

However, presenting even such a tailored definition of a SWAp may be a tall order, depending on the particular country's context and its planning and financial management capacities.

SWAps require considerable behavioural change on the part of both funding agencies and aid-dependent governments. They require not only that funding agencies work together and coordinate their education support; they also require similar cooperative working relationships amongst the different directorates of a Ministry of Education – or where there is more than one ministry, amongst different ministries of education (e.g. Ministry of Higher Education or Adult Education/ Literacy.)

SWAps also require different processes, and this includes a different approach to planning within a commonly-shared approach involving civil society in policy dialogue concerning the strategic direction of the education system; transparent financial management procedures that enable stakeholders to follow educational expenditures; mutual accountability within the education system; and government-led coordination of funding agencies.

Whatever the setting, the conceptualisation of SWAps, predominantly, has been by funding agencies and not aid-recipient countries. What this has meant in practice, therefore, is that the conceptualisation of these changed processes has been more forthcoming from the agencies than the countries themselves. Thus, whether a country is in transition from a centralized one-party state, or whether a country is an aid-dependent, post-colonial market economy, the expectations of funding agencies of the planning process have been relatively uniform. In fact, the resurgence in planning is what has been most surprising, following the strong emphasis in the '90s on the market and the privatization even of those sectors traditionally the preserve of public funding (such as basic education, basic health services, or even water).

In a nutshell, it is expected, as the definition above states, that there will be a single sector policy and expenditure programme for a SWAp. The 'one country, one plan' approach of a SWAp is intended to provide the overall coherence that is lacking when there is a multitude of separate projects. SWAps, typically, have been most applicable in sectors such as education and health, in which the public sector has traditionally played a large role, by comparison, for instance, with agriculture or rural livelihoods. Creating a single expenditure programme for rural livelihoods or agriculture would be difficult, given the predominant role of the market in such sectors. However, this also points to the challenges faced by SWAps – including in education and health – where the private and voluntary sectors contribute significantly, or where the market is used to balance supply and demand. Often there will be a need for a regulatory framework for Civil Society Organisations (CSOs), NGOs or the private sector, or some policy making surrounding the roles and perhaps fee structures of different service providers

Thus, the perspective on sector-wide approaches from funding agencies and from aid-recipient countries is rather different. So, whilst planning has come back with a vengeance, whether in the creation of poverty reduction strategies, EFA plans, or sector-wide educational development plans, there are different expectations surrounding these plans, depending on where one is sitting around the table. Countries need to decide what they will do, what suits them, and what will accommodate donors, not the other way around.

Even in countries with strong traditions of strategic planning, the involvement of civil society in policy dialogue around costed policy options may be quite new, as may be the tradition, simply, of *publishing* the education budget (and making it available to external stakeholders). Similarly, if government procedures are to be used rather than parallel, project regulations, funding agencies, necessarily, will concern themselves with fiduciary risk assessment, in other words, assessing the confidence they have that government procedures will ensure appropriate financial disbursements. The funding agencies' regulations often enter at such points, or the capacity building surrounding the implementation of new financial management practices.

Clearly related to issues of financial management is the accountability within the education system for educational expenditures, including the contributions of funding agencies. 'Mutual accountability', as often espoused by funding agencies, is subject to varying interpretations by the different parties involved. Joint reviews may comprise a step in the right direction, but do they supersede agencies having to track specifically the funds they have contributed to an education reform?

SWAps constitute an approach to educational reform, a way of transforming an education sector. So there are gradations of development, rather than black and white situations, just as the definition of a SWAp used above refers to a *progression* toward relying on government procedures. Elements of trust in building new relationships are what underlie the process as well as the speed with which capacities are developed and subsequently acknowledged as being sufficient. This means that judgements are being made throughout, of the success of the education reform itself, and of the SWAp processes as they develop.

It might be helpful to detail, somewhat provocatively, what SWAps are *not*, as a means of promoting some reflection by countries and funding agencies alike, about how they are placed on a SWAp continuum.

2.   *When is a SWAp not a SWAp?*

a) *When it is a 'SIP' (a sector investment programme)*

Sector investment programmes have been used for many years as a means of coordinating different investments in a particular sector. Typically, they have comprised menus, offering different, usually capital investment projects, towards

which funding agencies might wish to contribute. For instance, an education SIP might have the following components: school infrastructure; textbooks and teaching/learning materials; teacher training; EMIS. Different funding agencies could select their respective components, either funding that menu item or redesigning it to fit the particular intervention in that area in which they are interested, such as 10 schools in province x, having y% of poverty, or gender disparity. What doesn't get funded in the particular component or menu, the country would hope could be picked up by another funding agency. Assistance to the particular components or sub-components, typically, would be run as projects, with earmarked funding, tracked in separate accounts, with or without independently financed project staff and regulations. Recurrent expenditure, typically, would not be covered. Separate or joint agency review missions could take place.

What distinguishes a SIP from a SWAp is its being run as a multitude of independent projects, albeit on a coherent capital investment programme, but one which does not necessarily project nor cover recurrent costs, where the absence of funding for one component does not result in a recalculation of priorities across the components, and whose project control does not necessarily contribute to the institutional development and sustainability of those institutions tasked with its management.

b) When the funding agencies lead the process

Clearly, there are gradations here as well, but if one places on a continuum the independence of the government in managing the education sector, funding agencies could be said to be leading the process when they:

- Meet separately and plan their contributions to the sector in the absence of government
- Lay down the procedures and timing of their involvement in the sector
- Hire their own personnel to manage independently of government staff
- Earmark their funds for specific priorities, whether or not these priorities are shared by the government
- Require separate funding agency missions, which collect their own information independent of government
- Engage in processes which are predominantly parallel to those of the government

There are situations – especially in fragile states – in which funding agencies work solely with non-governmental organisations. Even in such circumstances, which may entail the absence of state power, the expectation of working with and strengthening state institutions should be implicit.

c) When there is little institutional development despite considerable technical assistance or other expenditure on capacity development

This criterion, of course, could be related to ineffective practices. However, that is not the reason for including it here. Rather, it is to underline the *intention*, as

stated in the SWAp definition above, of using government procedures. Thus if technical assistance is directed at learning the *funding agency's* procedures, such as is often done regarding procurement practices, for instance, what is left in place when the funding agency is no longer providing assistance? Are government institutions being strengthened, to enable them to be in control and to have the necessary competencies to manage the education sector when the funding is no longer? Furthermore, technical assistance, itself, which is packaged with funding, is often in the control of the funding agencies, their identification of the areas requiring further development, their designs, their consultants, and their modalities. Not only is it important for government institutions to be strengthened, where necessary, it is also important for government to *manage* technical assistance and define capacity building requirements.

> d) *When Project Implementation Units (PIUs) or such other institutions, having their own management hierarchies, lines of communication, and sources of funding, run in parallel with ministries of education*

PIUs develop PIUs: they may develop professional and management expertise, but unless they are incorporated integrally within the ministry itself, such expertise is unlikely to contribute to the institutional development of the ministry, and can be easily excised, not least when project funds dry up. PIU staff, if paid outside normal ministry channels and above normal rates, are also likely to develop separate allegiances. It is possible to conceive of PIUs as transitional bodies, just as projects can be used to test innovative practices. If their integration is not foreseen and managed, however, they are likely to remain as appendages.

> e) *When component managers are hired and/or paid outside public sector channels and have separate accounts, which they manage parallel to their ministry funds and/or responsibilities*

PIUs may be virtual, if the responsibilities normally given to them are shared amongst component managers within the ministry. If such managers are asked to operate in parallel with ministry functions, and like PIU staff, are paid outside normal public sector channels, then their allegiances, similarly, are likely to be different from other ministry staff.

> f) *When it does not encompass the whole education sector*

There are programmes, which encompass only an education sub-sector, such as basic education or higher education. This often reflects the fact that separate ministries deal with different sub-sectors. Indeed, it can be even more complex in the case of non-formal education, literacy and life-long learning, where multiple bodies, not

necessarily ministries, deal with such sub-sectors. The internal coherence of sub-sectoral programmes, however, is not matched by the prioritisation and trade-offs necessary between the different sub-sectors in a SWAp. Such programmes may comprise a starting point toward this wider sectoral coherence, especially if more than one ministry is involved. However, foresight is required; it doesn't happen automatically, just as explained above in the case of using a PIU as a stepping stone to the institutional development of the public sector responsible for educational management.

3.   SWAp prerequisites

As can be seen from the section above, SWAps, as the name implies, constitute an *approach*, and this has to be specific to the country in question. Thus, there are no blueprints as such, even if there have come to be certain prerequisites for SWAp development. The previous section, in effect, dealt with the **orientation** necessary for SWAp development, that is, its being concerned with achieving the goals of the education system as a whole, including the sustainability of institutional competencies to manage and steer the education system. The success of individual projects can contribute to such wider goals, but not if they are ring-fenced in isolation from the rest of the system.

There are other prerequisites, too. From the aid-recipient country perspective, there must be a **willingness** to engage with funding agencies, which, through their SWAp monies, equivalently, are buying seats at the government's education policy table. Development banks have always been in such positions. Typically, they have sought to have their policy[3] concerns heard in order to ensure their investments, as much as when taking out a mortgage on a house, banks require structural surveys of the property. Is it going to last over the period of investment, or will it fall down? Grant-disbursing development agencies have been similarly concerned, but their engagement in SWAps, and in particular, their contributions to pooled funds for educational development (see below Part I.4), have brought them into the broader policy negotiation arena, especially the more that their monies have been unearmarked.

These two prerequisites, a systemic orientation and a willingness to discuss overall educational policy concerns with external funding agencies, comprise the most fundamental platform for SWAp development. If an aid-recipient country wishes to continue individual project funding and not to engage in the overt coordination of development partners, there is little point in developing a SWAp.

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3   In French, the word for policy and political is the same; perhaps in this context the merging of the two concerns is apt, albeit in English.

There are additional prerequisites to consider, however, from the funding agency's perspective. These have been enumerated in several sets of guidelines[4] written by and for development agencies that lay out how they will proceed in supporting and assessing the 'readiness' of countries for their particular aid modalities, including SWAps. Indeed, such guidelines assist the development agencies in assessing the risk they are undertaking in supporting countries' education sectors outside stand-alone projects in which they control the flow of funds and their use. Countries, which aim to engage in SWAps, need to be clear that the steps they must take and the resources they deploy are worth their efforts, and that they negotiate and manage the SWAp development appropriately.

From the development agency side, the key components of a SWAp – or those areas requiring some assessment - typically include the following[5]:

- The macro-economic framework, including, typically, any national development plan or poverty reduction strategy
- The education sector policy and overall strategy
- The sector medium-term expenditure framework (see below)
- Public financial management systems, including reporting, budget management and procurement
- Government-led donor coordination and policy dialogue
- Performance monitoring and stakeholder consultation
- The institutional framework and management and implementation capacity

What is important to stress is that not all of the components are under the control of a sectoral ministry such as education. Thus, whatever is pursued *within* the sector, the linkages and relationship between education and the broader thrusts and strategies of national development and poverty reduction, together with the requirements of sound financial management and institutional capacity, will need to be taken into consideration. In federal countries in which provinces or states have broad educational policy making and/or resource provision and/or allocation mandates, such requirements become more complicated, being situated within a web of responsibilities and relationships.

There are many different paths that have been taken by countries, which have engaged in SWAps, and these different paths have been related to a number of contextual factors and starting points. Moving from where one is – possibly with a multiplicity of projects, parallel management bodies and ministries – to a fully functioning SWAp – is a tall order. Some of the **factors** that have influenced the paths that have been taken have included:

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4   See especially European Commission, "Guidelines for European Commission Support to Sector Programmes." February 2003, Version 1.0. (A draft Version 2.0 is expected to become official in 2007), but also the other references noted under the heading "Development Agency Guidelines" in References.

5   See especially: OECD, Budget Support, Sector Wide Approaches and Capacity Development in Public Financial Management, DAC Harmonising Donor Practices for Effective Aid Delivery, Volume 2: Guidelines and Reference Series, Paris, 2005.

(1) the leadership of, or within, the host country;
(2) the level of the country's dependence on external finance;
(3) the baseline effectiveness of the host country institutions and their governance;
(4) the complement of development agencies interested in supporting the sector;
(5) the prevalence of a 'lead' development agency (and its understanding and requirements of a SWAp);
(6) the different accountability requirements and risks each agency is able to take;
(7) the group of field-based development agency and host country professional staff;
(8) the set of financial modalities embraced by the SWAp, etc.

Whilst one can draw lessons and so-called 'best practices' from case studies of SWAp development, the most important lesson emerging from the increasing experience of SWAp development and implementation is the necessity to contextualise. Each country will have a different context, not only because of its existing development plans, but also because of its history and particular relationships with international development partners. The references at the end of this text – nearly all of which are available on the web – provide a useful source for further study in this regard. Would-be SWAp stakeholders can consider whether the steps and processes described in those case studies might be feasible in their particular country contexts, or what adaptations or, indeed, different approaches, might be necessary. Part 2 details some of these key steps that have been taken in many countries toward developing a SWAp, but first, it is necessary to situate SWAps amongst different aid, and specifically, financial modalities and then to consider the different potential roles that stakeholders can play in SWAp processes.

4.   SWAps and different financial modalities

Individual development agencies have their own, different perspectives on SWAps and other aid modalities. Some would view SWAps as already passé, having used them as a means of establishing coherence in a sector but as a stage on the way toward such overall *cross-sectoral* coherence in the national budget as can be promoted through General Budget Support (GBS) rather than being earmarked for a particular sector.

> *"Budget Support is defined as a method of financing a partner country's budget through a transfer of resources from an external financing agency to the partner government's national treasury…In the case of general budget support, the dialogue between donors and partner governments focuses on overall policy and budget priorities; whereas for sector budget support, the focus is on sector-specific concerns."[6]*

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6   OECD, op.cit., p.21.

Others would view SWAps as a preferred approach to GBS because the latter reduces the development partner's stake in the education sector and because the SWAp affords the coexistence of different financial modalities under its broad umbrella. And others would want to continue with a project approach for a variety of reasons, including risk-aversion, being able to show results for their particular monies spent, etc.

SWAps comprise one of several 'programme-based approaches'[7], the term used to encompass the larger variety of arrangements that are distinguished from stand-alone projects. The Learning Network on Programme Based Approaches (LENPA) defines PBAs as follows:

> *"PBAs are a way of engaging in development cooperation based on the principles of co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation. Programme based approaches share the following features:*
>
> * *leadership by the host country or organisation*
> * *a single comprehensive programme and budget framework*
> * *a formalised process for donor co-ordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement*
> * *efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation"[8]*

As can be seen, the emphasis on *government* is absent from the definition of PBAs, which has enabled development agencies, which consider support for non-governmental and civil society organisations as requiring equal if not greater attention than government, to be included.

SWAps constitute an approach, and are not in themselves financial instruments. Indeed, they can include projects, earmarked and separately tracked funds, as well as pooled or basket finance specifically for the sector, as well as general budget support that may be nominally tagged for education.

The following diagram situates SWAps amongst other PBAs, on a trajectory between projects and general budget support.

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7   A term developed by the Learning Network on Programme-Based Approaches – see Footnote 8.
8   CIDA, <u>CIDA Primer on Program-Based Approaches</u>, prepared by Réal Lavergne and Anneli Alba, Analysis and Research Division, Policy Branch, with contributions from other CIDA staff, Ottawa, Sept. 27, 2003. Also cited in OECD, <u>op.cit.</u>, Box 3.1, p.30.

From Old to New Aid Modalities
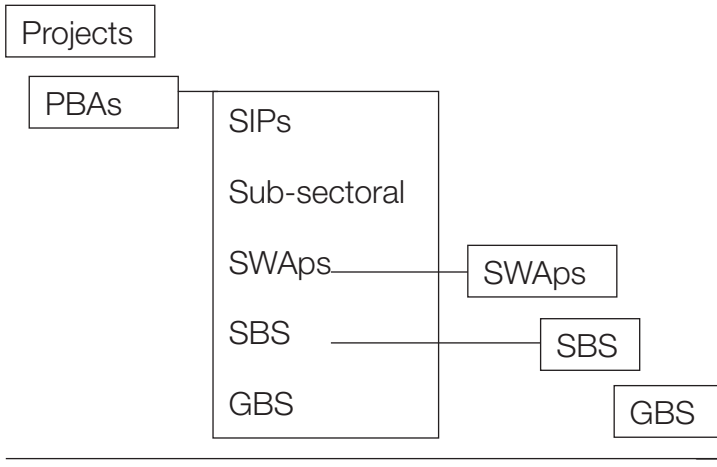
The rationales of development agencies to utilise these different aid modalities vary, though most relate to a concern with their development effectiveness, risk aversion, as well as philosophy. In particular, the attractiveness of the notion of government 'leading' the process differentiates development agencies' approaches. As illustrated in the trajectory above, some development agencies have chosen to move 'beyond' SWAps in several countries, recognizing sectoral development plans as components of overall national planning, and education sector plans, specifically, as a part of any poverty reduction strategy (PRS), for instance. Moving toward general budget support (GBS), it is argued, can tackle, in particular, the public sector reform typically required across sectoral as well as central ministries such as the Ministry of Finance and/or the Ministry of Planning, rather than having to deal separately with the capacity development and management reforms required on a piecemeal basis. GBS also enables appropriate cross-sectoral planning.

Whatever are the rationales used, since 2005, following the Paris Declaration on Aid Effectiveness[9], targets have been agreed for twelve Indicators of Progress monitoring aid-recipient-country and their development partners' behaviour (See Annex I). This includes a target for 2010 of two-thirds of all aid flows provided in the context of programme-based approaches.

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9   Paris Declaration on Aid Effectiveness: Ownership, Harmonisation, Alignment, Results and Mutual Accountability, March 2, 2005. (http://www.oecd.org/dataoecd/11/41/34428351.pdf)

5.   *Sector-wide planning and SWAps*

To recap, as has been illustrated, SWAps comprise one of several relatively new aid modalities that emerged as a means of overcoming the lack of sufficient recipient ownership and the fragmentation of many individual projects, which, even when taken as a whole, had not necessarily resulted in adequate support for a country's own, identified priority development. SWAps emerged from the development effectiveness debates of the nineties, and like some of the financial modalities that have accompanied them, viz. budget support, a large part of the rationale for SWAps has been to enhance the sustainable institutional development that is intended to be supported by them. Part of the analysis of the lack of development effectiveness has focused on the project approach, especially those projects that insulated themselves from 'ineffective' government ministries, creating parallel implementation structures, known commonly as PIUs (Project Implementation Units). Such projects, even those 'successful' in ring-fenced terms, contributed little to sustainable development or to the necessary reform of government bureaucracies to make them 'effective'. Thus, cycles of dependence on externally financed development projects were nurtured, and little institutional development was sustained, especially within government ministries. In addition, SWAps, by bringing together development finance in support of a country's sectoral development plans, were intended to reduce the transaction costs of host countries having to deal individually with development agencies, their time lines, their particular information requirements, as well as their review processes.

Understood in the very specific sense of a new 'aid' modality, SWAps constitute a new 'approach'; however, understood in their literal sense, as 'sector-wide' planning, they have been supported by UNESCO since its inception as the United Nations' technical agency for education, for all levels and types of education. As development agencies have moved between preferences for different educational sub-sectors, e.g. from higher education and literacy to primary education, basic education, non-formal education, or teacher education, UNESCO has maintained its overview of the whole of the education sector, notwithstanding different emphases by its development partners. Indeed, the majority of developing countries have engaged in sector-wide educational planning as a norm; the skewed nature of support for different educational sub-sectors has emerged from the political dimensions of the wide-ranging discussions that form part of any negotiation of policy support, domestic or international. Thus, it is somewhat ironic that SWAps are invoked as a means of encompassing the whole education sector, when piecemeal planning has often been the consequence, in donor-dependent countries, of the particular focus of the development agencies themselves. Furthermore, notwithstanding the language used, SWAps have been, and continue to be applied to sub-sectoral educational development programmes.

So, if sector-wide educational planning is what countries most often have engaged in, education SWAps, one could say, are an accommodation by the development

community - especially in the context of the donor harmonisation agenda - to improve their alignment with the national priorities of aid-recipient countries, the coordination of the capacity building support provided, and the increased use of recipient countries' own public financial management and procurement systems.

6. SWAp roles

Rather than assume that there is a blueprint to SWAp development, it's important to understand the different roles that can be played by different parties in different countries, depending on the educational context of the country. Whilst lessons can be drawn from previous experiences, there are many variables which will determine the actual roles taken in different contexts. So, before proceeding to Part II, which details some of the common steps that have been taken in SWAp development, including the various management bodies that are often established, it is important to detail the different potential roles that can be assumed by those wishing to engage within a SWAp.

If one takes the perspective of SWAps being the materialisation of external support for a country's sector-wide educational development, one has only to ask the question of how educational policies and resource allocation decisions are made (or should be made) in order to list all those who should have roles in SWAp development as such. In some countries, a single ministry handles early childhood education, continuing on to basic, secondary and tertiary education; in others, separate ministries have responsibility for different sub-sectors of education, such as where a ministry of higher education exists, or where a ministry of labour and social affairs may deal with vocational education or literacy and non-formal education. Similarly, in some countries separate ministries of women's affairs may have special mandates dealing, for instance, with the education of girls and women. There may also be special institutes or centres for teacher training, curriculum development, examinations, etc. which, though not directly under a ministry of education, may clearly play important roles which would need to be considered, as well as the universities, for instance.

Besides government ministries, of course, countries have different types of political representation and differently developed civil societies, which may or may not have traditions of engagement in education policy issues, whether through governmental or non-governmental channels, through different types of local, district, regional and national organisations or bodies, or village education committees and local councils. The role of the private sector in education, similarly, varies across countries, and indeed, within different educational sub-sectors within a country.

The tradition of centralized educational planning and policy-making has left little room in some countries for the participation and the development of authentic roles for non-governmental organisations and wider civil society. Indeed, in countries

without a tradition of publishing their budgets, it is even more difficult to engage wider stakeholder groups in policy dialogue. Thus, due consideration is needed in designing the policy process to ensure appropriate and informed participation, as well as what may be essential capacity development for the empowerment of stakeholder groups.

Two further general considerations are necessary in determining what roles should be created for whom on what committees or steering groups. Firstly, although SWAps bring development partners to the policy table (one wouldn't have a SWAp, if one did not depend on external support), it is important that the policy-making organs – however constructed – have their own legitimacy and are not donor constructs. One needs to avoid the creation of parallel bodies just because external support is being introduced. Secondly, whatever 'lessons' can be learned from the way another country has organised its SWAp, with the various assigned roles of government, non-governmental and development partners' roles, the prevailing political economy of the country in question, both with respect to national actors, as well as with respect to in-country and flying-in from headquarters' development partners, will determine the viability of such bodies. One cannot assume that a steering group of a certain composition in one country can simply be transposed to another and that it will work effectively.

Part II: Steps and processes

1. *Overview of steps*

Many of the steps to be taken toward establishing an education SWAp are those in which the country is likely already to have been or to be involved, such as the development or renewal of a comprehensive education sector policy, strategy and plan. However, very often, as was noted above, in countries which depend on external funds for a significant part of their education budgets, this process may have become derailed or sidelined due to the demands made for specific sub-sectoral plans and strategies on the part of external development agencies, or the prioritisation and sequencing of the different sub-sectoral elements of the plan have been changed to suit development partners' interests and available finance.

Logically, what is entailed in the creation of an education SWAp is a sequence of planning and policy dialogue based on a situation analysis, which highlights the achievements and challenges of educational provision, and projections of the human and financial requirements of pursuing various policy options. The policy dialogue that surrounds such analysis, ideally, should be the crucible of a prioritised, sector-wide education development plan. Rather than being a 'wish list', such a plan, to be credible, should be based not only on the identification of the resources required, but also on an analysis of those resources available, whether domestically, or via the commitments of development partners. A rolling medium-term expenditure framework can thus become a constituent backbone to implementing the plan. In addition, such a plan needs to incorporate a capacity development plan, based on an assessment of what will be required to implement the education reform, and linking, as necessary, with any public sector reform or public financial management capacity development envisaged. These comprise the 'technical' steps.

In addition, there are the 'political' steps, which entail the establishment and designation of roles and responsibilities of the various management bodies and specification of their representation, procedures and schedules. There are also likely to be memoranda of understanding between the government and the various international development partners, as well as an agreed system of initial appraisal of the plan, its strategies, the various commitments by government and its development partners, and a system of review, including periodic monitoring based on agreed indicators, and an evaluation of the results intended to be achieved in the plan.

No country starts with a clean slate. Not only will there have been previous educational policies and plans, but also prior engagement by development partners in the education sector, ongoing projects, existing constraints, and existing staff and finance. There will also be 'the way things are done': the patterning of work and relationships, and the prevailing political economy and patterns of governance. It is

for such reasons that any 'lessons' or so-called 'best practices' need not only to be contextualised, but underpinned by local political realities.

The following is an indicative sequencing of some of the steps in SWAp development. Some of the steps are contemporaneous, such as the detailing of domestic and external finance with the resource projections and policy dialogue. It is not possible to work out policy simulations and negotiate priorities without a picture of the available or likely available finance.

1. Situation analysis
2. Policies and strategies – resource projections and policy dialogue
3. Prioritised sector-wide education development plan
4. Medium-term expenditure framework
5. Domestic and external finance
6. Capacity development
7. Management bodies and procedures
8. Memoranda of understanding
9. Joint appraisal and review process

Whether, in a particular country, any step is needed and the length of time it will take to implement it, will depend on whether the information required is available and is recent (and, indeed, whether the current system in place is capable of providing the necessary information), and whether the necessary capacities are in place for proceeding to the 'next' step. 'Readiness', however, will be judged differently, not only by different development partners, with different risk aversion sensitivities and different overall approaches to aid effectiveness. 'Readiness' will also be judged differently by aid-recipient country stakeholders who are more or less keen on going the SWAp route. What follows, essentially, is a sequencing of 'normal' educational planning practice, played out in an arena in which development partners have a direct stake because they are buying into the country's educational priorities and strategies (and which they may have a hand in helping to develop.) Learning how to proceed toward a SWAp is not very different, in effect, from learning how to ensure planning practices are not centralized, top-down and directive. Rather, it entails learning how to ensure that planning is inclusive, participatory, and capacity enhancing, as accountabilities are built into the system as a whole, and not merely at the pinnacle of the public sector, in the capital city's ministries.

2.   Situation analysis

The situation analysis, typically, is the starting point for SWAp development, as it lays out the state of knowledge of the system. It aims to describe the current context of educational development, the main challenges perceived in relation to the commitments made in existing education policies and legislation and the shortfalls in achievement. The situation analysis also provides an opportunity for identifying the information gaps needing to be filled for a complete analysis, as well as the policy and legislative gaps to support further commitments. The situation analysis, ideally, covers the whole education sector, from early childhood care and education through to tertiary level and lifelong learning. It should map educational access, participation, internal and external efficiency, and the quality of the education system, both in terms of inputs as well as outcomes. It should highlight disparities, whether by gender, geography, ethnic or minority group status. In addition, the situation analysis should detail educational costs and expenditure and the accountability systems in place. Although there are generic indicators for many of these areas, e.g. repetition, drop-out and completion rates or gross or net enrolment rates, there will always be a need to tailor not only the indicators, but also the more qualitative analysis, appropriately to the country context. Annexes II and III illustrate some of the data typically drawn on, on which to base a situation analysis, as well as some examples of the outlines of sector-wide education development plans. It is assumed that in addition to such educational data, that the situation analysis will draw on much broader research and data bases, in order to 'place' the education sector appropriately within the wider human development and socio-economic context of the country.

3.   Policies and strategies – resource projections and policy dialogue

There are many different ways of embarking upon policy dialogue and analysis. Some countries engage in major consultations led by technical committees, convened by the Ministry of Education proposing various policy options for discussion. Others follow a British tradition of 'commissions of inquiry' in which opinions of stakeholders are sought around the country, feeding into a high-level body of appointed professional 'commissioners' who produce a report with recommendations on the way forward. Or, in the French tradition, countries may set about 'états généraux' in which evidence is taken, again, from a wide group of stakeholders. All these are means of initiating policy dialogue around 'which way forward' for educational development, directed at overcoming some of the challenges uncovered in the situation analysis, and indeed, validating and/or reconceptualising such challenges.

Even where traditions of consultation exist, the involvement of civil society runs the risk of being token involvement, if civil society's engagement is limited and participation in such discussions and dialogue is not representative. It can also run in parallel, rather than through normal democratic, decision-making bodies, when

constructed to feed an IDP's rather than a government agenda. This, too, is risky. Broad discussion amongst diverse stakeholders is also likely to produce 'wish lists' unless honed against financial realities. As described in Part I Section 2.1, sectoral investment programmes have often resulted from such broad discussions, especially when the assumption has been that external finance will be sought for separate, specified components, typically comprising capital expenditure, recurrent expenditure being assumed by the state. Thus, it is important at the outset to identify what financial resources are likely to be needed, as well as those likely to be available, in order to introduce some realism into the discussions. For this purpose, policy simulation models have proved useful, as they enable the projected costs of different policy choices to be considered, grounding them in the reality of budgetary allocations and finance gaps. One such example is EPSSim, the Educational Policy and Strategy Simulation Model developed by UNESCO.[10]

Before being able to project human and financial resource requirements according to different policy scenarios, however, it will often be necessary to gather further data. Annex II provides a starter list of such data requirements. As with the planning process in general, these SWAp steps should not be seen as hurdles, but rather, the means of developing the necessary competencies for integrating domestic and external resources for education development. Thus, if further data gathering is required, and moreover, if data collection, generally, is not up to the demands of the policy simulation modelling, capacity development should address these requirements as part and parcel of the SWAp process. This will mean, in many respects, that a capacity development plan will need to complement the different SWAp steps. (See Part II Section 6 below.) Thus, although the production of resource projections and stakeholder group policy dialogue surrounding them would be the next logical step in the sequencing of actions, a detour may be necessary, during which educational management information systems are enhanced, revised or developed for the first time.

4. Prioritised sector-wide education development plan

The policy dialogue surrounding the different scenarios that can be constructed with a policy simulation model should ground policy discussions in budgetary realities, indicating the forecasted costs of different options. Married to the situation analysis, and incorporating ongoing discussion with the development community regarding potential funding, the next step would entail the consolidation and possible renewal and revision of a country's education sector development plan, together with the prioritised strategies chosen for its achievement.

Different countries will go about this task in different ways, involving different groups of stakeholders with different sequencing timetables. On the one hand, there

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10   http://www.unesco.org/education/eps/, then Category "Policy Simulation".

is the need to develop appropriate, technical strategies for the identified sub-sectoral priorities. On the other hand, there needs to be wide stakeholder discussion of such strategies to ensure that what is developed is not merely a centralised, technical 'fix', but a strategy that corresponds to stakeholder demands and preferences, indeed, which may need to be broken down into sub-strategies for different groups. This is likely to be an iterative process in which technical teams focus on such strategy development and then invoke wider stakeholder discussion along the way.

The sector-wide education development plan, together with the medium-term expenditure framework (see below), will become the core documents around which a SWAp can be constructed, comprising the synthesis of costed, prioritised strategies for achieving the identified education development objectives. Whilst the processes involved in developing these two core documents should not be different in a SWAp from 'business as usual', in practice, 'business as usual' may invoke outdated planning and budgeting practices, which, irrespective of development partner involvement, require updating. The typical separation of recurrent from capital budgets would need to be addressed so as to make possible – as mentioned above – total required expenditure. This will entail a change of practice, as well as any other traditional forms of budgeting such as prospective year budgeting entailing merely the ratcheting up of previous budgets by so many percentage points. In order to get development partners to support sector-wide reforms, the costs of the identified strategies for achieving the targets of the development plan will need to be spelled out. Notwithstanding, development partners' contributions to the overall sectoral development plan, it should be understood that such planning and budgeting assumes that government is in charge of the process, rather than assuming that its remit is only for recurrent expenditure, capital expenditure being either another ministry's or external partners' prerogative. This is why, even in countries in which the coordination of development partners would seem a tall order, it is often worthwhile going through the steps toward establishing a SWAp, even if the end-result is unlikely ever to be reached.

Annex III provides examples of outlines (tables of contents) of what is covered in several different sector-wide education development plans. It should be obvious how important the prior steps are to its completion, as a document which defines the strategic development of the education sector as a whole, encompassing the choices that will have to have been made between sub-sectors, the specific strategies identified for achieving the targets to be reached, and the costs. Where capacities for such approaches to planning and budgeting have not been developed, it will often be the case that capacity development will be offered as a preliminary step to SWAp development. (See Section 6 below.)

5.   *Medium-Term Expenditure Framework*

If not produced simultaneously with the sector development plan, following on its heels will likely need to be a Medium-Term Expenditure Framework (MTEF)

for the sector. Unlike the formulation of the sector plan, the underpinnings of which will be quite familiar to any educational planner/policy maker, entailing needs assessments, disparity analyses between different regions or population groups, flow rates, measures of effectiveness and efficiency, etc., the MTEF is likely to encompass a challenging, new approach to public finance budgeting and expenditure. This is because it is meant to exemplify 'good practice' in terms of results- and activity-based management, attempting to capture the whole of educational finance and the basis for resource allocation decision making that accords with the sector plan's objectives. Thus, an MTEF would lay out – typically on a rolling, three-year basis – the utilisation within the sector of the available resources, covering the various levels and types of education, and the proposed expenditure on teachers, infrastructure, capacity development, teaching and learning materials, etc. The utility of providing such a framework should be apparent. It enables a mapping of the sector's requirements and allocations, based on the agreed policy decisions. However, it should be noted up-front that few industrialised countries achieve – or even aspire to such an all-embracing framework. Furthermore, the engagement of civil society, not to mention wide participation of parliamentarians in MTEF negotiations, is an ideal, but not an assumed starting point in many countries in which both an active civil society and democratic participation are but nascent ideas. Neither, typically, is the technical competency sufficiently widespread to prepare budgets nor to present them in such a manner as to engage others in their discussion.

Thus, like the sector development plan, which as detailed above, is intended to open up planning to public scrutiny, so the contingent MTEF is meant to be vetted by a public budgeting process. (Annex IV provides some notes on several examples of MTEFs.)

Domestic and external finance

A related, subsidiary task to the creation of an MTEF is the development of an accounting system that incorporates the external funds supporting education. Typically, this, too, is a starting point for donor coordination, the sharing of information of what each partner is doing/contributing. This task is often more difficult than might be expected, given the different levels of information and authority, e.g. between headquarters and field or regional offices, within any individual development agency, different reporting definitions and different fiscal calendars. Most often projects and their funding do not enter into the government's budget and some that do, will be specific to a region or district. There are many other complications in what might otherwise seem a simple task of enumerating the funds available for education, not least the political dimension of central government wanting to account for monies, which are in the control of sectoral ministries. It is important to bear in mind that the purpose of such enumeration of funds, mirrored by the comprehensive costing of the strategies for the sector, is to

identify the total resource envelope available for education. Any finance gaps can then be highlighted, and if necessary, depending on the response to meeting such gaps, the priorities and strategies can be reworked.[11]

In this process, some thought will also need to be given to the inclusion and possible reconfiguration of ongoing projects within the SWAp. A debated issue within individual countries' SWAp development, comprises the financial modalities which can (and ought to) be embraced within a SWAp. As a SWAp is an 'approach' and not a funding modality, typically, all financial modalities have been embraced within SWAps: projects, pooled, earmarked funds controlled by a sectoral ministry and general or sectoral budget support. However, in practice, the way this is managed is often a political issue. In some countries, project modalities are specifically chosen precisely because they do *not* afford the donor agency any necessary rights at the national policy dialogue table or there is a reluctance to make the budget process transparent. In others, projects would be vilified specifically because this approach puts the control, albeit limited, in the hands of the donors, over the realm of the project in question, potentially undermining the national prioritisation for the sector. In many countries, donors have chosen particular sub-sectors for their own individual involvement, or they have chosen (and informally distributed amongst themselves) different regions of a country for their specific interventions. This is potentially undermining for a government. In considering the translation of ongoing projects within a SWAp, or, indeed, the possible inclusion of new project undertakings, what is important is that the overall coherence of the sector's development plan is maintained, together with its prioritisation. The same would be true of an NGO project or the involvement of the private sector. Each government will be likely to approach these issues differently. Determining the most suitable financial modalities will require political economic analysis, and not merely a technical analysis of what arrangements are most likely to be successful in achieving the overall goals of the sector development plan.

6. *Capacity development*

Capacity development can be dealt with in a variety of ways, both in terms of the sequencing of steps toward a SWAp, as well as in the ways in which capacity development, itself, is handled. A part of IDPs' interest in capacity development is likely to stem from risk aversion: not wanting to expose themselves unduly to the risk they might perceive from committing their funds to an education sector development plan if they are not assured that there are adequate competencies to implement and manage the programme and account for the funds. IDPs also invest in capacity development in order to show initial commitment to a SWAp before its

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11   In countries with provincial, fiscal devolution, the web of accounting becomes more complex. In some cases, provincial policy coherence has been the aim of SWAps developed at the provincial level. However, even more complex is accounting for the flow of funds to districts and schools or communities, where decentralisation has been at a lower level.

full development. However, from the recipient country's perspective, the capacity development required to complete all the steps in SWAp construction, viz. the education sector development plan and the medium-term expenditure framework, to say nothing of the policy simulation modelling, the EMIS, etc., can frequently be seen as hurdles, rather than building blocks, overwhelming weak ministries and seen as donors' requirements, rather than the institutional development required for developing, implementing, reviewing and revising an educational reform. Furthermore, it is in the donors' crucible that capacity development can be distorted to a donors' rather than a country's requirements.

In particular, given the context of SWAp development, typically, there is a rush to disburse, even when capacity development is seen to be required. Disbursement deadlines, thus, can colour the nature of the technical assistance offered. As disbursements cannot occur without the building blocks specified, some of these, such as the development plan and the MTEF 'get written', not necessarily entailing, what is a much slower process, of on-the-job learning. Clearly, for both the recipient country and the IDPs, there is often a trade-off between capacity development and commencing SWAp implementation.

Projects have been used as a means around shaky competencies: ring-fencing enables some quality control over a delimited area, within or parallel to a ministry, with separate recruitment processes. If capacity development in support of a SWAp is handled as a project, rather than reflecting the harmonisation and alignment objectives of SWAps, then there is a danger that the chaos of individual education projects is traded off for the chaos of individual capacity development projects in a SWAp so constructed. In order to avoid this, quite commonly, as part of a first step towards a SWAp, a pooled (ideally) fund for capacity development is established by some of the development partners to enable the recipient government to take some management responsibility over the required capacity development. This should cover the spectrum from whatever needs assessment might be required to selecting consultants/trainers/counterparts as necessary (untied to any bilateral's consultant roster or materials), to the evaluation of the effectiveness of whatever has been put in place. Having such a pooled fund, however, is not a panacea. Unless the recipient country is in a position to manage its use, the end-result may be the production of the documentation for building a SWAp, without necessarily being backed up by the sustainable development of the identified, required capacities to implement it.

Capacity development needs to be tailored not only to the institutional development of the responsible ministries and their staff, but also to the posts to be filled by those who have undergone such professional development. If public sector pay is not commensurate with the positions to be assumed by those undergoing the training, however 'effective' is the capacity development itself, it is unlikely that the staff will remain in such posts. It is commonly the case that the Ministry of Education, typically being one of the largest, if not the largest government ministry, undergoes the first piloting of any public sector reform programme. A holistic view of the

development of the ministry and its offshoots requires that attention be given to this wider picture. Furthermore, the modalities of training need to be addressed to ensure their effectiveness. For example, it is quite common for cascaded training to be used as an efficient means of spreading the required capacity development through the training of trainers. Are those so trained capable of performing the tasks required of them? Are there other means of ensuring the sustainability of the capacities, for example, through on-the-job mentoring? Are the skills transmitted through short or even long residential courses harnessed where they are needed? There are no universal 'answers'; what needs to be stressed is that capacity development should not be taken as a 'given': it requires analysis, both in appropriately designing it and evaluating its effectiveness in terms of its institutional development goals.

7.   *Management bodies*

A further step that may well have been taken before all that has been laid out above has taken effect is the establishment of those management bodies, which will take on different responsibilities in pursuing the SWAp. The details will differ from country to country in terms of the chairpersons and representation of different government, development partner and other stakeholders. Typically, there would be a steering committee, under the Minister of Education, which would comprise the political steering committee. Then there would be an executive body, typically under a director of planning though, depending on the arrangement of funding, and possibly multiple education ministries, a director of planning within a ministry of finance or ministry of development planning could also lead this body. In addition, there might be a technical working group, led by government, which would include professionals amongst the development community as well as other stakeholders. Such a technical working group would be convened between meetings of the steering committee. There might also be a budget committee, though this could be subsumed within the technical committee. Clearly, depending on the 'fit' of the SWAp and the country and the particular professionals, there are many different arrangements possible. For reference, Annex V provides examples of the composition and mandates of some of the management bodies established in several countries with education SWAps. It is important to note that all of these bodies should be managed by nationals and not IDPs. In some countries, the tradition of donor involvement is so engrained, that this is lost sight of, and the 'lead' donor assumes a coordinating role.[12]

8.   *Memoranda of understanding*

It is quite common for memoranda of understanding to be signed between the recipient government and the international development partners at the commencement of a

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12 In countries emerging from conflict, the United Nations often undertakes a lead or coordinating role. Although an education SWAp may be a long shot in such countries, the principle of national leadership remains, even if substituted temporarily.

SWAp, laying out the various undertakings by each party that have been agreed in negotiation concerning the SWAp arrangement, whatever the financial modality used. For reference, Annex VI provides an example of such a memorandum, from Mozambique. Some of the issues covered in such memoranda include the regularity of review meetings and the amount of notice required, the roles of management committees, the documentation, etc., in addition to more general aspirational content of the purpose of the SWAp itself.

Moving toward a SWAp entails a common vision as intended to be covered by the sector policy and strategic plan, together with the resource allocation decisions implied in an MTEF. However, this vision has also to be shared with the development partners. Implied in such a shared vision are respective undertakings, by the Government and by the development partners. Everyone, from the Minister of Education or the Minister of Finance or Planning, to the department directors, district and regional education officers, NGOs, the private sector and not least the in-country staff as well as headquarters staff of the development agencies need to have a common understanding of the path that is being taken and the commitments being made toward achieving the goals of the education sector development plan. Part of moving toward a SWAp is ensuring good communication and stakeholder consultation, but another part is typically the formalisation of the SWAp, so that the processes are designated, as well as their timelines. These can entail undertakings re: performance monitoring (of both recipient governments and development partners), conflict resolution, alignment of disbursements, auditing, etc. which may be spelled out in memoranda of understanding. Typically, such memoranda are backed up by bilateral agreements. Beside the common understandings of the road map toward a SWAp that require some formalization or validation, the process of developing the common vision should have resolved questions of project integration and 'appropriate' behaviour, together with capacity assessments, etc.

9. *Joint appraisal and review process*

The culmination of the bulk of the various SWAp steps, typically, is a joint appraisal, undertaken by the IDPs with the government, of the education plan, its strategic objectives, performance indicators, annual workplan, the MTEF, the designated management committees and their work programmes and schedules, the review process and timing, and the capacity development plan.

What is likely to emerge at the Joint Appraisal is not only the support of the sector strategic plan by the development partners, but also the financial commitments to it, the modalities of support, and the identification of remaining data gaps. Similarly, it may identify gaps found in the necessary competencies and capacities for implementing the programme, or alternatively, some undertaking to identify the capacity requirements, if this has not already been carried out.

At the point when financial commitments (and their modalities) are made by the development partners, it will be important for the government to discern whether the priorities for the sector are being respected, and to ensure that the agreements reached with the development partners will not work against the common vision that has been outlined. This may seem an obvious point, but in aid dependent relationships, it is often difficult to tailor these commitments appropriately. One donor will come in with 'its' comparative advantage, which may well duplicate another's, or the modality of the contribution may undermine government ownership and leadership of the sector's development. It is a fine balancing act. There are no 'rights' or 'wrongs'. There should, however, be more mutual accountability amongst the development partners than is often the case in-country. International commitments to donor harmonisation and alignment made at headquarters' level can be abused or ignored in practice in-country, not least because of inadequate internal communication within the development agencies themselves, but also a lack of mutual accountability in-country amongst the development partners to ensure 'appropriate' behaviour.

Performance monitoring and evaluation

A significant part of the joint appraisal will comprise the acceptance of the situation analysis of the country's education sector and the targets that are set in the strategic plan and the MTEF. Further negotiation of performance indicators will form a part of the SWAp development as well as an agreed process of joint monitoring and evaluation. It is quite common for two joint meetings to be held during the year, at which performance is assessed: one meeting typically being retrospective, examining the previous year's performance, and the other meeting being forward-looking, setting forth the coming year's plans and expected performance targets. These meetings, as much as the development of the MTEF, are likely to be amongst the most challenging parts of capacity development, if only because the plan, the strategies, the budget and the targeted results are all meant to come together in such meetings, the technical competencies for which are often thin on the ground in many countries. It is for similar reasons that it is often difficult to engage wider civil society fundamentally in performance reviews and targeting because of the problems which many of those with the technical competency to prepare the reports have in narrating effectively for those without such detailed knowledge, the story of the sector's performance. This remains a significant challenge in many countries in which SWAps have been developed and governments' systems used, but the active involvement of civil society is limited.

Policy dialogue and stakeholder involvement are part of the accountability chain; monitoring, evaluation and reporting on the results achieved form another part. One side of this is the recipient country's capacity development; the other side is the accession by the IDPs to common indicators and a process of joint reporting. As has been outlined above, Memoranda of Understanding between the government

and the IDPs are a good means of ensuring commitment to the various required undertakings. A further step could include the development of a monitoring system of IDP behaviour. The introduction of local monitoring to be undertaken to assess progress against the Paris harmonisation and alignment commitments can help in this matter. (See Annex I for the indicators used for this purpose.)

Part III: Experience and lessons

Parts I and II provide a background to SWAps and describe some of the common steps leading toward them as well as the processes within SWAps. Part III answers some common questions concerning SWAps and picks out some salient issues emerging from the experiences of different countries with education SWAps and some of the lessons learned.

1. Some common questions concerning SWAps

What is the first thing that needs to be done in working toward a SWAp?
The most important thing is the sector-wide education development plan as this sets out the sector's strategic priorities and objectives. Whether it is the first task undertaken will depend on the state of educational planning, whether an educational management information system is producing the necessary data for review as part of a situation analysis, and in the future, to evaluate progress against targets.

Isn't this just planning?
Yes, but the bulk of what is required in working toward a SWAp is simply good planning practice, involving sound steps to be taken in order for the government to be in the driver's seat in steering educational development.

Is there anything that is different about SWAps from just planning?
It all depends on what is your notion of planning. If planning is carried out only over the recurrent budget and the capital budget is left to IDPs, then a SWAp is very different because it consolidates the recurrent and capital financial requirements in a medium-term expenditure framework for the sector, which, together with the sector-wide education development plan, guides and prioritises education strategies and their accompanying expenditure.

Who needs to be involved?
Just as educational planning is no longer a centralized, top-down process, wide stakeholder involvement is required in order that the planning that takes place responds to demands and beneficiary interests, and is not solely supply-driven. Indeed, what is important is that the involvement of international development partners and their coordination is government-led, rather than donor-led for precisely the same reason. Otherwise the supply (in this case, of donor contributions) can swerve the development off course from responding to those prioritised demands, which it should be the objective of the plan to meet.

How can appropriate representation be ensured?

This is not always easy, as it will depend on what are the normal, representative channels already in existence. For instance, in one country, there may be an effective, representative, democratic parliament, in which major education policy issues are debated. In another country, such a system may not exist or be effective in debating such issues, or minority interests get left out. Thus, in some countries, alternative representative mechanisms have been established, such as EFA forums, village education committees, or simply the decentralised local authorities, in a politically decentralised country. Furthermore, in some countries, wider civil society will be more or less developed, entailing more or less 'representativeness'. What is important is that one does not assume that organisations are necessarily representative unless they can be shown to be so, and that one does not eclipse normal parliamentary or local government channels for representation where these do exist.

What about if the country's education system is decentralized?
Again, this will have to be taken into consideration, in particular, the type of decentralisation in place, and the different constituencies represented appropriately in education debates and discussions. Furthermore, thought will need to be given to the respective roles in planning and human and financial resource allocation under decentralised education systems. The remit and authority of any decentralised bodies will need to be clarified from the beginning.

But X says his/her agency can't pool funds. What should I do?
A SWAp is an approach, not a financial modality. SWAps should be capable of encompassing different financial modalities, including projects. What is important is that the vision and principles of the SWAp are embraced by all partners and that the government is in a position to negotiate with IDPs to ensure compliance. Existing projects should be examined for their current and potential 'fit' within the sector-wide education development plan and its strategic priorities. It may be necessary to consider a process of realigning project management within a SWAp where this is done in parallel, but there are no hard and fast 'rules'.

And X says his/her agency will only fund basic education. They're not interested in literacy (for instance).
As with the previous question, it should be possible to incorporate the expenditure priorities of IDPs within a SWAp, as long as they do not distort the overall sector-wide objectives. Thus, if the combined contributions of the different IDPs cover the basic priorities, there should be no problem, even if some of the agencies earmark their support for particular sub-sectors. This is one of the reasons that both domestic and external finance need to be accounted for. Aid monies, typically, are fungible. This can entail, for instance, government monies being freed for alternative sub-sectors where external funding is sufficient for others normally financed by the state. However, IDP 'flavours of the month' can distort overall sectoral priorities where finance is made available only for their favourite sub-sectors, and finance gaps remain in other priority sub-sectors.
And X says his/her reporting has to be to his country's fiscal calendar.

IDPs should be in a position to straddle more than one fiscal calendar, aligning essential reporting with the recipient-country's requirements while at the same time, meeting their own requirements. This is a typical negotiating point.

And X says his/her agency's identification team must come in March (outside the joint review dates agreed).
There are many different expressions for "You can't look a gift horse in the mouth," meaning that you must accept the donor's conditions unquestioningly. Signatories to the Paris Declaration, however, have committed themselves to harmonisation amongst aid-givers and alignment with aid-recipients. Thus, it should be possible to work out a compromise that will ensure that governments are not at the beck and call of independent IDP missions. It will not always be possible to coordinate missions with review periods; however, some countries have blocked certain periods of time, during which they will not receive missions from aid agencies. There are many different ways of accommodating each other.
The 'gift horse rule' should not apply in all cases.

Relationships between the Minister of Education and the Minister of Finance are strained because the Minister of Education is worried that s/he'll lose control of the funds for education if they're not earmarked for education.
Whether an education SWAp is a stand-alone instrument, or part of a wider national development or poverty reduction plan, SWAps are part of a new way of doing business, of planning and budgeting. Thus, just as relations between IDPs and governments have to be negotiated, so do relationships between different ministries that will have different calls on the use of external funds. A commitment to a SWAp will almost always require a common understanding between such ministers.

Several of the agencies say they are no longer interested in a SWAp, but in direct budget support. What will this mean for the education sector?
In some countries, SWAps have been a stepping stone to direct budget support, especially where pooled funds earmarked for education have been in the control of the Ministry of Education, and thus potentially distorting the national budget, even if providing coherence across the education sector's development plans. In others, DBS is provided alongside other financial modalities utilised within a SWAp, sometimes with only notional earmarking to the sector, accepting the fungibility inherent in development finance. DBS should enhance the education sector, especially if it is a pillar of the country's poverty reduction strategy, typically a requirement by donors for the provision of DBS.

The person assigned to provide technical assistance from agency X isn't working well with the Ministry staff. What should be done?
The corollary of pooled technical assistance in SWAps is a management committee responsible for the ministry's capacity development. This should provide the venue for reviewing the effectiveness of the technical assistance provided.
It was so much less complicated when we ran projects!

But did countries ever 'graduate' from a succession of projects with parallel administrations, control, and insufficient competencies being developed within government ministries?

2. *Experience and lessons*

Overview

Although one should be cautious of drawing 'lessons' as such from the experiences of other countries that have moved successfully toward an education SWAp, given the very different contexts of development, nonetheless, there are certain points that would merit study by those considering following such a path, and indeed, some of the separate steps in the process outlined above. Clearly, some will be more relevant than others in specific contexts. In addition to utilising the following sections as a kind of aide-memoire re: issues to be discussed, the case studies listed in the references at the end of this booklet will also help officials to gain some vicarious experience from others before embarking on a SWAp.

Sector-wide vs. Sub-sectoral SWAps

It is preferable, if possible, that the whole of the education sector is encompassed in a SWAp, rather than only a sub-sector, such as basic education. The logic behind this is the same as that favouring a SWAp, rather than a project: to ensure that one is not ring-fencing a sub-sector (or project) and thereby distorting the policy and resource allocation trade-offs that are fundamental to any negotiation of education sector policy alternatives. For instance, if a SWAp covers only the basic education sub-sector, the coherence of investment within that sub-sector will not embrace such questions as whether more or less money is spent on higher education, literacy, or early childhood education.[13] However, some countries have complicated divisions of responsibility for the education sector, involving more than one ministry, making the management of a comprehensive education SWAp a challenge. Thus, in several countries sub-sectoral SWAps have been utilised as a stage along the way toward a full SWAp. The correspondence of an education SWAp to the social sector investment envisaged in a poverty reduction strategy can often contribute to the overall coherence of even sub-sectoral education SWAps, however.

SWAps, Projects and DBS

Flexibility is required in establishing the financial modalities for SWAp development, be they the integration of existing projects, the development of a pooled fund, earmarked loans and grants or direct budget support. There are dangers here, however. In particular, such flexibility should not compromise the priorities of the SWAp itself, nor should it enable the 'cherry-picking' that frequently surrounds sector investment programmes (SIPs), in which a list of potential projects is detailed,

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13 The same argument, however, can also be levelled against SWAps, relative to direct budget support to the Treasury, which enables the government to weigh the policy trade-offs cross-sectorally.

and IDPs choose from amongst them. Whilst the overall needs of the sector may be encompassed in such SIPs, the prioritised strategies can easily fall between the cracks. Another common occurrence is the parcelling out of a country's regions amongst the IDPs, which, similarly, can be less than comprehensive and may result in a lack of coherence.

Typically, projects will already be in place at the time of moving toward a SWAp, and government ministries will be confronted with determining their appropriate integration within the SWAp. There are no hard and fast rules except for attempting to maintain the vision of a SWAp, rather than a patchwork of individual projects. In some cases, project integration may be foreseen, where a pilot can be taken to scale within a SWAp and its management thus, taken on by the ministry, if it had been previously run independently at the pilot stage. Alternatively, project implementation units can be integrated within the ministry and their terms and conditions made part of an overall public sector reform. This would certainly be the case where projects have been ring-fenced specifically due to inefficient, unreformed bureaucracies. In addition, there may well be reasons to maintain projects within a SWAp, outside the above examples, but what will be important for the coherence of the education sector development strategy is that an account of their resources, expenditure and performance are integrated as part of the overall planning, to ensure that they do not remain exceptional islands of excellence sustained by ignoring the overall reform requirements of the sector.

IDPs have different perspectives and policies on pooled funds and their desirability in a SWAp. Some IDPs have viewed SWAps as coterminous with pooled funds, and not being in favour of them, or unable to fund them, they have balked at SWAp participation. A pooled fund is but one of many financial modalities that can be used in a SWAp, however, as has been noted above. Pooled funds have commonly been used as a way of harmonizing IDP contributions earmarked for the sector, in alignment with the government's education sector development strategy. To the extent that the pooled fund can be used by ministerial staff as 'project monies', however, and not subjected to the resource allocation prioritisation of an MTEF, they could retard the reform envisaged by the SWAp in the sense of projectising the fund in lieu, typically, of separate capital, or investment funding. Many governments maintain separate recurrent and capital budgets. If the pooled fund merely substitutes for the ministry's capital budget, the rigour, especially, of the long term recurrent cost implications of any investments made, may be lost.

The preference of some IDPs for direct budget support to the Treasury, instead of pooled funds for the ministry of education, stems in part from such concerns for rigorous resource allocation prioritisation and the projection of medium-term expenditure requirements. Pooled funds that are not projectised in the way described above, however, can be used as a means of piloting, within one ministry, direct budget support, enabling the ministry to learn through actual expenditures, rather than having implementation (and the consequential learning) only following

capacity development. Trust is what is at issue here, of course.

Leadership

Developing a SWAp and engendering wide support for what will become new ways of working is no different from any other kind of reform: leadership is required; common understandings; and a learning environment in which mistakes can be made which will not penalise individuals or units as new implementation modalities are tested. If the idea of a SWAp is not embraced wholeheartedly by some elements of the political leadership capable of consolidating support for the new aid modality, the SWAp will be likely to flounder. A SWAp cannot be a donor construct, though there are plenty of examples in which the word SWAp is used but the understandings of what a SWAp entails – in a particular context – will be very different. Such common understandings, and the necessary orientation to what its development and eventual implementation will entail are often left too late. National ownership can be compromised by the eagerness of some IDPs to lead the way, or common approaches can be diverted by the inclusion of IDPs or other stakeholders that buy into only parts of the SWAp vision. A further part of the development of such common understandings requires that local, district or regional officials need to be brought in at the start, rather than after the SWAp has been developed.

Contexts of Public Sector Reform

The Ministry of Education, typically, is the largest ministry, in terms of staff, given the number of teachers and administrators required in a public school system. As a result, in public sector reforms, education ministries are often used as testing grounds for policies which eventually are rolled out across the public sector as a whole. Such public sector reforms usually entail revised salary and staffing tables, changed management structures and new financial modalities, including some form of performance-based budgeting, with the aim of bringing about greater accountability. Medium-term expenditure frameworks are often a part of such reforms, as they encompass the projected resource envelopes required for the prioritised development plan, including both domestic and external finance, ultimately enabling performance accountability.

There is already considerable experience with MTEFs, whether at the sectoral, or more commonly, at the national, or cross-sectoral level. Indeed, this experience has been studied in 8 case studies from which lessons have been drawn[14], and which merit consideration as part of any public sector reform package in which SWAps may feature.

The first lesson concerns the political economy surrounding such reforms, and

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14 Malcolm Holmes and Alison Evans, <u>A Review of Experience in Implementing Medium Term Expenditure Frameworks in a PRSP Context: A Synthesis of Eight Country Studies</u>, Centre for Aid and Public Expenditure, Overseas Development Institute, London, November 2003. The direct quotations in the bulleted points are drawn from this work.

the importance of Ministry of Finance officials championing a medium-term perspective as well as integrating the various phases of the budgeting cycle. Indeed, as is explained, in countries with the most 'mature' MTEFs, MTEFs have become "the basis of annual budget preparations and the mechanism for disclosing resource and expenditure projections to the legislature." (p.8) Relatedly, the synthesis paper points to the need to provide "space for a strategic phase to budget preparation and … (to separate) it from the detailed preparation and consideration of the budget estimates," underlining the importance of a Budget Policy Statement as a means of engaging stakeholders.

The country case studies also point to a set of principles that favour the successful implementation of MTEFs. Among many others, these include:

- Comprehensive coverage of fiscal activities: central, local and external revenues and expenditures (getting donor-financed expenditures on-budget and subject to the scrutiny and discipline of the MTEF).
- The integration of budgeting and planning agencies, viz. a Ministry of Finance and Planning.
- The importance of classifications that support a performance orientation (and not merely an economic one).
- Ensuring that MTEF creation and implementation is not 'projectised' by donors but that it takes "full account of the state of the basic public expenditure management system".
- That MTEF be actively managed as an integrative process "across policy, planning and budgeting; stakeholder involvement; and through the entire budget cycle."
- The need for clear prioritisation within sector expenditure programmes and integrated analysis and budgeting of recurrent and investment spending.
- That early attention be paid to fiscal stability and improved funding predictability – honesty and realism in setting the aggregate resource constraint and a disciplined resource allocation process.
- That "sector working groups, responsible for developing new policy initiatives help(s) cement the links between policy, planning and budgeting at the sector and agency level."
- The need to focus on the relevance and effectiveness of ongoing policies and not merely on new spending – getting away from the donor 'add-on' mentality.
- "Matching authority and responsibility" ("Where programme budgets are for information only, and not the basis of appropriations, parliamentary scrutiny or sector management are a waste of time.")
- The need to be wary of trying to encompass all levels of government within a single MTEF.
- That "there must be a balance between centralisation and decentralisation…a centre that provides fiscal stability and a cohesive political process for determining national priorities."

If the above are, indeed, elevated to principles, they could well be used to form

the basis of an initial dialogue concerning moves toward MTEF creation and implementation within particular countries, across the relevant agencies and sectors re: the meaning of putting such principles into practice as well as discussion of their applicability and merit to particular countries' contexts.

Decentralisation
Early experiences with education SWAps were criticised for lending themselves more toward centralised than decentralised education systems and typically, developing management frameworks in capital cities in which central ministries of education played crucial roles, leaving decentralised authorities to run with decisions made at the centre. More recent experience has built upon decentralised education structures, but lessons have emerged regarding factors contributing to their success.

In a decentralised or 'decentralising' education system, the roles, responsibilities, and authority of different levels need to be clear from the start. The decentralisation of education systems can be carried out for very different reasons, and in very different contexts, and the decentralised levels – whether provincial, district, municipal, or school/community – may not tally, necessarily, with those of other government units, such as health districts or local authorities. This may or may not matter, but there is always a danger of a SWAp reinforcing structures and roles and responsibilities at odds with the wider decentralised political system or just the education system itself. For instance, if overall resource allocation decisions have been made traditionally at the central ministry level, but sector-wide support is provided at the provincial level, not only will there need to be competencies at the provincial level on which to base such decisions, but such support might distort the balance achieved between the cross-provincial (regional) resource base. The same, of course, could also be said where support is given to individual schools as the most decentralised unit. Further, the various management bodies set up for a SWAp may or may not correspond to the political locus of authority.

It has been quite common for there to be a dividing up of regions by different IDPs keen to move toward a SWAp, but unwilling to tackle, especially, the whole of large, federal systems. Clearly, it is important in such cases that compacts are drawn up that strive toward coherence, both in terms of the necessary capacity development across the country, as well as attempts to address regional education disparities.

Neither decentralisation nor centralisation provides 'the' answers to such questions of coherence and the amelioration of disparities. Indeed, overall financial coherence may fly in the face of persistent disparities in the quality of education which require a decentralised, if not a localised approach to succeed. One of the strong arguments in favour of educational decentralisation, after all, is in order to craft educational approaches that are close enough to the grassroots to be appropriate to different communities.

Another 'lesson' that has emerged not so much from SWAps being applied to

decentralised education systems, but from educational decentralisation itself is that it is important that structures at decentralized levels marry planning with resource allocation decision making, so that performance monitoring brings with it accountability, itself embracing consultation and 'client' participation. Especially where SWAps encompass support to different decentralised levels, if such issues are not tackled from the start, the harmonization and alignment foreseen by the SWAp is likely to be foregone. Rather, the patchwork of support may resemble a multitude of individual projects, each with its own level or geographical entity. Clearly, too, it will be important for the SWAp to promote a coherent approach to the necessary capacity development across the different levels of responsibility and authority.

Coordination of International Development Partners
It is often the case that there is a group of locally-based, international development partners contributing to the education sector of a country, that meet amongst themselves on a regular basis, usually for the purpose of information-sharing. Even after the idea of a SWAp is raised, it is also often the case that such a group continues to meet, interspersed with what are typically bilateral meetings between the individual agency representatives and the government. Changing the nature of such a group to that of a government-led development partner coordination body can be straightforward, if the agencies represented have similar understandings of and perspectives on SWAps. More common, however, is that the group will undergo a slower metamorphosis as the government itself comes to its own views on an education SWAp and how it wishes to integrate the different development partners. As this happens, there are several issues around which there may be some tension, or at least differences of opinion and approach. These are highlighted here, not so much as 'lessons', as of issues to be taken into consideration from the experience of other countries in going through this stage of SWAp development.

First of all, there are those development agencies that have direct budget support as their ultimate aim for their development cooperation strategies with a country. Those agencies unable or unwilling or even disinterested in DBS will feel apart, as their cooperation may be seen, by some, to have been 'trumped' by the DBS agencies.

Secondly, there is likely to be some difference of opinion between those agencies which see their main partner as the government, and those which would prefer to cooperate not only with a wider spectrum of stakeholders, including NGOs and the private sector, but predominantly with the non-governmental sector.

Thirdly, if there has been a lead agency, as is the case with countries undergoing assessment for inclusion in the EFA Fast Track Initiative (FTI), or simply because of their predominance, historically, or due to the size of their contributions, the smaller agencies or those not designated as the 'lead' may feel their positions undervalued. This can be compounded by representation on SWAp management committees being restricted, for instance, only to those agencies able, willing, or, in fact, 'pooling'

their funds.

Fourth, there may be cliques of agencies – along the lines of banks or those making loans versus bilateral or multilateral grant-making agencies, or cliques of influence, that may be based on the professional positions of the locally-based representatives or development advisers. The actual composition of the group of development agency staff has been found to have a significant influence on SWAp development, as has the role of individuals, whose skill, leadership or drive, have proven to be crucial forces.

Then there is the position of the government, itself, vis-à-vis the development agencies as well as their staff, the history of interpersonal relationships or historical ties, common languages, professional backgrounds, affinities and social groupings. Very often the flown-in task managers or 'experts' of agencies not having locally-based staff with decision-making authority, can make up for the lack of leadership or professional experience, but the opposite can also be the case: that such flown-in staff become tarred with their aloofness from the local group or their HQs' authority, especially if they do not meet with the wider coordination group, or merely treat it as an information-sharing, and not a policy dialogue, if not a management body.

Finally, (although there are likely to be many other striations of interest), there may be a divide amongst the UN agencies or the UN Country Team (UNCT), or between the UN agencies – especially those putting relatively small amounts of money on the table – and those development agencies making substantial investments in the education sector of the country. The 'Delivering as One'[15] pilot country strategies, which are designed to consolidate all of the UN's programme activities, aligning them with national priorities, should lessen any such tensions. However, it needs to be recognised that whilst such consolidation amongst the UN agencies, is without doubt, a positive step forward, such 'UN' strategies, for education, themselves, need to be integrated with and coherent with the SWAp.

It also needs to be said that the position of the government vis-à-vis the SWAp, and more specifically, the role and responsibilities of a development partner coordination group will also be coloured by the individual perceptions of those in the government – whether MPs, ministers or civil servants - who stand to gain or to lose from the introduction of a SWAp and/or the transformation of existing projects into a SWAp. In some countries whole agencies exist for managing external cooperation, with individuals assigned to specific agencies. Thus, a development partner coordination group might challenge the roles and responsibilities of such agencies, depending on the long-term vision of the government towards such overall coordination of development assistance.
Government-led coordination of the development partners will need to rise above

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15   United Nations, <u>Delivering as One: Report of the Secretary-General's High-Level Panel</u>, United Nations, New York, November 9, 2006.

the first easy step of information sharing. It will need to involve government wielding the necessary control over the sector, directing its development and regulating the environment for non-governmental contributions to the sector. Such coordination, however, implies not only an understanding and manifestation of some of the constituent factors already noted such as leadership and strategic vision; it also requires increasing levels of trust amongst the various stakeholders in the SWAp, be they government, non-governmental organisations, IDPs or civil society. Increasing levels of trust, however, can only be achieved on the basis of realised capacity development, transparency, accountability, and fulfilled results. Thus, there is the potential 'chicken and egg' conundrum – how does one begin if the capacities are not there, if financial management is not up to scratch, and if the relationships have not been tested and found trustworthy? Typically, a capacity building plan is developed to start the ball rolling, and ideally, monies from the various interested IDPs are pooled for this purpose. However, other approaches have also been tried, not only where different IDPs press for their preferred 'projects', but also for their 'tied' technical assistance, including 'their' consultants, their modalities, and their priorities for capacity building to be given priority. When this happens, it makes government ownership, no less government-led coordination problematic.

3. Approaches of bilateral and multilateral agencies and UNESCO's role

Different development agencies approach SWAps differently, depending on a variety of factors, not least, fundamentally, their overall perspective on development assistance. However, most development agencies have at least begun to review, if they have not comprehensively arrived at revised development cooperation practices in light of the recent commitments made in the Paris Declaration on Aid Effectiveness[16], the Monterrey Consensus[17], the implementation and use of poverty reduction strategies as key lynchpins for development assistance, and, of course, the new aid modalities, including SWAps.

Development cooperation requires mutual understanding of the priorities and strategies taken by different partners. Thus, it is always a good idea for ministries of education and/or ministries of finance and development planning to be fully conversant with the approaches and underlying philosophies of the agencies with whom they do business, in order to know what room to manoeuvre may or may not exist in negotiations, the authority level of the local agency representative, and the various financial modalities available, and their assessment requirements. In addition, different agencies may focus on some particular aspects of education more

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16 See Paris Declaration on Aid Effectiveness: Ownership, Harmonisation, Alignment, Results and Mutual Accountability, March 2, 2005. (http://www.oecd.org/dataoecd/11/41/34428351.pdf)

17 Monterrey Consensus of the International Conference on Financing for Development, Monterrey, Mexico, 18-22 March 2002,United Nations, New York, 2003. (http://www.un.org/esa/ffd/)

than on others; some solely on basic education; others on teacher education; or non-formal education; or on technical assistance generally, etc.

It would not be appropriate for a publication such as this to go into the details of different development agencies; it would soon be outdated and/or inaccurate; and in any case, could not supersede the necessary homework required in situ, because of the particular involvement and possible historical relationship of particular agencies in specific countries.[18] However, it is worth bearing in mind the important role which a UN agency such as UNESCO can play in supporting the government amidst a sea of development agencies, given its specific mandate for education. Where there is sufficient in-country or regionally-based competencies, UNESCO can play the role of honest broker, or trusted intellectual partner[19], where called upon to assist the government in assessing available and potential development agency resources for education and assisting in the planning of their effective utilisation. This harks back to the sector-wide educational planning support which UNESCO, almost from its inception, has given to Member States requiring assistance. Though related, this is distinct from the current, often donor-initiated SWAp momentum, in which the development agency prerequisites, including the sector-wide education development plan, often become hurdles rather than building blocks of 'normal' planning practice.[20]

UNESCO's role as international coordinator for EFA accords it a further special position in education, as does its normative role in establishing agreement and reviewing compliance on educational norms and standards, from a human rights-based perspective. This also distinguishes it from some of the large players in educational development assistance, notably the World Bank, whose focus on education is tied more closely to its role in furthering economic development. The EFA Global Action Plan[21] aims to achieve greater coordination amongst the UN EFA convening partners, namely, UNESCO, UNDP, UNFPA, UNICEF and the World Bank.

The United Nations Development Group (UNDG) position paper on sector wide approaches presented at the Paris High Level Forum on Aid Effectiveness[22] in February 2005 emphasises the role of the UN generally as a neutral broker, "helping

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18 Numerous sources are listed under the section 'Development Agency Guidelines' in the References. In addition, individual websites of the bilateral and multilateral development agencies and banks, and the DAC Peer Reviews of the different development agencies provide a wealth of background information on the approaches taken, though not specifically with respect to education. (See http://www.oecd.org/department/0,2688,en_2649_34603_1_1_1_1_1,00.html.)

19 See http://www.unesco.org/education/efa/WG2006/Globalactionplan.pdf.

20 For instance, assessment guidelines, such as those used by the EFA Fast Track Initiative to assess the financial feasibility of the sector-wide education plans submitted for funding, utilise donor benchmarks, which in their application, come to resemble norms, though they are based on external and not national reviews of practice.

21 See note 10.

22 UN Development Group, The Role Of The UN System in a Changing Aid Environment: Sector Support And Sector Programmes, UNDG Position Paper, February, 2005. (http://www.un.md/un_agency_cooperation/docs/UNDG_position_on_sector_support.pdf)

to manage negotiations and providing solid evidence-based policy advice with a legitimacy based on the UN's international experience, normative work and access to best practice". This paper underlines the importance of the UNDG engaging in SWAps, and more specifically commits it to increasing support for the development of national capacities for managing SWAps. UNESCO's role in these two areas should be quite clear and linked to agreed plans and strategies to address current shortfalls. The recent adoption of the UNESCO National Education Support Strategy (UNESS) documents as the means of identifying UNESCO's support to Member States' educational development, and the piloting of UNESS as the hub of education thematic group discussions in the pilot 'Delivering as One' countries, should facilitate UNESCO's important role. In countries handled by a cluster office, rather than a country office, UNESCO's support and engagement will be challenged, just as IDPs have found the need to enter into 'silent partnerships' with other agencies to represent them in countries where they have no local office.

The position paper is also explicit about the UNDG's own guiding principles for development effectiveness in sector approaches, namely to reduce transaction costs through greater use of national systems (including sector reporting, monitoring and evaluation, performance review, progress reports, etc). Further, as the paper suggests, the need for 'upstream' policy advice, shifting away from project to sectoral work, will also entail a review of the "staffing and skill mix", of field offices and headquarters or regional office support services.

However, in addition to supporting recipient governments in managing the road to education SWAps, UNESCO also has a clear role to play in supporting capacity development identified within countries' education sectors for sound management, viz. policy analysis, planning, management and implementation of their sector strategic plans. It is hoped that this guide will have assisted ministries of education in the former, and thus helped to define the roles of different partners, including UNESCO, in the latter, to ensure that the support they receive from UNESCO and other development partners, in both human and financial resources, meets the countries' own requirements.

Further reading and references[23]

General Background

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Annexes

Annex I
Indicators of Progress[24]
To be measured nationally and monitored internationally

Ownership		Targets for 2010
1	Partners have operational development strategies	At least 75%
Alignment		**Targets for 2010**
2	Reliable country systems	a) Public financial management – half partner countries move up on measure on Country Policy and Institutional Assessment b) Procurement – one-third of partner countries move up at least one measéure on the scale used to assess performance for this indicators
3	Aid flows aligned with national priorities	Halve the gap: 85% aid flows on budget
4	Strengthen capacity by co-ordinated support	50% of technical cooperation flows implemented through coordinated programmes
5a	Use of country public financial management systems	a) All donors or 90% use partner countries' PFM systems – depends on baseline b) A one-third or two-thirds reduction in the % of aid to the public sector not using partner countries' PFM systems, depending on baseline country assessment
5b	Use of country procurement systems	a) All donors or 90% use partner countries' procurement systems b) A one-third or two-thirds reduction in the % of aid to the public sector not using partner countries' procurement systems depending on baseline country assessment
6	Strengthen capacity by avoiding parallel implementation structures (e.g. PIUs)	Reduce by two-thirds the stock of parallel project implementation units (PIUs)
7	Aid is more predictable	Halve the proportion of aid not disbursed within the fiscal year for which it was scheduled

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24 Adapted from the table in Section III in <u>Paris Declaration on Aid Effectiveness: Ownership, Harmonisation, Alignment, Results and Mutual Accountability</u>, March 2, 2005.

8	Aid is untied	Continued progress over time
Harmonisation		**Targets for 2010**
9	Use of common arrangements or procedures	66% of aid flows are provided in the context of programme-based approaches
10	Encourage shared analysis	a) 40% of donor missions to the field are joint b) 66% of country analytic work is joint
Managing for Results		**Target for 2010**
11	Results-oriented frameworks	Reduce the proportion of countries without transparent and monitorable performance assessment frameworks by one-third
Mutual Accountability		**Target for 2010**
12	No. of partner countries that undertake mutual assessments of progress in implementing agreed commitments on aid effectiveness including Paris signatories	All partner countries have mutual assessment reviews in place

Annex II
Situation Analyses and Data Requirements for Policy Simulations and Resource Projections[25]

Situation analyses will draw on data such as those listed below, which are required for simulations and projections. In addition, however, they should provide further disparity analyses of the country's education system in terms of regional, socio-economic, political and possibly ethnic, linguistic or other contextual variation, gender disparities, including those by attainment, completion, level and distribution. A situation analysis should go much further than reporting the data and cover the main issues of concern comprehensively, nationally, and with respect to specific areas or population groups, including teacher education, curricula, outcomes of education, utilising learning achievement and other qualitative indicators.

Structure of the education system – and optional flows by age between levels/types

Population data broken down into males and females
- 1-18 by year
- 19-24
- 25-49
- 50-64
- 65+

Primary education, Pre-school care and education, and Non formal education – broken down by public and private schools
- Grade 1 intake by sex
- School enrolments by year
- Promotion rates by year
- Repetition rates by year
- Drop-out rates by year
- Pupil/teacher ratio
- Number of classes (sections)
- Multi-grade classes
- Teachers by classification (grades of qualification)
- Non-teaching staff
- Textbooks and teachers' guides
- Available texts
- Number of classrooms and other rooms

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25 From EPSSim (Education Policy and Strategy Simulation Model): http://portal.unesco.org/education/eps/

Secondary education (1ˢᵗ and 2ⁿᵈ cycles) - broken down by public and private schools
- Registration rates: M/F by general, technical and vocational education by cycles including teachers' education for 2ⁿᵈ cycle)
- Promotion rates: M/F by grade and by type of school (as above) and public/ private
- Enrolments: M/F by grade and by type of school and public/private
- Teachers by type of school and by classification
- Technical assistants, supervisory staff and workers by type of school
- Number of sections by type of school
- Textbooks and teachers' guides by type of school
- Number of classrooms and other rooms by type of school
- Application of textbook policy – availability and lifespan of books and materials by type of school

Tertiary education – broken down by public and private institutions
- Enrolment rate – overall
- Enrolments: M/F by level and type of specialization
- Teachers by type of institution and classification
- Technical assistants, supervisory staff and workers, by type of institution
- Number of classrooms, labs, specialised and other rooms by type of institution

Cost and financing framework by level of schooling (public)
- Teachers' salaries by classification
- Other staff costs – administration, supervisory and clerical staff
- Teaching/learning materials
- Construction
- Equipment
- Other investment costs
- Cross-cutting expenditure, cabinet, staff, materiel
- Regional administrations
- Subsidies to private initiatives, etc.

Budget framework
- GDP
- Total government expenditure
- Formal Education Budget
  Of which share of primary
  Of which share of secondary 1
  Of which share of secondary 2
  Of which share of tertiary
- ECCE Budget
- NFE Budget

Non-State Contribution
- School fees 1 (e.g. primary)
- School fees 2
- School fees 3
- Household and Community contributions
- Development Partners' contributions: grants, loans, projects, TA, direct budget support

Annex III
Examples of Outlines of Sector-Wide Education Plans

Zambia Education Strategic Plan 2003- 2007

1	**Strategic Plan Context**
1.1	Introduction
1.2	Overall Strategic Direction
1.3	Vision and Goals
1.4	Social/Policy Context
1.4.1	Poverty Reduction
1.4.2	Free Basic Education (Grades 1-7)
1.4.3	Girls' Education
1.4.4	Early Childhood Development
1.4.5	Adult Literacy
1.4.6	Skills Training
1.4.7	HIV/AIDS, Orphans and Out-of-School Children
1.5	Economic Context
1.5.1	Budgetary Allocations to Education
1.5.2	Efficiency Measures, Cost-Sharing and Partnerships with the Private Sector
1.6	Institutional Context
1.6.1	Change Management
1.6.2	Education Boards
1.7	Research and Studies

2	**Strategic Programmes**
2.1	Basic Education
2.1.1	Situational Analysis
2.1.2	Sub-sector Goals
2.1.3	Strategic Summary
2.2	High School Education
2.2.1	Situational Analysis
2.2.2	Sub-sector Goals
2.2.3	Strategic Summary
2.3	Tertiary Education
2.3.1	Situational Analysis
2.3.2	Sub-sector Goals
2.3.3	Strategic Summary
2.4	Administrative and Support Services
2.4.1	Situational Analysis
2.4.2	Sub-sector Goals
2.4.3	Strategic Summary
2.5	Summary of Work Programmes

Master Plan to Develop Education of Mongolia in 2006-2015

CHAPTER 1 INTRODUCTION OF MASTER PLAN
1.1. Main goals and issues of the plan
1.2. Principles and approaches used in development of the plan
1.3. Process of development of the plan
1.4. Framework and duration of the plan
1.5. Structure and organization of the plan
1.6. Theoretical and methodological rationale of the plan

CHAPTER 2 CURRENT SOCIO-ECONOMIC AND EDUCATIONAL STATUS OF MONGOLIA
2.1. Correlation between socio-economic and cultural changes and education
2.2. Challenges of education

CHAPTER 3 POLICY AND STRATEGIC FRAMEWORK OF MASTER PLAN (UNTIL 2015)
3.1. Vision and mission of education
3.2. Priority issues of the plan
3.3. Objectives and strategies of education sector
3.4. Targets of education sub-sectors

CHAPTER 4 MID-TERM ACTION PLAN 2006-2010
4.1. Early childhood education
4.2. Primary and secondary education
4.3. Non-formal and adult education
4.4. Technical education and vocational training
4.5. Higher education

CHAPTER 5 ESTIMATIONS OF NEEDS AND REQUIRED FUNDS
5.1. Estimations of educational needs
5.2. Estimations of necessary funds
5.3. State budget and total expenses of education, estimations of deficient resources

CHAPTER 6 MANAGEMENT AND MONITORING-EVALUATION OF THE MASTER PLAN
6.1. Management and responsibilities of institutions
6.2. Monitoring and evaluation
6.3. Favourable opportunities and risks

Bibliography
Annex 1. Estimations of needs and funds

Republic of Moldova: Consolidated Strategy for the Education Sector (2006-2008)

Contents

1. Foreword

2. Legal Framework and Education System Reform

3. Current Situation of the Education System

4. Basic Principles of the Strategy

5. Main Objectives of the Strategy

6. Priorities for 2006-2008
   6.1. Early Education and Development
   6.2. Access to Quality Basic Education
   6.3. Education and Development of Children in PDS
   6.4. Non- formal Education
   6.5. Computerizing the Education System
   6.6. Specialized and Vocational Secondary Education
   6.7. Higher and Post-Graduate Education

7. Education and Millennium Development Goals in the Republic of Moldova

8. Implementation, Monitoring, and Evaluation Mechanisms

9. Consolidated Strategy Beneficiaries
Appendix. Evaluation and Monitoring Indicators

Madagascar

Plan du document

Résumé exécutif

Introduction

1. Bilan de la phase 2003-2004 du plan de réforme

    1.1 Résumé des actions prévues et réalisées en 2003-2004
    1.2 La réalisation budgétaire
    1.3 Synthèse des avancées du plan de réforme de 2003
    1.4 Les principales limites et contraintes à la mise en œuvre du plan de Réforme
    1.5 Les résultats obtenus
    1.6 Conclusion : les défis à court terme de l'éducation fondamentale

2. Actualisation des objectifs à court et moyen terme

3. Description succincte des stratégies prioritaires

4. Financement à moyen-terme de la réforme de l'EF1
    4.1. Le cadre macro-économique
    4.2. Scénarios de développement et de financement à moyen-terme
    4.3. Les principales actions prévues en 2005
    4.4. Les gaps de financement
    4.5. Requête au fonds catalytique pour 2005

5. Suivi et évaluation de la réforme

6. Coordination des bailleurs

Notes on other countries' sector-wide education development plans[26]

UGANDA
- Initial focus on primary sub-sector; after 3 years, the whole sector
- Broad policy and strategic objectives and broad targets
- Capacity development in strategic planning and programming including EMIS

ZAMBIA
- Movement from initial sub-sectoral SWAp on basic education to full SWAp based on strategic plan from 2003-07 based on broad outcomes

RWANDA
- Education Sector Strategic Plan drafted and reviewed jointly with funding agencies
- Based on sub-sectoral strategic frameworks for basic, secondary and higher education, and for science technology and research; and cross-cutting planning and management strategic framework; EFA plan subsumed under Basic Education Framework
- Implementation strategies designed following review of plan

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Annex IV
Notes on Some Examples of MTEFs[27]

UGANDA
- The majority of external funds to education were in the form of budget support funded directly to the treasury to finance govt expenditures in support of the government's education strategy, ESIP.
- To adopt this modality, the funding agencies required minimum criteria of: 1) macro-economic stability 2) credible budget framework and allocation including:
  o Credible revenue and expenditure projections backed by coherent policies
  o Equitable expenditures, particularly in terms of grants to the districts
  o Sound analysis underpinning the policies and budget figures
  o Adequate knowledge available regarding where and how budgets are allocated and spent
  o Donors' contributions to be taken fully into account in the budget process
- MOE has responsibility for resource allocation decisions and resource use; sector plans drawn up within MTEF guidelines, managed by MOFPED
- The key to the success of the MTEF has been the strengthening of institutional mechanisms to assist (and require) relevant decision makers to balance what is affordable in aggregate against policy priorities
- Modalities for disbursement: funding agencies release funds into the Education Budget Support Account managed by Treasury; funds transferred to Consolidated Account alongside other Govt funds to be released to specific ed budget lines/programs; disbursements are subject to approved and budgeted workplans, balances of undisbursed funds and financial audit.
- Fiduciary Assurance Framework established by Govt and funding agencies which comprises expenditure tracking studies, annual report on Govt budget performance and the agreement and monitoring of public expenditure management action plans.

ZAMBIA
- Four separate financing modalities accepted at SWAp set-up: 1) pooled fund at Ministry; 2) funds allocated to parallel, donor programme account managed by Ministry and available across the SWAp; 3) funds allocated to parallel, donor programme account managed by Ministry but available for specific components of the SWAp; and 4) funds controlled by donor and available for specific components (project support).
- Public expenditure and budget management systems within the MOFED weak, a major obstacle to the movement toward direct budget support.

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27 See footnote 26 for sources of material.

- Pace of decentralisation and MOE restructuring too slow, weak reporting systems

RWANDA
- Govt. recognises commitment by funding agencies to align assistance with ESSP priorities, but that certain agencies' procedures restrict the use of govt. systems and budget support modalities
- Govt. will allow flexibility in modalities and systems in short- to medium-term
- During 2000 budget preparation:
  - o a medium-term fiscal framework was used to define expenditure ceilings;
  - o sector and programme "profiles" were developed to sharpen the definition of sector policies and strategies, to improve identification of programme outputs and to strengthen the basis for prioritisation between programmes; and
  - o recurrent and development activities were considered together, evaluating submissions for each budget against the same sector and programme profiles.
- The introduction of the MTEF encompassed the whole of the Government (central, provincial and districts) through the development of a strategic planning model, which was the basis for training and project development.
- The IMF plays an important part in the process, which must not be underestimated, as the fiscal deficit (and therefore its two aggregates, expenditure and revenue) has to be agreed with the IMF.
- There is an attempt to include all expenditure funded by domestic revenue and donors, but donor funded projects are, as yet, still not fully accounted for. Work is on going to rectify this, but the lack of full information on donor funding is a severe hindrance to the implementation of the MTEF.
- The resource envelope is made up of domestic taxes, fees and charges, donor grants (programme and project) and domestic and international borrowing.
- The cash budgeting process effectively undermines the (overall) MTEF as it generates the element of uncertainty that the MTEF is meant to eliminate.
- Outputs, but not outcomes, are set in the strategic planning model that underpins the budget and the MTEF. Each sub programme has an output and activities and inputs specified to achieving this output. These outputs are not set, as yet, as performance targets, but are being introduced with this in mind when the MTEF as a process begins to mature.
- Decentralisation is being pursued below the District level, under the ubudehe mu kurwanya ubukene approach, which is currently being developed. Ubudehe is the traditional Rwandese practice and cultural value of working together to solve problems, and refers primarily to collective action at the harvest. The objective of the ubudehe mu kurwanya ubukene approach is to revive and foster collective action at community level, achieved by developing bottom-up budgeting and planning systems that articulate communities' needs, and by building upon local Government structures of Community Development Committees. This cellule level action planning exercise is seen as becoming the direct basis for decentralised planning and budgeting through the district level.

- Recurrent and development budgets remain separate, and more importantly the development budget remains under-specified, the ability to allocate resources optimally has to be questioned. Linking budgets and expenditure to performance in the MTEF is a serious concern.
- Ministries, having received training in the strategic planning model, have not seen the supply of the financial resources to deliver the outputs. This can generate scepticism of the MTEF as a tool and generate a culture where implementation is resisted, as it can create more work and responsibilities for individuals. Ensuring the delivery of financial resources is critical to the success and development of the MTEF.

Annex V[28]

Notes on the Composition and Mandates of Some Countries' SWAp Management Bodies

UGANDA

- **Ministry's Top Management Meeting (TMM)** – high level decision making body chaired by Minister; considers advice and recommendations of ESCC for policy making
- **Education Sector Consultative Committee (ESCC)** – chaired by PS, representation from relevant ministries of education, finance, ed institutions, funding agencies, NGOs/civil society and private sector; meets every 2 mos.; provides forum for consultation regarding ed policy, strategy and financing (based on inputs from Technical Working Groups)
- **Education Sector Reviews** – held 2x year, integrated with Govt budgetary cycle, led by MOE, involving participation of all major stakeholders in Ed; achievements are measured and budget support funds released against these achievements
- **Cross-Cutting and Sub-Sectoral Technical Working Groups** (Finance Planning and Management; M&E; Sector Policy and Management; MTEF; Primary; Secondary; Technical and Vocational; Tertiary; Teacher Education) responsible for technical strategy development, with membership from MOE and relevant ESCC agency representation
- **Education Funding Agencies Group** – local representatives of relevant funding agencies; meets 1x month to discuss and agree common positions on ed issues to take up with the MOE regarding major policy, strategy and financing, solely through channels agreed with the MOE (able to provide attention to reform detail, keeping wider picture in view, as little to no project responsibilities)
- **Memorandum of Understanding** – sets out principles of aid management and donor coordination in education

ZAMBIA

- **Joint Steering Committee (JSC)** – chaired by Minister, including MOE senior management and funding agencies, meets 2x year, responsible for overall policy formulation, approval of annual work plans and budgets, leadership and supervision of SWAp programmes, coordination of donor funds, receiving and reviewing reports.
- **Programme Coordinating Committee (PCC)** – chaired by Deputy Minister then PS, renamed Strategic PCC, and including SWAp management and funding agencies, meets every 2 months, responsible for coordinating annual work plans and budgets, monitoring Management Implementation Team, coordinating

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28 See footnote 26 for sources of material.

technical assistance, commissioning annual audits, resolving issues forwarded from the JSC; following MOU, only open to signatories.

- **Management Implementation Team** – now disbanded, but comprised senior management at MOE, met weekly and responsible for supervision of BESSIP activities, preparation of reports and budgets, organising semi-annual and annual reviews, PCC meetings, workshops and seminars, now integrated into restructure Directorates within Ministry, instead of being parallel, separate.
- **Financial Technical Committee** – responsible for overseeing financial management issues and the '6+6' task team, a committee of Ministry personnel and funding agencies, assisting with practical issues and preparation of annual reviews.
- **Education Sector Reviews** - meet 2x year, one to look back at progress over the previous year, and the other to look at the year ahead and to discuss the proposed annual work plan and budget**;** monitoring through quarterly progress reports eventually consolidated into annual reports.
- **SWAp Accounting Unit** – directly responsible to the Chief Accountant in the Ministry, supplied with two TA experts; internal audits done 2x year BY Auditor General, reporting to PS and PCC
- **Joint Memorandum of Understanding** - sets out Ministry's perspective on the management of the SWAP, discouraging non-pooled funding.
- **Donor Coordination Meetings** – information sharing on regular basis and policy discussions

RWANDA
- **Guidelines and Framework for Aid Coordination** developed by Ministry of Finance and Economic Planning: constraints to coordination clarified – 1) by funding agencies: complexity and inflexibility of funding agency mechanisms and procedures; insufficient national partnerships; misalignment with national priorities; short-term planning; 2) by Govt: lack of medium and long-term vision; limited institutional capacity for policy and programme development; little reliable statistical and financial information; poor dialogue with funding agencies
- **Partnership Principles**: funding agencies will: 1) honour ESSP vision and enable Ministry of Education to lead Joint Education Reviews which will satisfy their requirements; 2) ensure their structures and procedures comply with Ministry of Ed.; 3) harmonise their inputs through the Lead Agency mandated to represent the donor group; 4) present policy statements for the development of education; commit to undertaking joint strategic negotiations and planning; and all relevant information will be made available to all partners in both English and French.
- **Education Sector Steering Group (ESG)** – responsible for policy and monitoring education performance, chaired by Minister of Education, Secretary-Generals of education and relevant ministries represented, one donor representative, meets at least 2 x year.
- **Education Thematic Group (ETG)** – responsible for sector guidance and supervision, advises on programme planning, monitors sector development,

supervises, coordinates and guides Working Groups, ensures donor liaison, reports to ESSC, chaired by Minister of Education, comprised of senior technical and planning staff from ministries of education, finance, youth, local govt., funding agencies, NGOs, community and faith-based organisations.

- **Working Groups (WG) (4 SSGs; 2 CCUs)** – responsible for sub-sector strategy and action planning, makes proposals on sub-sector policies, targets and strategies, produces workplans, monitors sub-sector progress, exchanges information through cross membership between CCU and SSG, reports to ETG, chaired by Lead Directors, comprised of technical staff from ministries of education, finance, youth, local govt., educational institutions, funding agencies, NGOs, community and faith-based organisations, as appropriate; **Sub-Sectoral Groups (SSG)** (each chaired by Director, Sub-sector)**: Basic, Secondary, Higher Education, Science, Technology and Research (STR); Cross-Cutting Units (CCU): Quality and Relevance** (chair: Inspectorate General)**; Policy and Planning** (chair: Director Planning)**.**

KENYA[29]
KESSP coordination, implementation, and accountability structures

The specific functions of the proposed organs are as discussed below.

1. Education stakeholders forum

   Functions
   - Foster co-ordination and collaboration between the MOEST and other providers of education services.
   - Facilitate information sharing and partnerships between public, private, and non-profit sector education stakeholders.
   - Receive progress reports on programme implementation.

   Membership
   1. Minister, MOEST.
   2. Permanent Secretary, MOEST.
   3. Representatives from non-governmental organizations.
   4. Representatives from community-based organizations.
   5. Representatives from faith-based organizations
   6. Representatives from private sector service providers.
   7. Members of parliament.
   8. Union representatives.

   The Education Stakeholders Forum shall meet at least twice a year or when need arises.

2. National education advisory council

   Functions
   - Advise the Minister on emerging policy issues affecting education.
   - Mobilize resources for the education sector.
   - Advocacy on key issues affecting education.

   Membership
   1. Permanent Secretary - Ministry of Education, Science and Technology.
   2. 2 Representatives of the Universities-1Public & 1 Private.
   3. Representative of Private Schools (KPSA).
   4. Representative of Kenya Secondary Schools Heads Association.
   5. Representative of NGOs Council (an educationist).
   6. An eminent Industrialist.

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29 Kenya Education Sector Support Programme 2005-2010

7. Representative of National Environment Management Authority (NEMA).
8. Representative of KIPRA.
9. Representative of Kenya National Union of Teachers.
10. Two Eminent Educationists.
11. Representative of National Council of Science (NCS)
12. Representative of Commission for Higher Education (CHE)

The Council shall hold meetings twice a year or when need arises.

3. Consultative Government of Kenya- development partners committee

Functions
- Review programme implementation.
- Discuss resource mobilization and utilization.

The Committee shall hold quarterly meetings chaired by the MOEST.

4. Inter-Ministerial committee on education and training

Function
- Co-ordinate operations of different GOK Ministries, Departments and Agencies involved in delivery and support of education and training services.
- Harmonize operations.

Membership
1. Permanent Secretary- Ministry of Education, Science and Technology- Chair
2. Office of the President
3. Permanent Secretary- Ministry of Local Government
4. Permanent Secretary- Ministry of Health
5. Permanent Secretary- Ministry of Labour and Human Resource Development
6. Permanent Secretary- Ministry of Home Affairs
7. Permanent Secretary- Ministry of Roads and Public Works
8. Permanent Secretary- Ministry of Planning and National Development
9. Permanent Secretary – Ministry of Water Resources and Irrigation
10. Permanent Secretary- Treasury
11. Attorney General
12 Education Secretary - Secretary

The Committee shall hold bi-annual meetings or when need arises.

5. KESSP steering committee

Functions
- Coordinate and oversee KESSP implementation.

- Approve the KESSP workplans from Directorates.
- Monitor the performance of the KESSP Management Units.
- Provide overall guidance and support to KESSP implementation.
- Advise on KESSP resource allocation and utilization.
- Monitor and report on KESSP implementation.
- Review the outputs of ongoing technical work, such as research studies, pilot projects and, consultancies.
- Review KESSP performance indicators to assess overall achievements.

Membership
1. Permanent Secretary (Chairperson)
2. Education Secretary
3. Chairman, TSC
4. Secretary, TSC
5. Director, Policy and Planning
6. Director, Quality Assurance and Standards
7. Director, Basic Education
8. Director, Higher Education
9. Director, Technical Education
10. Coordinator, Reform Secretariat (Secretary)
11. Heads of SAGAs
12. Heads of Support Departments (Central Planning Unit (CPU), Administration, Finance, Accounts, Procurement, and Personnel)

The Steering Committee shall hold monthly structured meetings every first Tuesday of the month.

6. **Directorates of education**

   Functions

   6.1 Directorate of Higher Education
   Advise on formulation and implementation of government policies on secondary and higher education, including:
   - Co-ordination of admissions and transfers of students; and secondary teacher education.
   - Guidance and counselling in the higher education sector.
   - Advising on financing of secondary and higher education, including bursaries and grants.
   - Management of voluntary services in the education sector.
   - Facilitating access to local and overseas post-secondary education.
   - Advising on the development of post-secondary institutions.
   - Initiating and promoting cultural, technical and scientific co-operation agreements.
   - Staff development for teaching, research and technology services.

6.2 Directorate of Basic Education

Advising on coordination, formulation and implementation of Policies on:
- Early childhood Development and Education programme.
- Special needs education programme.
- Primary education programme.
- Non formal schools.
- Primary teachers education programme.
- School health and feeding Programme.
- Facilitation of the provision of textbooks to primary schools.
- Advise on appointment of Provincial and District Education Boards.
- Registration of basic education institutions.

6.3 Directorate of Technical Education

Advise on the formulation and implementation of policies and programmes in the technical education sector including:
- Provision of support for development activities in the technical and vocational training.
- Management of technical education programme.
- Career guidance and counselling.
- Liaising on matters relating to relations between technical institutions and the industry.

6.4 Directorate of Planning and Policy

The Directorate will be in charge of:
- Effective planning and development of policies in the education sector and reforms.
- Maintenance of accurate educational statistics.
- Reviewing of education policies.
- Co-ordination of education projects in the country.
- Co-ordination of KESSP Secretariat.

7. **Education sector reform secretariat**

   Functions
   - Monitor and evaluate KESSP programmes.
   - Provide advisory support to KESSP management units.
   - Coordinate programme documentation.

   Membership
   - One person from each directorate.

8. **Provincial Education Boards**

   Functions
   - Co-ordination of all programmes to eliminate duplication of activities.

- Monitoring and evaluation of programme implementation.
- Advising the Minister on pertinent issues arising from the field.
- Supervising district education programmes.

Membership
1. Provincial Commissioner-Chairperson
2. Provincial Director of Education
3. Representative of KSSHA
4. Representative of Sponsors
5. Religious Organizations
6. NGOs
7. Representatives of trade unions in the sector

9. District Education Boards (DEBs)

Functions
- Management of education services.
- Teacher management.
- School audit.
- Supervision of education programmes.
- Accounting for funds.
- Quality assurance.
- Resource mobilisation.

Membership
1. District Commissioner-Chairperson
2. District Education Officer-Secretary
3. Representative of Heads Association
4. Representative of Sponsors
5. Religious Organizations
6. NGOs
7. Representative of trade unions in the sector

10. Institutional Level

10.1 Boards of Governors
1. Ensuring official policies and guidelines are adhered to.
2. Strategic management of the institution.
3. Overseeing on delivery of education programmes.
4. School planning
5. Resource mobilization, utilization and accounting.
6. Monitoring of education standards.
7. Overall teacher management and discipline.
8. Collaboration with the communities in support to education
9. Management of non-teaching staff.

10.2 School Management Committees

1. Receive and account for all FPE resources.
2. Develop and implement school plans.
3. Mobilise additional resources.
4. Implement government policies and guidelines.

10.3 Parents-Teachers Association (PTA)

1. Monitoring implementation of school programmes.
2. Monitoring education services.
3. Mobilising additional resources.

Annex VI
Memoranda of Understanding

See the following 1) MOU and 2) Annexes for Mozambique with its international development partners in education.

http://web.acdi-cida.gc.ca/extranet/policy/swapsbboard.nsf/
516c6e077d8de1dd85256b45007704ea/e8d50c3a8eb266d8852570c3007cd380/
$FILE/MOU.pdf

http://web.acdi-cida.gc.ca/extranet/policy/swapsbboard.nsf/
516c6e077d8de1dd85256b45007704ea/e8d50c3a8eb266d8852570c3007cd380/
$FILE/MOU%20annexes%202006.pdf

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