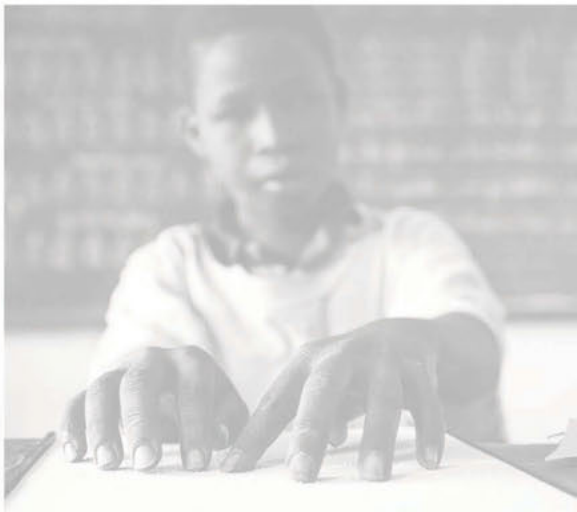
GLOBAL PARTNERSHIP *for* EDUCATION

Country-Level Guide

Recommended education sector and GPE grants processes



This guide provides a general overview of the GPE country-level operational model and processes

It can be used as a tool to navigate GPE processes at different stages of the sector-planning and grant-level cycles. This overview primarily targets local education groups including developing country partners, development partners and civil society organizations. It may be particularly useful for grant agents and coordinating agencies. Links are included to more detailed and comprehensive guidance on each of the processes discussed here.

For high-level policymakers and newcomers to GPE, a brief summary of the country-level process is available as: **"How GPE works in partner countries."**

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Table of Contents

P.06 LINKS TO USEFUL DOCUMENTS

P.09 ABBREVIATIONS

P.11 PART I. GPE AND ITS MODEL

P.12 What is GPE?

P.14 GPE objectives

P.15 Theory of change

P.16 Operational platform

P.17 Local education groups

P.19 Country policy and planning cycles: planning for success

P.27 Joint sector reviews

P.28 Key actors

P.32 GPE financing and funding framework

P.34 Overview of GPE grants

P.38 Alignment and harmonization

P.41 GPE funding model

P.45 ESPIG multiplier

P.46 Grant agents

P.48 PART II. GPE COUNTRY-LEVEL PROCESS

P.50 GPE Country-Level Process: Overview

P.53 GPE Country-Level Process: Steps

P.54 Step 1-7 ESP Development and GPE Membership

P.56 Step 1. Initial communication and information

P.58 Step 2. Stocktaking of the sector and dialogue on funding model requirements

P.60 Step 3. ESPDG application

P.64 Step 4. Education sector analysis

P.66 Step 5. ESP/TEP development and appraisal

P.71 Step 6. ESP/TEP approval and endorsement

P.74 Step 7. Confirmation of GPE membership

P.78 Steps 8 - 13: ESP implementation and ESPIG application and process

P.80 Step 8. ESPIG – initial steps

P.84 Step 9. PDG application

P.86 Step 10. Multiplier ESPIG application

P.88 Step 11. ESPIG – program development, quality qssurance and grant approvalapplication

P.94 Step 12. ESP/TEP implementation and monitoring

P.103 Step 13. Reapplication for GPE grants

P.105 APPENDICES

P.106 Appendix 1. How to become a GPE member as developing country partner

P.107 Appendix 2. Global governance structure and DCP representation

P.111 Appendix 3. Roles and responsibilities of key actors

P.116 Appendix 4. Countries eligible for GPE funding

P.118 Appendix 5. Alignment and harmonization

P.120 Appendix 6. GPE funding model – requirements and incentives of the ESPIG

P.123 Appendix 7. Support to fragile and conflict-affected states

P.126 Appendix 8. GPE quality assurance reviews

P.127 Appendix 8a. ESP/TEP development process and Secretariat inputs

P.128 Appendix 8b. ESPIG development process and Secretariat inputs

Links to useful documents

GPE STRATEGY & RESULTS

- GPE 2020
- Results Report
- Gender Equality Policy and Strategy 2016–2020

GUIDELINES FOR EDUCATION SECTOR ANALYSISIS, PLANNING

- Guidelines for Education Sector Plan Preparation
- Guidelines for Education Sector Plan Appraisal
- Guidance for Developing Gender-Responsive Education Sector Plans
- Methodological Guidelines for Education Sector Analysis, Volume 1
- Methodological Guidelines for Education Sector Analysis, Volume 2

GUIDELINES FOR EDUCATION SECTOR IMPLEMENTATION AND MONITORING

- Joint Sector Reviews in the Education Sector: A Practical Guide for Organizing Effective JSRs
- Principles Toward Effective Local Education Groups (Forthcoming)

TERMS OF REFERENCE

- Terms of Reference for Grant Agents of the GPE ESPIG
- Terms of Reference for Grant Agents of the GPE ESPDG
- Terms of Reference for Coordinating Agencies
- Terms of Reference for GPE Secretariat's Country-Level Engagement

EDUCATION SECTOR PROGRAM IMPLEMENTATION GRANT

- Operational Framework for Requirements and Incentives in the Funding Model
- Grant Eligibility (Meeting of the Board of Directors, March 1, 2017)
- Guidance on Division of Indicative Allocations for Program Implementation Grants in Federal States
- GPE Funding Model Requirements Matrix
- Funding Model Requirement Matrix – Domestic Financing Annex
- GPE Funding Model Requirements Matrix – Regional ESPIG
- Standard Selection Process for Grant Agents
- Guidance Note on GPE Variable Part Financing
- Guidelines for Education Sector Program Implementation Grants
- Timeline and Milestones Calendars for Partner Countries Submitting Applications to Access GPE Implementation Grants
- Policy on Education Sector Program Implementation Grants (after ESPIG approval)
- Guidance Note on Implementation Grant Progress and Completion Reports for Grant Agents

MULTIPLIER

- Multiplier Eligibility
- Guidelines for Multiplier ESPIG
- Timeline and Milestones Calendar to Submit Applications for the GPE Multiplier

OTHER GRANT GUIDELINES

- Guidelines for Education Sector Plan Development Grants
- Guidelines for Program Development Grants
- KIX: Frequently Asked Questions
- Education Out Loud Blueprint

ADDITIONAl GUIDELINES FOR ESPIG-ELIGIBLE COUNTRIES IN HUMANITARIAN SITUATIONS

- Guidelines for Accelerated Support in Emergency and Early Recovery Situations
- GPE Operational Framework for Effective Support in Fragile and Conflict-Affected States
- Operating Principles in Complex Emergencies: Report from GPC.
- Guidelines for Transitional Education Plan Preparation
- Guidelines for Transitional Education Plan Appraisal
- Thematic Mapping: A Selection of Tools and Resources for Planning in Fragile and Conflict-Affected Contexts

GOVERNANCE DOCUMENTS AND POLICIES

- GPE Charter
- GPE Fund Governance
- Conflict-Resolution Procedures
- Policies and Communications Protocol on Misuse of GPE Trust Funds
- Contributions and Safeguards Policy

All documents and guidelines to support partner countries in preparing their education sector analysis, education sector plan and applications for GPE grants can be found on GPE's website.

Abbreviations

CA	coordinating agency
CSO	civil society organization
DCP	developing country partner
DP	development partner
DPG	development partner group
EMIS	education management information systems
EOI	expression of interest
EOL	education out loud
ESA	education sector analysis
ESP	education sector plan
ESPDG	education sector plan development grant
ESPIG	education sector program implementation grant
FPA	financial procedures agreement
FCAC	fragile and conflict-affected states
GA	grant agent
GNI	gross national income
GNC	Grants and Performance Committee
GPE	Global Partnership for Education
GRESP	gender-responsive education sector planning
IIEP	UNESCO International Institute for Educational Planning
JSR	joint sector review
KIX	Knowledge and Innovation Exchange
LEG	local education group
M&E	monitoring and evaluation
MCA	maximum country allocation
MCAM	maximum country allocation from the multiplier
NGO	nongovernmental organization
PDG	program development grant
PFM	public financial management
QA	quality assurance
QAR	quality assurance review
SDG	Sustainable Developement Goal
TEP	transitional education plan
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund

Part I: GPE and its Model

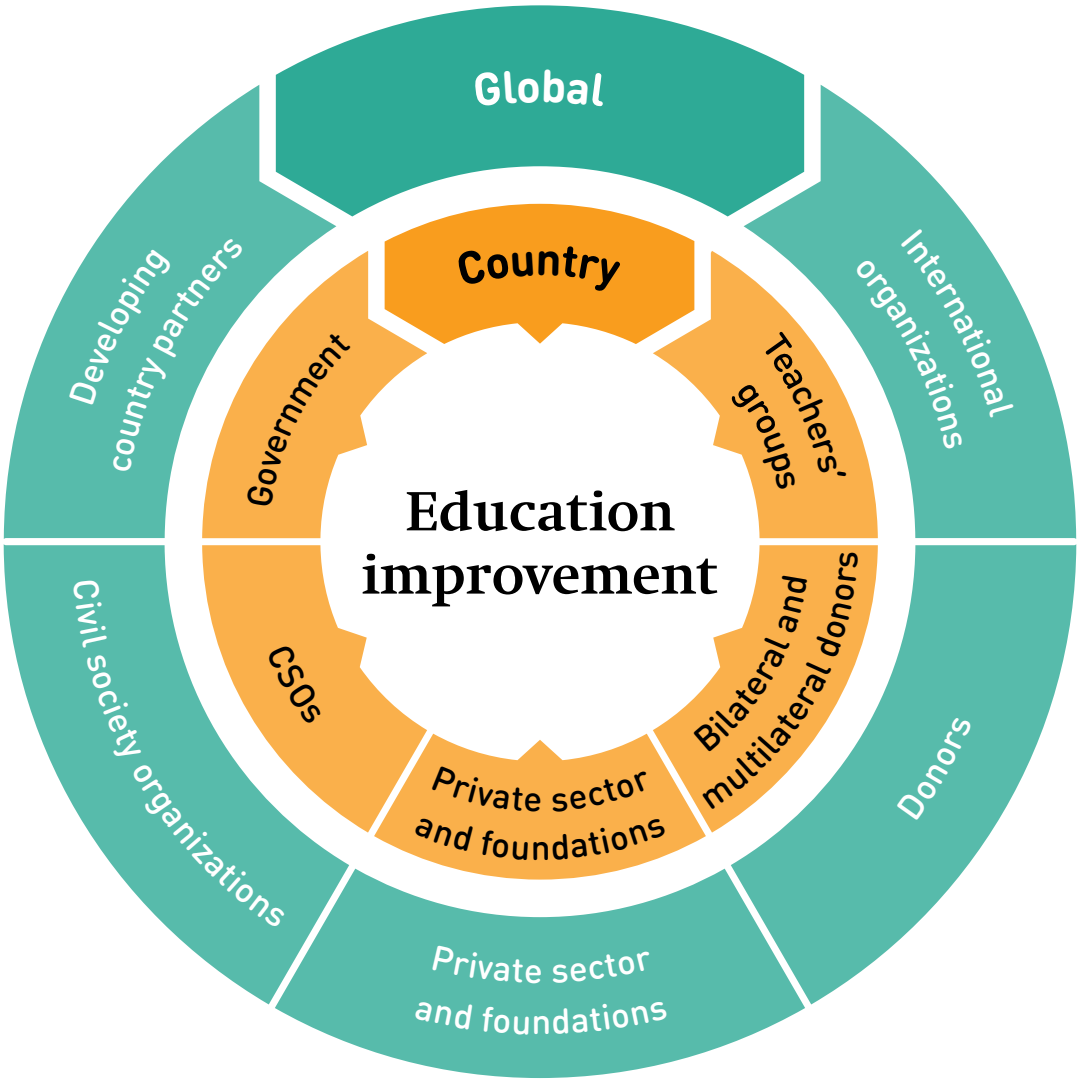
Credit: GPE/Kelley Lynch

Credit: GPE/Kelley Lynch

1.

What is GPE?

The Global Partnership for Education (GPE) is a **global partnership** and **fund** dedicated exclusively to improving education for the world's most vulnerable children, including girls, children with disabilities and those living in fragile and conflict-affected states. GPE brings together major education stakeholders at both the global and country levels, with close to 70 developing country governments, more than 20 donor governments, civil society, teacher and private sector organizations, multilateral agencies and philanthropic foundations.



AT THE GLOBAL LEVEL

GPE is governed by the Board of Directors, which is made up of representatives of the actors mentioned above. The Secretariat provides day-to-day administrative and operational support. See: Appendix 2. Global governance structure and DCP representation.

AT THE COUNTRY LEVEL

Education partners come together through coordination groups called local education groups to support the government to improve education systems and results.

2.

GPE Objectives

GPE has adopted as its vision Sustainable Development Goal 4: To ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.

GPE supports the poorest countries with the greatest education needs. GPE mobilizes financial and technical support globally from bilateral and multilateral donors/organizations, the private sector and philanthropic foundations and directs it to developing countries to support the development and implementation of good quality and inclusive education sector plans.

GPE has helped forge stronger and more coherent support for the education sector by providing a framework for bringing ministries of education and their partners together for a common purpose: improving learning and equity through stronger education systems.

GPE encourages engagement with, and use of, national public financial management systems for the implementation of external aid, and inclusive dialogue among country-level education stakeholders to support inclusive and effective education planning and results.

The partnership is underpinned by international commitments such as the Education 2030 Incheon Declaration and Framework for Action, the 2005 Paris Declaration and 2008 Accra Agenda for Action.

Theory of change

Goals & Outcomes

1. Improved and more equitable learning outcomes
2. Increased equity, gender & inclusion
3. Effective and efficient education systems

Objectives

COUNTRY LEVEL

1. Strengthen Education Sector planning and policy implementation
2. Support Mutual Accountability Through inclusive policy dialogue and monitoring
3. Ensure Efficient and Effective delivery of GPE support

GLOBAL LEVEL

4. Mobilize more and better financing
5. Build stronger partnership

As shown in the theory of change, GPE's three country-level and two global-level objectives reflect the work of the partnership to contribute to the three strategic goals.

Credit: GPE/Kelley Lynch

3.

Operational Platform

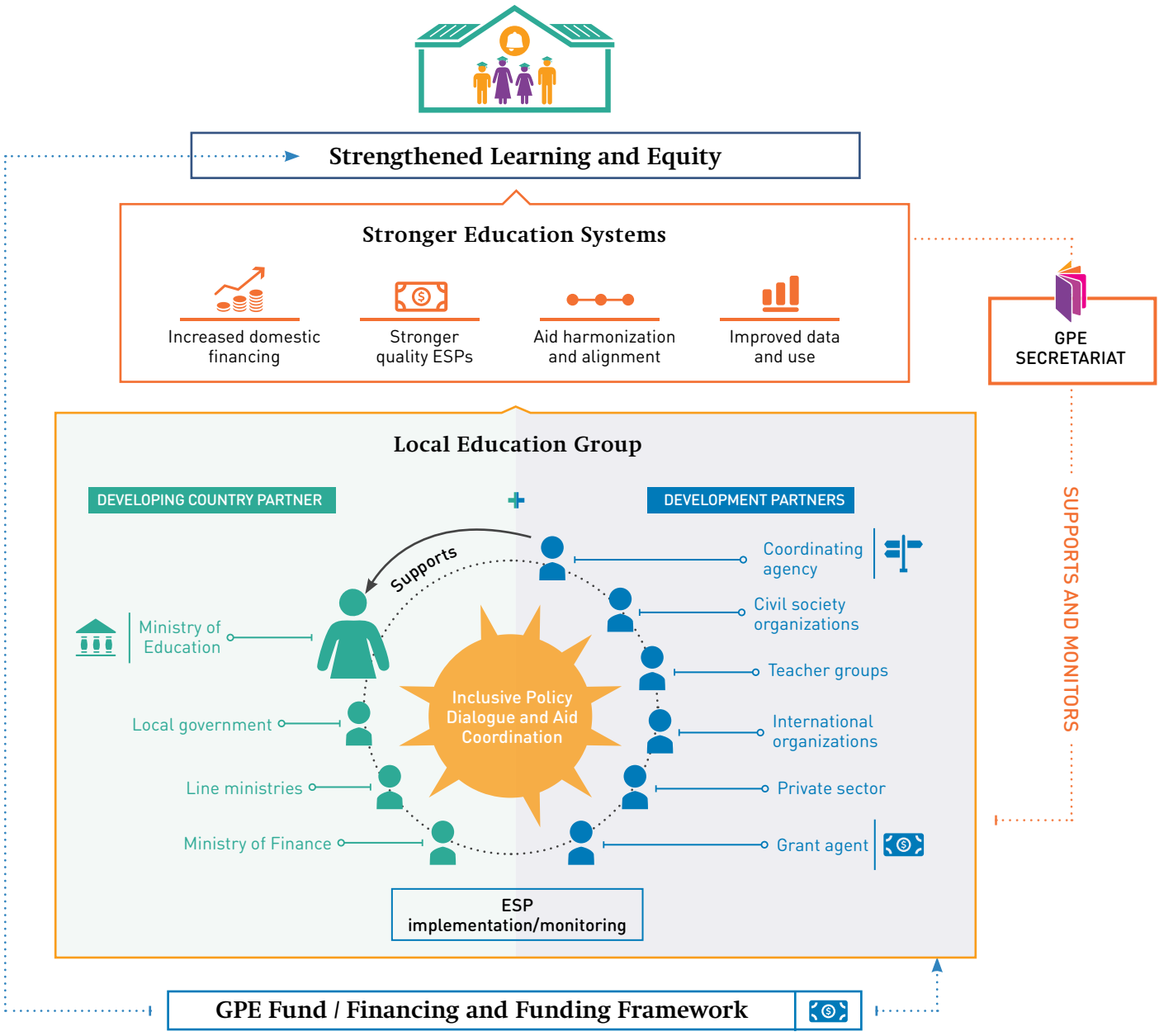
Partnership and mutual accountability are fundamental principles of GPE.

GPE partners commit to the partnership model and subscribe to the "GPE compact" of the GPE Charter. Through this, developing country partner governments commit to developing robust education sector plans, increasing domestic financing to education, and demonstrating results. Development partners commit to supporting and aligning to national sector plans, harmonizing aid and using country public financial management systems. GPE partners assume mutual accountability to perform, monitor and report on their respective roles and responsibilities to achieve the goals, objectives and targets in the GPE results framework with the goal to help deliver on Sustainable Development Goal 4 (SDG 4).

Local Education Groups

GPE's operational model in partner countries seeks to improve equity and quality in education through a strong and inclusive policy dialogue platform: the local education group (LEG).

At the heart of GPE, LEGs are founded on the principle of collective support for a single country-led process toward the development, endorsement, implementation and monitoring of an education sector plan. See: Appendix 1. How to become a GPE member as developing country partner.

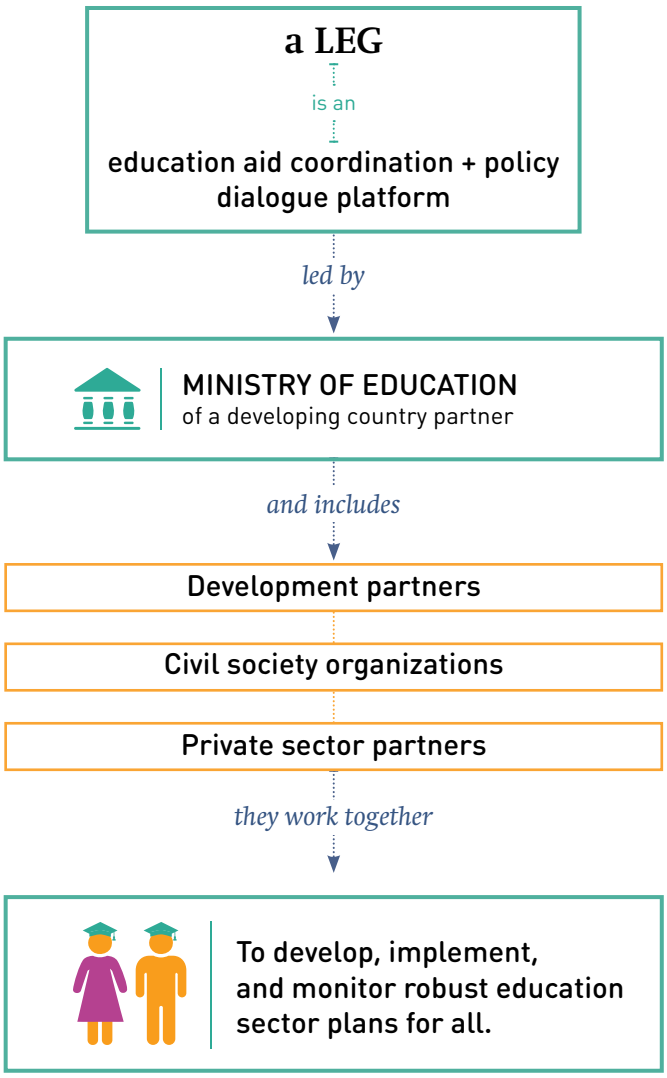


The LEG is not a separate mechanism set up for GPE processes but it a broader education aid coordination and policy dialogue forums to improve education.

Most countries have such platforms before joining the partnership. GPE promotes their strengthening. These platforms/groups are named differently in each country, but they are called LEGs by GPE as a generic term.

The LEGs are led by the Ministry of Education (MoE) of a developing country partner (DCP), and generally include development partners (DPs), civil society organizations (CSOs) and other education stakeholders. Each country has its own way of organizing the LEG, in terms of title, composition, function and working arrangements.

The LEGs enable the development, implementation and monitoring of robust education sector plans aiming to provide quality education for all children. This country- and sector-level process is at the center of the GPE model.



MORE INFORMATION:

Principles Toward Effective Local Education Groups (forthcoming)

Country Policy and Planning Cycles:

PLANNING FOR SUCCESS

GPE's Strategic Plan 2020 supports the Sustainable Development Goal 4 of ensuring inclusive and quality education for all by building stronger education systems for achieving improvements in education equity and learning. A credible plan—an education sector plan (ESP) or transitional education plan (TEP)—is the foundation of a stronger education system capable of delivering improvements in equity, gender equality and inclusion, and learning. The development and adoption of an education plan and sector-wide policies is the responsibility of the government, and takes place through existing planning processes. By providing technical and financial support at key points of the planning cycle, GPE promotes the strengthened quality of ESPs and TEPs, and supports DCPs in achieving their goals for the sector.

ESP: An ESP is a national policy instrument, developed by the government and supported by the LEG. It is designed, implemented and monitored by the government, with support from the LEG, as part of a continuous cycle of planning and policymaking. Guided by national development priorities, and international commitments of the government, it provides a medium- to long-term vision for the national education system.

TEP: A TEP aims to steer and mobilize resources that will help maintain education services in times of crisis. By identifying priority actions in the short and medium terms, a TEP forms the basis for a coordinated approach between development actors within a LEG and humanitarian actors through the education cluster. A TEP enables a government and its partners to develop a structured plan to maintain progress toward meeting immediate needs as well as actions needed to strengthen education system capacities. A TEP should help move the country toward developing a comprehensive education sector plan.

ESPs and TEPs include a monitoring and evaluation (M&E) framework with clear targets for achievement for each strategy, so that the government and partners can monitor implementation on an ongoing basis and follow up as needed. Both plans are accompanied by a costed, multiyear implementation plan to ensure that sufficient human and financial resources are allocated to each strategy and that implementation can succeed.

EDUCATION PLANS: KEY FACTS

- ESPs and TEPs present the policies and strategies for national education reform.

- Strong ESPs and TEPs provide a clear roadmap for the sector, allowing the government and its implementing partners to be clear on how the policies and strategies will be implemented (by whom, where, when, how many etc.).

- The plan is a powerful tool for mobilizing additional domestic and external resources around policies that are credible, sustainable and achievable.

- Consultation with stakeholders including regional, provincial, and district education authorities, DPs and CSOs can strengthen the evidence base for policymaking and prioritization of key strategies.

- Collaboration can foster ownership among the stakeholders who will play a part in the successful implementation of the plan.

- The final plan is usually shared with all stakeholders and made publicly available.

- Implementation can be monitored annually through a multi-stakeholder process.

Main steps of the education sector planning cycle:

EDUCATION SECTOR ANALYSIS

Based on quantitative and qualitative data the analysis examines current policies and causes of sector weaknesses at the national, regional and school levels. The analysis also reviews sector financing and system capacity.

EDUCATION SECTOR PLANNING AND APPRAISAL

This includes strategies for improving access to and the quality of education. It covers all education subsectors from early childhood education to higher education and adult learning. The plan should consider financial, technical and political constraints, and reflect stakeholder inputs (including regional-district- and school-level stakeholders and CSOs). Doing this enhances ownership. Development partners commission an independent appraisal to establish the soundness of an education sector plan.

PLAN APPROVAL AND ENDORSMENT

Once follow-up recommendations are addressed, the government adopts its plan through its own mechanism and development partners endorse it. This shows their commitment to technically and financially supporting the plan's implementation.

PLAN IMPLEMENTATION

Implementation arrangements are set out in the multi-year implementation plan, which should contain detailed information on activities, targets, budgets and responsibilities. The government is responsible for implementing the plan and development partners provide support.

PLAN MONITORING

Regular monitoring by the MoE under the plan's monitoring framework and periodic reviews should be carried out to take stock of progress and discuss solutions to problems. Joint sector reviews involving the government and other LEG members are typical joint monitoring mechanisms.

EVALUATIONS

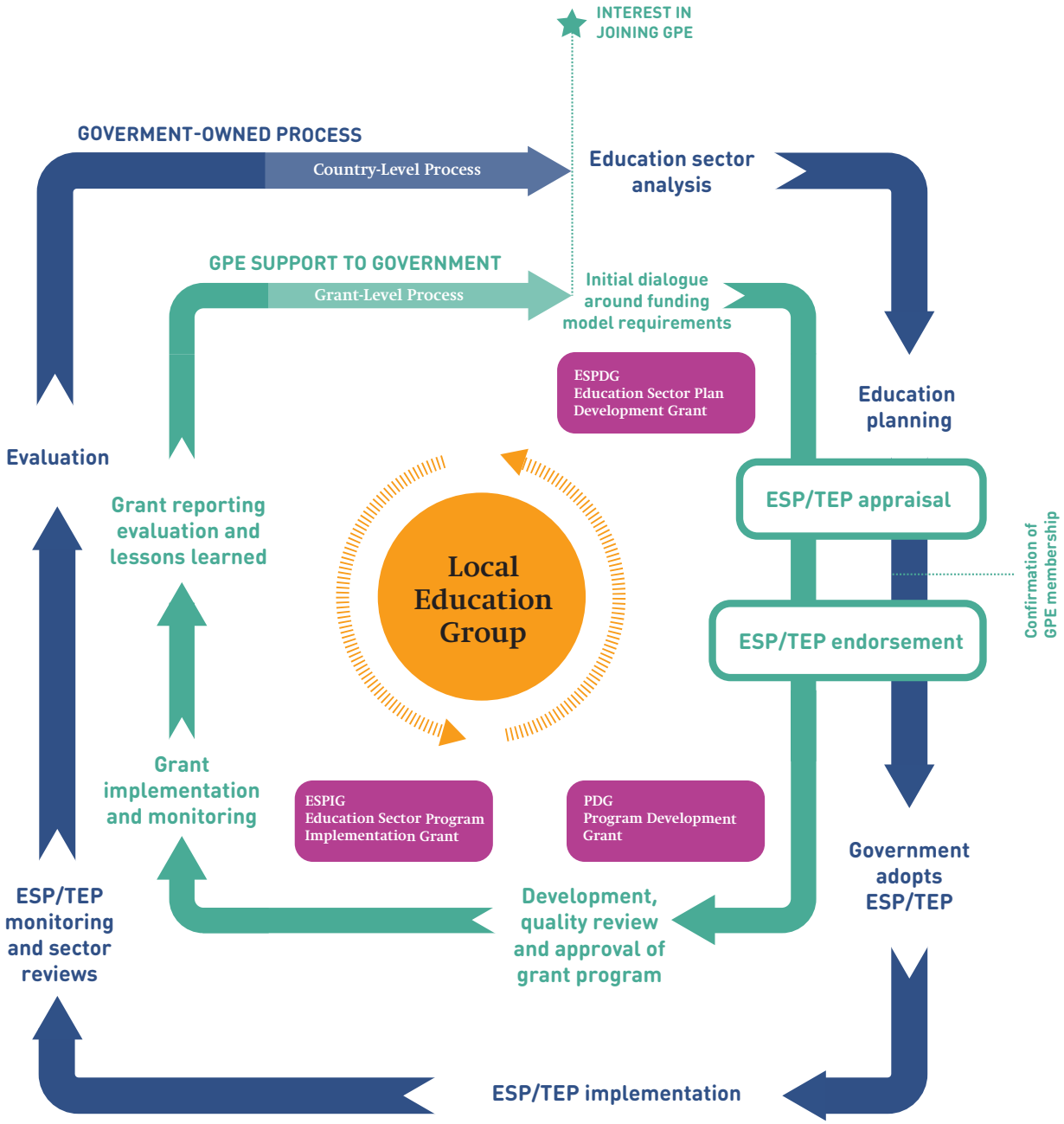
Evaluations usually take place at midterm and at the end of an education sector plan period to assess impact and outcomes, relevance, cost-effectiveness and sustainability of strategies. Lessons learned feed into the second half of a plan period or a new sector plan.

MORE INFORMATION:

- Guidelines for Education Sector Plan Preparation
- Appendix 7. Support to fragile and conflict-affected states
- Guidelines for Transitional Education Plan Preparation.

GPE's model aims to strengthen the government's existing sector-level planning, implementation and monitoring cycle.

It achieves this through its grant requirements and processes, which run alongside the government's established planning cycle. The fit and complementarity between GPE's country-level processes and the national planning process is shown in the chart below. The outer circle identifies national processes and the inner circle demonstrates how GPE's grant and country-level processes support the government's planning cycle. The LEG works together throughout this process.



SUPPORTING STRONG ESPs AND TEPs

To access GPE's maximum country allocation, the ESP or TEP must be considered "credible." The credibility of an ESP/TEP is assessed through seven dimensions (see: page 24). A full ESP/TEP package includes the following:

1. An M&E framework with clear targets to facilitate achievement of national goals.
2. A costed, multiyear implementation plan to ensure sufficient allocation of resources and effective implementation.[1]

Appraisal: Prior to submission to the Secretariat, the full ESP/TEP package must be independently appraised. The appraisal recommendations are discussed and follow-up actions are agreed upon by the government/MoE and the DPs. The appraisal is a process that helps ensure the finalized plan is a clear, practical tool for the government to achieve national sector goals. As a policy dialogue tool/process, the appraisal should be used to agree on priority and strategic follow-up actions that would enhance the quality and "implementability" of the plan. The challenge is to develop plans that are at the right level of ambition, a manageable size of policy reforms bearing in mind possible human/financial/logistical capacity constraints. **See:** Part II, step 5, and Appendix 8A.

Endorsement: The ESP/TEP must be endorsed by the DPs, including CSOs. The endorsement of the ESP/TEP happens after the government—the primary owner and implementer—has adopted it as its national strategy for education. Each agency decides whether it will endorse the plan and sign the collective endorsement letter. With the endorsement letter, the in-country DPs, including the CSOs, declare that they find the plan "credible," and that they are committed to providing their technical and/or and financial support within this framework. See: Part II, step 6.

1. Depending on the length and the level of detail of the sector plan itself and other existing national planning tools (multiyear financial frameworks and so on), some countries may choose to work only through annual implementation plans (that is, not have multiyear implementation plans). In such cases, when education sector program implementation grant applications are reviewed, country context such as the existence of well-functioning annual planning/reporting systems (preferably linked to medium-term expenditure frameworks), including joint reviews between the government and partners, will be considered.

Seven dimensions of a credible ESP:

1. **Guided by an overall vision:** of national development and set of principles for the sector.
2. **Strategic:** Identifies and prioritizes strategies according to the technical, human and financial resources available.
3. **Holistic:** Plans for all subsectors, from early childhood education to higher education.
4. **Evidence-based:** Draws on a sound education sector analysis and multi-stakeholder consultations.
5. **Achievable:** Outlines strategies for effective implementation to overcome financial, technical and political challenges; includes a framework for budget and management decisions.
6. **Sensitive to context:** Analyzes possible environmental, political and economic vulnerabilities and risks, plans for resilience, and mitigates risks.
7. **Pays attention to disparities:** Recognizes that there may be significant disparities between different groups of children and identifies strategies to serve children from vulnerable and disadvantaged groups.

Summary of GPE support to the ESP cycle

GPE proposes a range of resources and financial and technical support at all stages of the national planning and policy cycle.

ESP/TEP DEVELOPMENT

ESP/TEP development may begin with education sector analysis (ESA) and the drafting of an ESP/TEP and its implementation plan. GPE supports ESP/TEP development through:

- Guidelines for Education Sector Plan Preparation
- Guidelines for Transitional Education Plan Preparation
- Guidelines for Education Sector Plan Appraisal
- Guidance for Developing Gender-Responsive Education Sector Plans
- Funding model requirement 1 for education sector program implementation grant (See: Page 42.)
- Education sector plan development grant of up to US$500,000 (See: Part II, step 3.)
- GPE Secretariat comments to the draft sector plan (See: Part II, step 5.2.)

ESP/TEP IMPLEMENTATION

After development is complete (including appraisal, government approval and endorsement by DPs including CSOs) the implementation phase begins. GPE supports ESP/TEP implementation through:

- Funding model requirement 2 – domestic funding of 20 percent of national budget (or a plan to move toward this figure) (See: page 42)
- Education sector program implementation grant (ESPIG) of up to several million dollars to support implementation of the ESP/TEP (See: Part II, step 8.)
- Multiplier ESPIG of up to several million dollars to support implementation of the ESP/TEP (See: Part II, step 10.)
- Program development grant (PDG) of up to US$200,000 (US$400,000 in exceptional circumstances) to support preparation of the ESPIG (See: Part II, step 9.)

MONITORING AND EVALUATION

During implementation, country-level data are used to assess progress toward the goals and targets outlined in the M&E framework. Progress is monitored through annual reports and an annual joint sector review in which the MoE, supported by the LEG, reviews progress against the ESP/TEP goals and determines follow-up action, which then feeds into the annual/multiyear implementation plan. Evaluations typically take place at the midterm review and also at the end of implementation. New data gathered through ESP/TEP monitoring and final evaluation inform the next ESA, and lessons learned are incorporated into the development of the next ESP. Monitoring and evaluation are supported by GPE through the following:

- Funding model requirement 3, the availability of critical sector data and learning outcomes and the capacity to use this data effectively (See: page 43)
- Joint Sector Reviews in the Education Sector: A Practical Guide for Effective JSRs
- Funding for joint sector reviews as part of the ESPIG application, or through an additional financing window of the ESPDG of up to US$50,000

Joint Sector Reviews:

The joint sector review (JSR) is a government-led process bringing different stakeholders together to engage in dialogue to review progress, monitor expenditure and discuss the way forward for the implementation of national education sector plans.

Usually organized on an annual basis, JSRs should involve all key actors of the education sector, including representatives of education authorities at decentralized levels. JSRs provide an important forum for retrospective monitoring of the results achieved in the implementation of an education plan. They also serve as a forward-looking planning instrument, for the operational planning of the following year, including identifying actions to overcome implementation issues.

To be effective, GPE considers that JSRs need to be (1) inclusive and participatory, (2) aligned to shared policy frameworks, (3) based on evidence, (4) a monitoring tool of sector progress, and (5) effectively embedded into a policy cycle. Good practice is for JSRs to be based on annual implementation reports shared beforehand with stakeholders, so that meetings can focus on identifying success that can be scaled up or ways forward for key bottlenecks.

Since GPE grants are designed to support the education sector planning cycle, progress of GPE grants, especially the ESPIG, should be reported as part of the annual JSR and should use national monitoring mechanisms wherever possible. This ensures that progress on GPE-funded activities is viewed in the broader context of overall sector progress, strengthening communication between members of the LEG and other stakeholders and reducing duplication of efforts. [See: Joint Sector Reviews in the Education Sector: A Practical Guide for Effective JSRs.]

Key Actors

LOCAL EDUCATION GROUP[2]

GPE works to promote strong, representative LEGs as a forum for education sector dialogue and improved coordination of technical and financial support to long-term strategic planning, including the ESP/TEP, under government leadership. The specific composition, title, and working arrangements of the LEG will vary from country to country, but the LEG should generally include (a) the national government (including representatives of decentralized entities of the Ministry of Education (MoE) and other line agencies such as finance, gender and health as necessary), (b) bilateral and multilateral development agencies, and (c) other education development partners, such as CSOs, private education providers, members of the private/corporate sector and private foundations. The coordinating agency and grant agent are active members of the LEG.

DEVELOPING COUNTRY PARTNER GOVERNMENT

DCPs commit to work toward achieving Sustainable Development Goal 4. The DCP leads the LEG and is responsible for the development, implementation, monitoring and evaluation of the ESP/TEP. It is primarily accountable to its parliament and citizens but also commits to the partnership to make progress on GPE's global objectives by becoming a member.

DCP Focal Point: Each DCP member appoints a senior MoE official to liaise with the Secretariat/partnership. This official serves as the ministry's primary interlocutor who facilitates communications and coordination with the other members of his/her DCP constituency. [See: Appendix 2. Global Governance Structure and DCP Representation.]

2. LEGs have different names in each country; the wording "local education group (LEG)" is used as a generic term at the global level. Some examples include: education sector development committee, joint education sector working group, education technical working group, and ESP/TEP consortium.

DEVELOPMENT PARTNER GROUP

The development partner group (DPG) comprises all the development partners supporting a country technically or financially, for example, in developing and implementing an ESP/TEP. It generally includes bilateral and multilateral development agencies, education development partners from civil society, the private/corporate sector and private foundations. The membership may be very similar to LEG membership, though the MoE is not a member of the DPG. The DPG may not exist in all countries. Where it exists, it may meet face-to-face or virtually. The DPG endorses the ESP/TEP.

COORDINATING AGENCY

The coordinating agency (CA) is a DP designated by the LEG to facilitate its work. The CA is usually the chair of the DPG. It supports the government in leading the LEG, and brings DPs together to support the government in all stages of education sector plan development, implementation and monitoring. It also coordinates and facilitates country-level partners' engagement with the GPE Secretariat, and thereby serves as a key communication link between the LEG and the Secretariat. It plays an important role throughout the GPE grant process, including the discussion on funding model requirements, the grant focus, the transparent selection of the grant agents, and high-level monitoring of the ESPIG implementation.

MORE INFORMATION:

Terms of Reference for coordinating agencies.

CIVIL SOCIETY ORGANIZATIONS

CSOs help shape education policies and monitor programs, and hold governments accountable for their duty to fulfill the right to education. Depending on the context, CSOs include international and local nongovernmental organizations, representatives of the teaching profession and parents' associations, academia and other partners supporting the education sector. They are represented in the DPG and the LEG to support progress through raising awareness of key issues, advocacy for marginalized and vulnerable groups, and dialogue on the development, implementation and monitoring of the ESP/TEP.

GRANT AGENT

The grant agent (GA) supports the government in the development, implementation and monitoring of an ESP/TEP or GPE program grant, in close collaboration with the CA and the other members of the LEG[3]. The selection process is led by the LEG (that is, the government approves and the LEG endorses the GA chosen by the selection committee appointed by the government). The GA enters into a financial procedures agreement with the GPE trustee, which defines fiduciary and reporting responsibilities for the grant. The GA generally disburses GPE funds to implementing partners (notably the Ministry of Education),and provides fiduciary and technical oversight in line with the specific purpose of the grant. The GA for the ESPIG plays an operational and administrative role in the design of an ESPIG program. In fragile contexts, the GA may take on an implementing role in addition as needed. The GA is also responsible for reporting to the Secretariat on grant progress and for conducting an evaluation upon grant closing.

MORE INFORMATION:

Grant agents on page 46

Terms of Reference for Grant Agents of the GPE ESPIG; Terms of Reference for Grant Agents of the GPE ESPDG; and Standard Selection Process for Grant Agents.

SECRETARIAT

The Secretariat provides support to the partnership at both the global and country levels. At the global level, the Secretariat staff supports the Board, its committees and DCP constituencies in promoting partnership objectives and monitoring their realization, as well as leads fundraising efforts for the GPE Fund. At the country level, the Secretariat staff supports country-level actors in the implementation and monitoring of country-level processes and their results. Often, "GPE" is confused with the "Secretariat"; GPE is not a development agency/organization but a collective partnership, for which the Secretariat provides day-to-day support.

3. Any bilateral or multilateral agency represented in one of the constituencies of the GPE Board as well as international nongovernmental organizations that meet GPE's minimum standards for grant agents and have been accredited as a GPE grant agent can be selected to act as a GA.

MORE INFORMATION:

Terms of Reference for GPE Secretariat's Country-Level Engagement

COUNTRY LEAD

For country-level partners, the country leads are the main interlocutor at the Secretariat. With inputs from other Secretariat staff, the leads support the government and its partners, notably the CA and the GA, along the various steps of the GPE country- level process. This support includes providing information and advice regarding procedures and processes related to sector planning/monitoring, coordination and dialogue, as well as GPE grants. The Secretariat has a designated country lead for each member country.

The GPE Charter describes overall roles and responsibilities and mutual accountabilities, while the grant guidelines outline roles and responsibilities vis-à-vis each grant. For overview purposes, roles of the key actors and the Secretariat in the policy and grant cycle, are summarized in Appendix 3.

Diversity and Inclusiveness of local education groups

Countries have different ways of setting up the LEGs. In some countries, LEGs have a selective representation of stakeholders; in others, LEGs may be highly inclusive and large.

The modality of stakeholder participation differs, and there may be different degrees of inclusion. Some countries do not yet have systematic representation of stakeholders beyond the government and development agencies, while in others, the representatives of international and local NGO coalitions separately participate as core members of the LEG, and in thematic/ subsectoral working groups of the LEG.

In countries where civil society representation is not yet achieved or low, it is encouraged to discuss how this could be improved. For countries that already have a higher degree of inclusion, reflecting on how to further strengthen CSO and other stakeholders' participation may be useful, for example in terms of timely information sharing, coordination of contributions from CSOs and modalities for capturing CSOs' knowledge on education sector plan implementation.

GPE Financing and Funding Framework

GPE'S FINANCING AND FUNDING FRAMEWORK, ADOPTED IN MARCH 2017, AIMS TO SUPPORT THE DELIVERY OF GPE 2020 THROUGH:

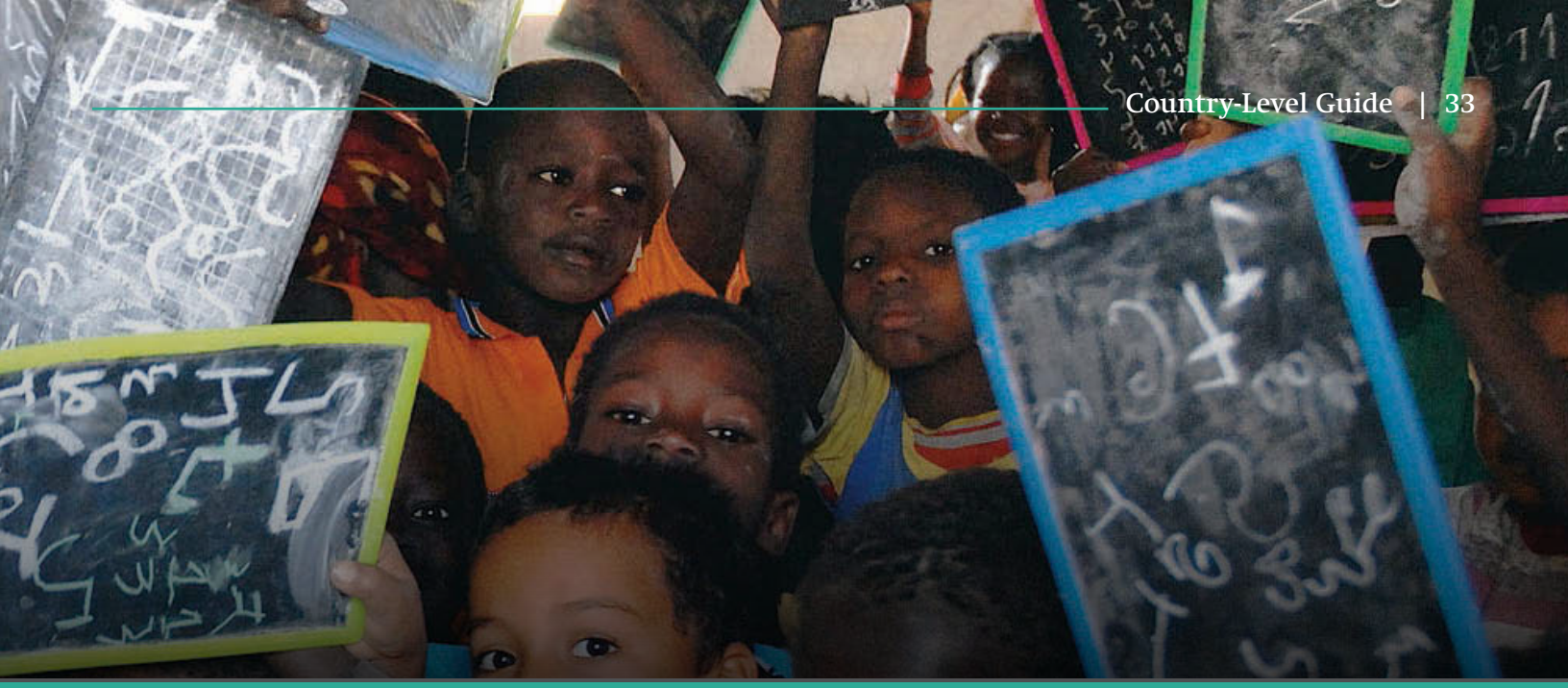
Reinforcing domestic resource mobilization of developing country governments: Promote a gradual increase of education budgets toward 20 percent of national budget.

Crowding in additional financing for the education sector: Incentivize low- and lower-middle-income countries to leverage additional funding from external sources through the GPE Multiplier.

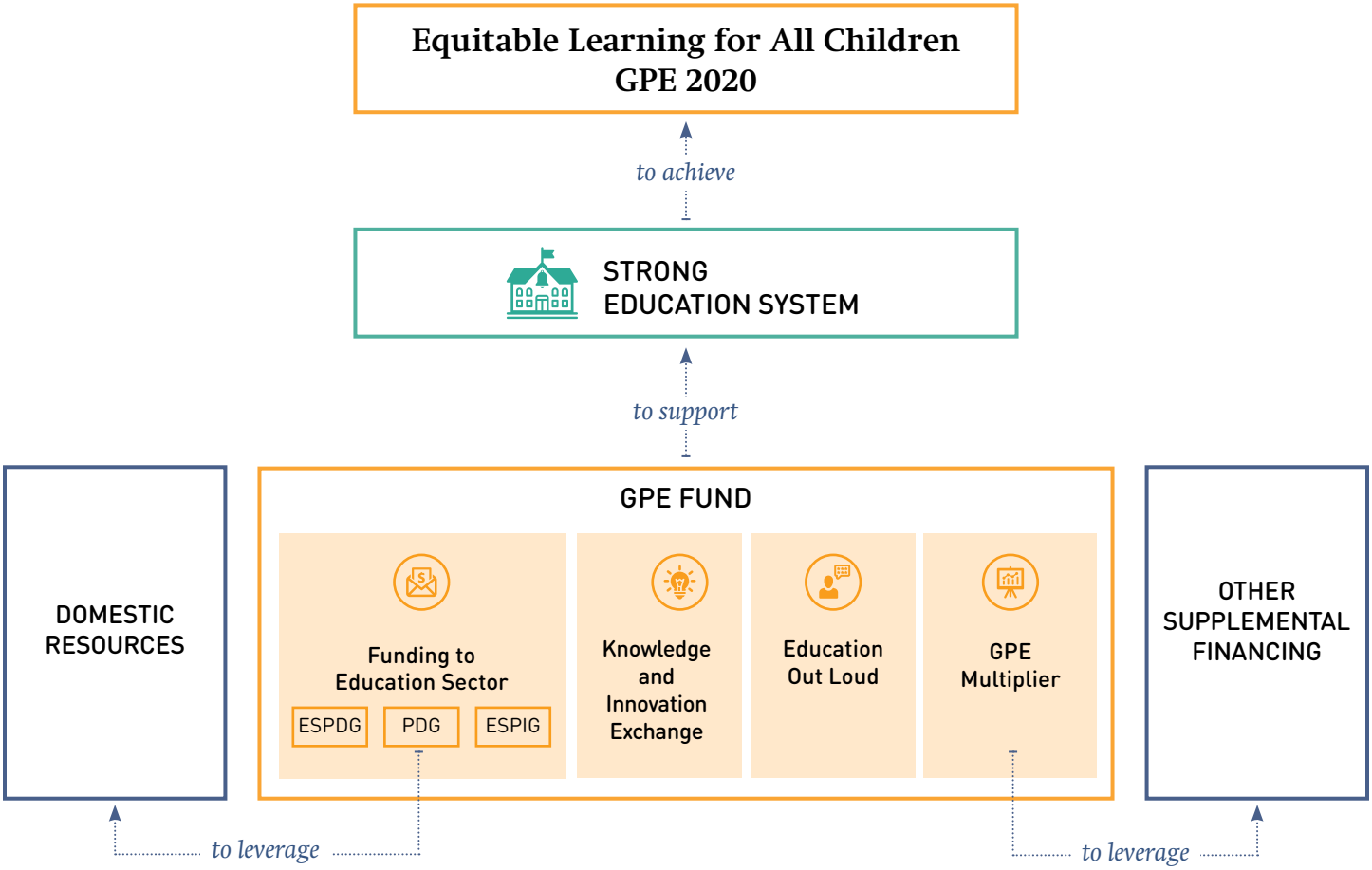
Funding knowledge and innovation: Harvest and share experience and knowledge to scale up and fund innovative approaches to overcome key policy challenges.

Advocating for transparency, accountability and social mobilization: Support initiatives and partners to improve citizen participation in education.

The GPE Fund (or "trust fund") is a multilateral financing mechanism to support the work of GPE and manage contributions in support of eligible activities as approved by the Board.



Credit: GPE/Kelley Lynch



Overview of Key GPE Grants

At the country level, the funding provided through the GPE Fund is complementary to domestic and other development partners' financing and supports different stages of the policy cycle, primarily through four types of grants: the education sector plan development grant (ESPDG), program development grant (PDG), education sector program implementation grant (ESPIG) and the GPE Multiplier (Multiplier ESPIG).

EDUCATION SECTOR PLAN DEVELOPMENT GRANT

DURATION: Approximately 12 to 24 months for ESP and six to nine months for TEP.

up to
US$500,000

including
US$250,000
earmarked for education sector analysis

PURPOSE: To support DCPs' education sector planning process.

ELIGIBILITY: All low- and lower-middle-income countries; upper-middle-income countries with primary completion rates below 85 percent; IDA-eligible small island and small landlocked developing states. [See: Appendix 4. Countries eligible for GPE funding.]

GRANT AGENT: Agencies meeting GA minimum standards and duly accredited, selected and endorsed by the LEG through a transparent process.

PROGRAM DEVELOPMENT GRANT

DURATION: Approximately 12 to 15 months.

PURPOSE: To enable grant agents to develop an ESPIG and/or a Multiplier ESPIG, under DCP government leadership.

ELIGIBILITY: GA selected by the LEG for the ESPIG according to the Standard Selection Process for Grant Agents.

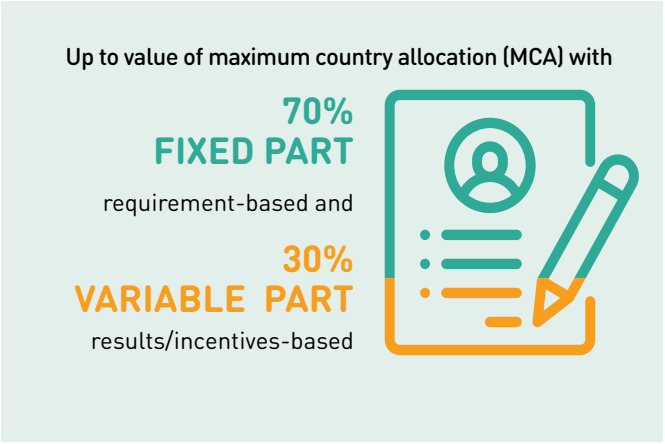
GRANT AGENT: ESPIG GAs meeting GA minimum standards and duly accredited selected. and endorsed by the LEG through a transparent process.

EDUCATION SECTOR PROGRAM IMPLEMENTATION GRANT

DURATION: Generally three to four years. Up to five years for some variable part programs.

PURPOSE: To support ESP/TEP implementation

VOLUME: Up to the value of maximum country allocation (MCA). The MCA allocations are based on primary and secondary completion rates and economic status (gross domestic product per capita), with an additional weighting for fragile and conflict-affected states.



GRANT AGENT: Agencies meeting GA minimum standards and duly accredited, selected and endorsed by the LEG through a standard process.

MORE INFORMATION:

» GPE funding model, page 37.

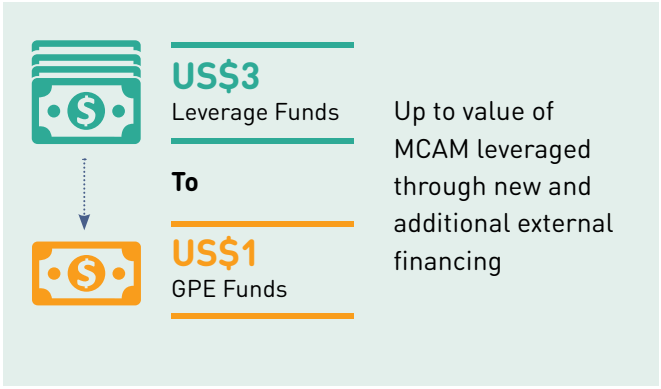
» Appendix 4. Countries eligible for GPE funding

GPE MULTIPLIER

DURATION: Three to four years. Up to five years for some variable part programs.

PURPOSE: To support ESP/TEP implementation, through leveraging new and additional external financing.

VOLUME: Up to the value of MCA from the Multiplier (MCAM). The MCAMs are determined based on publicly available data on a country's school-age population. They are also tied to additional/cofinancing requirement of US$3 for US$1 of GPE funds.



ELIGIBILITY:

» Countries eligible for ESPIG that are subject to the MCA cap of US$100 million, or have an MCA allocation of less than US$10 million

» Countries classified as vulnerable lower-middle-income countries[4]

» Non-ESPIG eligible countries that are approved as eligible for other forms of GPE funding, such as ESPDGs. [See: Appendix 4. Countries eligible for GPE funding.]

GRANT AGENT: GAs meeting GA minimum standards, selected and endorsed by the LEG through a transparent process. Usually, the GA should be the same as for the ESPIG if a country is eligible for a regular ESPIG.

KNOWLEDGE AND INNOVATION EXCHANGE[5]

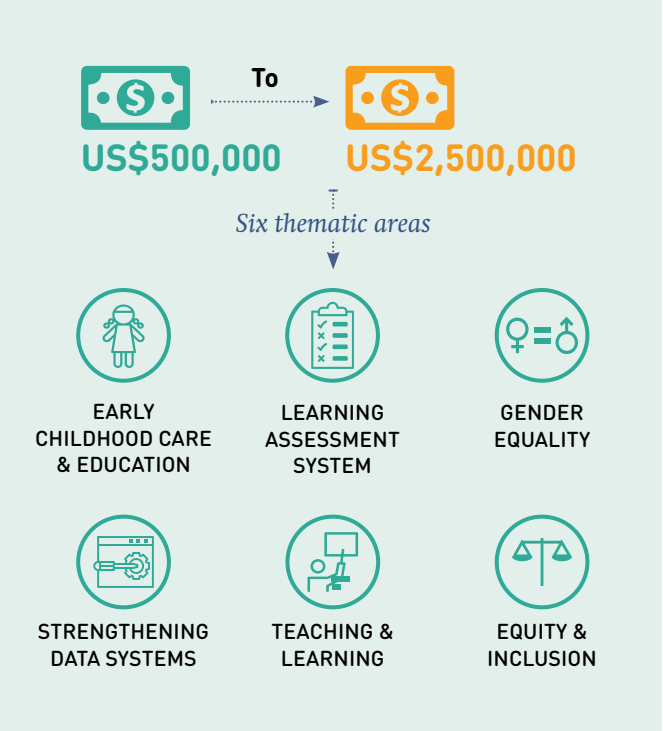
DURATION: Up to three and a half years.

PURPOSE: To improve policy dialogue, planning and implementation through the generation of knowledge, evidence and innovation, and strengthened DCP capacity for knowledge sharing and utilization.

ELIGIBILITY: Diverse organizations with strong knowledge and innovation capabilities, including but not limited to international organizations, think tanks, universities, research institutes, private foundations and private sector organizations (Note: GPE partner country governments cannot be direct recipients of Knowledge and Innovation Exchange grants but will work with implementing partners.) [See: Appendix 4. Countries eligible for GPE funding.]

4. Vulnerable lower-middle-income countries are ones with gross national income (GNI) per capita lower than US$2,000 and a lower secondary completion rate below 90% or countries affected by fragility or conflict with GNI per capita lower than US$3,000 and lower secondary completion rates below 90%.

5. The Knowledge and Innovation Exchange (KIX) and Education Out Loud (EOL) are two funding mechanisms developed in 2018. While they will replace the previous Global and Regional Activities (GRA) program and the Civil Society Education Fund (CSEF) programs, respectively, they build significantly from both these programs on the basis of lessons learned and additional strategic intentionality.



MORE INFORMATION:

KIX: Frequently Asked Questions

EDUCATION OUT LOUD

DURATION: Up to four years.

PURPOSE: To support civil society capacity to participate in national policy design and implementation. To strengthen civil society's role in promoting transparency and accountability in sector planning. To create a stronger enabling environment for civil society advocacy and transparency efforts in education regionally, globally and transnationally.

ELIGIBILITY: Civil society actors.

(See: Appendix 4. Countries eligible for GPE funding.)

MORE INFORMATION:

Advocacy and Social Accountability Blueprint

Alignment and Harmonization

GPE promotes more and better financing to education, including:

1. The alignment to country systems – the use of national public financial management systems and procedures to strengthen them and support education funding at scale; and
2. Harmonization of aid – pooling of aid resources to reduce fragmentation and transaction costs and improve efficiency.

MORE EFFECTIVE MODALITIES TO FUND AND STRENGTHEN NATIONAL SYSTEMS

GPE seeks to support funding modalities that are aligned with national systems. The partnership's global strategic objective for the increased use of country systems rests on the understanding that more aligned funding modalities — coupled with appropriate measures to manage fiduciary risks and enhance system strengthening opportunities — can deliver increased rates of absorption of resources (more financing), leverage improvements in the quality of public expenditure (better financing) and hence contribute to more sustainable education results.

The alignment of external aid with national systems is defined as using the partner country's institutions, human resources, procedures and tools as the mainstays for the implementation of aid, in addition to alignment with the ESP/TEP. Much progress has been made in terms of alignment of aid with national policy and planning under the ESP/TEP, but development partner efforts should extend beyond this to support national ownership and accountability for the actual implementation of ESPs.

GPE encourages an active approach in the use of country systems, supporting the strengthening of systems through their use. This contrasts with a more passive approach, which consists of expecting country systems to have already reached a high degree of strength before alignment can be contemplated. Risks associated with alignment should not be avoided; they should be actively managed. In assessing the options for modalities, the LEG should favor the most aligned modality available or possible, backed up with credible measures to manage associated risks and maximize the potential for systems strengthening and delivery of sustainable results.

The LEG should periodically review the effectiveness of external financing modalities that support the education system. The development or update of an ESP/TEP is an important moment to assess the effectiveness of external aid modalities and encourage reforms in development partner practices (see: Part II steps 4 and 5; and Appendix 5). This early assessment should pave the way for better and more innovative choices in funding modalities for future external resources, including the ESPIG.

When making their choice of modality for an ESPIG, the LEG should take into account the country context, including the capacity of potential GAs to develop and support successful aligned modalities. The choice of modality and GA for an ESPIG application will be reviewed by the LEG partners and the Secretariat as part of the quality assurance review process. The choice of a less aligned modality will be critically assessed, particularly if a more aligned modality is available. The use of a modality that is not aligned with country systems will require strong justification.

GPE anticipates that the LEGs will use the below order of preference when discussing and choosing the modality for external aid and ESPIG (See: Appendix 5):

1

BUDGET SUPPORT: Budget support is the most aligned modality: external funding is totally fungible with national treasury funds and fully adheres to the country's public financial management rules. This is the preferred modality where conditions permit.

2

AID ON BUDGET: Aid on budget is strongly aligned but funding is provided through a sub-account at the treasury, which lessens the degree of fungibility. The funding and expenditure can be separately tracked and accounted in the government's annual budget and financial management information system.

3

AID OFF-BUDGET/OFF-SYSTEMS: Off-budget or off-systems aid privileges the use of institutional arrangements, human resources, procedures or tools that are notably different from the country's standard public financial management rules and practices. This modality should only be a recourse if more aligned modalities have been comprehensively considered and deemed not possible.

Different dimensions of alignment with country systems/ capturing external aid (ESPIG support)

GPE uses seven dimensions to capture the degree of alignment of external aid with national systems (GPE 2020 Results and Indicators Framework, Indicator 29).

ON PLAN: Alignment with the ESP/TEP and alignment with Ministry of Finance's medium-term expenditure framework forecast.

ON BUDGET: Aid reported in the annual national budget documentation and specific appropriations authorized by parliament.

ON TREASURY: External aid disbursed into the main revenue funds of a government, and managed through the government's system.

ON PROCUREMENT: Procurement through external aid follows the national procurement rules.

ON ACCOUNTING: External aid recorded and accounted for in the national accounting system, in line with the national chart of accounts.

ON AUDIT: External aid audited by the country's independent auditor.

ON REPORT: External aid included in regular ESP/TEP implementation reports prepared by ministry/ministries in charge of education.

BETTER HARMONIZATION AND COORDINATION OF EXTERNAL AID

The multiplicity of stand-alone programs and projects contributes to the fragmentation of aid, undermining its effectiveness. Transaction costs are high for government officials to comply with multiple and varying processes and procedures of programs supported by different partners; coordination becomes challenging, and the risk of duplication high. GPE therefore promotes greater use of pooled funding and cofinancing arrangements. Development partners should make concerted efforts to pool their resources and harmonize implementation and reporting requirements.

Aligned modalities, which will, by definition, facilitate national coordination under the country's annual planning, budget and public financial management processes, should be supported by as many development partners as possible through joint financing arrangements. Where alignment with country systems is deemed not possible, cofinancing is preferable to stand-alone (single donor) projects.

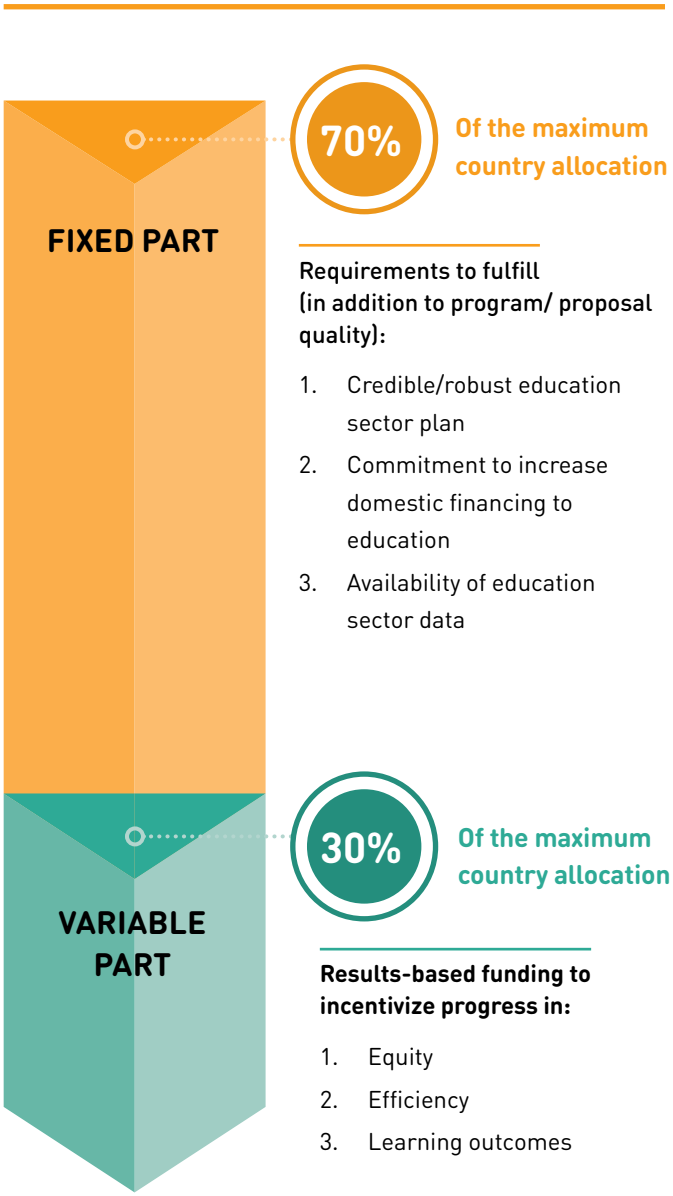
GPE Funding Model

GPE's funding model was adopted by the Board in 2014 to further strengthen the partnership's support for large-scale and sustainable education outcomes. It is structured to support DCPs in achieving the partnership's shared vision: To ensure inclusive and equitable quality education and promote lifelong learning opportunities for all. For this, the model puts strong emphasis on evidence-based planning, financing and data, and provides incentives to achieve results in equity, efficiency and learning outcomes.

GPE provides financing to eligible countries to support implementation of basic education priorities through an education sector program implementation grant. ESPIGs can be applied for by eligible countries that have received notification of the maximum country allocation approved by the Board.[6] The ESPIG is divided into two parts: fixed and variable.

To access the fixed part (requirements-based portion: maximum 70 percent of the allocation amount), DCPs need to meet three funding model requirements (see: page 42-43), in addition to developing a quality program proposal.

To access the variable part (results-based portion: minimum 30 percent of the allocation amount), DCPs need to achieve targets on equity, efficiency and learning outcomes upon implementing transformational strategies identified for each area/ dimension.



6. MCAs are approved shortly after each replenishment cycle. The current formula is based on primary and secondary population and completion rates, economic status (gross domestic product per capita), and an additional weighting for fragile and conflict-affected states

FIXED PART

Maximum 70 percent of the maximum country allocation and requirements-based.

REQUIREMENT 1

ESP/TEP: A credible, endorsed ESP, or alternatively, a TEP in fragile and conflict-affected states

A credible ESP/TEP or equivalent, including a costed multiyear implementation plan (see: page 24). The requirement for a costed implementation plan covering at least the first two years of the ESPIG may be waived if a functioning annual planning and budget process is in place, preferably with links to a medium-term expenditure framework.

In fragile and conflict-affected states, a costed TEP may fulfill the requirement. This should cover at a minimum medium-term education priorities in basic education and should include a process to conduct an ESA and elaborate a full ESP.

REQUIREMENT 2

Financing: Evidence of commitment to finance the endorsed ESP or TEP

Sub-requirement 1: The government confirms its commitment to finance the ESP or TEP. Governments that allocate at least 20 percent of domestic resources to education commit to maintain or increase current levels. Where current levels are lower than 20 percent, governments commit to increase the domestic share of resources to education progressively toward 20 percent. In countries that have not reached universal primary education (completion), governments commit to allocate at least 45 percent of the education budget to the primary education subsector.

Sub-requirement 2: Development partners commit to predictable and effective aid aligned to the government priorities defined in the ESP or TEP and outline intended financial support as reflected in the plan's financial framework.

REQUIREMENT 3

Data: The availability of critical data and evidence for planning, budgeting, managing, monitoring and accountability or a strategy to develop capacity to produce and effectively use critical data

a. An ESA has been conducted and used to develop or a revise an ESP no more than three years prior to the grant application submission. In fragile contexts, a TEP must include a time-bound plan to carry out an ESA.

b. Countries provide and use basic financial and education data disaggregated by gender and socioeconomic status for sector monitoring, and report data to the UNESCO Institute for Statistics; OR have developed a time-bound plan to develop the national education management information system to produce reliable education and financial data.

c. A system or mechanisms to monitor learning outcomes.

A country readiness to meet the requirements is assessed by the LEG once the country has notified that it intends to apply for an ESPIG. The Secretariat will provide a tool—Fixed Part Requirements Matrix—to guide the assessment and the identification of any existing gaps to meet the funding requirements.

When a country meets the requirements (see above box), they demonstrate that their planning processes are robust and inclusive, that there is sufficient budget to sustain and grow the sector, and that there is enough data available on access, learning outcomes, spending and other factors to enable the government to track progress and allocate resources accordingly. This creates an enabling environment for the achievement of national education goals. The funding model requirements therefore lay the foundation for stronger education systems and better education outcomes. (See: Guidelines for Education Sector Program Implementations Grants.)

VARIABLE PART

Minimum 30 percent of the maximum country allocation and incentives-based (results-based financing.)

The variable part aims to drive improvements in equity, efficiency and learning outcomes in basic education at the sector/system level based on country implementation of transformational strategies from its education sector plan.

Strategies are considered transformational if they address key ESP/TEP priorities in equity, efficiency or learning outcomes; are likely to lead to substantial medium-term progress at the system/sector level; are based on a robust theory of change; and include ambitious yet realistic "stretch" targets.

The allocation of the variable part is dependent on a country achieving pre-agreed results in the areas of equity, efficiency and learning outcomes.

Country eligibility to access the variable part is based on a grant application that includes the following:

- A commitment to implement ESP/TEP strategies designed to improve equity, efficiency and learning outcomes at the system/sector level
- Funding-linked targets in each of the three dimensions of equity, efficiency and learning outcomes
- A detailed plan for measuring and verifying results
- A clearly described mechanism for disbursement of financing

MORE INFORMATION:

- Guidelines for Education Sector Program Implementation Grants;
- Operational Framework on Requirements and Incentives in the Funding Model.

WHY INTRODUCE A VARIABLE PART?

When GPE was developing its new funding model around 2014, it was felt that many DCPs had made great strides in improving access to education, yet many children continued to be left behind. More progress in delivering equity, efficiency and learning was possible. Introducing the variable part was expected to

- Strengthen the results focus of sector policy dialogue and sector planning;
- Encourage the development of ambitious yet realistic sector strategies backed by robust theories of change; and
- Drive sector plan implementation and improvements in equity, efficiency and learning.

The GPE funding model continues to provide traditional grant financing though the fixed part of the grant while incentivizing results in critical areas identified by country partners through the variable part. (See: Guidance Note on GPE Variable Part Financing.)

Credit: GPE/Kelley Lynch

ESPIG Multiplier

The GPE Multiplier is a type of ESPIG. It was introduced in 2017 to provide additional support to ESPIG eligible countries to implement their ESPs/TEPs. The Multiplier ESPIG mobilizes new and additional external finance for education by creating an incentive for external funders to increase their investment in the sector. A country accesses its potential Multiplier ESPIG allocation by sourcing at least US$3 in new external support for education for each US$1 to be accessed from GPE, up to a maximum Multiplier ESPIG allocation determined by a formula approved by GPE's Board. Non-ESPIG eligible member countries that are eligible for other GPE funding may also be able to apply for the Multiplier.

The Multiplier does not carry any additional programming requirements beyond those of the ESPIG. Like the ESPIG, the Multiplier grant supports stronger education planning, programming and monitoring, and provides specific incentives to improve equity, efficiency and learning outcomes. The Multiplier is also designed to build on an evidence-based planning process, foster inclusive policy dialogue and leverage financing of national priorities identified in the ESP/TEP.

MORE INFORMATION:

Guidelines for ESPIG multiplier

FRAGILE AND CONFLICT-AFFECTED STATES

Accelerated funding is available for DCPs in emergencies or in early recovery. GPE accelerated funding allows disbursement within eight weeks of up to 20 percent of GPE's maximum country allocation for a DCP. The use of funds is based on the education cluster needs assessment and agreed upon by the LEG and the education cluster at the country level.

Through this mechanism, GPE can provide rapid assistance to countries that are

- Eligible for ESPIG;
- Affected by a crisis for which a humanitarian appeal has been launched and published by the UN Office for the Coordination for Humanitarian Affairs, with education as a part of that appeal; and
- Able to demonstrate that GPE funds will not displace government and/or other donor funds, but will be in addition to other resources.

MORE INFORMATION:

Appendix 7. Support to fragile and conflict-affected states.

Quality assurance: On behalf of the partnership, the Secretariat carries out quality assurance reviews for ESPIGs, Multiplier ESPIGs and accelerated funding to support the readiness of the country application for review by the Grants and Performance Committee (GPC) and the Board. This is supplementary to the grant agent's own quality assurance mechanisms. The questions used for quality assurance and also the GPC/Board review (for both the fixed and variable parts) are shared with country-level partners at the beginning of the program development process. Generally, they seek to review program alignment with the GPE objectives of equitable and quality education for all, inclusive process of program development, sustainability and more.

Grant agents

GPE grants are transferred to the country level through GAs, who are responsible for developing grant applications in collaboration with the DCP/government and other LEG members, providing technical and financial oversight or directly implementing (in some fragile and conflict-affected contexts), and are accountable for the use of the resources throughout the grant cycle.

All GAs must have a financial procedures agreement (FPA) with the GPE trustee to allow the transfer of funds. This agreement defines fiduciary and reporting responsibilities. If an agreement does not exist, the GA should initiate action to negotiate an agreement with expediency as soon as it has been selected[7]. The GA generally disburses GPE funds to implementing partners (notably the MoE) and provides fiduciary oversight in line with the specific purpose of the grant. Depending on the GA and its organizational procedures, the GA establishes and signs the bilateral fiduciary grant

7. Potential GAs currently without FPAs are encouraged to undertake this process when the possibility arises, even before the selection is confirmed.

agreement with the DCP/government, especially for ESPIGs[8]. In fragile contexts, the GA may take on an implementing role in addition as needed.

Under the leadership and coordination of the government and the coordinating agency, GAs are selected through a transparent process involving a selection committee (good practice is to include the CA). The decision is approved by the DCP and endorsed by the development partners through the LEG. Any bilateral or multilateral agency represented in one of the constituencies of the GPE Board as well as any international nongovernmental organization that meet GPE's minimum standards for GA and has been accredited as a GPE GA can be selected.

Generally, the GAs for ESPDGs should have the technical capacity on education sector analysis and/or planning to support the DCP/government in developing and carrying out a detailed outline and road map, including capacity strengthening of the government. However, this may differ according to the CA role in the country—that is, how they support the planning/preparation of the various steps.

The selection of GAs for ESPIGs follows a standard process (see: Standard Selection Process for ESPIG Grant Agents). While countries should adapt and expand on the selection criteria, the ability to work with the government in the selected program area (if stand-alone program) and through the selected aid modality, and the proven capacity to formulate and oversee similar scope and size programs to ESPIGs are important considerations. In order for ESPIGs to be truly reflective of government priorities agreed to by the LEG rather than be shaped by GA's own priorities, it is important that agreements on the program area and aid modality take place before the start of the GA selection process.

The GA has the responsibility to support the DCP/government to share progress on grant implementation (twice a year for the ESPIG, as appropriate for the ESPDG) with the LEG members. It also is accountable to report to the partnership, in addition to being accountable to its own organization.

MORE INFORMATION:

» Terms of Reference for Grant Agents of the GPE ESPIG;

» Terms of Reference for Grant Agents of the GPE ESPDG.

8. PDG is not transferred to the DCP due to the purpose of this grant. An ESPDG may not require a fiduciary agreement between the GA and the DCP, as the GA may directly manage the funds, for example by hiring technical assistance and organizing consultations.

Part II: GPE Country-Level Process

Credit: GPE/Aya Kibesaki

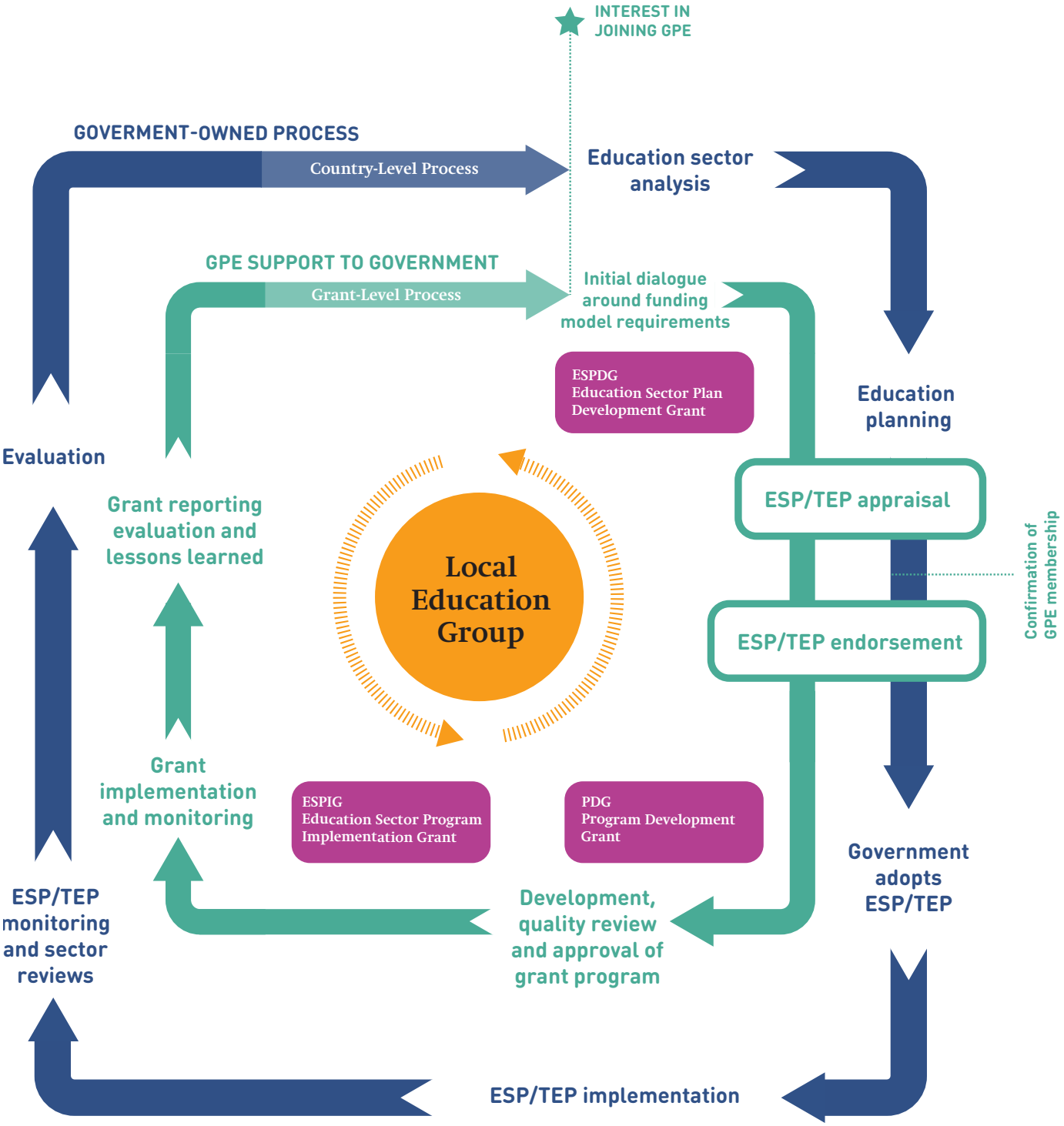
Credit: GPE/Kelley Lynch

4. GPE Country-Level Process: Overview

As mentioned in Part I and shown in the diagram below, GPE's model aims to strengthen the government's existing sector-level planning, implementation and monitoring cycle. It achieves this through its grant requirements and processes, which run alongside the government's established planning cycle.

Engagement with the GPE country-level process can be broadly summarized in steps, which are detailed in the following sections. Depending on the situation and grant eligibility of countries, the steps may vary and not always be sequential and may overlap in some instances. The Secretariat, primarily through a designated country lead[9] will support the government and the LEG along the various steps of the GPE country-level process, through information regarding procedures and processes related to GPE grants as well as sector coordination and dialogue. The Secretariat also carries out quality assurance processes of the grants and provides inputs to strengthen the quality of the ESP/TEP.

9. The Secretariat has a designated Country Lead for each country.


INTEREST IN JOINING GPE
GOVERMENT-OWNED PROCESS
Country-Level Process
Education sector analysis
GPE SUPPORT TO GOVERNMENT
Grant-Level Process
Initial dialogue around funding model requirements
ESPDG
Education Sector Plan Development Grant
Education planning
Evaluation
ESP/TEP appraisal
Grant reporting evaluation and lessons learned
Local Education Group
Confirmation of GPE membership
ESP/TEP endorsement
Grant implementation and monitoring
ESPIG
Education Sector Program Implementation Grant
PDG
Program Development Grant
Government adopts ESP/TEP
ESP/TEP monitoring and sector reviews
Development, quality review and approval of grant program
ESP/TEP implementation

GPE Country-Level Process: Steps

ESP DEVELOPMENT AND GPE MEMBERSHIP

1. Initial communication & information
2. Stocktaking of the sector aand dialogue on funding model requirements
3. ESPDG application
4. Education sector analysis
5. ESP/TEP development and appraisal
6. ESP/TEP approval and endorsement
7. Confirmation of GPE membership

ESP IMPLEMENTATION AND ESPIG APPLICATION PROCESS

8. ESPIG initial steps
9. PDG application
10. Multiplier ESPIG application
11. ESPIG – program development, quality assurance and grant approval
12. ESP/TEP implementation and monitoring
13. Reapplication for GPE grants

steps 1 to 7

ESP Development and GPE Membership

1

Initial Communication and Information

The government expresses its interest in joining GPE and enters a dialogue with the Secretariat about processes and requirements. GPE communicates maximum country allocation to the country for ESPIG eligible countries, while eligibility for the ESPIG Multiplier and ESPDG are available on GPE website.

2

Stocktaking of the Sector and Dialogue on Funding Model Requirements

The LEG self-assesses the country's readiness to meet the three funding model requirements:

- A credible/robust ESP/TEP
- Commitment to finance the ESP/TEP
- Education data availability, quality and reliability

The LEG identifies necessary follow-up actions to fulfill the requirements for membership in GPE (a credible ESP) and ESPIG funding (all three requirements).

3

ESPDG Application

Member countries and ESPDG-eligible countries that have declared their intention to join GPE can apply for the ESPDG to provide funding for the education sector analysis and/or activities related to the subsequent development of a new or updated ESP/TEP and implementation plans.

4

Education Sector Analysis

The government carries out an education sector analysis, including qualitative and quantitative studies and system analysis to provide an evidence base for sector planning.

5

ESP/TEP Development and Appraisal

The government, with the assistance of the DPG, develops or strengthens a ESP/TEP and implementation plan to meet the requirement for GPE membership and eventually ESPIG funding. The draft ESP/TEP is assessed through an independent appraisal, and the government, with development partners' support, addresses or responds to the recommendations of the appraisal report.

6

ESP/TEP Approval and Endorsement

The government adopts the finalized ESP/TEP and implementation plan and commits to finance it. Subsequently, the DPG endorses the government's plan, including their commitment to finance it.

7

Confirmation of GPE Membership

For newly joining developing country partners, the government submits a commitment letter to uphold the GPE compact, the endorsed ESP and multiyear action plan, the DPG endorsement letter of the ESP/TEP, and any other specific requirements.

1

Initial Communication & Information

A — Exploring GPE membership and appointing or confirming a coordinating agency

B — Engaging with GPE through the Secretariat's designated Country Lead

C — Deciding to join GPE

D — Formally notifying GPE about the intent to join the Partnership

A. EXPLORING GPE MEMBERSHIP AND APPOINTING OR CONFIRMING A COORDINATING AGENCY

When a developing country government decides to explore engagement with GPE, it identifies a focal point who, typically with the help of a CA, contacts the Secretariat.

Many countries have an existing education sector collaboration mechanism (called generically the LEG by GPE) to facilitate inclusive dialogue and monitoring. The LEG is led by the government and supported or co-chaired by a coordinating development partner, often on a rotating basis. The LEG should assign (or confirm) a CA to facilitate the communication with the Secretariat, which preferably is the same coordinating partner/lead or co-chair/co-lead of the DPG, rather than being specifically designated to serve as a liaison between the Secretariat and the LEG. [See: Terms of Reference for Coordinating Agencies.]

B. ENGAGING WITH GPE THROUGH THE SECRETARIAT'S DESIGNATED COUNTRY LEAD

The Secretariat has a designated country lead for each country, who will help explain how GPE works[10]. Through this initial information, countries should acquire realistic expectations of what joining the partnership will entail with regard to processes, potential benefits and responsibilities of the government as well as its development partners.

In contexts where education partners lack a coordination mechanism, the government and development partners will be advised to establish an appropriate framework for education sector coordination to facilitate GPE's objective of mutual accountability through inclusive policy dialogue and monitoring.

The country lead will support the government and the LEG along the various steps of the GPE processes and will coordinate the Secretariat's technical support to the country mainly via the CA, GA (when applicable) and the government's focal point (the DCP focal point to be appointed once a country formally becomes GPE's DCP). The country lead and the LEG members will usually agree on a detailed timeline toward membership, ESP support as needed, and ESPIG (and other grants) development and application. [See: Appendix 2. DCP focal point mechanism.]

C. DECIDING TO JOIN GPE

To join GPE, a country needs a credible ESP appraised independently and endorsed by development partners, and commits to uphold the GPE Charter. In consultation with the other members of the LEG, the government decides whether it will use an existing ESP/TEP, strengthen an existing ESP/TEP or prepare a new ESP/TEP for appraisal and endorsement.

When partners endorse a country's ESP/TEP, they signal that the plan contributes to the attainment of global and national education development goals, and they commit to aligning their technical and financial support with the plan. This commitment promotes harmonization as well as consistency, coherence and sustainability in education sector development.

The Secretariat reviews all ESP packages as part of its quality assurance process.

D. FORMALLY NOTIFYING GPE ABOUT THE INTENT TO JOIN THE PARTNERSHIP

If desired, the government expresses interest in engagement with GPE in a letter to the Chief Executive Officer of the Secretariat, copying the designated country lead.

In countries with federal systems of government, the federal government will typically be the first point of engagement with the Secretariat. [See: Appendix 1. How to become a GPE member as developing country partner and GPE Operational Framework for Effective Support in Fragile and Conflict-Affected States.]

10. If unclear on who the country lead is, the Secretariat's Country Support Team manager should be contacted.

2

Stocktaking of the Sector & Dialogue on Funding Model Requirements

A — Assessing readiness to meet funding model requirements

B — Decision on ESP development or revision

C — Identifying scope of work and timeline for ESP/TEP revision or development

A. ASSESSING READINESS TO MEET FUNDING MODEL REQUIREMENTS

Following the communication of the MCA (for ESPIG and Multiplier ESPIG eligible countries) and the government's decision to join GPE, countries eligible and intending to apply for the ESPIG/Multiplier at a later time are encouraged to carry out the initial assessment to analyze the country's readiness to fulfill the funding model requirements. The Secretariat will provide a matrix—the Fixed Part Requirements Matrix—to facilitate this self-assessment by country partners.

As fulfillment of some of the requirements (for example, data availability, data quality) necessitates longer-term planning and implementation, carrying out the assessment at an early stage will allow the government sufficient time to address any necessary action points. The Secretariat will review and support the LEG's assessment on a continuous basis.

For more information on the funding requirements, please see:

» Part I: GPE Funding Model

» Appendix 6. GPE funding model – Requirements and incentives of the ESPIG

B. DECISION ON ESP DEVELOPMENT OR REVISION

In countries with an existing ESP/TEP, the LEG determines whether the plan is ready for an independent appraisal and endorsement, both of which are used to determine the credibility of the plan[11]. This decision should consider whether the existing ESP is likely to be found sound and credible.

If the LEG agrees that an existing ESP/TEP is ready it will move directly to the independent appraisal of the ESP/TEP (step 5.3).

If no ESP/TEP exists, if the LEG agrees that the existing plan needs to be strengthened before appraisal, or if the existing ESP/TEP is approaching the end of implementation, the government and its partners will need to agree on a process to develop a new ESP/TEP or to strengthen or update the existing plan. To do so, a country first may consider carrying out or updating its ESA to ensure that the ESP is evidence-based and employs appropriate strategies (step 4).

C. IDENTIFYING SCOPE OF WORK AND TIMELINE FOR ESP/TEP REVISION OR DEVELOPMENT

GPE recommends to define the ESP/TEP development process through the preparation of a concept note and a road map. This allows the government and DPs to develop a common vision, to identify scope and tasks, and to allocate budget including both domestic and external funding sources. The road map should include criteria and timing for quality assurance checks of the ESP/TEP by the LEG, and opportunities for stakeholder dialogue to strengthen the ESP. Collaboration on this task is likely to lead to a higher quality ESP and to promote support around effective implementation. An independent appraisal of the ESP/TEP should be built into the road map, be it for countries only applying for the ESPDG or those intending to apply for an ESPIG (step 5.3). The road map should also allow sufficient time to consider and address any recommendations that may be made in the appraisal report.

11. This can be done using the appraisal readiness checklist mentioned under 5.3.B.

3

ESPDG Application

A — Understanding the ESPDG

B — Developing the ESPDG application

C — Approval process

PURPOSE

The ESPDG provides funding for two windows:

FINANCING WINDOW 1:

Education sector analysis, including qualitative and quantitative studies and system analysis to provide an evidence base for sector planning.

FINANCING WINDOW 2:

Development or revision of an ESP, or in conflict-affected and fragile contexts, a TEP

ELIGIBILITY[12]

All countries eligible to become a DCP. Once in every three years.

AMOUNT:

up to
US$500,000

including
US$250,000
earmarked for education sector analysis

DURATION

FINANCING WINDOW 1:

Approximately 6 to 12 months

FINANCING WINDOW 2:

ESP - Approximately 12 to 24 months

TEP - Approximately 6 to 9 months

APPLICATION DATE

Applications accepted on a rolling basis (any time of the year).

12. This includes all low-income and lower-middle income countries, as classified by GPE eligibility categories. Upper-middle income countries are also eligible if their primary completion rate is below 85 percent, and all IDA-eligible small island and small landlocked developing states.

A. UNDERSTANDING THE ESPDG

The ESPDG supports the development of a credible national education sector plan or transitional education plan. ESPDG activities are defined through a consultative process within the LEG led by the government as part of a broader road map that outlines the key phases, the activities defining how the country teams will develop the ESP/TEP and the national quality assurance milestones. The ESP is accompanied by a costed, multiyear implementation plan (see: Footnote 1 in Part 1: Country Policy and Planning Cycle regarding exceptions).

Under a federal system where the ESP/TEP is managed by subnational governments, a subnational government may apply for the ESPDG.

The ESPDG covers some costs associated with ESP/TEP development, including the ESA. The government and DPs should agree on their additional financing, coordination and technical contributions in the early stages.

The ESPDG contains two financing windows:

- **WINDOW 1: Sector analysis**
- **WINDOW 2: ESP/TEP development**

The two windows may be requested at the same time or separately. Since ESP/TEP development may be influenced by ESA outcomes, applying separately may lead to a more robust process and stronger final plan.

The ESPDG GA selection process should be transparent and simple to ensure low transaction costs. The selection is decided by the government and endorsed by the LEG based on the candidate's ability to provide technical support and build capacity and ownership for planning and analysis. (See: Guidelines for Education Sector Plan Development Grants; Terms of Reference for Grant Agents of the GPE ESPDG.)

B. DEVELOPING THE ESPDG APPLICATION

The application is developed by the GA in consultation with the LEG. There can be a different GA for each funding window.

The GA prepares the application using the guidelines and application form for this grant. In line with GPE's recommended approach to planning the process (step 2.c), the following deliverables frame the ESPDG application:

1. A concept note defining how the ESA, education plan development and independent appraisal will be approached and coordinated.
2. An integrated road map reflecting a coherent and detailed set of activities to implement the tasks set in the concept note, together with sources of funding and timeline.
3. A budget that details the costs of the activities, which represents value for money and demonstrates that the GPE funding is additional, complementing work supported by other sources (domestic and external).
4. Terms of reference for any technical assistance needed to support the ESA and ESP/TEP development.

These deliverables are designed to support the quality of the ESP/TEP development process. They facilitate detailed dialogue among the LEG around the scope of the ESP as well as activities, costs and timelines. This process of collaboration and joint planning helps support the development of a credible ESP/TEP, which clearly defines the government's sector goals, as well as realistic strategies to achieve these, and a costed implementation plan to prioritize strategies and allocate resources. (See: Guidelines for Education Sector Plan Development Grants (includes guidance on preparing the concept note), ESPDG application form, ESP/TEP development road map and budget templates.)

C. APPROVAL PROCESS

The ESPDG application will be screened at the Secretariat to determine whether

- The application meets all requirements and the process is likely to lead to a credible plan (including a consultative process, led and therefore owned by the government);
- There are any gaps in the expected deliverables; and
- It includes a reasonable budget and time frame.

The Secretariat will share the findings of this screening to enable the government to consider and address any concerns or areas for clarification before the grant application is considered for approval. The findings will be communicated in writing via the CA within 10 working days of receipt of the ESPDG application materials.

At the request of the GA/LEG, the Secretariat can provide early comments to the draft application materials before the ESPDG application is submitted for screening.

After the screening process is complete and any revisions made, the Secretariat's grant application review committee, composed of technical, policy and financial experts, reviews the application, making sure that the ESP/TEP proposed process and budget are in line with GPE guidelines. This committee makes recommendations to the Secretariat's Chief Executive Officer for further allocation decisions. If no clarifications/follow-up actions are needed, the committee will recommend approval.

Upon approval, the Secretariat will notify the GPE trustee to set up a financial procedure agreement and process a transfer of funds to the GA.

Where an application has failed to address concerns raised during the screening stage, or where the review committee raises significant new concerns, the Secretariat may ask for additional clarifications or follow-up actions.

If no clarifications or adjustments are required for approval, the ESPDG application may be processed and approved within 30 working days of receipt of the final application.

4

Education Sector Analysis

CARRYING OUT A SECTOR DIAGNOSIS

The preparation or revision of an ESP/TEP should be informed by a diagnosis of the sector. The purpose of the education sector analysis is to provide evidence-based analyses to inform and monitor ESPs/TEPs; therefore, it is an important tool for delivering better educational outcomes for all children. The ESA provides a description of the situation of the education system for all children (including subnational disparities in access, retention and learning) across all subsectors, based on quantitative and qualitative data. It also goes further to provide an analysis of the causes of weaknesses and inefficiencies that create barriers to equitable access to learning for all children.

The sector analysis normally relies on existing data derived from the information system (EMIS) and other research/ studies. Examples include household surveys, learning assessments, and maybe also education financing data. Additional information compilation may be necessary for important areas where existing information is insufficient. The ESA may use existing analyses but is also likely to require new analyses of existing data.

GPE's funding model requires that countries that intend to apply for an ESPIG have an ESA, no more than three years before the ESPIG application. This time frame supports program design and grant effectiveness by ensuring that the program is responding to current challenges in the sector and that the funding allocated is used effectively and efficiently to address these in a meaningful way. Countries applying using an existing ESP may consider conducting additional targeted analysis as part of a midterm review or other monitoring process. (See: Appendix 6. GPE funding model – Requirements and incentives of the ESPIG.)

A comprehensive ESA includes analysis of several factors:

A. The socio-demographic, humanitarian and economic context of the education sector.

B. System performance regarding enrollment, internal efficiency and out-of-school children.

C. Financing structure and breakdown of cost by government, donor and household.

D. The quality of the system, capacity of the system to facilitate learning and management of the system.

E. External efficiency and how the system contributes to national development goals.

F. Equity in enrollment and learning outcomes, and in allocation of resources.

MORE INFORMATION:

Reference documents jointly developed by multiple agencies explain recommended approaches and methodologies for sector analysis:

- Methodological Guidelines for Education Sector Analysis, Volume 1
- Methodological Guidelines for Education Sector Analysis, Volume 2
- Guidelines for Education Sector Plan Preparation
- Guidelines for Transitional Education Plan Preparation
- Guidance for Developing Gender-Responsive Education Sector Plans

GENDER-RESPONSIVE EDUCATION SECTOR PLANNING

The Education 2030 Incheon Declaration and Framework for Action explicitly recognizes the importance of "gender equality in achieving the right to education for all." This means that education systems should be gender responsive, so that girls and boys not only access and complete education, but also are equally empowered in and through education to make choices in their lives and take full part in society. ESPs/TEPs are important starting points for putting gender at the center of education systems and delivering gender equal outcomes.

Dimensions of gender-sensitive ESPs:

1. Informed by gender analysis
2. Transacted through a participatory and gender-sensitive stakeholder consultation process
3. Reflective of gender strategies and lessons learned and with gender integrated throughout
4. Backed by adequate financial resources
5. Reflected in the operational plan
6. Backed by necessary institutional capacity
7. Strengthened through gender-sensitive monitoring and evaluation

The gender-responsive education sector planning (GRESP) guidance developed by GPE and UNGEI, with support from UNICEF is a practical tool to guide planners and practitioners to

- Analyze gender disparities, inequalities and underlying factors (including access/learning disparities, teachers and principals, teaching and learning materials, facilities, school management);
- Plan gender-responsive policies and strategies so that girls and boys can access, complete and thrive in schools; and
- Carry out gender-responsive plan appraisal to assess if the draft ESPs/TEPs adequately address gender concerns.

A series of regional GRESP learning exchange workshops organized by GPE and UNGEI in collaboration with partners have strengthened country capacity, with further support being planned. The 2019 G-7 Gender at the Center initiative will also expand and deepen the GRESP approach in participating countries.

5

ESP/TEP development and appraisal

5.1 ESP/TEP DEVELOPMENT

A — Understanding guidance for plan development and quality standards

B — Choosing a suitable modality for development partner support to the sector

C — Discussing possible use of GPE funds under ESPIG

5.2 SOLICITING INITIAL COMMENTS ON EARLY DRAFT OF THE ESP/TEP

5.3 ORGANIZING AN INDEPENDENT APPRAISAL OF THE ESP/TEP

A — Defining the scope and sequence of the appraisal

B — Checking readiness for appraisal

C — Commissioning of independent reviewers

5.4 REVIEWING THE APPRAISAL REPORT

A — LEG shares appraisal with Secretariat

B — LEG agrees follow-up actions

C — Preparing an appraisal memo

5.1 ESP/TEP DEVELOPMENT

A. UNDERSTANDING GUIDANCE FOR PLAN DEVELOPMENT AND QUALITY STANDARDS

GPE promotes the following standards for a credible ESP (ref: Part I):

1. **Guided by an overall vision:** Clarifies the overarching goal for education development, in line with national development policies.
2. **Strategic:** Identifies and prioritizes strategies according to the technical, human and financial resources available.
3. **Holistic:** Plans for all subsectors from early childhood education to higher education.
4. **Evidence-based:** Draws on a sound education sector analysis and multi-stakeholder consultations.
5. **Achievable:** Outlines strategies for effective implementation to overcome financial, technical and political challenges; includes a framework for budget and management decisions.
6. **Sensitive to context:** Analyzes possible environmental, political and economic vulnerabilities and risks, plans for resilience, and mitigates risks.
7. **Pays attention to disparities:** Is sensitive to disparities between different groups of children and identifies strategies to serve children from vulnerable and disadvantaged groups.

Ensuring a process that builds on and strengthens government leadership/capacity and a consultative development process that enables inputs from various stakeholders is key to the quality and successful implementation of the plan. Use of experts/consultants should be carefully sought in a way that facilitates these.

In particularly complex contexts such as countries emerging from conflict, it may be suitable to develop a TEP, which should function as a transition toward developing a more comprehensive sector plan in the future. A TEP will generally not be as comprehensive as a full ESP.

The results framework and arrangements for M&E and capacity development should all be included in the ESP/TEP and costed multiyear implementation plan. In line with its funding model, GPE promotes an ESP/TEP that include strategies to improve the availability of basic financial and educational data as well as the availability of a system or mechanisms to monitor learning outcomes, as appropriate.

MORE INFORMATION:

- Part 1: Country Policy and Planning Cycle
- Guidelines for Education Sector Plan Preparation
- Guidelines for Transitional Education Plan Preparation
- Guidance for Developing Gender-Responsive Education Sector Plans
- Thematic Mapping: A Selection of Tools and Resources for Planning in Fragile and Conflict-Affected Countries

B. CHOOSING A SUITABLE MODALITY FOR DEVELOPMENT PARTNER SUPPORT TO THE SECTOR

As the ESP/TEP is developed, projections for domestic financing to the sector will be made. At that time, it will also be important to map current and future aid to the sector. All on-budget and off-budget support should be reflected.

If needed, a fiduciary review of the education sector should be undertaken

- To assess the overall fiduciary capacity and the need for capacity development; and

- To help choose an effective and suitable modality for development partner support, including for financial support from GPE.

GPE encourages governments and DPs to make progress toward the increased use of country public financial management systems, to strengthen them through its use. Budget support or other on-budget mechanisms should be considered, with appropriate risk mitigation strategies. In addition, to reduce fragmentation of aid, risk of duplication and high government transaction costs, a more harmonized DP support is preferable to multiple stand-alone programs.

C. DISCUSSING POSSIBLE USE OF GPE FUNDS UNDER ESPIG

If early consensus exists in the LEG that the maximum country allocation will be requested from GPE, discussions should already begin about how GPE-financed activities can support ESP/TEP implementation. In particular, it may be useful to consider which of the ESP targets related to learning outcomes, equity and efficiency could be effectively incentivized by GPE's variable part.

Work on the program to be financed by GPE may then begin, following the process outlined in step 8, even if the ESP/TEP has not yet been finalized and appraised. However, there must be sufficient information on the education sector plan to align the program with it. (See: Guidance Note on GPE Variable Part Financing.)

5.2 SOLICITING INITIAL COMMENTS ON EARLY DRAFT OF THE ESP/TEP

Feedback from DPs and key stakeholders on an initial ESP draft is strategically important. An ESP is most likely to succeed if it is the result of a process led by the government and internalized by all national stakeholders. Ensuring a participatory process allows political leaders and technical experts to find a balance between ambitions and constraints by considering inputs from various stakeholders based on diverse in-country situations and challenges, including those from the regional/school levels. It also raises awareness of key issues and strategies among a wide range of education stakeholders whose commitment to the ESP may be needed for successful implementation. Requesting and acting on feedback strengthens the policy dialogue process, the dynamic in the LEG, and the final ESP/TEP package.

The members of the LEG (sometimes represented a smaller task force) determine when an early draft is sufficiently ready to solicit initial comments from a wider group of DPs, including CSOs, and the Secretariat. Early review by the LEG ensures that the draft ESP does not contain major gaps, and that it is sufficiently developed for the feedback received from DPs and CSOs to be targeted, actionable and strategic. The Secretariat's initial comments on the early draft focus on providing qualitative inputs on the draft against the expected quality standards for an ESP/TEP, which are used to assess whether an ESP/TEP is credible.

The feedback received from various partners should be discussed within the LEG and integrated in the further development of the ESP/TEP, to ensure that the final draft ESP/TEP, M&E framework and multi-year implementation plan are as robust as possible before the independent appraisal takes place. The independent appraisal is usually the final quality assurance milestone before approval of the ESP/TEP by government and endorsement by the LEG. The stronger an ESP/TEP package is at appraisal,

the fewer revisions are likely to be required in order for the ESP/TEP to meet the quality standards of a credible ESP/TEP. If major revisions are required after appraisal, it can be challenging to achieve these within the original time frame. For this reason, building in sufficient time to receive and integrate feedback into the initial draft is important for successful ESP/TEP development.

5.3 ORGANIZING AN INDEPENDENT APPRAISAL OF THE ESP/TEP

A. DEFINING THE SCOPE AND SEQUENCE OF THE APPRAISAL

ESP appraisal is a mandatory step for countries joining GPE and/or applying for ESPIGs. The appraisal is a policy dialogue tool to enhance the chance of successful implementation of the plan, by identifying and agreeing on priority and strategic follow-up actions. Appraisal and endorsement provide DPs and also GPE with sufficient assurance of the soundness of the ESP/TEP as a basis for any financial investment in the plan.

It is recommended that the final appraisal report be made available to the LEG at least two months before the ESP submission (which is five months before the ESPIG final application submission) to allow time for the government to reflect on and respond to recommendations identified in the appraisal.

Because one of the main objectives of the appraisal is to enhance the quality of the ESP/TEP, the independent appraisal should take place every time an ESP/TEP is renewed.

The appraisal is a broad and consultative process and may require several weeks to complete. Since the recommendations are key to ensuring a credible and robust ESP/TEP, the ESP finalization timeline should allow time for decision makers to open consultations on the conclusions and recommendations from the appraisal report and to act on the recommendations to improve the final version of the plan.

B. CHECKING READINESS FOR APPRAISAL

Before engaging the reviewers, the LEG makes a "readiness check" of the draft ESP/TEP based on a standard checklist to verify that the draft is indeed ready for appraisal.

MORE INFORMATION

Guidance jointly developed by GPE and IIEP is available explaining the appraisal process according to common criteria and quality standards and includes an appraisal readiness checklist. It also includes guiding questions for the appraisal of strategies on equity, efficiency and learning outcomes. (See: Guidelines for Education Sector Plan Appraisal and Guidelines for Transitional Education Plan Appraisal.)

C. COMMISSIONING OF INDEPENDENT REVIEWERS

Under the coordination of the CA, the appraisal is commissioned by the in-country DPs who jointly select independent reviewer(s), that is, consultant(s) who has/have not been involved in the national planning process. GPE typically recommends that an independent appraisal be conducted by a team of two independent experts to ensure that the requisite skills are present to conduct the appraisal. In some cases, DPs may choose to have an international and a national consultant.

The Secretariat can advise the government of reviewers who are trained in the GPE-IIEP appraisal guidelines and related appraisal methodology. All reviewers are required to use the appraisal guidelines. If the selected reviewers are not part of the roster of trained consultants, they will need to go

through an online training, "Independent Appraisal of Education Plans," before the appraisal can begin.

5.4 REVIEWING THE APPRAISAL REPORT

A. LEG SHARES APPRAISAL WITH SECRETARIAT

During the appraisal, the Secretariat will monitor the independence of the process (relating to transparency, procurement process, conflict of interest and more). Once the appraisal report is shared with the LEG, the CA shares the appraisal report with the Secretariat for a compliance check to verify the extent to which the reviewers complied with the GPE-IIEP appraisal guidelines.

The Secretariat will prepare a summary report with its findings. If major concerns are raised, the Secretariat may request a delay in the finalization of the plan in order for those concerns to be duly addressed.

B. LEG AGREES ON FOLLOW-UP ACTIONS

The appraisal report should have clear recommendations on key areas of improvement in the draft ESP/TEP. These recommendations will be focused on strengthening the plan so it is more likely to be successfully implemented and achieve its goals. The recommendations should be reviewed and discussed by the LEG, to agree on follow-up actions required in the short term (prior to endorsement) and, if appropriate, during plan implementation.

In making adjustments to the plan, it is important to re-assess whether the reforms are of manageable scope and size, considering the human/financial/logistical capacity to carry them out. In this, the LEG should support the government in deciding on priority and strategic follow-up actions that would enhance the quality of the plan and its chances of successful implementation. It is vital to allow sufficient time in the timeline to complete this process of reflection, prioritization and finalization.

Any agreed follow-up actions will be recorded in the appraisal memo. The memo will also note any recommendations which will not be addressed, and a justification for this decision.

C. PREPARING AN APPRAISAL MEMO

After further adjustments are made to the ESP/TEP by the government with the support of DPs, the government prepares or updates the appraisal memo. There is no predefined format, but the memo should provide a brief summary on how the agreed shorter-term follow-up actions to the recommendations of the appraisal report have been addressed in the final version of the ESP/TEP. It should also address the Secretariat's feedback, as appropriate. The memo may also include explanations on why some appraisal recommendations are not reflected in the ESP/TEP, and recommend medium-/longer-term follow-up actions to strengthen components and strategies during implementation.

Progress with regard to these recommendations/follow-up actions should be monitored by the LEG through existing sector coordination and monitoring mechanisms, such as joint sector reviews.

6

ESP/TEP Approval & Endorsement

6.1 ADOPTING THE ESP/TEP - GOVERNMENT

6.2 ENDORSING THE ESP/TEP - DEVELOPMENT PARTNERS

A

Approving the plan, implementation plan and M&E framework

B

Endorsement by DPs

C

Resolving conflicts of opinion

6.3 SUBMISSION OF THE FULL ESP/TEP PACKAGE TO THE SECRETARIAT

6.1 ADOPTING THE ESP/TEP – GOVERNMENT

A. APPROVING THE PLAN, IMPLEMENTATION PLAN AND M&E FRAMEWORK

Once the appraisal memo is finalized and agreed to by the LEG, and the ESP/TEP, implementation plan and M&E framework are deemed satisfactory, the government approves and adopts the plan through its own mechanisms as its national strategy for education.

Commitment to the ESP/TEP should be obtained at the highest appropriate level of government. Ownership and approval of the plan by not only the MoE but also other governmental entities such as the parliament and related ministries are an expression of broad commitment to the financing and implementation of the plan.

6.2 ENDORSING THE ESP/TEP – DEVELOPMENT PARTNERS

B. ENDORSEMENT BY DPs

After approval by the government, each agency decides whether it will endorse the plan and sign the collective endorsement letter. Endorsement is obtained at the highest appropriate level (country representative) and in consultation with headquarters, as appropriate.

The LEG should agree on a suitable modality for CSOs to endorse the plan, including having CSO representatives endorse. Representatives of CSOs will ensure that relevant civil society stakeholders have been consulted on the endorsement.

With the endorsement letter, the in-country DPs declare that they find the plan credible, and that they are committed to providing their technical and/or and financial support to the ESP/TEP as per the agreed implementation plan.

The endorsement letter includes a rationale explaining why the ESP/TEP is considered credible. It is good practice to summarize the conclusions and recommendations of the appraisal report and the appraisal memo, and how the plan meets the expected quality standards. It may articulate the assumptions upon which the DPs sign the endorsement, including issues that need to be addressed and/or monitored during the implementation of the plan. The endorsement process is normally facilitated by the CA. The endorsement letter can be addressed to the minister of education, copied to the Chief Executive Officer of the GPE Secretariat.

C. RESOLVING CONFLICTS OF OPINION

The range of viewpoints, experience and expertise in a partnership constitutes a strength but may sometimes lead to conflicting opinions and priorities. This may impact the endorsement process, for example, if there is disagreement about the content, process or inclusiveness of plan development or endorsement. When resolved constructively, conflict will be followed by effective negotiation and may result in a healthy exchange of viewpoints, learning and, ultimately, improved trust, processes, actions and outcomes. To that end, a clear, thoughtful and transparent conflict-resolution process is required.

GPE provides a set of conflict-resolution procedures that can guide dialogue in the event that there is disagreement within the LEG about the credibility of the approved plan. (See: Conflict-Resolution Procedures.)

6.3 SUBMISSION OF THE FULL ESP/TEP PACKAGE TO THE SECRETARIAT

VERIFYING THE CONTENTS OF THE ESP/TEP PACKAGE

The government or the CA informs the Secretariat of the endorsement, submitting the following ESP/TEP package to the Secretariat:

1. A credible ESP/TEP, including a costed multiyear implementation plan (Covering at least the first two years of the grant cycle if eligible and applying for the ESPIG. This may be waived if a country has a functioning annual planning and budget process in place, preferably in line with a medium-term expenditure framework)
2. The final report of the independent appraisal of the ESP/TEP
3. An appraisal memo providing a brief summary of how the recommendations from the appraisal report and the agreed shorter-term follow-up actions have been addressed in the final ESP/TEP, and how outstanding issues will be addressed and monitored during implementation
4. The approval of the ESP/TEP by the government, including the commitment to finance the ESP/TEP
5. An endorsement letter by the DPG, including the commitment to finance the ESP/TEP

For countries planning to apply for the ESPIG, the ESP package consisting of the above documents needs to be submitted to the Secretariat no later than three months before the final submission date of the ESPIG application.

7

Confirmation of GPE Membership

7.1 COMMITTING TO UPHOLDING THE GPE COMPACT OF MUTUAL ACCOUNTABILITY

A — Becoming a GPE member

B — Becoming a GPE member - for federal systems

C — Designating a GPE focal point

7.2 NEXT STEPS

7.1 COMMITTING TO UPHOLDING THE GPE COMPACT OF MUTUAL ACCOUNTABILITY

A. BECOMING A GPE MEMBER

Countries that were not previously GPE members gain membership upon submission of the ESP package and the government's commitment letter to uphold the GPE compact as described in the GPE Charter. The letter should be signed by the minister of education or equivalent and addressed to the Chief Executive Officer of the GPE Secretariat.

Developing country partners commit to:

- Develop and implement an evidence-based education sector plan (comprehensive or transitional), including a multiyear costed implementation plan, of good quality that is embedded in the country's national development strategy through broad-based consultation;
- Provide strong and increased domestic financial support to education; and
- Demonstrate results on key performance indicators.

Within a few weeks, the minister of education will receive a letter from the Secretariat's Chief Executive Officer welcoming the country to the partnership. The Secretariat team will provide guidance to support the country partners in participating in GPE's global governance structure (see: Section 7.1.C).

A. BECOMING A GPE MEMBER - FOR FEDERAL SYSTEMS

Developing countries with a federal system of government join GPE as a national entity, irrespective of the degree to which authority to govern education is devolved to subnational governments. In decentralized systems, since subnational entities may not all acquire endorsement of their education sector plans at the same time, these countries may join GPE by communicating to the Board Chair of GPE their commitment to SDG 4 and the Education 2030 Framework for Action, and their support to the development and implementation of subnational education sector plans.

Individual subnational education authorities will be eligible to access their share of the country's indicative allocation of the ESPIG only when their education plan has been independently appraised and endorsed[13].

C. DESIGNATING A GPE FOCAL POINT

Upon becoming a member, the minister of education should designate a GPE focal point of the MoE, which is essential to ensure strong links between the Secretariat and GPE's DCP, and is critical to the success of GPE's constituency-model structure.

The country will also join a constituency. The constituencies are self-governed, though there is a process of consultation as follows:

- A candidate should consult with the Board Chair on which constituency they should join.
- The candidate should then discuss their potential membership with the respective Board member and communication focal point of the particular constituency to obtain their agreement.

Finally, the Board Chair will notify the Board of the name of the new member to the GPE, its constituency and the nature of its commitments. (See: Appendix 2. Global governance structure and DCP representation.)

13. Federal states need to determine and agree on indicative allocations across subnational levels, including eligibility among them. See Guidelines on Division of Indicative Allocations for Program Implementation Grants in Federal States.

7.2 NEXT STEPS

DECIDING ON THE NEED FOR GPE RESOURCES

Financial support from GPE is always additional and should not displace funding committed by the government or DPs. During the ESP/TEP development process, the cost of implementing the plan is calculated using a financial simulation model, prioritizations are made, and a financing framework is developed. As government and DPs commit funds to the plan's implementation, a funding gap may be determined. The LEG works to mobilize resources to address the funding gap through domestic and other means.

Upon becoming a member of GPE, DCPs become eligible to apply to GPE for financial support to reduce this funding gap. These funds may include a maximum country allocation and Multiplier allocation both approved by the GPE Board. These funds may be accessed through an ESPIG and/or GPE Multiplier application process (which is similar to the ESPIG process).

Credit: GPE/Kelley Lynch

steps 8 to 13

ESP implementation and ESPIG application and process

8

ESPIG Initial Steps

If an eligible government has an indicative maximum country allocation and is interested in obtaining funding from GPE for the implementation of its ESP/TEP, it works with the CA and the other members of LEG to designate a GA and start developing the program, including discussions on the funding model requirements.

9

PDG Application

The LEG-designated GA for the ESPIG may apply for a PDG to support program development costs.

10

Multiplier ESPIG Application

Eligible country partners may submit an expression of interest (EOI) to secure a maximum country allocation from the Multiplier, after which the timeline and requirements for grant development are identical to those of the ESPIG. To access a MCAM, the country needs to mobilize at least US$3 in new and additional external financing for every US$1 from the GPE Multiplier.

11

ESPIG Program Development, Quality Assurance and Grant Approval

Program development is accompanied by the Secretariat's quality assurance reviews before the application is reviewed by the Grants and Performance Committee. Following approval of the grant, program implementation commences in line with both the GPE and GA policies and procedures.

12

ESP/TEP Implementation and Monitoring

The LEG monitors the implementation of the ESP/TEP, including the ESPIG program, against the agreed results framework and then reports to the Secretariat as required. Joint sector reviews are a key process in sector monitoring and for ensuring necessary adjustments of the plan. At the end of the implementation period, the LEG evaluates the ESP/TEP to feed into the next ESP/TEP development.

13

Reapplication for GPE Grants

If eligible, the government may reapply for an ESPDG, and for a new ESPIG if another MCA has been approved by the Board and progress on the existing grant is proceeding in line with agreed targets.

8

ESPIG - Initial Steps

A — Agreeing on funding modality as part of broader sector dialogue

B — Defining the scope of the ESPIG

C — Selecting a grant agent

D — Quality assurance review I

PURPOSE

The ESPIG provides funding for the implementation of the national (or federal) ESP/TEPs[14], more specifically national priorities and strategies related to basic education, defined as pre-primary, primary, lower secondary education and second-chance learning opportunities.[15] It may be possible to support early childhood care and education and upper secondary education in certain cases.[16]

ELIGIBILITY

All countries that have received a notification from the Secretariat of an indicative maximum country allocation.[17]

DURATION

Three to four years (five years if the variable part will be an additional phase to be implemented after the fixed part is completed).

AMOUNT

The amount of the MCA is decided by the Board (but there are exceptions and a choice of currency)[18] and consists of:

Up to value of maximun country allocation (MCA) with

70%
FIXED PART
requirement-based and

30%
VARIABLE PART
results/incentives-based

APPLICATION DATE

Four submission deadlines a year.

APPROVAL

The Board approves the application, after detailed assessment and recommendation by the Grants and Performance Committee. (The GPC makes the final decision if the grant is US$10 million or less). [(See: ESPIG timeline; Guidelines for Education Sector Program Implementation Grants.)]

14. Fragile and conflict-affected states may apply for an ESPIG based on a TEP rather than a full ESP [(See: Step 3)].

15. The ESPIG does not provide funding for higher education nor technical and vocational training.

16. Especially for countries that have achieved high levels of access and retention in basic and lower secondary education.

17. See: Guidelines for Accelerated Support in Emergency and Early Recovery Situations. Federal states need to determine and agree on indicative allocations across subnational levels, including eligibility among them; see Guidelines on Division of Indicative Allocations for Program Implementation Grants in Federal States.

18. Given their small sizes, the entire allocations for eligible small island and small landlocked developing states are "fixed" and do not contain any variable part. Moreover, for allocations of US$5 million or less, a country has the option to not include the variable part. Countries can opt to access the ESPIG in euros, in lieu of U.S. dollars. See: Guidelines for Education Sector Program Implementation Grants for more details.

AGREEING ON FUNDING MODALITY, SCOPE OF WORK AND SELECTION OF GRANT AGENT

A. AGREEING ON FUNDING MODALITY AS PART OF BROADER SECTOR DIALOGUE

The LEG determines the most appropriate way to channel the ESPIG to the sector. As referenced in step 5.1.B, best practice is to include this discussion within the ESP/TEP development process and determine whether the conditions are in place for progressively shifting toward greater use of country systems and more harmonized funding mechanisms. (See: Section Alignment and harmonization.)

B. DEFINING THE SCOPE OF THE ESPIG

Based on a general discussion within the LEG, the government identifies the overall scope of work to be funded through the ESPIG, in light of the ESP/TEP goals and a mapping of funding needs.

The scope will not be defined if the ESPIG is disbursed through budget support, a pooled fund or similar on-budget aid mechanism that directly supports the whole ESP/TEP.

C. SELECTING A GRANT AGENT

The LEG selects a GA following the standard selection process and adjusting the selection criteria as appropriate to the country context. The selection is a transparent process: It involves a selection committee appointed by the government (good practice is to include the CA), and selection criteria and process communicated prior to the LEG. The final recommendation by the committee is approved by the government and endorsed by the developing partners. The process and decision are documented by the CA and reviewed by the Secretariat, including during the ESPIG quality assurance process.

If a financial procedures agreement does not already exist between the GA and the GPE trustee, the GA should initiate action to secure an agreement as soon as the GA has been selected, well before the submission of a financing request.

Credit: GPE/Kelley Lynch

MORE INFORMATION:

Guidance is available for selecting the ESPIG GA through a standard process. The Terms of Reference (TOR) for GA of the GPE ESPIG outlines roles and responsibilities in relation to the government and in-country partners, the GPE trustee, and the Secretariat:

- Standard Selection Process for Grant Agents.
- Terms of Reference for Grant Agents of the GPE ESPIG.

D. QUALITY ASSURANCE REVIEW I

For each ESPIG application, the Secretariat accompanies the program and application development process on a continuous basis. The designated Secretariat country lead works with the local education group and in particular the ministry, the CA and the GA to ensure and facilitate the preparation of high-quality applications that support and are aligned with country processes and GPE's guiding policies and principles. The support of the Secretariat is underpinned by a three-phased quality assurance review (QAR) process that provides the milestones of the application process.

As part of phase 1 of the QAR, the Secretariat usually arranges an in-country mission to support discussions with the LEG around the potential use of ESPIG and/or Multiplier ESPIG resources and the country's readiness to fulfill GPE funding requirements. A critical part of this discussion is the extent to which the grant is aligned to ESP priorities, the degree to which GPE priorities are being addressed in-country, and how the program being developed through the PDG will further support these priorities.

9

PDG Application

PURPOSE

The PDG enables the GA, working under the leadership of government, to prepare a program that (a) supports ESP/TEP implementation and (b) meets the criteria for financing through a GPE ESPIG or Multiplier ESPIG. It provides funding to the GA to cover some of the expenses for the development of the program and other documents for the country's ESPIG application package. Due to its purpose, the grant will not be transferred to the DCP.

ELIGIBILITY

All ESPIG GAs with an FPA, selected by the LEG and approved by the government.

AMOUNT

grants
US$200,000

&

US$400,000
in exceptional cases

MORE INFORMATION::

Guidance is available explaining the PDG application process and management of the grant. It also includes links to the application form and reporting template.

DURATION

Up to 15 months.

APPLICATION DATE

On a rolling basis.

UNDERSTANDING THE PDG

The GA selected by the LEG can apply for a PDG to help cover its expenses for developing the ESPIG program and application package and ensure that the application process is consultative, including for the variable part. The PDG can also be used to prepare readiness for program implementation.

Examples of activities:

- Stakeholder consultations
- Analytical work—for example, needs and capacity assessments, context-specific risk assessments, gender and fragility analyses
- Fiduciary assessment or any technical appraisal that can help illustrate implementation readiness and inform program design
- Knowledge exchange and dissemination
- Preliminary designs for infrastructure
- Development of implementation manuals, preparation of procurement processes and more

APPLICATION

The GA may apply for the PDG as soon as it has been selected by the government and endorsed by the LEG. The GA, in consultation with the government, identifies the activities to be funded through the PDG. In consultation with the LEG, the GA determines how the ESPIG and/or Multiplier ESPIG program development process will take place to ensure a collaborative and inclusive approach. The GA designs the PDG application around the agreed process, including any activities required by its own procedures.

The application will provide general information as well as brief narratives on the country context, overall approach to program planning, context-specific risks and the GA's own administrative procedures. The activities to be funded under the PDG will be outlined along with the specific objective of each activity, the timeline and the budget.

Before the GA submits the application to the Secretariat, the partner ministry signs off. The CA also signs the application and confirms that the LEG is informed of PDG contents and has been consulted in the ESPIG and/or Multiplier ESPIG development timeline and process.

APPROVAL

After submission of the PDG application, the Secretariat will complete an initial review of the application within 10 working days. This review aims to determine whether the grant application meets the eligibility criteria, and is reasonable in its budget and timeline. If the Secretariat has serious questions or concerns, it will provide written comments to the GA, copying the CA. The GA, in consultation with the government and the rest of the LEG members, will have the opportunity to address the Secretariat's concerns, if necessary, before resubmitting the application.

After the initial review is complete and any adjustments are made, the Secretariat's grant application review committee—composed of technical, policy and financial experts—reviews the application, making sure that the PDG grant process and budget are in line with GPE guidelines, and makes recommendations to the Secretariat's Country Support Team manager for further allocation decision. Depending on the country and grant context, the manager will raise the approval to the CEO level. The Secretariat's decision will be communicated to the GA within three days of the decision, copying the CA for further distribution to the LEG. In some cases, further information may be requested. If the application is not approved, the Secretariat will provide written comments outlining why.

If no clarifications are needed, the application will be processed within four weeks upon receipt, and the Secretariat's decision will be communicated to the GA, copying the government and the CA. Funds will be transferred to the GA under the FPA.

No later than six months after the PDG period, the GA should submit a financial report to the Secretariat. This report should be shared with the LEG. [See: Guidelines for Program Development Grants.]

10

Multiplier ESPIG application

A — Submitting an EOI to access the MCAM

B — Review by grants committee and approval by GPE Board

PURPOSE

The Multiplier ESPIG provides additional support to eligible countries in the implementation of their national ESP/TEP. It aims to mobilize new and additional external financing for education by creating an incentive for external funders to increase their investment in the sector. To access its potential Multiplier allocation, a country needs to leverage at least US$3 in new external support for education for each US$1 accessed from its potential allocation.

ELIGIBILITY

- Countries eligible for ESPIG that are subject to the MCA cap of US$100 million, or have an MCA allocation of less than US$10 million.
- Countries classified as vulnerable lower-middle-income countries.[19]
- Non-ESPIG eligible countries that are approved as eligible for other forms of GPE funding.

19. Vulnerable lower-middle-income countries are those with GNI per capita lower than US$2,000 and a lower secondary completion rate below 90 percent or fragile and conflict-affected states or conflict with GNI per capita lower than US$3,000 and lower secondary completion rates below 90 percent.

AMOUNT

The amount of the MCAM is decided by the Grants and Performance Committee based on available resources. Like the ESPIG, it consists of a fixed part (requirements-based) and a variable part (incentives-based), making up 70 and 30 percent of the MCA, respectively.[20]

DURATION

Three to four years (five years if the variable part will be an additional phase to be implemented after the fixed part is completed).

APPLICATION DATE

Countries should first submit an expression of interest and draft requirement matrix. EOIs are accepted on a rolling basis, throughout the year.

There are four rounds a year to submit the application. These four rounds correspond to the regular ESPIG rounds of application. If a country is also ESPIG-eligible, the application should normally be submitted as a single program.

The GPC approves the EOI. The application follows the normal procedure for ESPIG approval.

MORE INFORMATION:

» Multiplier timeline

» Multiplier guidelines

» Multiplier eligibility

20. While for ESPIGs the ex post modality (results-based financing) of the variable part is exempted for countries with MCAs of less than US$5 million, for the Multiplier ESPIG, the ex post modality variable part is a minimum 30 percent of the grant amount.

OBTAINING MAXIMUM COUNTRY ALLOCATION FROM THE MULTIPLIER

A. SUBMITTING AN EOI TO ACCESS THE MCAM

To be considered for a Multiplier allocation, an eligible country must first submit an EOI. Among other topics, the EOI must report additionality demonstrating that for each US$1 to be accessed from the Multiplier at least another US$3 is mobilized (or likely to be mobilized) in new and additional financing for education from external sources. This funding does not have to be disbursed or formally committed at the time of the EOI but should at least be notionally agreed. In some cases, the external funding may be in the form of a loan. In these cases, the external funding must be consistent with the terms of the IMF/World Bank Debt Limits Conditionality, if it applies.

Multiplier ESPIG applications must demonstrate that all expenditures to be financed are directly linked to the implementation of the ESP/TEP. However, when part of pooled or budget support, GPE funds need not be limited to specific subsectors.

MORE INFORMATION::

Form for expression of interest to obtain a GPE Multiplier allocation.

B. REVIEW BY GRANTS COMMITTEE AND APPROVAL BY GPE BOARD

The GPC reviews the EOI and approves an MCAM based on the funding requested (which is tied to the level of cofinancing mobilized), and on the Board-approved eligibility criteria and allocation model.

Following this approval, the process for submitting an application to obtain the GPE Multiplier is the same as for the regular ESPIG. (The choice of GAs in countries using a Multiplier can be adjusted to account for the source of external funding.)

11

ESPIG – Program Development, Quality Assurance and Grant Approval

11.1 IDENTIFYING THE PROGRAM - FOLLOWED BY QAR I

A — Preparing a program outline

B — Discussing the variable part

C — Submitting documents for QAR I

D — Processing QAR I report

11.2 DEVELOPING THE DRAFT PROGRAM AND APPLICATION - FOLLOWED BY QAR II

A — Developing the draft application

B — Submitting documents for QAR II

C — Submitting additional documents if applying for the variable part

D — Processing QAR II report

11.3 FINALIZING AND SUBMITTING THE APPLICATION PACKAGE - FOLLOWED BY QAR III

A — Preparing the final submission, including a QAR II memo

B — Submitting documents for QAR III

C — Further processing

11.4 RECEIVING COMMUNICATION ON THE BOARD'S ALLOCATION DECISION – SIGNING OF GRANT AGREEMENT

A — Receiving communication on the Board's allocation decision

B — Entering into grant agreement

C — Notifying the Secretariat

11.1 IDENTIFYING THE PROGRAM - FOLLOWED BY QAR I

A. PREPARING A PROGRAM OUTLINE

Once selected, the GA in consultation with the government and the LEG prepares (with or without a PDG) a written outline for the program to be funded, following its organization's own processes, and based on the identified scope of work and timeline agreed within the LEG and synchronized with the ESP/TEP process. (See: Guidelines for Education Sector Program Implementation Grants.)

Generally, the identification of the program activities for ESPIG funding begins after the ESP/TEP's objectives, strategies and programs have been developed and prior to the completion of the ESP/TEP multi-year action plan. In all cases, the program objectives should be in alignment with the ESP/TEP's objectives and contents.

B. DISCUSSING THE VARIABLE PART

Preparation for the variable part (that is, possible strategies/indicators for equity, efficiency and learning outcomes) should also be discussed by the LEG and included in the program outline. The LEG should put weight on the transformational potential of the proposed policies and strategies in improving results in the three domains. It is good practice to discuss these when the ESP/TEP is being developed (See: Guidance Note on GPE Variable Part Financing.)

C. SUBMITTING DOCUMENTS FOR QAR I

GPE's quality assurance review is intended to support the design of a successful program contributing to equitable and quality education for all, and readiness of the country application (including fixed part requirements fulfillment) prior to the review by the GPC/Board.[21]

Following the above process, the CA sends the following documents to the Secretariat for its QAR phase 1 (QAR I):

- Fixed part requirements matrix.
- Program outline, including the variable part proposal.
- Domestic financing matrix.

The fixed part requirements matrix and the domestic financing matrix should be shared at the same time to allow for assessment of the funding model requirements. The program outline may be submitted separately if required. In many countries, QAR I is split into several distinct steps based on the country's timeline.

D. PROCESSING QAR I REPORT

The Secretariat supports the activities of the program identification and collaborative decision-making for the use of GPE funds. QAR I often includes an in-country mission to discuss with the LEG members the country's readiness to fulfill the requirements for the fixed part as well as the identified scope of work of the ESPIG and its alignment with GPE objectives and the sector plan. The proposed ESPIG funding modality, the GA selection process, and the variable part proposal will also be reviewed.

The Secretariat shares its QAR I report with the LEG. The report comprises the Secretariat's observations at this point, and may include feedback from the GPC on the country's readiness to meet the requirements. It will include specific recommendations to inform further detailed program design and or to support the DCP in meeting the funding model requirements if they are not already met.

21. GPE's QAR is complementary to the GA's own quality assurance mechanisms; work is currently ongoing to streamline and reduce redundancies.

It is expected that the QAR I recommendations will be discussed within the LEG and taken into consideration in the further development of the ESPIG program and application. In some cases, the LEG may decide that more time is required to address the recommendations before the ESPIG application proceeds.

11.2 DEVELOPING THE DRAFT PROGRAM AND APPLICATION - FOLLOWED BY QAR II

A. DEVELOPING THE DRAFT APPLICATION

Taking into consideration the recommendations of QAR I, the GA under the leadership of the government, is responsible for developing the draft application in line with the framing agreed with the LEG. Often, the CA provides important support to the application form, as it contains much sector-level information.

B. SUBMITTING DOCUMENTS FOR QAR II

Following the above, the GA sends the following to the Secretariat for its quality assurance review by the set deadline, normally at least two months prior to the final application submission date (timelines and milestone calendars for each application cycle are published on the GPE website for ESPIG and Multiplier ESPIG):

- Draft ESPIG application form.
- Draft program document, including a results framework and detailed draft budget or other appropriate documents for budget support or on-budget aid mechanisms.
- Latest report on implementation or completion of previous grant where applicable.
- Joint financing agreement in cases of pooled funding, where available.
- Any other supporting documents.

C. SUBMITTING ADDITIONAL DOCUMENTS IF APPLYING FOR THE VARIABLE PART

In addition, at this stage, if the DCP applies for the variable part, the document for QAR II should also include the following:

- Justification of the proposed variable part strategies in relation to ESP/TEP, relevance to outcomes in equity, efficiency and learning outcomes, and justification for its transformational effect
- Proposed indicators to measure and monitor the variable part strategies, actions and targets, as well as a clear theory of change and results chain
- Information on when and how it will be assessed; whether indicators have been reached, including the means of verification
- Synergies between the fixed and variable part programs, and relationship between fixed and variable part indicators (if any)
- The use of funds once the indicators reached and implementation arrangements
- If relevant, justification for an ex ante approach for preapproval. This approach is only possible in exceptional cases, primarily where the context is fragile, capacity and the availability of funding are low, and educational needs are critical in the short term. [See: Appendix 6. GPE funding model – Requirements and incentives of the ESPIG.)]

D. PROCESSING QAR II REPORT

The Secretariat shares its QAR II report with the LEG. The QAR II is an assessment of the draft program grounded in a set of program quality standards and variable part criteria and is organized in the form of a desk review. The QAR II report may also consider

progress toward meeting the funding model requirements, if these were not fully met at QAR I.

The report comprises the Secretariat's views regarding the soundness of the draft program (both fixed and variable parts) vis-à-vis GPE's quality standards and may provide specific recommendations.

It is expected that the QAR II recommendations will be discussed within the LEG and taken into consideration in the finalization of the application.

11.3 FINALIZING AND SUBMITTING THE APPLICATION PACKAGE - FOLLOWED BY QAR III

A. PREPARING THE FINAL SUBMISSION, INCLUDING A QAR II MEMO

The QAR II recommendations will be discussed within the LEG and considered for the finalization of the ESPIG application package to ensure a successful submission. Based on the inputs and recommendations in the QAR II report, and dialogue with the LEG, the GA, under the leadership of the government, reviews and finalizes the ESPIG application package.

How the QAR II recommendations have been addressed should be summarized in a QAR II memo, which will be part of the final submission package.

The government should validate the completed application, the development partners should endorse it, as should the GA, before its submission. If one or more DPs are unable to endorse the program because of a difference in opinion, the conflict resolution procedures can be used to identify a constructive way forward. (See: Conflict-Resolution Procedures.)

B. SUBMITTING DOCUMENTS FOR QAR III

The CA submits a number of documents to the Secretariat for its final quality assurance by the set deadline, normally three months prior to the Board meeting. Applications submitted after this deadline cannot be considered in the current application round because of the time constraints involved in processing the application and submitting it to the Grants and Performance Committee well before their meeting.

Required documents:

- ESPIG application form
- Program document prepared for ESPIG funding or other appropriate documents for budget support or pooled funds
- QAR II memo (step 11.3.A)
- Latest report on ongoing/previous grant, where applicable

Supporting documents:

- ESP/TEP package (sent three months earlier (step 6.3)
- Joint sector review reports for the past two to three years, as available
- Draft grant agreement, where applicable and if available

The Secretariat verifies that the application package is complete and consistent across documents and the requirements are met. If the application is incomplete, the GA and CA will be notified and requested to provide any missing information, or provide clarifications as necessary. The Secretariat then proceeds with its final review in which it assesses whether the program meets the required standards, including readiness of the program for implementation within the existing country context, and can be recommended for approval. The findings are compiled into a QAR III report.

C. FURTHER PROCESSING

THE SECRETARIAT: The Secretariat shares its QAR III report with the Grants and Performance Committee for further processing to the Board.

GPC: The committee reviews the complete application package and the QAR III report and provides its recommendations to the Board.

THE BOARD: The Board makes the final decision on the ESPIG application and allocation decision. (The GPC makes the final decision if the grant is US$10 million or less.) This process is often on an e-mail non-objection basis, except otherwise decided by the GPC chair because of country or grant specificities.

11.4 RECEIVING COMMUNICATION ON THE BOARD'S ALLOCATION DECISION – SIGNING OF GRANT AGREEMENT

A. RECEIVING COMMUNICATION ON THE BOARD'S ALLOCATION DECISION

The grant approval, together with the approved time frame for commencement of program implementation, is communicated to the ministry focal point, the GA, and the CA within 10 days of the Board or GPC's decision. The communication includes the Board/GPC's decision on the following:

- Grant amount, expected start date and duration.
- Variable part disbursement modality (ex post or ex ante).
- Amount of the variable part along with the actions and indicators that will be the basis for its release and its disbursement modality.
- Designation of the GA.
- Additional conditions or requirements for funding.
- Observations and report-back items, where appropriate.

B. ENTERING INTO GRANT AGREEMENT

When the FPA between the Board-approved GA and the GPE trustee has been signed (step 8.C), arrangements are made for transferring the ESPIG funds to that GA.

Once the grant allocation has been announced by GPE to the government, and once the FPA has been signed at the headquarters level, the GA is ready to negotiate and enter a grant agreement with the government, or other implementing partner(s) as relevant to the specific country circumstances.

The grant agreement with the government follows the GA's own format, policies and procedures and specifies the basis on which funds will be transferred. This may not be a requirement for some GAs.

C. NOTIFYING THE SECRETARIAT

The GA should notify the Secretariat when the grant agreement is signed, as well as when effective implementation has started. If there is no grant agreement according to the GA procedures, the application must define which other event signifies the start of implementation (See: Policy on Education Sector Program Implementation Grants.)

12

ESP/TEP Implementation and monitoring

12.1 ADMINISTERING THE GRANT

A — Complying with general administration frameworks of the grant policies

B — Contracting for implementation

12.2 MONITORING THE GRANT AS PART OF THE ESP PROCESS

A — Program-specific monitoring and reporting

B — Joint monitoring of progress

C — Monitoring as part of JSRs

D — Documenting progress through JSRs

E — Grant completion and evaluation report

F — ESP/TEP evaluation reports

12.3 DISBURSING THE VARIABLE PART

A
Assessing whether indicators have been reached

B
Disbursing the variable part funding

C
Notifying the Secretariat

D
Optional planning for the variable part

12.4 MITIGATING RISKS

12.5 MAKING REVISIONS – ESPIG POLICY

A
Addressing unforeseen circumstances, risks

B
Sending a 'program revision notification' to the Secretariat

C
Following the procedures according to the category of revision

D
Revising GA country office costs (or supervision fees)

12.6 MAJOR DEVIATIONS FROM REQUIREMENT TO OBTAIN THE GRANT

A
Seeking remedial action to address causes for major deviations

B
Cancellation or withholding of allocated funds

12.1 ADMINISTERING THE GRANT

A. COMPLYING WITH GENERAL ADMINISTRATION FRAMEWORKS OF THE GRANT POLICIES

Within the requirements of the FPA with the GPE trustee, the GA has overall responsibility for overseeing the implementation of the grant, including the use of the resources implemented in accordance with the following:

- ESPIG application package approved by the Board/ GPC
- GPE policies and guidelines applicable to the ESPIG
- GA's own policies and procedures

Agencies that are selected as GA must meet minimum standards and are therefore entrusted to follow their own processes. This includes policies and procedures related to audit, eligible expenditures, employment and supervision of consultants and procurement, and fiduciary oversight including support and corrective action to ensure effective implementation.

The administrative costs needed by the GA country office to perform its expected role must be specified within the proposed budget and financed from within the fixed part of the maximum country allocation.

Agency fees levied at the headquarters level are considered to be additional to the country allocation and should be indicated in the ESPIG application form.

MORE INFORMATION:

Guidance on GA minimum standards is available for GAs' expected roles and responsibilities in relation to the government and in-country partners, the GPE trustee, and the Secretariat: Terms of Reference for Grant Agents of the GPE ESPIG. (See: Policies and Communications Protocol on Misuse of GPE Trust Funds.)

B. CONTRACTING FOR IMPLEMENTATION

The ESPIG is normally implemented by the government—for example, the MoE—based on the bilateral agreement with the GA (step 11.4.B).

The government may, at its discretion, enter into contractual relationships with qualified entities. When identifying candidates, efforts should be made to ensure that domestic or regional sources of expertise are considered. However, all contracting will have to be done in compliance with the GA's procurement and fiduciary processes.

In other cases, where the ESPIG is not transferred to the government, the GA may, at its discretion, subcontract activities to qualified entities to carry out its responsibilities. Contracting relationships are the sole responsibility of the GA and follow the GA's own format, policies and procedures, although the GA reports on progress to the LEG.

MORE INFORMATION:

Procedures for ESP/TEP and ESPIG implementation and monitoring are summarized above; the ESPIG policy contains more detailed guidance on aspects such as procedures and consequences related to delays in start of implementation, reporting requirements, revisions, revocation of funds and recordkeeping.

12.2 MONITORING THE GRANT AS PART OF THE ESP PROCESS

A. PROGRAM-SPECIFIC MONITORING AND REPORTING

The GA monitors the program using its own monitoring system to ensure quality work is carried out in a timely fashion. It keeps the Secretariat informed on progress in implementation and meets (in person or virtually) with the Secretariat regularly and/or upon request, to review progress of the grant.

The GA is responsible for submitting an annual status report to the Secretariat no later than 15 months after the approval date, and annually thereafter. When possible, the GA should prepare reports in conjunction with JSRs in alignment with the national ESP monitoring cycle. GAs have the responsibility to support the DCP/government to share progress on grant implementation (twice a year for the ESPIG) with the LEG members. GA's annual report will be reviewed at the Secretariat and the designated country lead will follow up on any issues or concerns.

As part of the report, the GA will provide an update to the LEG and the Secretariat on the following:

- Progress against the results framework submitted in the proposal, including toward targets and the indicators for the disbursement of the variable part.
- Status of activities funded under the program and funds disbursed, including if the variable part has been (partially) disbursed.
- Reports from implementing partners, including program audit reports.
- Data required for GPE 2020 reporting in accordance with standardized grant reporting template.

The GA should use the ESPIG annual status report template. Alternatively, the GA can choose to use its own template to report on progress as long as the information of GPE's template is explicitly and completely captured in the GA's report.

GAs should also provide mission/ monitoring reports to the Secretariat. In addition, and where available, annual audit reports and financial statements of ESPIG programs/funds disbursed by the GA to implementers (for example, audits conducted by the Supreme Auditing Institute) should be submitted to the Secretariat.

If there are major delays or issues that may adversely affect the quality and timing of the work (including if the percentage of the grant amount that has been disbursed 25 percent or more below the disbursement forecast), it is the responsibility of the GA to inform both the LEG and the Secretariat in a mid-year status update.

The data collected through grant monitoring are used to inform the GPE results framework, which tracks global progress toward the partnership's shared objectives, goal and vision.

If at the time of approval the GPC requested any additional reporting, this should be included in the annual reporting to the Secretariat.

B. JOINT MONITORING OF PROGRESS

The ESPIG supports implementation of part of the ESP. As such, discussions about implementation of the GPE program should be integrated into broader discussions about implementation of the ESP, with a focus on broader results-level and policy dialogue implications. The LEG provides an inclusive partner forum for joint decision-making and monitoring of ESP progress to address any challenges that may emerge during implementation. As such, the LEG reviews GPE program and budget revisions before they are sent to the Secretariat by the CA (step 12.5).

C. MONITORING AS PART OF JSRS

Joint monitoring of the ESP/TEP implementation by the LEG should be organized through joint sector reviews, led by the government and usually carried out on an annual basis. JSRs bring together different stakeholders to engage in dialogue, review status, and monitor expenditure, progress and performance in the implementation of national education sector plans.

Since the ESPIG supports implementation of the ESP, it is good practice to report results from the ESPIG progress during the JSR. Progress on the implementation of variable part strategies and progress toward the variable part milestones should also be monitored by the LEG through JSRs (see step 12.3.A).

The Secretariat participates whenever possible, and supports sharing of good practices among DCPs and DPs . (See: Practical Guide for Effective Joint Sector Reviews in the Education Sector.)

D. DOCUMENTING PROGRESS THROUGH JSRS

Every credible ESP contains a results framework that outlines national goals and targets to be achieved in the ESP implementation period. The JSR serves as part of the process to monitor progress toward these goals and annual targets. It is expected that a DCP's ESP/TEP annual implementation report, which is usually prepared ahead of JSRs, will include the following:

- Evolution of key sector performance and progress indicators (including equity, efficiency and learning outcomes) in ESP/TEP implementation.
- Progress on implementation of ESP/TEPs, including medium-/longer-term follow-up actions agreed to through the appraisal.
- Domestic and external financing and modalities and sector expenditures/financial trends.
- The implementation of a plan to develop or strengthen EMIS as well to develop mechanisms to monitor learning outcomes.
- Progress and results on implementation of previous JSR recommendations.
- Recommendations for addressing operational bottlenecks, adjusting ESP/TEP targets and so on.
- Risks to implementation.

It is requested that the ESP/TEP annual implementation report prepared by the government be shared with the Secretariat, in addition to aide-memoires and other relevant documentation.

In the absence of the ESP/TEP annual implementation report and/or a JSR report, the CA on behalf of the LEG will be asked to provide the Secretariat with a brief annual update on the progress of implementing the ESP/TEP. Some countries include the Secretariat's country leads in the LEG or DPG mailing list, as an easy way to share such report and/or information.

E. GRANT COMPLETION AND EVALUATION REPORT

Within six months of the close of the grant, the GA should submit the ESPIG completion report to the Secretariat, copying the LEG. This report is separate from the last progress report and includes the following:

- A detailed analysis of whether the program has facilitated the country's progress in terms of education outcomes as per program objectives and ESP goals, in particular (but not limited to) the results chain linked to the indicators for the variable part
- A description of all deliverables related to the financial and technical execution of the grant, any significant deviation from the original program, and an explanation for any misuse of funds, and/or incomplete deliverables

- Information regarding whether indicators related to the variable part have been reached and thus lead to disbursement

A standard ESPIG completion report template is available. Alternatively, the GA can use its internal process to report on the required information, as long as the reporting items outlined in GPE's template are explicitly captured in the GA's completion report. (See: Guidance Note on ESPIG Progress and Implementation Completion Reports for Grant Agents.)

F. ESP/TEP EVALUATION REPORTS

Evaluations of the ESP/TEP usually take place midway through ESP/TEP implementation (depending on the length of the ESP/TEP) and at the end of ESP/TEP implementation.

The midterm evaluation is usually conducted around the halfway point, the results drafted in a report, and discussed by stakeholders at the midterm review. The outcomes of the midterm evaluation process can be used to inform implementation over the rest of the plan's period to achieve the ESP/TEP's goals and targets.

The final evaluation takes place at the end of the implementation period and will consider in more detail the impacts and outcomes of ESP/TEP implementation, relevance of strategies, cost-effectiveness and sustainability. It should also analyze why the implementation of particular strategies may or may not have been successful and generate lessons learned, which can be used to inform planning and implementation of the next plan cycle.

Both the ESP/TEP midterm report and the ESP/TEP final evaluation should be shared with the Secretariat (usually by the CA) on behalf of the LEG.

12.3 DISBURSING THE VARIABLE PART

A. ASSESSING WHETHER INDICATORS HAVE BEEN REACHED

At the time of application for the ESPIG, the means of verification for all targets should be clearly described, outlining a time frame for reaching targets and a process and time frame for data collection and analysis, verification and grant agent/LEG validation.

Generally verification involves the following:

1. Collection and analysis of raw data (ideally as part of the JSR)
2. A technical assessment of the evidence to determine whether targets have been met, sometimes conducted by a third party and usually recorded in a report
3. A decision on whether the GA in consultation with the LEG accepted the verification report and, based on that decision, made a disbursement recommendation with the JSR.

B. DISBURSING THE VARIABLE PART FUNDING

The program document should clearly explain the disbursement arrangement and mechanism. A program may disburse to (sector) budget support, a pooled fund or additional program activities. If the GA in consultation with the LEG concludes that the agreed targets have been met, the GA disburses the variable part in accordance with the terms approved by the Board.

C. NOTIFYING THE SECRETARIAT

The GA notifies the Secretariat in the next status report (step 12.2.A) that indicators have been reached, how verification has been conducted, and that the variable part is being (partially) disbursed.

The notification includes documentation of the LEG's explicit confirmation that indicators have been reached to allow disbursement.

Supporting documentation (for example, report from third-party validation or the developed policy document, or proof of payment) should also be shared with the Secretariat. The Secretariat informs the GPC regarding the disbursement of the variable part.

D. OPTIONAL PLANNING FOR THE VARIABLE PART

Funds from the variable part disbursement may be used as budget support, be allocated to a pooled fund or be used to support implementation of a program (for example, a subcomponent of the program funded by the fixed part of the ESPIG). If it was not known how the variable part funds would be used when the application was made, and the DCP would like to allocate the variable part funds to ESP/TEP implementation support, the funds can be rolled into the next ESPIG application, or the GA can apply for an extension of the active ESPIG in order to complete activities funded by the variable part disbursement. (See: Guidelines for Education Sector Program Implementation Grants.)

12.4 MITIGATING RISKS

COMPLYING WITH POLICY ON MISUSE OF GPE TRUST FUNDS

GPE expects all transactions to be characterized by transparency and value for money; it has a zero tolerance policy regarding misuse of GPE Fund resources.

In the event that any misuse does occur, the GA's internal processes for dealing with such issues will apply, including procedures to reclaim any misused funds, if applicable. The GA must also immediately inform the Secretariat, in writing, of any concerns regarding misuse of funds and remedial actions taken to mitigate the impact on the program.

The Contributions and Safeguards Policy governs the circumstances under which any financial contributions will be permitted to the GPE Fund. It seeks to minimize the risks of mission and partnership distortion, financing substitution, and disproportionate administration and transaction costs.

MORE INFORMATION:

Guidance is available for following GPE's communications protocol in the event of suspected misuse of funds:

- Policies and Communications Protocol on Misuse of GPE Trust Funds.
- Contributions and Safeguards Policy.

12.5 MAKING REVISIONS – ESPIG POLICY

A. ADDRESSING UNFORESEEN CIRCUMSTANCES, RISKS

Programs are expected to be implemented over a three- to five-year period and to adhere to the agreed objectives, components and results as detailed in the program document. However, flexibility is needed to enable potential revisions to the approved program to address unforeseen circumstances, risks or weaknesses that arise before or during implementation.

The GA together with the DCP should work as necessary to develop options for adjusting the program as a means to promote the best possible outcomes.

In cases where the context changes from stable to unstable, with implications for the implementation, the Operational Framework for Effective Support in Fragile and Conflict-Affected States should be applied.

B. SENDING A 'PROGRAM REVISION NOTIFICATION' TO THE SECRETARIAT

Since the ESPIG program supports broader ESP/TEP implementation, the GA and the DCP should consult the other members of the LEG to solicit their explicit support for a proposed revision. The GA should then provide a notification to the Secretariat prior to any revision to the ESPIG, including the following items:

- The reasons, content and timeline for the proposed revision (if non-minor only)
- A description of how the changes will affect the results framework outlined in the application package (if non-minor only)
- Documentation of the support of the revision by the LEG (for example, minutes of the meeting during which the LEG decided to support the revision, or letter from the CA confirming support from LEG)

C. FOLLOWING THE PROCEDURES ACCORDING TO THE CATEGORY OF REVISION

Program revisions are defined in three different categories, according to the impact of the revision on the approved grant:

1. Minor revisions (no approval required)
2. Non-minor revisions (Secretariat's no-objection required)
3. Material revisions (GPC approval required)

As the nature and extent of revisions define each of the three revision categories, the GA needs to refer to the Policy on Education Sector Program Implementation Grants, as different procedures apply to them. The GA should follow these in addition to its own procedures. The Secretariat is available to provide guidance on the revisions.

D. REVISING GA COUNTRY OFFICE COSTS (OR SUPERVISION FEES)

For grants approved in or after the second application round of 2016, any request for revision to GA's country office costs (budgeted within the MCA/program budget) to cover the expenses of the GA to perform its role are subject to the above reprogramming provisions.

For grants approved prior to the second application round of 2016, the expenses covering the costs of the GA are referred to as "supervision fees" and budgeted separately from the program. Changes to these fees (if increasing) are subject to a separate request, for which a template is available on the GPE website. (See: Request for Additional Supervision Fees for Education Sector Program Implementation Grants.)

12.6 MAJOR DEVIATIONS FROM REQUIREMENT TO OBTAIN THE GRANT

A. SEEKING REMEDIAL ACTION TO ADDRESS CAUSES FOR MAJOR DEVIATIONS

In cases where there are significant deviations from endorsed ESPs/TEPs and commitments that undermine the basis on which GPE funding was granted—including significant gaps between financing commitments and execution that threaten implementation of the ESP or TEP, or shifts in policy priorities that render the endorsed plan irrelevant or considerably weaken its implementation—the Board may decide, upon recommendation by the GPC, to (1) cancel the allocation for an ESPIG or part thereof until remedial measures have been taken; or (2) instruct the trustee to withhold transfers to the GA on the grant until remedial measures are taken. In order to inform the GPC's recommendation, the developing country partner in consultation with the LEG will present a recommendation for action that will highlight

potential consequences and risks related to the above scenarios.

The LEG should examine causes for deviations to determine whether they undermine the mutual accountability based on which the ESPIG was approved and GPE funding was granted. The recommended remedial actions of the LEG should be integrated into JSR reports or aide-memoires.

The GA in consultation with the LEG may also present a recommendation for action that highlights potential consequences and risks related to cancellation or withholding of transfers.

B. CANCELLATION OR WITHHOLDING OF ALLOCATED FUNDS

While the Secretariat seeks to play a facilitating role when needed and requested, it informs the GPC, which may recommend to the Board whether to cancel the allocation or part thereof or withhold transfers until remedial measures are taken. (See: Policy on Education Sector Program Implementation Grants)

During the ESPIG period: If the Board approves cancellation of grant funds, the GA will be asked to amend the grant agreement to reflect the reduced grant amount.

At the end of an ESPIG term: Any amount of an allocation that has not been used for the agreed purposes within the agreed time frame (including a term extension) will be canceled.

13

Reapplication for GPE grants

TIMING AND COORDINATING WITH PREVIOUS GRANT

CONSIDERING REAPPLICATION FOR ESPIG

At least one year before the closing of an existing ESPIG and preferably as part of the JSR, the LEG can consider the need for further support from GPE, if the country has received an indication of a new MCA or MCAM.

In cases where the variable part of the grant is released sequentially and if progress on the fixed part of the grant is satisfactory, an application for a new ESPIG overlapping with the disbursement of the variable part for a maximum of one year can be prepared.

In addition to the requirements outlined earlier, a request for further GPE support will be informed by the GPE grant completion report, including an explanation of what has been achieved since the previous allocation, both in the sector as a whole and with GPE resources.

At the time of application for the next grant, the assessment of whether a country has delivered on its previous domestic financing commitments will be included in the funding model requirements assessment. If commitments have not been met, the government will be responsible for providing sufficiently strong justification for why this is the case. The GPC will assess the justification. In exceptional cases, the committee can recommend that the Board not approve a new grant, or reduce or delay the grant until corrective measures are taken. The GPC can also recommend that corrective actions be financed from the new ESPIG.

Appendices

Credit: GPE/Carolina Valenzuela

Appendix 1.

How to become a GPE member as developing country partner

COUNTRIES MAY JOIN GPE BY SENDING:

1. A "commitment letter" or equivalent

to uphold the GPE compact, to the Chief Executive Officer of the Secretariat, signed by the minister of education or any other authorized official, and

2. A credible education sector plan or equivalent

including a costed multiyear implementation plan independently appraised and endorsed by the development partners.

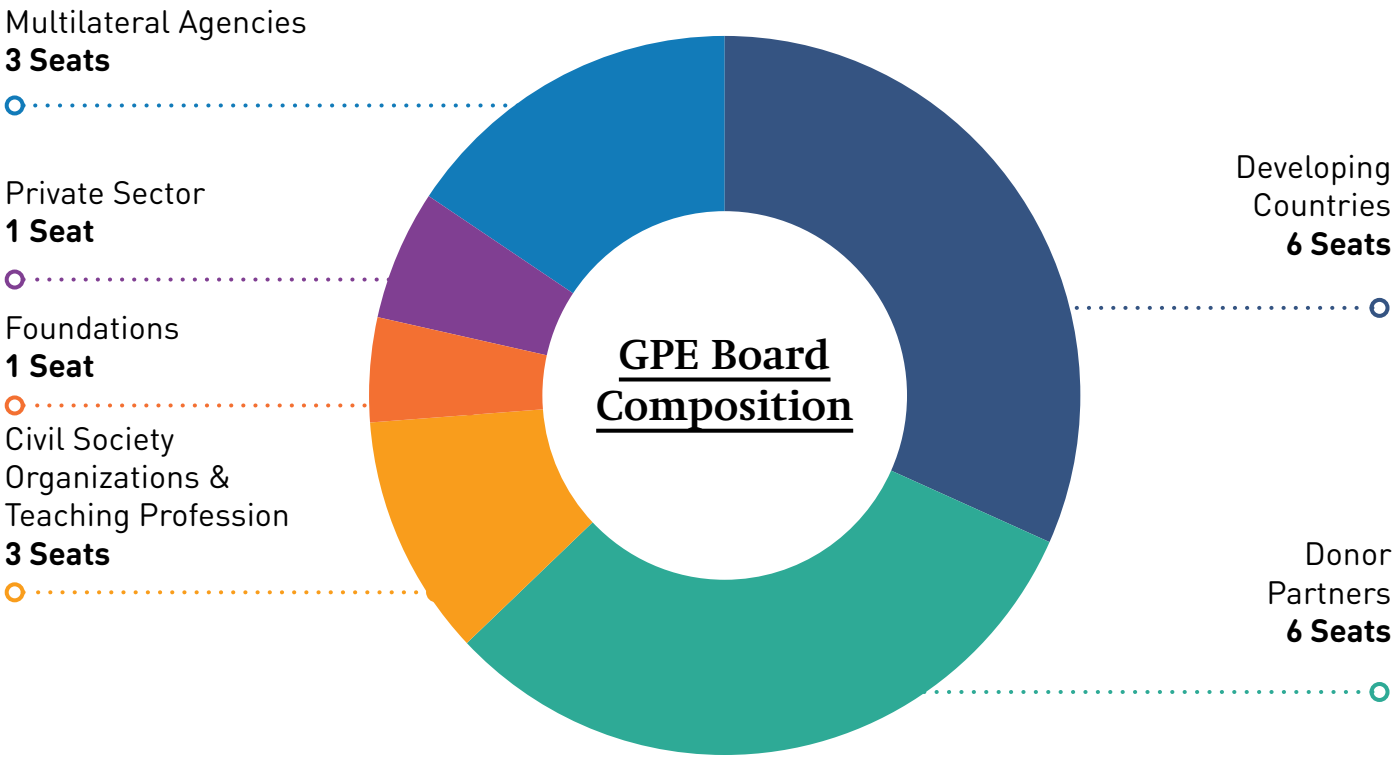
Developing countries are encouraged to join GPE with their comprehensive education sector plan. Where challenging circumstances make the development of such a plan difficult, a country may choose to join with a transitional education plan. A TEP is suitable for countries where the education sector operates in an especially challenging and complex context, such as where countries are emerging from conflict. A TEP should help move the country toward developing a comprehensive ESP. An ESP, or a TEP, is considered as a commitment: a national commitment of a government to its citizens; an international commitment between government and its development partners.

Upon becoming a member, the DCP designates a focal point for GPE. This is essential to ensure strong links between the Secretariat and DCPs, and it is critical to the success of GPE's constituency-model structure. The focal point should be a political/technical adviser to the minister of education, appointed and duly authorized to serve as the ministry's primary interlocutor.

Appendix 2.
Global Governance Structure and DCP Representation

GPE GOVERNANCE

THE PARTNERSHIP



BOARD OF DIRECTORS

Is the supreme governing body of the partnership and sets its policies and strategies.

The Board mirrors the wide-ranging and diverse nature of the Global Partnership for Education and includes members from developing country governments and all development partners: donors, civil society organizations, private sector and foundations, and multilateral agencies and regional banks.

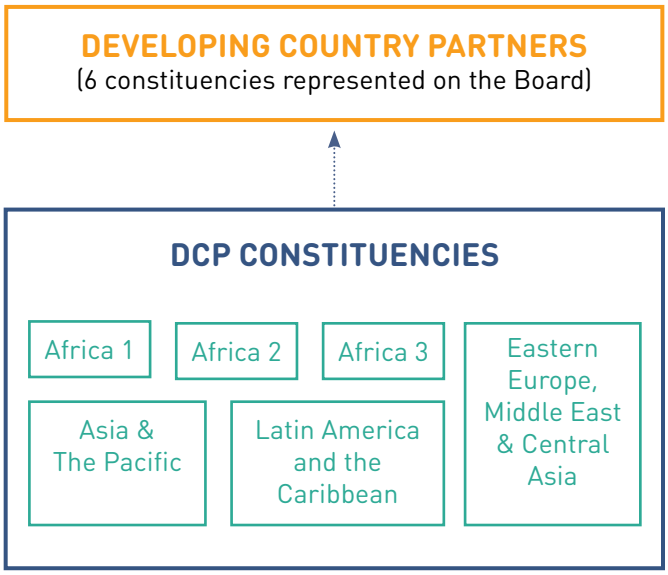
The responsibilities of the Board include reviewing annual objectives of the partnership, mobilizing resources, monitoring financial resources and funding, advocating for the partnership and overseeing the Secretariat budget and work plan.

Twenty constituencies are represented by 40 members (Board member and alternate Board member), chosen every two years. Each constituency is self-governed—that is, it manages its own internal process of consultation and consensus building.

SECRETARIAT

Provides administrative and operational sup- port to the partnership and facilitates collaboration with all partners.

DCP PARTICIPATION IN GPE'S GLOBAL GOVERNANCE



The DCP constituencies are grouped into six regions as shown above. As in other constituencies, the DCP constituencies consult internally and come to a consensus on a decision to be made by the Board.

DCP constituency meetings aim to improve consultations, communication and coordination within and among the DCP constituencies to strengthen their operations and enable them to express a representative DCP position at GPE meetings.

In addition, DCP constituency meetings

- Support stronger engagement and voice for DCP constituencies in GPE governance;
- Improve consultations and coordination between and within DCP constituencies;
- Provide information on GPE's operational model, policies, goals and objectives;
- Provide the opportunity for DCPs to elect/select their committee and Board members; and
- Promote peer-to-peer collaboration and knowledge exchange through the sharing of good practices.

GPE's policies are intended to support the work of its developing country partners. Therefore, it is crucial for DCPs to have a strong voice and influence in all decisions. The DCP constituency meetings are an important platform for strengthening DCP engagement with the partnership and its processes.

MORE INFORMATION:

» GPE Charter

THE DCP FOCAL POINT MECHANISM

Upon becoming a GPE member, ministries of education (including ministries of federal states) are invited to appoint a DCP focal point who serves as the liaison between the ministry of education and the GPE Secretariat on activities mainly related to GPE's global-level governance. The focal point serves as the MoE's primary interlocutor who facilitates communications and coordination with the other members of his/her DCP constituency. The focal point is familiar with the partnership's activities at the country level and has the delegated authority to speak on behalf of the country's minister at the DCP constituency meetings and other platforms.

The roles and responsibilities of the focal point:

- Serve as the liaison between the MoE and the GPE Secretariat on GPE constituency-related matters, and work closely with the in-country coordinating agency to link constituency-related matters to LEG priorities and issues.
- Serve as the liaison between the MoE and other members of the constituency on GPE-related matters, including consolidating comments on the documents and Board decisions that are circulated by the Secretariat.
- Ensure that the Board documents and requests for comments circulated by the Secretariat are circulated among the ministry, reach the minister of education, and that the perspective and position of the ministry on Board documents/proposed decisions are communicated to the constituency representatives for consolidated input to the constituency's Board representatives.
- Provided the timing does not conflict with major country level processes or events, attend the DCP constituency meetings and represent his/her country's views, interests and position on Board documents and decisions.
- Brief the ministry and relevant country-level stakeholders on the outcomes of the DCP constituency meetings.
- Support/participate in coordinating and organizing the election/selection process for incoming Board and alternate Board members and committee members of his/ her constituency.
- Support strengthening of communications and coordination within the constituency through intra-constituency communication networks as well as by implementing activities agreed by the constituency, as discussed during DCP constituency meetings.
- Support strengthening of communications and coordination among the six DCP constituencies of the partnership through sharing of good practices and promoting peer-to-peer collaboration and exchange through providing country, and where possible, regional-level experiences.

Appendix 3.
Roles and Responsibilities of Key Actors

GOVERNMENT	COORDINATING AGENCY	GRANT AGENT	OTHER LEG MEMBERS	GPE SECRETARIAT
SECTOR ANALYSIS				
» Leads sector analysis. » Ensures inclusive consultation with education stakeholders within LEG, and beyond as appropriate. » Signs off on ESPDG application as primary owner of the activities.	» Facilitates inclusive consultation within LEG. » Provides technical support. » Provides financial support if possible. » Coordinates application for ESPDG, facilitates LEG sign-off and submits the application package.	» Provides technical and financial support along with other LEG partners As GA for ESPDG: » Prepares ESPDG application » Administers and monitors the implementation of ESPDG and reports on progress to the LEG and Secretariat » Supports capacity building in planning as relevant.	» Provide technical and financial support to analysis. » Sign off on ESPDG application. » Review sector diagnostic and analysis.	» Promotes inclusive and robust policy dialogue. » Provides guidance on ESPDG application and process. » Approves ESPDGs (ESA). » Reviews ESPDG (ESA) progress and reports. » Reports on ESPDG (ESA) to Board as part of annual portfolio review.

GOVERNMENT	COORDINATING AGENCY	GRANT AGENT	OTHER LEG MEMBERS	GPE SECRETARIAT
PLAN DEVELOPMENT AND APPRAISAL				
» Leads ESP/TEP development. » Ensures inclusive consultation. » Ensures that the results of the independent appraisal are discussed within the LEG and agreed recommendations are used to improve ESP/TEP. » Prepares appraisal memo, summarizing how recommendations and agreed follow-up actions were taken into consideration. » Ensures ESP/TEP is adopted by the appropriate government authorities and financed through national resources.	» Leads or coordinates DPs in supporting the development, independent appraisal and endorsement of the ESP/TEP. » Facilitates inclusive consultation within the LEG. » Provides technical support. » Provides financial support as available. » Supports government in soliciting comments from DPs, including the Secretariat, on early draft of ESP/TEP, when LEG finds it ready.	**As GA for ESPDG:** » Monitors the implementation of ESPDG and reports on progress to the LEG and the Secretariat. **As LEG member:** » Provides technical support. » Provides financial support. » Endorses ESP/TEP as LEG member.	» Engage in transparent GA selection process, including discussion of aid alignment. » Provide technical support. » Provide financial support (align own support to ESP/TEP). » Facilitate independent appraisal and participate in discussion of results to support quality ESP/TEP. » Endorse ESP/TEP based on appraisal results well as agreed recommendations/follow-up actions.	» Promotes inclusive and robust policy dialogue. » Promotes donor alignment and harmonization. » Contributes to ESP/TEP discussions, in particular to promote GPE strategic goals and objectives. » Provides sector planning guidelines/tools. » Guides and processes ESPDG application, reviews reports and reports to Board. » Provides comments to draft ESP/TEP and guidance on appraisal/endorsement process. » Monitors independence of appraisal process and verifies adherence to appraisal guidelines.

GOVERNMENT	COORDINATING AGENCY	GRANT AGENT	OTHER LEG MEMBERS	GPE SECRETARIAT
PROGRAM DEVELOPMENT (ESPIG)				
» Approves selection of GA for ESPIG grant. » Leads on the identification of the scope of the ESPIG (fixed part) and strategies to improve equity, efficiency and learning outcomes if applying for variable part, and works closely with GA and the CA on program development.	» Ensures that the GPE requirements on credible ESP/ TEP, financing and data are met. » Facilitates transparent process for selecting the GA according to standard process. » Facilitates discussions around the fixed and variable parts. » Coordinates ESPIG application process. » Signs off on PDG application. » Facilitates dialogue on GPE requirements. » Facilitates dialogue on QAR II recommendations from the Secretariat. » Signs off on ESPIG application and submits it to the Secretariat.	» Provides agency information required for GA selection. » Develops PDG proposal. » Based on agreement with the LEG, develops ESPIG program in close collaboration with the government , the CA and other LEG members (including defining actions/ strategies for the variable part and verification/ disbursement modalities).	» Assess alignment of country application with GPE funding model requirements. » Participate in the identification of the overall scope of the ESPIG, ensuring it is aligned to the ESP/TEP (including taking active part in discussions around the variable part). » Engage in transparent GA selection process, including discussion of aid alignment. » Discuss the QAR Phase II recommendations. » Sign off on PDG and ESPIG applications.	» Provides guidance and participates in discussions on ESPIG requirements. » Provides technical advice as needed. » Leads GPE quality assurance review processes. » Processes and approves PDG. » Processes ESPIG application for Board approval.

GOVERNMENT	COORDINATING AGENCY	GRANT AGENT	OTHER LEG MEMBERS	GPE SECRETARIAT
IMPLEMENTATION AND MONITORING				
» Leads on the implementation according to the relevant grant agreement or memorandum of understanding, and/or depending on the funding modality. » Ensures that grant implementation is monitored through the government-led annual JSRs, and discussions on policy implications with the LEG take place. » Provides information to the GA and the LEG for ESPIG progress and completion reports. » Makes every effort to ensure enabling conditions for optimal implementation of GPE-funded programs.	» Leads or coordinates DPs in the implementation and joint monitoring of the ESP. » Facilitates harmonized sector coordination and policy dialogue that is collaborative, effective and inclusive of NGOs. » Facilitates the organization of harmonized monitoring practices through joint monitoring missions and JSRs. » Submits program and budget revisions to the Secretariat on behalf of the GA after consultation with the LEG. » Supports the government in reportingon ESP implementation progress.	» Provides fiduciary oversight, technical support and capacity building as agreed in approved program and budget to support ESP/grant implementation by government, in accordance with its own internal processes and policies and GPE policies. » Prepares annual status reports and completion report and submits them to the LEG and the Secretariat » Supports the government in discussing results/general progress of ESPIG implementation and policy implications with the LEG at least twice a year.	» Provide aligned technical and financial support to the ESP/TEP implementation. » Participate in joint monitoring through the LEG coordination mechanisms and the JSRs.	» Provide oversight of efficient and effective use of GPE resources, including monitoring of GA adherence to the minimum standards for GAs and actions taken against implementation delays. » Stays informed on progress through engagement in the ESP/TEP. Implementation and JSRs, and frequent contact with the GA. » Processes grant revision requests in line with the ESPIG Policy. » Processes the ESPIG reports for the Board's annual portfolio review, and reports to the Grants and Performance Committee on a regular basis.

GOVERNMENT	COORDINATING AGENCY	GRANT AGENT	OTHER LEG MEMBERS	GPE SECRETARIAT
IMPLEMENTATION AND MONITORING				
		» Provides midyear reports, in case of underperformance. » Updates the Secretariat on progress as requested. » Participates fully in country-led ESP implementation and monitoring mechanisms including supporting the CA in promoting JSRs.		

Appendix 4.
Countries elegible for GPE funding

Eligibility and allocation formulas are adjusted for each fund replenishment cycle, so the newest information is available on the GPE website. The eligible countries for the 2018–2020 cycle are as follows:

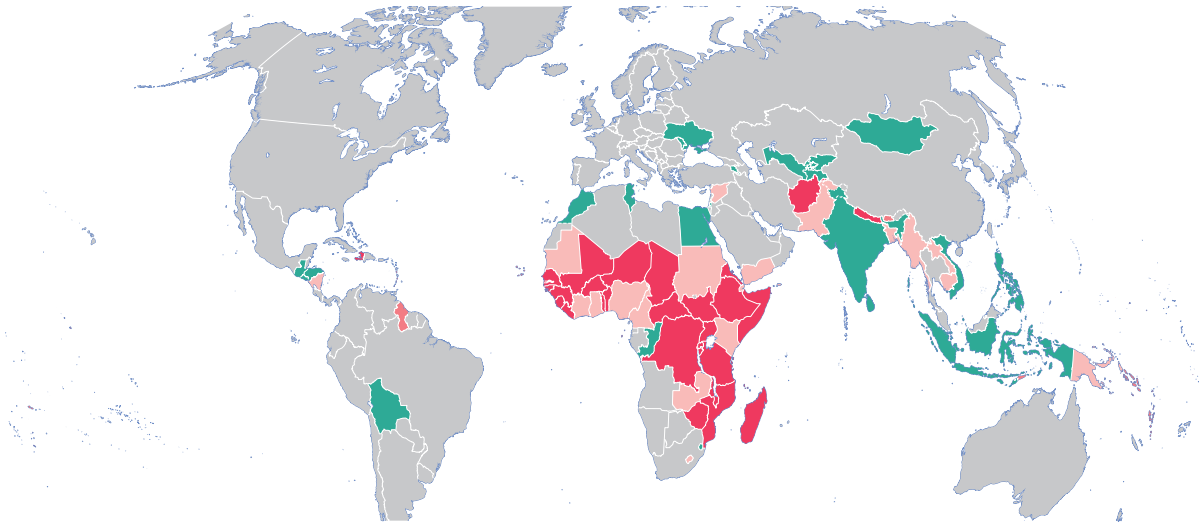
- 88 low- and lower-middle-income countries are eligible for grants to help analyze and strengthen their education sector plans (ESPDG).
- 67 countries can also apply for large-scale grants to help implement their education plans (ESPIG). Allocations are determined by needs, based on primary and secondary school completion rates and economic status (gross domestic product per capita), with an additional weighting for fragile and conflict-affected states[22].
- 88 countries can benefit from the new GPE Multiplier[23], including the following:
  - » Countries eligible for ESPIG that are subject to the MCA cap of US$100 million, or have an MCA allocation of less than US$10 million
  - » Countries classified as vulnerable lower-middle-income countries[24]
  - » Non-ESPIG eligible countries that are approved as eligible for other forms of GPE funding

22. GPE, "Funding," Global Partnership for Education, http://www.globalpartnership.org/funding.

23. Board of Directors decision, March 1, 2017, BOD/2017/03 DOC 04.

24. Vulnerable lower-middle-income countries are those with GNI per capita lower than US$2,000 and a lower secondary completion rate below 90 percent, or fragile and conflict-affected states with GNI per capita lower than US$3,000 and lower secondary completion rates below 90 percent.

COUNTRIES ELIGIBLE FOR GPE FUNDING



GPE Multiplier

Education Out Loud

Knowledge and Innovation Exchange

Education Sector Plan Development Grants

Education Sector Program Implementation Grants

Low-Income Countries (30)

Afghanistan
Benin
Burkina Faso
Burundi
Central African Republic
Chad
Comoros
Democratic Republic of Congo
Eritrea
Ethiopia
The Gambia
Guinea
Guinea-Bissau
Haiti
Liberia
Madagascar
Malawi
Mali
Mozambique
Nepal
Niger
Rwanda
Senegal
Sierra Leone
Somalia
South Sudan
Tanzania
Togo
Uganda
Zimbabwe

Small Island and Landlocked Developing States (18)

Bhutan
Cabo Verde
Dominica
Federated States of Micronesia
Grenada
Guyana
Kiribati
Maldives
Marshall Islands
Samoa
Sao Tome and Principe
Solomon Islands
St. Lucia
St. Vincent and the Grenadines
Timor-Leste
Tonga
Tuvalu
Vanuatu

Vulnerable Lower Middle-Income Countries (19)

Bangladesh
Cambodia
Cameroon
Côte d'Ivoire
Djibouti
Ghana
Kenya
Laos
Lesotho
Mauritania
Myanmar
Nicaragua
Nigeria
Pakistan
Papua New Guinea
Sudan
Syria
Yemen
Zambia

Other Lower Middle-Income Countries (21)

Armenia
Bolivia
Congo Republic
Egypt
El Salvador
Guatemala
Honduras
India
Indonesia
Kyrgyz Republic
Moldova
Mongolia
Morocco
Philippines
Sri Lanka
Swaziland
Tajikistan
Tunisia
Ukraine
Uzbekistan
Vietnam

Appendix 5. Alignment and harmonization

GPE anticipates that the LEGs will use the order of preference outlined below when discussing and choosing the modality for external aid and ESPIG support in particular.

BUDGET SUPPORT

Budget support is the most aligned modality: External funding is totally fungible with national treasury funds and fully adheres to the country's public financial management rules. This is the preferred modality where conditions permit. In countries with comparatively strong financial management systems, development partners and government may be expected to choose budget support, with agreed conditions for joint monitoring and annual disbursements. However, because options for the specific management of fiduciary risks will be limited, this may not be the soundest choice of modality in countries with weaker systems.

AID ON BUDGET

Aid on budget is strongly aligned, but funding is provided through a sub-account at treasury, which lessens the degree of fungibility. The funding and expenditure can be separately tracked and accounted in the government's annual budget and financial management information system. This tracking also allows the negotiation of some specific, additional fiduciary risk management measures. This modality offers the possibility of a balancing between the use of national systems and the need for better safeguards. It can be deployed in a wide range of settings, including countries with weak systems.

AID OFF-BUDGET/OFF-SYSTEMS

Off-budget or off-systems aid privileges the use of institutional arrangements, human resources, procedures or tools that are notably different from the country's standard public financial management rules and practices. This modality should only be a recourse if more aligned modalities have been comprehensively considered and deemed not possible.

For further improved risk management and capacity building, successful aligned modalities are often combined with external expertise to reinforce critical functions in public financial management. Aligned modalities can use and combine a wide variety of practices, to best respond to contextual capacity issues and risk management, as long as the approach sticks to the main principle of alignment: using the partner country's institutions, human resources, procedures and tools as the mainstays for the implementation of the modality.

Summary table of country-level processes to develop more effective, aligned modalities

EVENTS IN COUNTRY-LEVEL PROCESS	PURPOSE / OPPORTUNITY	RELEVANT SECRETARIAT SUPPORT OR QUALITY ASSURANCE REVIEW
» Education sector analysis.	» Analysis of country Public Financial Management (PFM) systems and aid effectiveness/alignment	» Funding support through ESPDG » Secretariat support (as requested)
» Education sector plan development	» Dialogue on opportunities for more aligned modalities	» Funding support through ESPDG » Feedback shared through Secretariat comments on ESP/TEP
» ESPIG application, initial dialogue	» Dialogue on improved, aligned modalities » Choice of modality for ESPIG » Choice of GA able to support increased alignment and harmonization	» Process and good practice (as requested) » Review of GA choice and selection process through QAR I
» ESPIG application, identification and formulation	» Develop appropriate measures to support country PFM systems and manage fiduciary risks.	» Secretariat support (as requested) » Review of draft program document through QAR II and III
» Regular country-level sector dialogue, joint monitoring (including joint sector reviews/ midterm reviews/ESP evaluations)	» Review of external aid modalities (alignment and funding performance) » Review of current modality of ESPIG-funded program	» Secretariat engagement and support (as requested)

Appendix 6.

GPE funding model – Requirements and incentives of the ESPIG

GPE's funding model aims to ensure fair targeting and allocation to DCPs and seeks to adapt realistically to the needs of fragile and conflict-affected states. It puts strong emphasis on evidence-based planning, financing and data, and provides incentives to achieve results in equity, efficiency and learning outcomes.

The Board determines the amount of the MCAs, guided by a needs-based allocation formula, progressively applied to all eligible DCPs based on total funds available. DCPs will need to fulfill a set of requirements related to its ESP/TEP, financing, monitoring and sector dialogue, to be able to submit a final application for an ESPIG and access the MCA.

REQUIREMENTS FOR THE FIXED PART:

To access the first 70 percent of the MCA, each developing country supported by its partners must meet the following three requirements:

REQUIREMENT 1 –A CREDIBLE, ENDORSED ESP, OR ALTERNATIVELY, A TEP IN FRAGILE AND CONFLICT-AFFECTED STATES.

A credible ESP or equivalent[25] including a costed multiyear implementation plan, must be endorsed by the development partners no later than three months before submission of an ESPIG application.

An application may be submitted based on a previously endorsed plan, provided that it is still valid and there is a costed multiyear implementation plan that covers at least the first two years of the grant cycle. If a government plan exists but has not been endorsed by partners, development partners may organize an independent assessment and endorse the plan at any time during its implementation.

In fragile and conflict-affected states, a costed TEP may fulfill the requirement. A TEP may not cover all subsectors but should cover medium-term education priorities at least in basic education. A TEP should include a process to conduct an ESA and elaborate a full ESP.

25. The key elements of a credible ESP or TEP are laid out in the Guidelines for ESP Preparation or Guidelines for TEP Preparation respectively, jointly prepared by GPE and IIEP.

REQUIREMENT 2 – FINANCING: EVIDENCE OF COMMITMENT TO FINANCE THE ENDORSED ESP/TEP

The requirement has two elements:

A. Government commitment:

When submitting an ESPIG application, the government must specifically confirm its commitment to finance the ESP/TEP. In countries where 20 percent or more of domestic resources are allocated to education, GPE seeks commitment to at least maintain current levels; for countries where current levels are lower than 20 percent, GPE seeks government commitment to increase the domestic share of resources to education progressively toward 20 percent. In countries that have not reached universal primary education, GPE seeks commitment to allocate at least 45 percent of the education budget to primary education.

B. Development partners commitment:

The development partners' endorsement, which must be communicated to the Secretariat, signifies commitment to predictable and effective aid aligned to the government priorities defined in the ESP/TEP, and will normally cover intended financial support to the ESP/TEP as reflected in the plan's financial framework.

REQUIREMENT 3 – DATA: THE AVAILABILITY OF CRITICAL DATA AND EVIDENCE FOR PLANNING, BUDGETING, MANAGING, MONITORING AND ACCOUNTABILITY, OR ALTERNATIVELY, A STRATEGY TO DEVELOP CAPACITY TO PRODUCE AND EFFECTIVELY USE CRITICAL DATA

The requirement is divided into three subcomponents concerning the availability of the following:

A. An education sector analysis:

Countries applying for an ESPIG must have conducted an ESA no more than three years prior to the grant application submission, as the basis for the development or revision of an ESP. When an endorsed ESP is already being implemented, the requirement is to conduct an ESA prior to the development of the next phase of the ESP.

In fragile contexts, a TEP must include a time-bound plan to carry out an ESA. The ESA should include context analysis, including demographic analysis, analysis of existing policies, costs and financing, system performance and capacity. The ESA must address vulnerability and equity, the situation of education for marginalized groups, including girls and children with disabilities.

B. Basic financial and education data:

Countries applying for an ESPIG must also be able to provide basic financial and education data disaggregated by gender and socioeconomic status, to monitor sector progress and report critical data to the UNESCO Institute for Statistics (UIS) for global monitoring of education progress; OR a time-bound plan to develop or strengthen the national EMIS to produce reliable education and financial data and reporting systems for improved education planning and management.

C. A system or mechanisms to monitor learning outcomes:

Countries that meet the above three requirements can apply for the fixed part of the MCA through an ESPIG application. A country's readiness to meet the requirements is assessed by the LEG once the country has notified that it intends to apply for an ESPIG. The Secretariat will provide a tool—Fixed Part Requirements Matrix—to guide the assessment and the identification of any existing gaps to meet the funding requirements.

REQUIREMENTS FOR THE VARIABLE PART:

To access the remaining 30 percent of the MCA, each partner must meet additional incentive-based requirements as follows:[26]

Results in equity, efficiency and learning outcomes: Evidence of actions and corresponding indicators confirming transformational strategies to improve equity, efficiency and learning outcomes in basic education.

DCP governments in consultation with their LEG members will identify key strategies or policies in the three areas of equity, efficiency and learning outcomes, deemed likely to lead to substantial progress in the medium-term, and hence to be transformational. Selected policies and strategies must be discussed and validated by the LEG as an integral part of the sector plan development or alternatively, through the review and revision of a plan. In general, targets set through this process should be above and beyond mere continuation of cur- rent trends—a stretch, but achievable and be integrated within the broader ESP/TEP.

Meeting the requirements for the incentive-based part of the MCA requires identification of at least one indicator in each of three dimensions. Depending on the country context and capacity levels, the indicators can be process, outcome or output-related.

26. See Guidelines for Education Sector Program Implementation Grants for different modalities for the variable part (ex post and ex ante approach)

Appendix 7.

Support to fragile and conflict-affected states

For the past decade, GPE has prioritized education in fragile and conflict-affected states. Currently, approximately half of GPE's developing country partners are classified as fragile and conflict-affected states (FCAS) and 60 percent of GPE's grant funding supports these countries.

Where challenging circumstances make the development of a comprehensive ESP difficult, a country may choose to join and apply for an ESPIG with a **transitional education plan**. A TEP is suitable for countries where the education sector operates in an especially challenging and complex context such as where countries are emerging from conflict, and should help move the country toward developing a comprehensive ESP. For the ESPIG application, an **ex ante approach for the variable part**[27] can be requested instead of ex post (results-based) financing, with appropriate justification.

In addition, GPE's Operational Framework for Effective Support in Fragile and Conflict-Affected States (OF-FCAS) aims to cater to the education needs of these states, and constitutes the following:

- An accelerated funding mechanism, which allows ESPIG-eligible countries to access up to 20 percent of its maximum country allocation through an accelerated process in cases of emergency education needs. A country is eligible for accelerated funding when it is affected by a crisis for which a humanitarian appeal/Humanitarian Response Plan has been published by the UN Office for the Coordination of Humanitarian Affairs, with education as a part of that appeal/plan. The total amount of accelerated funding for emergency and early recovery activities will be based on the education cluster needs assessment and agreed upon by the local education group. Emergency activities could include, but are not limited to, temporary shelters, school meals and distribution of school supplies.

- Principles for operating in complex emergencies, which provide guidance on the basis for GPE engagement in these situations, but also on the processes and coordination principles that should be followed in situations where there is no legitimate or recognized government, where a government does not have authority over large sections of its territory, or where other groups have authority over education. A complex emergency is defined as a humanitarian crisis that occurs in a country, region or society where there is a total or considerable breakdown of authority resulting from civil conflict or foreign aggression.

27. As opposed to an ex post approach where funds are disbursed upon the attainment of agreed results in the areas of equity, efficiency and learning outcomes, the variable part under the ex ante approach would be based on the country's plan to make progress on the areas of equity, efficiency and learning outcomes.

Procedures relating to ESPIG revisions in response to fragile situations. Specifically, when an ESPIG has been approved by the Board of Directors, and the context changes from (relative) stability to instability, such as when there is a coup d'état or conflict breaks out, the procedures allow flexibility to revise programs to changing circumstances, including the modality of support and the content of programs.

SUPPORT TO REFUGEES AND DISPLACED PEOPLE

GPE partner developing countries are home to just over 3 million refugee children, about 63 percent of the world's refugee children population[28]. The Global Compact on Refugees has set an ambitious goal: that governments should be positioned to include refugee children and youth in national education systems within three months of displacement. The reality of displacement in conflict-affected regions has only recently begun to influence comprehensive rather than contingency attention in national planning and programs. As of now, few partner countries include refugees in their education sector planning, and many lack the capacity and resources to address the educational needs of refugees.

There is increased recognition that the international community needs to more effectively and strategically support governments to address the issue of education for displaced populations. In response, GPE is encouraging greater attention to the inclusion of refugees and displaced populations in education sector plans and is strengthening the partnership by bringing in key partners that address the needs of displaced children affected by conflict and crisis. A memorandum of understanding between GPE and UNHCR, established in 2016, aims to support education for refugees through GPE processes and funding at global and country levels and to strengthen joint efforts to include better information on refugees and internally displaced people in education statistics.

PARTNERSHIP AND COORDINATION

In line with the GPE 2020 guiding principles and OECD principles for good international engagement in fragile states and situations, GPE engages through inclusive partnerships and through agreed coordination mechanisms between international actors.

GPE focuses on strengthening education systems through sector policy dialogue, strengthened national planning and implementation, and support to the implementation of education sector plans or transitional education plans. Its role in bridging emergency and development education support is derived from its core focus on context-sensitive education policy, planning and implementation and its equity goal that drives attention to the most excluded populations. For implementation, GPE depends on agencies that can operate and deliver support in the most complex contexts. For instance, UNICEF plays a critical role as grant agent in many conflict-affected states. Moreover, international NGOs can also be grant agents, thus allowing the partnership to leverage the expertise and contextual knowledge of these actors.

GPE's country-level coordination mechanism is the national forum established for education sector dialogue, the local education group. When providing accelerated funding for emergencies or engaging

28. UNHCR and GPE data. UNHCR data only accounts for refugees for whom demographic data is available.

in a complex emergency, GPE requires the LEG to collaborate with the education cluster. Apart from exceptional cases such as complex emergencies, GPE also requires government involvement, which is essential for establishing links between emergency activities and longer-term education opportunities within the national education system. Coordination with Education Cannot Wait is also critical to facilitate links between various coordination mechanisms, which will support bridging emergency support and longer-term sector development.

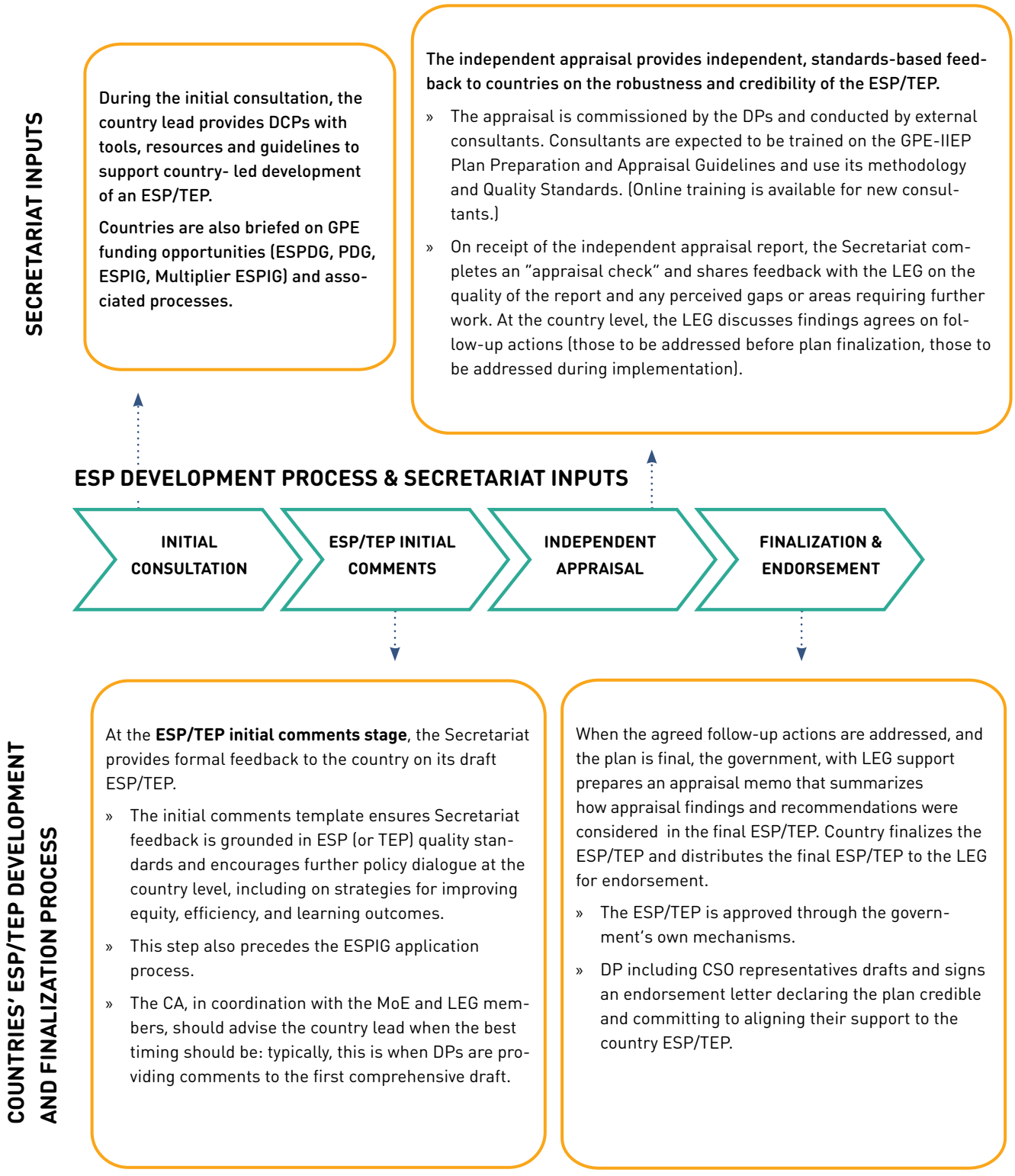
MORE INFORMATION:

- GPE Operational Framework for Effective Support in Fragile and Conflict-Affected States
- Guidelines for Accelerated Support in Emergency and Early Recovery Situations
- Operating Principles in Complex Emergencies

Appendix 8.
GPE quality assurance reviews and Secretariat support

The Secretariat quality assurance function, overseen by the GPE Board subcommittee (that is, the Grants and Performance Committee), supports the strengthening of ESPs and ESPIGs through the provision of timely and streamlined support to country-level processes, policy dialogue, and policy and analytical documents. Country-led development of robust and credible ESPs/TEPs and ESPIG-funded programs are central to the GPE theory of change and critical to supporting GPE 2020 results. Generally, the country lead briefs the LEG on overall timelines and considerations, to together agree on a common work plan for a successful ESP development/finalization and an ESPIG application (if applicable).

APPENDIX 8A. ESP/TEP DEVELOPMENT PROCESS AND SECRETARIAT INPUTS



APPENDIX 8B. ESPIG DEVELOPMENT PROCESS AND SECRETARIAT INPUTS

ESPIG DEVELOPMENT PROCESS & SECRETARIAT INPUTS

DEVELOPMENT OF REQUIREMENTS MATRIX AND INITIAL PROGRAM OUTLINE → **DEVELOPMENT OF DRAFT APPLICATION** → **FINALIZATION OF THE APPLICATION**

Quality Assurance Review Phase I (QAR I)

Review of requirements for the fixed part and initial program outline

Timing: QAR I generally takes place once a country has made progress toward GPE funding model requirements and has a general outline of the program concept, including for the variable part. QAR I can be a process spanning many months as it encompasses both sector-level and grant-level analysis and review, but this phase is concluded when the Secretariat provides formal written feedback on the program concept. The Secretariat may provide other written comments along the process, for example, on the sector plan (see Appendix 8A).
Modality: Usually one or more in-country mission(s) are carried out by the Secretariat.

The QAR I report provides feedback to the LEG on the following:

Funding Model/fixed part requirements on:

- Credible sector plan
- Domestic financing for educa-tionEducation data availability
- Education data availability and use

Quality Assurance Review Phase II (QAR II)

In-depth review of the complete draft program

Timing: At the time of the draft grant application submission (see the timeline and milestones calendars)

Modality: Document-based review

The QAR II report provides feed-back to the LEG on the following:

- Program quality, using the program quality standards (program design, budget, monitoring and evaluation, implementation arrange-ments, risk and mitigation, sustainability, aid effective-ness)
- Variable part design and justi-fication, using the assessment methodology

GA selection process

- Proposed program modalities (that is, stand-alone project, pooled fund, or budget support)
- Variable part of the funding model
- Program concept vis-à-vis GPE strategic goals and objectives
- Information around the Multipli-er (if applicable)

Quality Assurance Review Phase III (QAR III)

Final review of the application package, before transmission to the Grants and Performance Committee

Timing: At the time of final grant application submission (see the timeline and milestones Calendars) except for the ESP package, which must be submitted three months prior to application submission

Modality: Document-based review

The QAR III report provides Secretariat analysis to the Grants and Performance Committee, for its assessment of the application on the following:

- Fulfillment of the three fund-ing model/fixed part require-ments
- Program quality, using the program quality standard
- Variable part design and justi-fication, using the assessment methodology
- During this stage, the QA team uses the ESP Assessment Methodology to assess wheth-er the ESP (or TEP) submitted with the country ESPIG appli-cation meets the benchmark for a quality standards.

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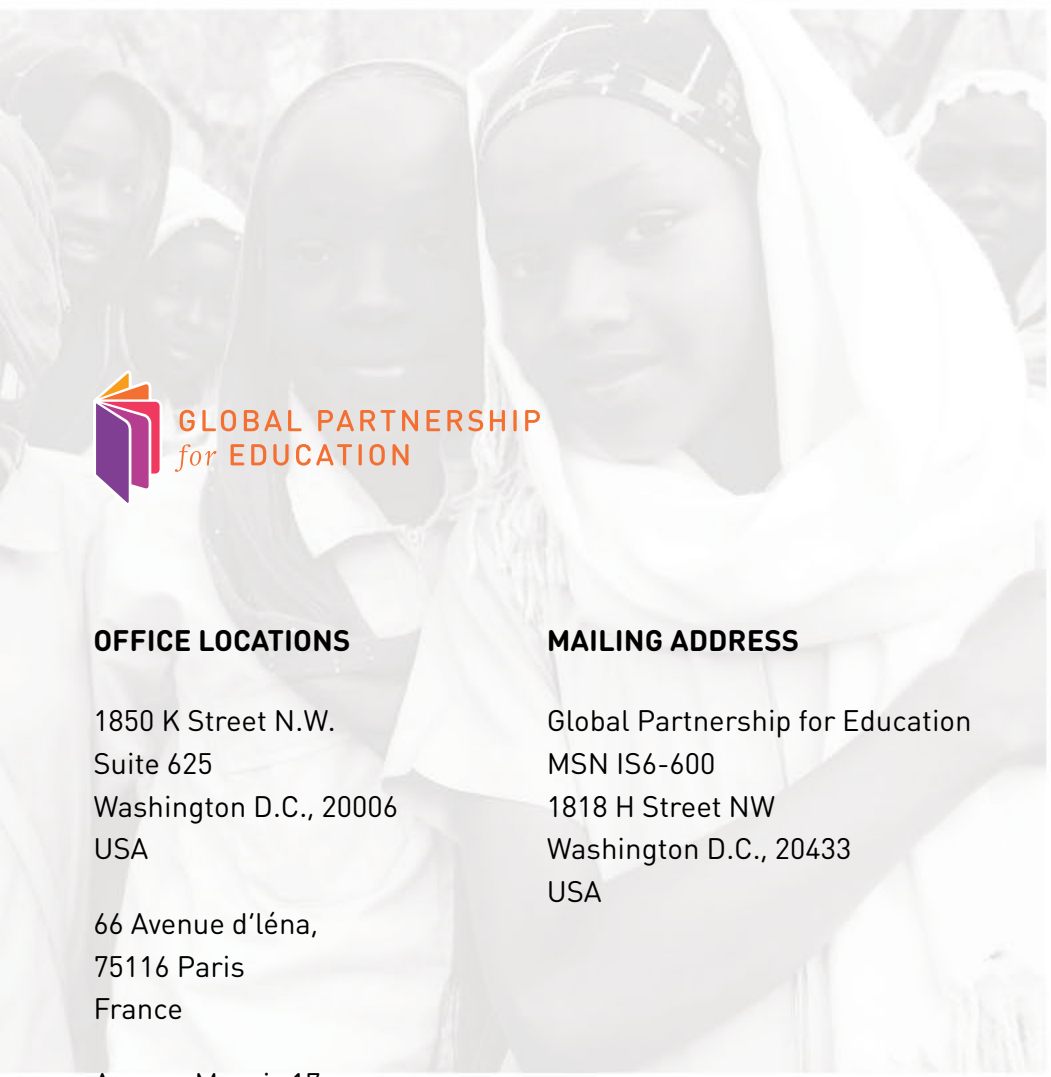

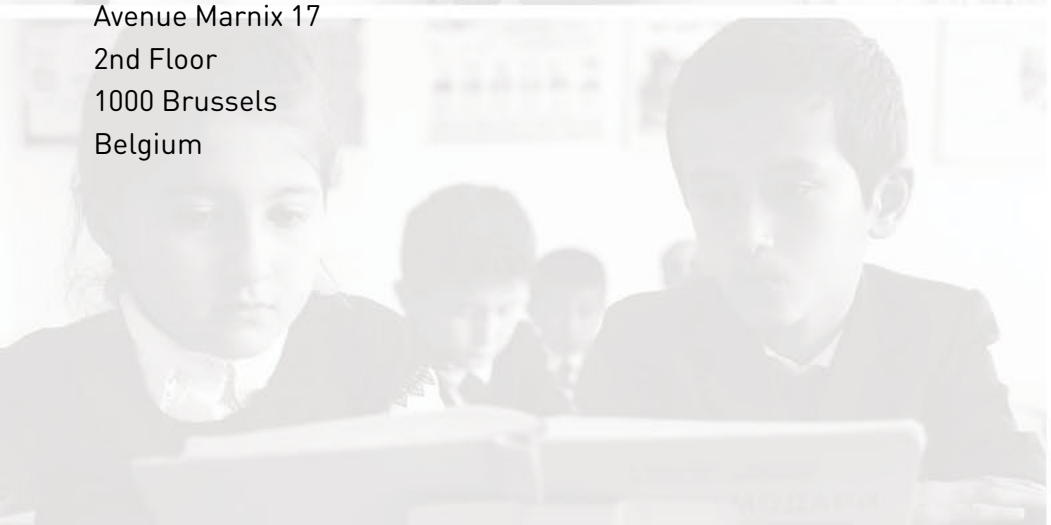

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