

Sector Monitoring and Evaluation Systems in the context of Changing Aid Modalities: The case of Uganda's Education Sector

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Abbreviations

BTC	Belgian Development Agency (formerly Belgian Technical Cooperation)
BTVET	Business, Technical and Vocational Education and Training
DFID	Department for International Development
EDI	Education for All Development Index
EFA	Education for All
EMIS	Education Management Information System
ESSP	Education Sector Strategic Plan
ESSR	Education and Sports Sector Review
FENU	Forum of Education NGOs in Uganda
FTI	Fast Track Initiative
GBS	General Budget Support
GER	Gross Enrolment Ratio
GPI	Gender Parity Index
IIEP	International Institute for Educational Planning
JAF	Joint Assessment Framework
JBSF	Joint Budget Support Framework
JSR	Joint Sector Review
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MoES	Ministry of Education and Sports
NAPE	National Assessment of Progress in Education
NER	Net Enrolment Rate
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Co-operation and Development
PRSP	Poverty Reduction Strategy Paper
SACMEQ	Southern African Consortium for Monitoring Education Quality
SBS	Sector Budget Support
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SWAp	Sector-Wide Approach
UBOS	Uganda Bureau of Statistics
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UPE	Universal Primary Education
USAID	United States Agency for International Development
USE	Universal Secondary Education

Executive Summary

Introduction

With the aim to increase aid effectiveness development partners and recipients signed the 2005 Paris Declaration which sets out a reform agenda around the core principles of 'ownership', 'alignment', 'harmonisation', 'managing for results' and 'mutual accountability'. The indicator for measuring progress in the 'management for results' principle is the "number of countries with transparent and monitorable performance assessment frameworks to assess progress against (a) the national development strategies and (b) sector programmes". The recent 2011 Paris Declaration Monitoring Survey shows considerable improvements in the development of results-oriented frameworks: while the 2010 target of 36% was not met, 21% (15 out of 76) of the countries participating in the 2011 survey have results-oriented frameworks that are deemed adequate, compared to 6% (3 out of 54) in the 2008 survey. Notwithstanding the importance of M&E for 'accountability' and 'evidence-based policy-making', strengthening of country's M&E systems has long remained a largely neglected issue in partner countries and among development partners. This neglect of M&E capacity development is particularly surprising from the perspective of budget support development partners who are supposed to rely on country M&E systems for their own accountability purposes.

While there is gradually an increasing acknowledgement of the importance of M&E system development, there is so far little strategic engagement in this area, even amongst those aid agencies that mention it in their mandates. The O-platform aid effectiveness aims to contribute to this challenging and policy-relevant research agenda and has invested in particular in the elaboration of a diagnostic instrument and stocktaking exercises of M&E systems at central and sector level in various partner countries. This focus on diagnosis and stocktaking starts from the assertion that, regardless of the approach adopted, an important first step in any M&E capacity-building effort is to take stock of what already exists at the M&E supply and demand side. This is consistent with the idea that small incremental changes to existing systems might be more feasible and workable than radical and abrupt changes that seek to impose blueprints from the outside.

This study focuses in particular on M&E in Uganda's education sector and uses the checklist which has been elaborated to diagnose, monitor and evaluate the quality of sector M&E systems (see annex 2). The same checklist has been applied earlier to the health sector M&E systems of Niger, Rwanda and Uganda. In order to counter the criticism that M&E is often narrowed down to a focus on technicalities, our checklist broadens the spectrum and gives a broad overview of the quality of M&E systems alongside six dimensions, including i) policy, ii) indicators, data collection and methodology, iii) organisation (split into iii.a: structure, and iii.b: linkages), iv) capacity, v) participation of actors outside government and vi) use of M&E outputs. These criteria are further subdivided into 34 questions and assessed using a five-point scoring system: weak (1), partially satisfactory (2), satisfactory (3), good (4) and excellent (5). The stocktaking draws upon a combination of secondary and primary data and combines quantitative with qualitative assessment. Prior to a discussion on the findings on Uganda's education sector M&E system, a brief overview of global developments within the education sector and Uganda's education sector is provided.

Global developments within the education sector

During the 1990 World Conference on Education for all (EFA) in Jomtien (Thailand) the World Declaration on Education for All was accepted with the ultimate goal to meet the basic learning needs

of all children, youth and adults. As increased access came at the expense of the quality of education, more specific references are made to education quality in the six EFA goals set for 2015 and agreed upon by participants of the 2000 Dakar World Education Forum. In the same year world leaders adopted eight Millennium Development Goals (MDGs), which include two EFA goals as well (universal education and gender equality). While improvements have been made for all EFA indicators since 1999, the world is not on track to reach most of the EFA goals in 2015. Consequences of not attaining the EFA goals include the failure to attain MDG goals related to poverty reduction, nutrition, child survival and maternal health, the undermining of economic growth and the reinforcement of unequal patterns of globalisation. Notwithstanding these negative effects, the education sector does not receive the attention needed from the international development community.

The main source for financing education are national resources, while international aid also plays an important role in financing education. However, commitments made in the Dakar Framework for Action have not been honoured. Instead, aid to the education sector does not increase and there are no major new initiatives, no important development partner champions for education or indications for major future increases in aid. In order to attract more aid the education sector should e.g. make use of evidence, demonstrate results, enhance aid effectiveness, use innovative financing mechanisms and collaborate with non-traditional development partners and the private sector.

Since the second half of the nineties many countries have introduced sector-wide approaches (SWAp) in their education sectors, as a way to bring more coherence to aid as compared to separate, often isolated, projects. SWAps have been useful in the coordination of EFA support and specifically the Fast Track Initiative, which is based on the same characteristics as the SWAp.

As one of the greatest educational challenges is maximising student learning in educational systems with limited resources, constant monitoring and evaluation of the education system is necessary in order to inform decision-making in this area. The Dakar Framework for Action includes monitoring progress towards EFA goals as one of its strategies. UNESCO is responsible for the monitoring process through the Institute for Statistics and the annual EFA Global Monitoring Report, which provides an analysis of progress towards the six EFA goals. At country level joint sector reviews have been increasingly used as a mechanism to monitor progress on EFA goals as well as on the own country goals included in national education sector plans.

Annual school censuses are the principle data source of Education Management Information Systems (EMIS). The quality of the data is however often negatively affected by the tendency to overestimate school numbers as financial grants are dependent on these numbers. While all countries have an EMIS, the data collected in some countries are quite limited and rudimentary. A crucial factor for the success of an EMIS is the effective use of data and information. The tendency to be mainly preoccupied with outcome and impact indicators, emphasised by the MDGs, is one of the reasons why there is a lack of interest to use data. More specifically, outcome and impact data only change very slowly and there are often problems of attribution when trying to link impact data to outputs and intermediate outcomes. In order to stimulate a culture in which information is used for decision-making, the institutionalisation of a monitoring and evaluation function and a policy research and analysis function within Ministries of Education is considered to be crucial.

Uganda's education sector

Uganda was one of the first countries in the world to implement universal primary education (1997) and the first Sub-Saharan African country to implement universal secondary education (2007). While the enrolment in primary schools increased considerably from 1997 onwards due to the abolishment of school fees, the quality of education is still poor.

In order to facilitate the implementation of universal primary education, the Ugandan government elaborated the Education Strategic Investment Plan for the period 1998-2003. The Education Sector Strategic Plan (ESSP) was elaborated for the period 2004-2015, revised in order to include new policy initiatives and finally updated and approved for the period 2010-2015. Additional objectives and strategies to address issues of efficiency and effectiveness have been included in the Updated ESSP. While Uganda's education policies are generally considered to be sound, implementation of these policies is known to be particularly challenging as Uganda is known to be the country with the largest implementation gap in the world. Moreover, in reality MoES policies are sometimes undermined by presidential pledges, which are not informed by technical advice from the MoES and which can even be contradictory to MoES policies.

Within Uganda's education system four levels can be distinguished: pre-school, primary education, post-primary education and training followed by two years of advanced secondary education and tertiary and university education. Under the local government act (1997) districts and municipalities became responsible for recruiting, deploying and supervising teachers and for the disbursement and management of funds related to universal primary education. As a result schools and the MoES are linked through the district education office which is headed by the District Education Officer. The District Education Officer, however, is not directly accountable to the MoES, but to the district head of the civil servants, i.e. the Chief Administrative Officer. Consequently, the MoES is largely dependent on the district for implementation of its policies. While the districts are responsible for managing service delivery, MoES is responsible for education policy and for monitoring and evaluating policy implementation.

The education sector is financed through public, private and household sources as well as foreign aid, with public sources being the main source. Important conditional grants are the universal primary education Capitation Grant and the School Facility Grant. For many schools the amount of the Capitation Fund is lower than the amount they received from parents prior to the introduction of Universal primary education.

After the launch of the Education Strategic Investment Plan (1998) a SWAp was introduced in Uganda's education sector. Since the introduction of the SWAp education development partners have been organised in the Education Development Partners Group (formerly Education Funding Agencies Group), through which the position of development partners regarding sector strategy, policy and financing issues are coordinated. Since 2003 harmonisation has decreased due to the decline in sector budget support (SBS) and return to project support by some development partners. While SBS contributed positively to Uganda's education sector, sector budget support was not able to make positive contributions to improvements in quality and efficiency and was focused on central government process, which came at the expense of attention to planning, management and inspection at district level. By December 2011 13 development partners were active in the education sector, with only Belgium providing budget support.

Diagnosis of the education sector's M&E system: summative overview of findings

Within the education sector, a constant monitoring and evaluation of the education system is necessary, especially in a context of limited resources in which maximizing student learning is one of the greatest challenges. This particularly holds for Uganda's education sector, where increases in enrolments were not combined with improvements in the quality of education. The need to establish a sound M&E system within the Ministry of Education and Sports (MoES) is also recognised in the 2002 M&E framework for the education sector. The present assessment of the M&E system in Uganda's education sector highlights that thus far the development of the M&E system can be considered satisfactory (on a five point scale from 'weak' to 'partially satisfactory', 'satisfactory', 'good' and excellent).

M&E plan and policy

The MoES elaborated a sound M&E framework in 2002, which provides an overview of what and why to monitor and evaluate, but which needs to be updated and implemented. The M&E framework clearly distinguishes between monitoring and evaluation and acknowledges that evaluation is hardly done within the ministry. Presently, evaluation is still not a major activity within the MoES, amongst others due to substantial monitoring and reporting pressure (with different formats for different actors), as a result of which the limited number of staff members do not have sufficient time for evaluation. Adding to this is the fact that the analytical capacities needed for in-depth evaluation are oftentimes lacking. A consequence of the focus on monitoring at the expense of evaluation is that underlying reasons for (non)-performance are not revealed. The recently created Government Evaluation Facility within the Office of the Prime Minister might be an opportunity to stimulate the evaluation function, but coordination between the Government Evaluation Facility and the M&E section the MoES (and other line ministries) will be essential in order to focus evaluations also on those topics that are relevant for sector learning and policy-making.

Accountability mechanisms exist on paper, but in practice these do not function effectively. The School Management Committees have limited power and the inspection system is ineffective due to e.g. insufficient numbers of inspectors, vehicles and fuel to visit schools. The inspections that take place are often superficial and did thus far not visibly contribute to improvements of school management or performance. Moreover, upward accountability from districts to the MoES is undermined by a lack of data control. Opportunities for improving accountability are the recently introduced District League Tables and strategies for improving the School Management Committees and inspection system included in the Updated Education Sector Strategic Plan (ESSP).

Feedback is only partially satisfactory: while references are made to reporting and dissemination, an explicit and consistent approach does not yet exist (a communication strategy is planned to be elaborated in the ESSP period (2010-2015)). The Office of the Prime Minister intends to use M&E in budgeting and urges line ministries to provide their reports one month earlier (September instead of October) in order to be taken into account in the next budgetary cycle.

Indicators, data collection and methodology

The weakest components with respect to the 'indicators, data collection and methodology' dimension are selection criteria and methodologies used. A limited number of indicators and targets are included in the annex to the Updated ESSP, but this annex became available only recently. More important though is the Joint Position Paper, which includes performance indicators with baselines and targets,

which are also included in the Joint Assessment Framework (JAF). The next JAFs will only include two education indicators (one for primary and one for secondary education), which may shift back the core of the education dialogue to the sector dialogue between the education development partners and the MoES. The identification of the JAF targets proves to be a difficult undertaking as scores on a number of JAF indicators are currently decreasing instead of increasing, with some of them even positioned below baseline.

Data collection is the best scoring sub-component. While incompleteness and unreliability of the Education Management Information System (EMIS) data is still a challenge, the quality is improving. Important problems remain the low response rates and incompleteness of information at school level and the tendency for over reporting as the allocation of teachers and the Capitation Fund are linked to enrolment data. Opportunities for further improvements include ongoing initiatives to strengthen the EMIS, e.g. the validation and enforcement of data collection at school level (included in the ESSP) and the introduction of a new technology system, through which data is collected in a real time environment. Thus far data of various sources (e.g. EMIS, the baselines and M&E exercises of the Quality Enhancement Initiative, the Uganda Population Survey of the Uganda Bureau of Statistics (UBOS), the National Assessment of Progress in Education (NAPE) and the Poverty Action Fund) are hardly or not cross-checked, but recent UBOS initiatives offer an opportunity to improve quality assurance.

Systemic issues and capacity

While issues related to capacity are the least developed components of the M&E system (with low capacity levels throughout the system and in particular at decentralised levels, limited assessment of weaknesses and uncoordinated capacity strengthening initiatives), the organisation (structure) is the best developed dimension. Coordination and oversight, joint sector review, sector working groups and ownership all score 'good'. However, the power of the ministry's M&E section to fulfil its coordination and oversight function might be curtailed by its location within the Education Planning and Policy Analysis Department. While this positioning generally stimulates the feedback loop to planning and policy-making, a hierarchically higher positioning for M&E which is sensitive by itself could guarantee a certain level of independence which is welcome for accountability purposes. While the name of the M&E sector working group suggests that this is the working group that focuses on M&E (systemic) issues, in reality the working group rather functions as an overall technical coordination group. The M&E working group as well as the Education and Sports Sector Review (ESSR) (and the field missions that are organised in the context of the ESSR), predominantly focus on content issues and hardly discuss systemic issues. This neglect of attention to the more deep-rooted systemic issues is a critical shortcoming as it are particularly insights into the underlying systemic issues that might help to understand (and subsequently address) the lack of progress in education sector outcomes. From the perspective of budget support development partners, this lack of attention for the quality of the M&E system itself is all the more surprising as they primarily rely on the outputs of this M&E system for their own accountability towards their constituencies.

Incentives for monitoring and reporting are considered satisfactory and are currently especially related to formal reporting requirements. Some recent initiatives might, however, also create incentives for data collection and use. These initiatives include the performance contracts for Permanent Secretaries and Chief Administrative Officers and the half yearly cabinet retreats. As these initiatives seem to stimulate a move towards results-based financing, systematic and independent quality control of data

becomes even more important, as without a proper data supervision/ control mechanism side effects like crowding-out and gaming are a real possibility.

Whereas the vertical upward integration between sector and central M&E is considered to function properly (score 'good'), vertical downwards integration between sector and decentralised M&E only scores 'partially satisfactory'. The Office of the Prime Minister, responsible for the overall coordination and oversight at central level, has become stronger in the past few years, e.g. through the elevation of the coordination, monitoring and evaluation department to directorate level and through the elaboration of the Government Annual Performance Reports. On the ground, the Office of the Prime Minister seems to be gradually become an M&E champion and cheerleader, which is amongst others evident from its efforts towards M&E capacity strengthening in line ministries, e.g. through the allocation and ring fencing of part of the sector budgets to M&E. From this perspective, the Office of the Prime Minister could evolve towards a kind of summative and formative meta-evaluation function, monitoring and strengthening the quality of the sector M&E units and their outputs. For line ministries which currently lack M&E this central role of the Office of the Prime Minister might be particularly welcome. However, for other line ministries such as the MoES who have already established their own M&E units, it might be more sensitive, as it is likely that they will need to adjust their own M&E structures and activities to the directives of the Office of the Prime Minister. Too much power and control over M&E from central agencies might also curtail the learning function of M&E within the line ministries. If anything, control over M&E is a sensitive issue with complex interaction and competition among different players, which are responsible for parts of the central M&E coordination and oversight over different line ministries. At present, there is e.g. an agreement that both the Office of the Prime Minister and the National Planning Authority have a role to play in M&E oversight.

Linkages of MoES' M&E unit with UBOS, semi-governmental institutions and projects are satisfactory. As UBOS intends to expand its role in improving the quality of data collected at line ministries' level, it could become a 'data' champion and cheerleader in the future. However, in line with what was highlighted above with respect to M&E in general, line ministries that already have management information systems tend to resist the increased level of UBOS' involvement.

Participation of actors outside government

Important outside government actors are the Parliament (supported by the Office of the Auditor General), civil society organisations and development partners. In reality, particularly the participation of development partners is strong. The JAF, agreed upon by budget support development partners, has been an important instrument in guiding M&E within the MoES. The education development partners participate in the education and sports sector reviews, the budget and planning workshops and the working groups while they also support the reporting and M&E system through financial and technical inputs. While initiatives to improve data collection and monitoring have not been adequately coordinated in the past (leading to fragmentation), the level of coordination among education development partners is currently on the increase, as well as their interest in M&E. In the M&E working group Terms of References of new studies and (inception) reports are discussed and joint (MoES and Education Development Partners) studies and evaluations have been carried out.

The participation of Parliament is satisfactory. The new Parliament has many relatively active critical young parliamentarians who have a higher reading culture, which increases the probability that information from M&E reports will be read and used. However, the recent split of the Social Service

Committee into a Health, an Education and a Water and Sanitation Committee might be detrimental for the quality of the debate and follow-up in the education sector as most active parliamentarians have apparently chosen to become members of the health committee.

The Office of the Auditor General, which ensures that Parliament is involved in the monitoring and management of public finances through its annual expenditure reports and financial and value for money audits, is active and has become stronger through successful capacity building initiatives. The Office of the Auditor General has, however, insufficient capacity to carry out regular audits at local level, which might be partly solved by outsourcing these audits. The implementation of recommendations from the Office of the Auditor General are undermined through the delay in discussions of its reports in Parliament and the non-application of the system of the Treasury of Memoranda (elaborated by the Ministry of Finance, Planning and Economic Development). As a result, the feedback to the Ministry of Finance, Planning and Economic Development is rather informal and less effective.

Even though civil society organisations active in Uganda's education sector are considered to be weak with respect to voice and influence in national debates, their role is still assessed as satisfactory, as several examples exist of non-governmental organisations being involved in education sector M&E. However, there are some issues related to the validity of methodologies used by these organisations (e.g. Uwezo). An opportunity for increased involvement of domestic accountability actors, is the revamping of the Uganda Evaluation Society, which is presently involved in the elaboration of Ugandan evaluation standards and in evaluation capacity strengthening (in collaboration with the Ugandan Christian University).

The different outside government actors have different comparative advantages when it comes to (steering) M&E: civil society organisations have easier access to local level data collection (reality checks), parliament has more access to the political arena, development partners to the policy level and universities generally have more analytical capacity. In practice, however, linkages and networking among these actors tend to be largely underdeveloped. What might be particularly interesting for development partners is to support domestic accountability actors within a framework of a portfolio approach, whereby developing capacity of domestic accountability actors is combined with increasing the room of manoeuvre for these domestic accountability actors as well as with using information from the local level monitoring exercises in their (development partners) own policy dialogue with government at sector level. The Ugandan Evaluation Society might also be a particularly useful forum for steering more effective networking among different actors involved in M&E.

Use of M&E outputs

The main output of MoES' M&E section is the Education and Sports Sector Annual Performance reports, which is a rich source of information. The analytical quality, however, is still poor, as performance and expenditure are not systematically linked, results and outcomes are hardly compared to targets and the analysis of causes of (non) performance is lacking or shallow.

The use of M&E outputs by education development partners is considered to be good. In fact, since the introduction of the SWAP most of the development partners have been using the reporting and M&E system of the MoES. However, as there is currently only one sector budget support development partner, a new up rise of own project M&E that is not systematically linked to the sector M&E, might

become a real challenge. At central level M&E findings are used, but in an ad hoc manner. There is no systematic or institutionalised use of M&E outputs at central or local levels. This low demand for M&E, strongly affects the supply and sustainability of the system. The creation of a central database for all MoES and education related documents (included in the updated ESSP) might improve the use of data. Similarly, district league tables, performance contracts and half-yearly cabinet retreats could as well increase the demand for and use of data.

Recommendations

On the basis of the findings and conclusions we have identified the following recommendations:

- The M&E framework needs to be updated and should include a monitoring strategy and five-year evaluation plan, which would be in line with the National Policy on Public M&E of the Office of the Prime Minister. The monitoring strategy and evaluation plan (separately or combined in one M&E framework), need be discussed and validated in the M&E working group and Education Sector Consultative Committee and subsequently be implemented.
- It is advised to put systemic issues more prominently on the agenda of the M&E working group and the ESSR (including during joint field visits). As these underlying systemic issues often strongly affect (lack of) progress in education sector outcomes, it would also be logical to include them (or actions related to these systemic factors) in Joint Position Paper (process) undertakings.
- In line with the mapping of monitoring and oversight functions in government elaborated by the sub-committee of the National Monitoring and Evaluation Technical Working Group, the Education Development Partners Group could elaborate a mapping of who is involved in what type of monitoring, evaluation and M&E capacity development within the education sector. This mapping should preferably include activities of civil society organisations as well.
- Capacity building in data production and quality should preferably be focussed on the full data chain, from collection of data at schools to the elaboration of progress reports at MoES level, as a focus on only parts of the data chain (e.g. introduction of sophisticated systems) tends to be insufficient to improve data quality. It is highly recommended to consider in this respect the 'politics of data' as it is likely that stakeholders involved have a certain interest to fiddle with data (e.g. head teachers have an interest to inflate enrolments).
- It is advised to harmonise and rationalise reporting and monitoring in order to liberate more time for analysis. It is also recommended to provide per diem allowances only after successful completion of field monitoring missions, in order to avoid that participants do not spend the required time in the field while already having received their per diem allowances. In order to increase analysis and evaluation an important first step is cross-reading among the different data sources. This involves (vertical) cross-reading among different data sources that collect data on the different levels of the causal chain (i.e. inputs, activities, outputs, intermediate outcomes) towards a specific final outcome as well as (horizontal) cross-reading among data that is collected on highly similar issues (at one level of the causal chain) (e.g. data collected on outcomes by the NAPE, the UBOS, civil society monitoring).

- An important way forward to increase quantity and quality of M&E supply is to stimulate M&E demand, feedback and use. A first step could be the identification and mapping of different cycles and entry points for feedback.
- Triggering M&E demand could also be done through a strengthening of domestic accountability actors and more particularly through the creation of linkages and networks between different actors in order to avoid duplications and make use of the comparative advantages of each actor. The revamping of the Ugandan Evaluation Society which offers an opportunity for M&E networking might be particularly useful in this respect.
- There is a multitude of interesting and innovative M&E pilot interventions (including the use of ICT in citizen-led M&E), and it is recommended that the impact of these initiatives is rigorously evaluated. Findings of these impact evaluations should be fed back and discussed at sector level and in the M&E working group before initiatives are generalised throughout the sector. The sector M&E working group might also play a key role in forging a more systematic and institutionalised linkage among (development partner) project M&E and the sector M&E system. Such an institutionalised linkage is important in order to stimulate as much as possible learning from project M&E beyond the project boundaries towards the entire sector. It involves establishing an ex-ante linkage when deciding on specific topics for project evaluation as well as an explicit strategy of dissemination of interesting project M&E findings towards national key sector stakeholders.

1. Introduction

With the aim to increase aid effectiveness development partners and recipients signed the 2005 Paris Declaration, which sets out a reform agenda around the core principles of 'ownership', 'alignment', 'harmonisation', 'managing for results' and 'mutual accountability'. In 2008 commitments have been reaffirmed through the Accra Agenda for Action. Measurement of progress in the implementation of the Paris Declaration/ Accra Agenda for Action is based upon 12 indicators (OECD/DAC, 2005). The indicator for measuring progress in the 'management for results' principle is the "number of countries with transparent and monitorable performance assessment frameworks to assess progress against (a) the national development strategies and (b) sector programmes" (OECD/DAC, 2005: 10). The indicator is composed of three sub-components, i.e. 'stakeholder access to information', 'quality of information' and 'coordinated country-level monitoring and evaluation (M&E)'.

While commitments of development partners in the area of 'results-orientation' are not captured in an indicator, development partners promised to "link country programming and resources to results and align them with effective partner country performance assessment frameworks, and to refrain from requesting the introduction of performance indicators that are not consistent with partners' national development strategies" (OECD/DAC, 2005: 8). Additionally, they committed themselves to "work with partner countries to rely, as far as possible, on partner countries' results-oriented reporting and monitoring frameworks" (OECD/DAC, 2005: 8) and to "harmonise their monitoring and reporting requirements, and, until they can rely more extensively on partner countries' statistical, monitoring and evaluation systems, [work] with partner countries to the maximum extent possible on joint formats for periodic reporting" (OECD/DAC, 2005: 8). Moreover, development partners and partner countries jointly committed to "work together in a participatory approach to strengthen country capacities and demand for results based management" (OECD/DAC, 2005: 8).

Interestingly, the recent Paris Declaration evaluation (phase II) (Wood et al., 2011) concluded that the relevance of the 'managing for results' principle has been weakened due to a narrow focus on the technicalities of results-oriented frameworks and indicators. At the outset a broader interpretation of the principle was foreseen: "using information to improve decisions; strengthening performance on the delivery of results towards clearly defined development goals" (Wood et al., 2011: 53).

As regards the development of results-oriented frameworks, some progress has been made recently. While the 2008 Paris Declaration survey reveals that only 3 (Mozambique, Tanzania and Uganda) out of 47 countries surveyed (6%) had results-oriented frameworks that were deemed adequate (OECD, 2011: 86), this number increased to 15 countries¹ out of the 76 countries (21%) included in the 2011 Paris Declaration survey (OECD, 2011: 86). Explanations for the recorded progress include the enclosure of stronger results frameworks in new national development strategies and the increased use of M&E in decision making (OECD, 2011). Despite this progress, the target of 36% of the countries having a result-oriented framework in 2010 is not met (OECD, 2011).

¹ Tanzania retained its B score. Seven countries of the 32 countries which constituted the baseline for 2005 improved their scores to a B: Egypt, Ethiopia, Honduras, Kenya, Moldova, South Africa and Viet Nam. From the 45 other countries seven countries received a B score: Cameroon, Colombia, Indonesia, Jamaica, Nepal, Pakistan and Ukraine.

Interestingly, Uganda and Mozambique are not among the 15 countries whose national M&E arrangements are considered adequate, as their scores decreased from 'largely developed' to 'action taken towards good practice'. Reasons for this decrease are not listed, but in the case of Uganda it might be related to the lack of implementation of the performance assessment framework which is in line with Uganda's general weak 'implementation' track record (see Holvoet and Inberg, 2012).

In spite of the disappointing state of affairs, most countries do have a number of M&E activities and arrangements in place, especially at sector level where progress is generally stronger than at national level (Wood et al., 2008), but there is often a lack of coordination between different components of a system (co-ordinated M&E is only largely developed in 16% of the countries, Wood et al., 2011). Moreover, M&E outputs, such as performance reports, are frequently incomplete and often include inaccurate data, which affects their utility (Nash et al., 2009). Development partners, from their side, are reluctant to rely on systems which are only partially developed. This simultaneously blocks the further elaboration and maturing of recipient systems. In order to escape this persistent chicken-and-egg-dilemma, a pragmatic two-track approach could be a possible way forward. It combines the set-up and/or strengthening of recipient M&E systems (long-term) with complementary M&E activities fulfilling the existing M&E needs in the short and middle run (see Holvoet and Renard, 2007; Holvoet and Inberg, 2009).

Having an appropriate organisation of a national M&E system is crucial for a performance assessment framework to be nationally owned and properly functioning (technical interpretation of the 'managing for results' principle) as well as for the use of information for decision-making and results delivery towards development goals (original broader interpretation of the 'managing for results' principle). Such a national M&E system should have a clear division of responsibilities between different levels and layers of government and clearly identified information streams and accountability structures between central and line ministries and between the local and national level. While strengthening M&E systems does not seem to be a priority of many development partners and partner countries, it is obvious that more efforts are needed to strengthen and use recipient M&E systems if development partners want to make progress on the 'alignment' and the 'managing for results' principles. Strengthening recipient M&E systems generally leads to an improvement of accountability and learning, which may ultimately lead to increased performance and results on the ground. Along the same line, it has been observed that the quality of joint sector reviews largely depends on the quality of the underlying sector M&E system (Holvoet and Inberg, 2009). Strengthening sector M&E systems will contribute to an improvement of the quality of joint sector reviews in the short run and change its outlook over time. In the long run, joint sector reviews can evolve towards a kind of meta-evaluation instrument which monitors and evaluates the existing M&E system (including some reality checks on the ground) instead of being only an M&E instrument of activities and outputs.

Prior to the development or upgrading of an M&E system, it is important to assess the quality of existing systems or arrangements, taking into account both the M&E supply and demand side. A harmonised M&E diagnostic instrument does not exist so far, but there are some interesting independent and development partner-led assessments and studies, e.g. the evaluation capacity building diagnostic guide and action framework (Mackay, 1999), the highly similar readiness assessment (Kusek and Rist, 2002), the diagnostic instrument elaborated in Bedi et al. (2006), the checklist used by Booth and Lucas (2002) in their diagnosis of Poverty Reduction Strategy Paper related M&E systems in 21 countries and the checklist used by Holvoet and Renard (2007) in their

diagnosis of Poverty Reduction Strategy Paper related M&E of 11 Sub-Sahara Africa countries. While these tools are mainly used for the assessment of central M&E systems, they could also guide assessment exercises of sector M&E systems. The scope of a sector diagnosis is obviously more limited, but key components and guiding principles of a sector M&E system largely overlap with those of a central M&E system. An important specific issue within a sector diagnosis is the contribution of sector M&E activities to a central M&E system (Mackay, 2007).

In the context of the O*Platform Aid Effectiveness² (see annex 1 for the Terms of Reference), we elaborated a checklist to diagnose and monitor the quality of sector M&E systems (see annex 2). This checklist focuses on six dimensions: i) policy, ii) indicators, data collection and methodology, iii) organisation (split into iii.a: structure, and iii.b: linkages), iv) capacity, v) participation of actors outside government and vi) use of M&E outputs. These criteria are further subdivided into 34 questions and assessed using a five-point scoring system: weak (1), partially satisfactory (2), satisfactory (3), good (4) and excellent (5). So far, we have applied this checklist to M&E arrangements in the health sectors of Niger (Holvoet and Inberg, 2011a), Rwanda (Holvoet and Inberg, 2011b) and Uganda (Holvoet and Inberg, 2012).

The current report highlights the main findings of the stocktaking exercise in Uganda's education sector. The assessment draws upon secondary data, including official documents provided by the government of Uganda, academic and grey literature on Uganda and education information and M&E systems, as well as on primary data (interviews with different stakeholders directly involved in and responsible for M&E in the education sector at district (Jinja) and central level as well as users of the M&E output) (see annex 3 for list of interviewees). Interviews with 28 stakeholders, which were identified on the basis of our desk study and suggested by the Belgian Development Cooperation, were conducted between the 22nd and 28th of August 2012. We triangulated the information obtained through the interviews with the information obtained through our desk study. A debriefing were preliminary findings were presented and discussed took place in Kampala on the 28th of August. The current diagnosis could be used by both (sector budget support) development partners and Uganda's Ministry of Education and Sports as a kind of baseline on the basis of which future assessments could be undertaken and capacity strengthening activities could be identified. Moreover, the report could also be interesting for policy makers, development partners, academics who are working on M&E (systems) in other contexts.

The structure of this document is as follows: Section two discusses some global developments within the education sector with a specific focus on progress on education indicators, education financing and M&E within the education sector. This section, which is particularly useful for M&E experts who are not specialised in the education sector, sketches the general international context and background against which the developments within the Ugandan education sector should be placed. Subsequently, section three focuses on the education sector of Uganda and provides some information on the education policy and strategic plan, the education systems and education financing. Section four provides an overview of the assessment of the M&E system in Uganda's education sector and section five provides conclusions and recommendations.

² O*platforms are policy advisory research platforms initiated by the Flemish Interuniversity Council (VLIR) and constitute a flexible collaboration arrangement between researchers and actors of development cooperation. The objective of Research Platform Aid Effectiveness is to inform, train and advise Belgian policy makers and aid managers and in this way to inspire a more effective development cooperation policy. For an overview of the output of the O* platform aid effectiveness, please see www.ua.ac.be/bos.

2. Global developments within the education sector

During the World Conference on Education for All (EFA) in Jomtien (Thailand) in 1990, delegates from 155 countries adopted the World Declaration on Education for All with the ultimate goal to meet the basic learning needs of all children, youth and adults (World Conference on Education for All, 1990). While the targets set for 2000 were not met, progress had been made in increasing access to education. As increased access came at the expense of the quality of education, more specific references are made to education quality in the six new EFA goals (Courtney, 2008), which are set for 2015 and agreed upon by participants of the Dakar World Education Forum in 2000. The EFA goals are:

1. Expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children
2. Ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to, and complete, free and compulsory primary education of good quality.
3. Ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes
4. Achieving a 50 per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults.
5. Eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality.
6. Improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills (World Education Forum, 2000).

These EFA goals are included in the Dakar Framework for Action (2000) which represent the most important international commitment towards EFA promotion (Subrahmanian, 2005).

In the same year as the Dakar World Education Forum, world leaders adopted eight Millennium Development Goals (MDGs), which include the second and the fifth EFA goals as well (MDGs: goal 2 and 3)³. In practice the focus of development partners has been on these two goals at the expense of the other EFA goals. Recipients did not have much choice in accepting this focus, due to their dependency on external finances for realising education for all (King, 2004). As King (2004) argues with regard to the MDG education goals: "It would be easy to show that they have been valuable for the politics of the Northern international development community, both the agencies and the NGOs⁴, but very much harder to prove that they are genuinely and widely owned in the South. It could be argued that these targets were part of the new Northern agenda after the end of the Cold War, and that the North now wants the South to own what the North has already decided upon" (King, 2004: 91).

The five multilateral institutions that organised the 1990 World Conference on Education (the United Nations Educational, Scientific and Cultural Organisation (UNESCO), United Nations Development

³ Indicators for MDG goal 2 are: net enrolment ratio in primary education; proportion of pupils starting grade 1 who reach last grade of primary; and literacy rate of 15-24 year-olds, women and men. Indicators for MDG goal 3 are: ratios of girls to boys in primary, secondary and tertiary education; share of women in wage employment in the non-agricultural sector; and proportion of seats held by women in national parliament (mdg.un.org)

⁴ Non-Governmental Organisation.

Programme (UNDP), United Nations Population Fund (UNFPA), United Nations Children's Fund (UNICEF) and the World Bank) are still the key international stakeholders in the EFA movement, with UNESCO being the lead agency (UNESCO, 2011a). UNESCO was established in 1945 with the aim to contribute to peace building, poverty eradication, lasting development and intercultural dialogue. Education is one of UNESCO's main fields of actions⁵ in achieving this aim. UNESCO's educational objectives are:

- Supporting the achievement of EFA;
- Providing global and regional leadership in education;
- Building effective education systems worldwide from early childhood to the adult years;
- Responding to contemporary global challenges through education (UNESCO, 2011a: 7).

UNESCO focuses its activities as EFA lead agency on five key areas, i.e. policy dialogue, monitoring, advocacy, mobilisation of funding and capacity development (UNESCO, 2011a). Steer and Baudienville (2010) are quite critical on UNESCO's role as global coordinator in the education sector. According to them UNESCO has been unable to mobilise additional funding for the education sector due to a lack of leadership and global voice.

Important UNESCO institutes are the UNESCO Institute for Statistics, that provides support to UNESCO members states in improving their statistical and analytical capacities (Varghese and Buchert, 2011), and the International Institute for Educational Planning (IIEP). The IIEP provides training and technical support to UNESCO member states on educational planning and management (UNESCO, 2011a) and is involved in research in areas related to education policy and planning (Varghese and Buchert, 2011). The IIEP is the secretariat of the International Working Group on Education, which has been an informal network of aid agencies and foundations involved in education since 1972⁶. This working group meets on average once every two years to discuss important educational topics, e.g. the topic of the most recent meeting held in Washington D.C. in 2012 was 'from schooling to learning' (www.iiep.unesco.org).

Together with the World Economic Forum, through its Global Education Initiative⁷, UNESCO started a new programme in 2007 with the intention to bring together public and private stakeholders in joint initiatives. The aim of this new programme, 'Partnerships for Education', is to advance progress towards the EFA objectives through the creation of multi-stakeholder partnerships for education (Draxler, 2008). The main areas of activities are knowledge-sharing, advocacy and capacity development (World Economic Forum, 2011). The creation of multi-stakeholder partnerships is viewed by some as a perfect way to bypass failed, corrupted and/or ineffective governments. Others, however, fear that bypassing these governments will weaken them, while *they* are in the first place

⁵ Other fields of action include: natural sciences, social and human sciences, culture, and communication and information (UNESCO, 2011a).

⁶ Members of the International Working Group on Education Planning Committee in 2010 are the Aga Khan Foundation, the Swedish International Development Cooperation Agency (SIDA), UNICEF, UNESCO, the United States Agency for International Development (USAID) and the World Bank (Varghese and Buchert, 2011).

⁷ The Global Education Initiative was launched at the World Economic Forum Annual Meeting in 2003. The Global Education Initiative brings together leaders from business, government, academia, international organisations, civil society and non-governmental organisations with the aim to effect positive, sustainable and scalable changes in education at global and regional levels. Emphasis is given on innovation, quality and relevance (World Economic Forum, 2011). Through the Global Agenda Council on Education the Global Education Initiative focuses on the global education architecture. The Global Agenda Council on Education is one of the Global Agenda Councils of the World Economic Forum which are established in 2008 with the aim to facilitate global multi-stakeholder dialogue in defining processes and structures of international cooperation on the world's most urgent topics (World Economic Forum, 2011).

responsible for the provision of public good like education. According to these critics, the involvement of the private sector needs to be closely monitored and regulated (Draxler, 2008).

The rest of the chapter provides an overview of the progress on some education indicators (2.1.), and discusses financing education (2.2.) and monitoring and evaluation within the education sector (2.3.).

2.1. Progress on education indicators

Table 2.1. gives an overview of progress on some key indicators of the six EFA goals.

Table 2.1. status of EFA indicators in 1999 and 2010

	1999	2010
<i>Goal 1</i>		
Gross enrolment ratio (GER) pre-primary education (%)	32	48
Gender parity index (GPI) of GER pre-primary education	0.97	1.00
<i>Goal 2</i>		
Primary gross intake rate (%)	105	110
Primary adjusted net enrolment ratio (%)	84	91
Survival rate to last grade of primary education (%)	87	91 (2009)
Out-of-school children (000)	108,364	60,684
<i>Goal 3</i>		
Total secondary gross enrolment ratio (%)	59	70
Technical and vocational education as a share of secondary enrolment (%)	11	11
<i>Goal 4</i>		
Adult literacy rates 2005-2010 (%)	76 ('85-'94)	84
GPI adult literacy rates	0.85 ('85-'94)	0.90
Youth literacy rates 2005-2008 (%)	83 ('85-'94)	90
GPI youth literacy rates	0.90 ('85-'94)	0.95
<i>Goal 5</i>		
Number of countries with gender parity achieved in primary education (out of 176 countries with data)	-	108
GPI of GER primary education	0.92	0.97
Number of countries with gender parity achieved in secondary education (out of 157 countries with data)	-	60
GPI of GER secondary education	0.91	0.97
<i>Goal 6</i>		
Pupil/teacher ratio pre-primary education	21	21
Pupil/teacher ratio primary education	26	24
Pupil/teacher ratio secondary education	18	17

Source: UNESCO, 2012

While the table demonstrates improvements since 1999 for all indicators, the most recent EFA global monitoring report (UNESCO, 2012) clearly highlights that the world is not on track to reach most of the EFA goals in 2015 and that progress towards some of the goals even stagnates. Gender parity is the

goal most likely to be achieved (UNESCO, 2012). Reasons for not reaching the EFA goals include hunger (damaging cognitive development and long-term educational prospects of children), school drop-out and low quality of education (UNESCO, 2011b). While there are large variations in the quality of schools between and within countries, the 2011 EFA global monitoring report mentions some factors having an influence on the quality of education, including the quality of teachers, teacher absenteeism, class sizes of early grades and classroom environment (e.g. availability of textbooks and writing material). A study on absenteeism in the health and education sector in six countries⁸ (Chaudhury et al., 2006) demonstrates an average absence rate in primary schools of 19%. Absence rates are higher in poorer regions, among higher-ranking and more powerful providers (e.g. headmasters), among men and among teachers not originating from the local area (Chaudhury et al., 2006).

Winkler and Sondergaard (2008: 30) list several characteristics of effective schools, which have been determined on the basis of a study in Uganda, but which are applicable to other countries as well:

- The head teacher monitors and supervises teachers' lesson plans and teaching;
- Teachers prepare for teaching through lesson plans and varied teaching methods;
- Pupils attend regularly and participate in class work and homework;
- Teachers use instructional materials, especially textbooks;
- Teachers frequently assess student work and provide meaningful feedback and remedial work;
- Reading and writing are explicitly taught in the early grades, including use of reading cards;
- The school and head teacher are externally supervised at least three times per term;
- The community is involved in providing financial and in-kind support to the schools and parental support to children.

While secondary enrolment is especially low in Sub-Saharan Africa (secondary gross enrolment ratio was 34% in 2008, compared with 67% world average and 43% average for low income countries), the region has also shown the highest increase in secondary enrolment since 1999 (40% compared to 14% world average and 29% average low income countries) (UNESCO, 2011b). The low secondary enrolment in Sub-Saharan Africa has negative consequences for competitiveness and economic growth, which is increasingly recognised and therefore becoming a priority for many national governments, bilateral development agencies, the World Bank and the Association for the Development of Education in Africa (ADEA)⁹ (Lewin, 2008). The success of universal primary education in many Sub-Saharan African countries, resulting in increasing numbers of pupils graduating from primary schools, forced governments and development partners to give also more attention to post-primary education (Varghese and Buchert, 2011).

Gender parity within education is also lowest in Sub-Saharan Africa, especially within secondary education (0.79 in 2008 compared to 0.96 world average and 0.87 average low income countries) (UNESCO, 2011b). Despite the fact that gender gaps are decreasing, the 2011 EFA monitoring report (UNESCO, 2011b) points out that gender disparities are still slowing down progress in education. Subrahmanian (2005) refers to the fact that the Dakar Framework for Action does not define the

⁸ Bangladesh (16%), Ecuador (14%), India (25%), Indonesia (19%), Peru (11%) and Uganda (27%) (Chaudhury et al., 2006).

⁹ ADEA was originally (1988) created to coordinate development agencies, but has become a partnership between African education and training ministries in Africa and their development partners. It functions as a forum for policy dialogue on education policies. ADEA's secretariat is within the African Development Bank in Tunis (www.adeanet.org).

concept of gender equality, which makes measuring progress extremely difficult. As table 2.1. shows, the EFA indicators for the gender equality goal (goal 5) are especially measuring gender parity, meaning the representation of as much girls as boys in education, which is only a first step in measuring gender equality in education. Subrahmanian (2005) argues that in order to measure gender equality, indicators are needed the measure girls' rights to education, rights within education and rights through education. While rights *to* education are measured in terms of access, survival, attendance and retention, rights *within* education should provide information on equality of treatment and opportunities within education. Rights *through* education should provide insights into wider social inequalities like e.g. employment and political representation.

As mentioned in the beginning of this paragraph, most EFA goals will not be attained by 2015. The 2011 EFA monitoring report (UNESCO, 2011b) refers to the consequences of not attaining the EFA goals, including the failure to attain MDG goals related to poverty reduction, nutrition, child survival and maternal health, the undermining of economic growth and the reinforcement of unequal pattern of globalisation. UNESCO (2011b) also emphasises that despite these consequences, the education sector does not receive the attention needed from the international development community.

2.2. Financing education

The main source for financing education are national resources. On average governments are spending more on education than ten years ago, but large variations exist between countries (UNESCO, 2011b). In addition to the levels of financing for education, the efficiency and equity of public spending are equally important. Countries with strong public expenditure management systems and accountable, responsive and transparent education planning systems are better able to translate financing into real improvements (UNESCO, 2011b). A report of the International Working Group on Education (Varghese and Buchert, 2011) criticises international education meetings for being too much focused on financing gaps at the expense of attention to the effectiveness and efficiency of current spending. The report refers to quality issues in education including teacher absenteeism and diversion of public spending and stresses that "the attention to financing gaps could therefore backfire if it is not accompanied by renewed attention to effective spending" (Varghese and Buchert, 2011: 88).

In addition to national resources, international aid plays an important role in financing education (UNESCO, 2011b). According to Fredriksen (2008) aid has a comparative advantage over domestic funding in those areas that will probably not be financed in the absence of aid or if education aid is only provided as general budget support, including: capacity to develop and implement evidenced-based policies; innovation; support for specific reform; cross fertilisation; poverty-focused programs; support for non-salary inputs; and advocacy.

In the Dakar Framework for Action development partners promise that "no countries seriously committed to education for all will be thwarted in their achievement of this goal by a lack of resources" (World Education Forum, 2000: 9). In this context several development partners decided to set up the Fast Track Initiative (FTI)¹⁰ in 2002 with the aim to accelerate progress on the EFA goals. The two key criteria for qualification for the Fast Track Initiative are the existence of a Poverty Reduction Strategy Paper (PRSP), as indication of the fact that the sector strategy is embedded in a broader development

¹⁰ During the United Nations General Assembly in September 2011 the Fast Track Initiative was changed into the Global Partnership for Education.

strategy, and the existence of a sector wide education plan agreed upon with development partners (Institute for Health Sector Development, 2003). While originally education development partners were supposed to mobilise funds themselves for the Fast Track Initiative, the Catalytic Fund was established in 2003 and the Education Program Development Fund in 2004¹¹, both managed by the World Bank (Cambridge Education et al., 2010). The Fast Track Initiative has contributed, according to Frediksen (2008), to education aid in three ways. First, the Fast Track Initiative provides a forum for coordination and harmonisation between development partners and coordination between development partners and recipient countries. Second, the joint Fast Track Initiative assessment provides a structured framework for identifying financial gaps. Third, the Catalytic Fund and the Education Program Development Fund are essential complementary new development partner instruments to jointly support EFA. According to the Fast Track Initiative countries receiving support score better for several indicators¹² (for some double or triple) than countries not receiving support (www.globalpartnership.org). A recent Australian assessment (Australian Government, 2012) supports these findings, but emphasises that an attribution challenge exists; the Fast Track Initiative does not have a system to demonstrate that its specific support resulted in improved outcomes. A midterm evaluation of the Fast Track Initiative in 2010 (Cambridge Education et al., 2010) as well concludes that the Fast Track Initiative has made positive contributions, which are, however, disappointing. According to this evaluation the Fast Track Initiative has not been able to significantly contribute to increasing expenditure on education, strengthening policy and planning process and capacity and promoting data collection, monitoring and evaluation.

The 2011 EFA monitoring report (UNESCO, 2011b) emphasises that even though increasing financing for education does not automatically lead to success, chronic under-financing of education will surely lead to failure. The monitoring report estimates the global financing gap to be 20 billion USD and refers to the fact that commitments made in the Dakar Framework for Action have not been honoured (UNESCO, 2011b). Instead aid to the education sector does not increase and there are no major new initiatives, no important development partner champions for education or indications of major future increases in aid (Varghese and Buchert, 2011). According to Varghese and Buchert (2011) this is due to the fact that the education sector has not convinced development partners of its importance and is not well organised to spend aid. Steer and Baudienville (2010) are also critical on (basic) education aid and mention that “lack of donor coordination, ineffective division of labour and unpredictability of aid continue to limit the scale and effectiveness of financial support to basic education” (Steer and Baudienville, 2010: 2). They also refer to the fact that education funding is constrained by the relative lack of innovative approaches to raising and delivering financing, e.g. innovations as ‘cash on delivery’¹³ remain limited. In order to attract more aid the education sector should e.g. make use of evidence, demonstrate results, enhance aid effectiveness, use innovative financing mechanisms and collaborate with non-traditional development partners and the private sector (Steer and Baudienville, 2010).

¹¹ In October 2011 the Catalytic Fund and the Education Program Development Fund (and the Secretariat Trust Fund) were replaced by the Global Partnership for Education Fund (www.globalpartnership.org).

¹² Five indicators are used by the Global Partnership for Education: total enrollment; primary school completion rate; gender parity in primary completion; percentage of repeaters; percentage of total government expenditure devoted to education (www.globalpartnership.org).

¹³ The combination of five basic features characterises ‘cash on delivery’: payments for outcomes, hands-off implementation, independent verification of progress, transparency through public dissemination, and complementarity with other aid programs (Birdsall et al., 2010).

According to Fredriksen (2008) in order to reach the EFA goals the focus within education aid needs to be changed in four areas: a shift from access to quality and equity; a shift from a limited focus on universal primary education to a focus on all EFA goals; a shift from accomplishing EFA goals alone to increasing demand for post-primary education; and a shift in focus from 'on-track' to 'off-track' countries. Presently, relatively high amount of education aid is given to middle income countries at the expense of aid to more needy low-income countries (Varghese and Buchert, 2011). Varghese and Buchert (2011) refer as well to the fact that much aid is spent on e.g. expensive international technical assistance and sitting fees for government officials to attend meetings.

Sector-wide Approaches

Since the second half of the nineties many countries have introduced sector-wide approaches (SWAPs) in their education sectors, as a way to bring more coherence to aid as compared to separate, often isolated, projects. A SWAP can be defined as a type of development cooperation in which "all significant funding for the sector supports a single sector policy and expenditure programme, under Government leadership, adopting common approaches across the sector, and progressing towards relying on Government procedures to disburse and account for all funds" (Brown et al., 2001: 7). While it should be emphasised that a SWAP is an approach and not a blueprint, and therefore differs for each country, two prerequisites from the side of recipients could be identified for the development of an education SWAP: a systematic orientation focused on the education sector as a whole, and a willingness to discuss overall educational policy concerns with development partners (UNESCO, 2007). Development partners are likely to assess several areas before deciding to be involved in a SWAP, including the macro-economic framework, the education sector policy and strategy, the sector medium-term expenditure framework, the public financial management systems, government-led development partner coordination and policy dialogue, the performance monitoring and stakeholder consultation and the management and implementation capacity (UNESCO, 2007).

The Institute for Health Sector Development (2003) describes three stages in the development of an education SWAP. The first stage, often considered as a testing ground for the development of a 'full' SWAP, is the 'sub-sector' SWAP, which focuses on one sub-sector (mostly basic education). The second stage is the 'flexible' SWAP, in which development partner's support is aligned to a sector wide strategy led by the government, but a mix of external funding modalities, including projects, as well as both government's as development partner's systems for implementation and monitoring are still used. In the 'full' SWAP, the SWAP meets all the characteristics included in the SWAP definition¹⁴. The development towards a 'full' SWAP is dependent on several factors, including the leadership of the recipient country, the dependence on external finances, the effectiveness of the institutions of the recipient country, the existence of a lead development partner (and its capacities) and the financial modalities used within the SWAP (UNESCO, 2007).

SWAPs have been useful in the coordination of EFA support and specifically the Fast Track Initiative which is based on the same characteristics as the SWAP, including national ownership, sector planning, partnerships, reform and co-ordination (Institute for Health Sector Development, 2003).

¹⁴ In the document Zambia is given as an example of a 'sub-sector' SWAP, Rwanda for a 'flexible' SWAP and Uganda for a 'full' SWAP.

2.3. Monitoring and evaluation within the education sector

One of the greatest educational challenges is maximising student learning in educational systems with limited resources (Hua and Herstein, 2003). Therefore, in order to inform decision-making, constant monitoring and evaluation of the education system is necessary. The goal of information-based decision making is increased access, efficiency, effectiveness, equity and quality of education through effective systems of monitoring and evaluation, budgeting and planning, policy research and analysis (Hua and Herstein, 2003).

Monitoring progress towards the EFA goals is one of the strategies included in the Dakar Framework for Action. The Framework states that: “Progress towards meeting EFA goals and targets needs to be assessed regularly and systematically to allow for meaningful comparative analyses. The availability of better data at national and international levels will allow governments, civil society and other agencies to gain a clearer understanding of progress toward the goals, to identify regions, countries, and sub-national levels where there is particular success or difficulty, and then to take appropriate action” (World Education Forum, 2000: 21). Through the Institute for Statistics and the annual EFA Global Monitoring Report, UNESCO is responsible for the EFA monitoring process (www.unesco.org). The EFA Global Monitoring Report provides an analysis of progress towards the six EFA goals and on a specific topic, e.g. the recent 2012 reported on ‘Youth and Skills’. Besides, the report lists countries on the basis of the Education for All Development Index (EDI), which is a composition of the four easiest quantifiable goals:

- universal primary education (goal 2): primary adjusted net enrolment ratio;
- adult literacy (first part of goal 4): literacy rate for those aged 15 and above;
- gender parity and equality (goal 5): gender-specific EFA index, an average of the gender parity indexes of the primary and secondary gross enrolment ratios and the adult literacy rate;
- quality of education (goal 6): survival rate to grade 5 (UNESCO, 2011b).

In the 2012 Global Monitoring Report Japan is ranked first with an EDI of 0.997 and Niger is ranked last (120) with an EDI of 0.528 (UNESCO, 2012).

According to Fredriksen (2008) analyses included in the EFA Global Monitoring Report are of high quality and also Steer and Baudienville (2010), who are quite critical on UNESCO’s leadership (see above), are positive about the quality of progress monitoring through the EFA Global Monitoring Report.

More in-depth assessments of progress on the EFA goals were organised prior to the Dakar World Education Forum in 2000¹⁵ and halfway this forum and the target year of 2015¹⁶ (www.unesco.org).

As mentioned in paragraph 2.2. the mid-term evaluation of the EFA Fast Track Initiative (Cambridge Education et al., 2010) is critical on the contribution of the Fast Track Initiative to promoting data collection, monitoring and evaluation. According to the evaluation only a small part of funds have been used to strengthen data reporting and use at country level and the foreseen strengthening of education sectors plans by including monitoring, evaluation and annual targets for measuring progress has been limited. Moreover, the evaluation puts forward that “progress in using data for planning has

¹⁵ For this assessment more than 180 countries conducted an evaluation of basic education in order to measure progress on the EFA goals established at the World Conference on EFA in Jomtien (1990) (www.unesco.org).

¹⁶ This assessment included national and regional reports (www.unesco.org).

remained limited, that the FTI's contribution to such progress had been minor, and that too often donors themselves remain the principal audience for any analyses of the data" (Cambridge Education et al., 2010: 8). The evaluation is also critical on the fact that the Fast Track Initiative did not establish a proper results-oriented monitoring and evaluation (M&E) framework, as a result of which it was impossible to sufficiently monitor progress at country and global levels. "Basic management monitoring systems were not set up to establish whether the FTI was achieving the inputs, let alone the outputs, that its "business plan" required. The FTI has blurred the distinction between objective monitoring and advocacy. Weaknesses in monitoring have prevented the FTI from recognising key differences between FTI aspirations and the reality (particularly the gap between its aspirations as a global partnership and the reality of country-level implementation)" (Cambridge Education et al., 2010: 11). The successor of the Fast Track Initiative, the Global Partnership for Education (GPE), has established a results framework which links objectives with specific assessment criteria and concrete activities (Global Partnership for Education, 2011). This results framework might contribute in resolving the attribution challenge mentioned above.

Within the SWAp context joint sector reviews have been increasingly used at country level as a mechanism to monitor progress on EFA goals as well as on own goals included in education sector plans. The remaining of this paragraph provides some more information on these joint sector reviews (2.3.1.) and on education information systems (2.3.2.), which provide data necessary for monitoring and evaluation at country level.

2.3.1. Joint Sector Reviews

While there is so far no standardised definition, a Joint Sector Review (JSR) could be described as "a type of joint periodic assessment of performance in a specific sector with the aim to satisfy donor and recipient's accountability and learning needs" (Holvoet and Inberg, 2009: 205). 'Performance' is to be interpreted broadly and may include a focus on substance at various levels (i.e. inputs, activities, output, outcome and impact) and on underlying, systemic and institutional issues. JSRs are most common in the health and education sector.

In most countries JSRs are organised twice a year, one which assesses performance and one which looks forwards (UNESCO, 2007). JSRs engage a broad range of state and non-state stakeholders who are spread over several working groups which focus on specific topics, including quantity and quality of outputs and outcomes, public finance management, human resources and management information systems. The most important input in the JSR is often the sector performance report, prepared by the sector ministry and including financial reporting from the sector finance department or Ministry of Finance. Information from the sector performance report is sometimes combined with additional in-depth studies on specific topics, surveys and diagnostic studies (e.g. Public Expenditure Reviews, Public Expenditure Tracking Surveys, Value for Money and Service Delivery Surveys, see Williamson and Dom, 2010) as well as information from 'project' development partners or civil society organisations active in the sector (Holvoet and Inberg, 2009). In some countries field missions are included in the JSRs. Evidence from the different sources subsequently feeds into several working groups for discussion. Conclusions and recommendations from these discussions are usually shared with stakeholders at the Annual Review Meeting. The main documentary output of the JSR is the aide-mémoire, which is signed by government and development partners (Holvoet and Inberg, 2009).

While JSRs generally score strongly on coordination, harmonisation, leadership and broad-based participation, which are M&E principles that traditionally prove difficult to be realised (Holvoet and Inberg, 2009), many JSRs witness several weaknesses, which might be caused by lack of sufficient capacity. UNESCO (2007) refer to joint sector reviews as being amongs the most challenging parts of capacity developments as the plan, the strategies, the budget and the targeted results are supposed to be brought together during these reviews, which therefore demands technical competencies that are not present in many countries. Weaknesses include (i) an emphasis on being joint instead of an emphasis on being independent and based on verifiable information, (ii) biased selection of review team members, (iii) hastily written mission reports and aide-mémoires resulting in insufficient check and review of information (Brown et al., 2001), (iv) weak sector performance reports due to incompleteness (Brown et al., 2001), lack of routine data on service delivery, lack of results orientation and weak linkages to sector expenditure (Williamson and Dom, 2010) and (v) limited follow-up of recommendations formulated in the aide-mémoires (Martinez, 2006; Williamson and Dom, 2010). Moreover, a review of JSRs in the education sectors in Burkina Faso, Mali and Niger (Holvoet and Inberg, 2009) highlighted that the JSRs prioritise accountability over learning needs and focus mainly on implementation and on substance (mainly sector activities and outputs), while institutional and systemic issues (i.e. the underlying processes) are largely neglected. This is understandable in the short run as stakeholders are primarily interested in sector 'substance' results. Failing to invest in systemic issues, however, runs counter to the increased awareness of the importance of institutional capacity for the successful implementation of SWAps and the sustainable achievement of sector outcomes and impact in the long run (see Cassels, 1997). In spite of these country findings, JSRs have, in principle, the potential to function as M&E exercises that reconcile short and longer term objectives, at least if they make room for M&E system strengthening in the short run. While this necessitates additional investments, it may also lead to more development partner alignment with recipient M&E systems and less laborious complementary M&E exercises in the long run. It may as well generate a gradually evolving outlook of a JSR; from an assessment of 'substance' to a monitoring and assessment of the quality of sector M&E systems, their main outputs as well as their actual degrees of feedback and usage (i.e. a kind of meta-evaluation instrument¹⁷) (Holvoet and Inberg, 2009).

2.3.2. Education Information Systems

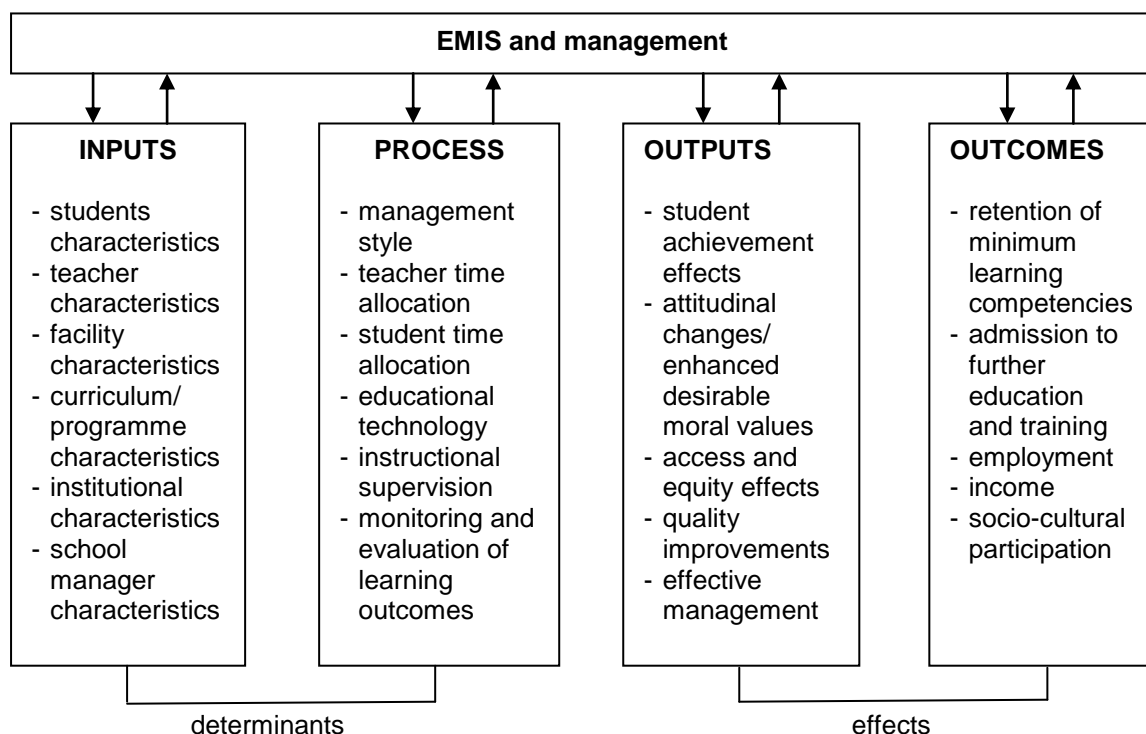
Information-based decision making is dependent on the production of educational data and information. This data and information need to be available, useful and of good quality, if not decision-making is undermined (Hua and Herstein, 2003). There are several sources of educational data, including:

- Annual census of all education and administrative establishments;
- Systematic transmission of gathered and assembled data for administrative needs;
- Periodic or selective surveys based on a representative sample of schools, aiming to collect data on specific questions;
- General population census or household surveys on questions other than those related to education (Carrizo et al., 2003).

¹⁷ A meta-evaluation is "a systematic review of evaluations to determine the quality of their processes and findings" (Leeuw and Cooksy, 2005: 95).

While the annual census covers in principle all schools, many schools, especially private and non-approved schools, fail to respond. Moreover, the quality of the data generated by the annual census is negatively affected by the tendency to overestimate school numbers, as financial grants are dependent on these numbers (Carrizo et al., 2003). Nevertheless, the annual census is the principle data source of the Education Management Information System (EMIS), with the second and third mentioned data source also being part of the EMIS¹⁸. An EMIS can be defined as: “an organized group of information and documentation services that collect, stores, processes, analyzes and disseminates information for educational planning and management” (Villanueva, 2003: 5). Carrizo et al (2003) include in their description of EMIS components another function of EMIS; in addition to a data collection component, a data processing and analysis component and a dissemination and distribution component, the authors identify a component of construction of indicators and tools to help decision-making. Indicators make available information accessible and easier to use for decision-making. Moreover, indicators are tools for managing, monitoring and evaluating education systems (Carrizo et al., 2003). Indicators should be developed at all levels on the basis of education policy objectives, with the involvement of different actors responsible for the elaboration and implementation of education policy (Carrizo et al., 2003). Once indicators are defined, the information system should be constructed or completed in order to make the data that is necessary for calculating these indicators available. Indicators should be linked with the data needed for its calculation and with the sources of this data (Carrizo et al., 2003). Villanueva (2003) offers a schematic overview of the different levels of educational indicators for which data is provided by the EMIS, which is reproduced in figure 2.1.

Figure 2.1. the different levels of educational indicators



Source: Villanueva, 2003

¹⁸ As the general census and household surveys are designed for other purposes than only for education, they are not part of the EMIS. They do, however, provide important information on education related issues outside the education system (Carrizo et al., 2003)

While all countries have an EMIS, the data collected in some countries are quite limited and rudimentary. In poorer countries the EMIS is generally manual (Villanueva, 2003). An EMIS could be labelled effective if it is able to:

- Define, collect and process educational data and statistics;
- Integrate data from multiple sources, years and educational levels within and outside the Ministry of Education;
- Produce annual statistical reports and meet ad-hoc data request from education information users;
- Respond to and support inquiries and request for supporting activities including indicator development, statistical analysis, budgeting and planning, enrolment projection, quantitative system analysis and M&E (Hua and Herstein, 2003).

Within an EMIS network, EMIS centres at national, regional and local levels are responsible for collecting, verifying, processing, analysing and/or dissemination of data (Villanueva, 2003). Villanueva (2003) distinguishes three types of EMIS centres: comprehensive area EMIS centres, which are responsible for collecting and handling management information for a specific geographical area; specialised function EMIS centres, which are responsible for specific information functions and techniques (e.g. processing or dissemination); specialised information EMIS centres, which are responsible for collecting and storing of information with regard to specific aspects of education (e.g. non-formal education or vocational education). While information and feedback should be transmitted both ways between EMIS centres at different levels, in practice information is often only transmitted to the higher level (Villanueva, 2003).

According to Hua and Herstein (2003) the success of an EMIS is dependent on three factors, with the last one being the most critical:

- Timely and reliable production of data and information;
- Data integration and data sharing among departments;
- Effective use of data and information.

Users of data generated by the EMIS include political leaders, policy advisors, planners, financial controllers, inspectorate officials, curriculum planners, principals, teachers, parents and students (Villanueva, 2003). Hua and Herstein (2003) refer to the fact that policy makers often do not hear, see or use information, while they are actually in a position to do something with it. A preoccupation with outcome and impact indicators, emphasised by the MDGs, is one of the causes of this lack of interest (Shaffer, 2012). With this strong and often unique focus on outcome and impact indicators several problems are involved, including an attribution problem, as it is difficult to trace back changes in outcomes and impacts to specific policies; data availability, as outcome and impact data are not gathered at a regular basis; and the very slow change of some outcome and impact indicators like maternal mortality (Shaffer, 2012). According to Booth and Nsabagasani (2005) a narrow focus on outcomes and impact leads to the disregard of data because, "feedback about outcomes and impact is, in the best circumstances, very easily dismissed as somebody else's responsibility, or no one's. When general incentives improve, policy makers will be much more likely to make serious use of data about things that move quickly and over which they have a reasonable degree of control and/ or which are significant in an intended chain of events that they themselves have adopted as strategy" (Booth and Nsabagasani, 2005: 28).

Hua and Herstein (2003) call it an institutional development challenge to not only produce data and information, but to make sure it gets heard, seen and used as well. According to them the institutionalisation of a monitoring and evaluation function and a policy research and analysis function within Ministries of Education is crucial in creating a culture in which information is used for decision-making: “Only by institutionalizing these functions can system data integration, data sharing, and data production processes become valuable and the culture of making decisions based on data and information be cultivated” (Hua and Herstein, 2003: 21).

3. Uganda's education sector

In 1997, as one of the first countries in the world (Nishimura et al., 2008), Uganda introduced universal primary education (UPE) through a presidential manifesto. In 2007, as first Sub-Saharan African country (Uganda Bureau of Statistics, 2010), Uganda introduced universal secondary education (USE)¹⁹ and recently (2012) Uganda introduced universal post ordinary level education²⁰ and training (UPOLET) for students who passed their Uganda Certificate of Education (Ministry of Education and Sports, 2012a). The universal primary education policy consists of five major interventions: abolition of school fees; increase of government expenditure on primary education; introduction of double shift for grades one and two; division of responsibility between parents (provision of lunch, uniform and shelter) and government (provision of school fees, text books, teachers and infrastructure); and abolishment of Parent Teacher Association fees (Nishimura et al., 2009). Due to the abolishment of school fees from 1997 onwards the enrolment in primary schools increased considerably: the number of primary school pupils doubled instantly between December 1996 and January 1997 (Williamson and Dom, 2010) and increased further with 21.4% between 2000 to 2008 to almost 8 million (Republic of Uganda, 2010a). In 2011 enrolment decreased for the first time since the introduction of universal primary education (Republic of Uganda, 2012a). The enrolment in secondary schools increased with 25% between 2006 and 2008 (Republic of Uganda, 2010a).

While Uganda has made impressive progress in increasing access to primary education, the quality of education is still poor, which is e.g. demonstrated by the limited increase in the number of pupils passing for their primary leaving exams (Hedger et al., 2010), the low percentage of pupils attaining the minimum competencies in English literacy and numeracy²¹ (Winkler and Sondergaard, 2008; Uganda National Examination Board, 2011a) and the low survival rate to grade 5²², an indicator which is included in the Education for All (EFA) Development Index (EDI). Uganda ranks 104/120 on this index (0.771), among the countries with a low EDI. Other indicators used for calculating the index are primary adjusted net enrolment ratio, adult literacy rate and the gender-specific index (see 2.3.). Table 3.1. shows Uganda's scores on these four indicators, which are all lower than Uganda's 2011 scores. Annex 4 presents Uganda's scores on the key indicators of the six EFA goals (compared with sub-Saharan Africa and world averages).

¹⁹ Uganda was the first country in Sub-Saharan Africa that has implemented free secondary education (Uganda Bureau of Statistics, 2010)

²⁰ Ordinary level (O'level) refers to the four years of lower secondary school. Students receive the Uganda Certificate of Education after successful completion.

²¹ In their Annual Learning Assessment Report 2011 Uwezo Uganda (see also 5.5.) e.g. demonstrates that 9 out of every 10 children in P3 could not read and understand an English story text of P2 level difficulty and 7 out of every 10 children in P3 could not solve numerical written division sums of P2 level difficulty correctly (Uwezo Uganda, 2011).

²² Uganda has set targets for the survival to grade 7, which is with 31% very low. Targets set for 2010/11 were not attained, the survival rate even deteriorated (BTC Uganda, 2012).

Table 3.1. Uganda's scores on the EDI components, 2008

Component	Score
Primary adjusted net enrolment rate (NER) ²³	0.910
Adult literacy rate	0.732
Gender specific EFA Index	0.872
Survival rate to grade 5	0.571

Source: UNESCO, 2012

Comparing Uganda's primary adjusted net enrolment rate and the survival rate to grade 5 with Sub-Saharan Africa countries with a medium EDI, demonstrates Uganda's strong results in access and weak results in quality. Ghana e.g., a country which was just one rank higher than Uganda (and just among the countries with a medium EDI) in the 2011 monitoring report and improved its rank to 97/120 (EDI 0.803), has a primary adjusted net enrolment rate (0.842) that is lower than Uganda's, but Ghana's survival rate to grade 5 (0.784) is considerably higher than Uganda's²⁴. Also Ghana's gender specific EFA index, which stands at 0.913 is higher than Uganda's (0.872). While Uganda reached gender parity in primary education (see annex 4), boys perform better than girls in reading and mathematics (Byamigisha, 2011). In their report on the efficiency of public education in Uganda Winkler and Sondergaard (2008) reveal that in contrast to improvements in the quality of education (measured in achievements in test scores) increases in access do not significantly result in economic growth. The authors therefore recommend Uganda to invest strongly in quality improvements at all levels.

One of the reasons for the low quality of primary education is the high absenteeism rate of teachers (IOB, 2008; Lubanga, 2008; Winkler and Sondergaard, 2008). A 2006 survey shows that 19% of teachers were absent without a reason (Winkler and Sondergaard, 2008), which is somewhat lower than the absence rate found in an earlier (2004) survey which used the same methodology as the 2006 survey. In the 2004 survey Uganda's absence rate of 27% was highest among the six countries included in the survey (Chaudhury et al., 2006, see also 2.1.). While Uganda was the only African country included in the 2004 survey, another survey (referred to in IOB, 2008) shows that also among African countries Uganda has a bad track record in teacher absenteeism. Compared with eight other (South and Eastern) African countries²⁵, Uganda had the highest absence rate of 24% in 2000.

Other obstacles with regard to the quality of education include the quality of teachers, inappropriate teaching methods, inadequate supply of instructional materials, weak school inspection, support and supervision (BTC Uganda, 2011), non-functional school management committees²⁶ and low level of community interest and involvement in school activities (Republic of Uganda, 2010a). Domestic concerns with regard to the quality of both primary and secondary education resulted in a presidential initiative to establish a Commission of Inquiry (2009) with the assignment to investigate

²³ The adjusted NER, in contrast to the traditional NER, measures the proportion of children of primary school age who are enrolled in either primary or secondary education (UNESCO, 2011: 262). As the traditional NER does not include enrolment in secondary education, estimations of the number of children out of school are overestimated. The NER included in the Uganda National Household Survey 2009/2010 (83.2%) is therefore lower than the adjusted NER 2008 included in the EFA global monitoring report.

²⁴ Between 2011 and 2012 Ghana increased, however, its enrolment rate (from 0.770 to 0.842), but decreased its survival rate to grade 5 (from 0.886 to 0.784)

²⁵ Botswana, Kenya, Malawi, Mozambique, Namibia, South Africa, Tanzania and Zambia.

²⁶ School management committees manage government funded primary schools on behalf of the government and have as main task the monitoring of the head teacher (Cambridge Education, 2011).

mismanagement in the education sector (Hedget et al., 2010). An article in a Ugandan newspaper (Monitor) in February 2012, however, refers to an internal audit of the Ministry of Education and Sports (MoES) revealing a misuse of funds by the Commission of Inquiry. According to the annual report of the Auditor General (Office of the Auditor General, 2012) the commission cannot account for 74 million Ugandan Shilling²⁷ and has hired vehicles for excessive amounts. Moreover, the initial deadline for the investigation report has already been extended four times with more than 24 months (Monitor, 2012a) and was only handed to the President in October 2012 (Monitor, 2012b). The inquiry report recommends to prosecute e.g. the MoES Permanent Secretary and the commissioner for basic education for their presumed roles in the mismanagement of the UPE and USE programmes (Monitor, 2012b).

The rest of this chapter provides an overview of the policies and strategies which Uganda's government elaborated e.g. to address the quality issues (3.1.), Uganda's education system (3.2.) and education financing, with specific attention to the role of the education development partners (3.3.).

3.1. Education policy and strategy

In 1992 the government of Uganda launched the White Paper on Education which has been the basis for Uganda's policies and programs on education ever since. The White Paper formulates the purpose of the education system: the promotion of citizenship; moral, ethical and spiritual values; scientific, technical and cultural knowledge, skills and attitudes; literacy and basic skills and knowledge (Republic of Uganda, 2010a).

After the introduction of universal primary education the government elaborated the Education Strategic Investment Plan for the period 1998-2003 in order to facilitate the implementation of universal primary education. This plan puts in place a national framework for education planning and budgeting and formalised the relations between the government, development partners and civil society (Penny et al., 2008). In 2003 a second plan, the Education Sector Strategic Plan (ESSP), was elaborated for the period 2004-2015. In contrast to the first plan the ESSP 2004-2015 was budgeted and linked to work plans and the Medium-term Budget Framework. Besides, the focus of the ESSP 2004-2015 shifted from UPE implementation to a more balanced focus on primary education, post-primary education and other sub-sectors and to improvement of the quality of education (Republic of Uganda, 2004). However, after the launch of the ESSP 2004-2015 several new policy initiatives were taken which necessitated the revision of the ESSP. These new policies concern:

- Bringing the ESSP into full conformance with the goals of the EFA Fast Track Initiative (FTI);
- Implementing both local language instruction and a thematic curriculum;
- Assuring that all pupils successfully completing primary 7 were assured access to either academic secondary education or business, technical and vocational education and training (BTVET);
- Strengthening science and technology education in the secondary sub-sector;
- Increasing participation in tertiary education;
- Implementing new schemes of service for primary and post primary education and training (Republic of Uganda, 2008).

²⁷ 74 million Ugandan Shilling equals 21,657.40 Euro on 18/10/2012 (<http://www.oanda.com/currency/converter/>).

Nevertheless, due to some areas of disagreements within the group of development partners and between some of the development partners and the government of Uganda, e.g. on the estimation of the financing gap, the revised ESSP 2007-2015 remained a draft (Purcell, 2010). Instead, the revised ESSP has been updated for the period 2010-2015 in order to align with the objectives and strategies of the National Development Plan and to respond to further understanding and analysis of the education sector (Republic of Uganda, 2010a). The overall objective of the Updated ESSP 2010-2015 is to achieve universal primary education and universal secondary education by the year 2015 and to enhance equitable access at tertiary level. Specific objectives address equitable access to and improvement of quality and relevance of primary education, secondary education, BTVET and higher education. While the strategies formulated for each subsector remain largely the same as those included in the ESSP 2004-2015 and the revised ESSP 2007-2015, additional objectives and strategies have been included in the Updated ESSP to address issues of efficiency and effectiveness. These objectives are:

- Improve the reliability and use of data and information;
- Improve quality assurance and accountability;
- Strengthen the capacity of educational leadership and management;
- Formalise and enhance public-private partnership in service delivery and capacity-building (Republic of Uganda, 2010a).

In the context of the Fast Track Initiative (FTI) the Updated ESSP 2010-2015 has been appraised by education development partners. The education development partners conclude that the Updated ESSP is feasible and realistic and that the government of Uganda has improved its commitment to address constraints. Moreover, the education development partners indicate their willingness to continue their support to primary education. The focus of FTI support will be concentrated in six areas:

- School Facilities Grants to improve basic facilities including classrooms and sanitation;
- Ensuring timely and adequate supply of instructional materials to significantly reduce Pupil Textbook Ratios, especially in lower primary school;
- Further strengthening teacher training, induction, deployment, support and management building on existing structures and systems (Teacher Development Management System²⁸, Centre Coordinating Tutor);
- Raising school performance through broader community participation and stronger School Management Committees better able to manage school grants;
- Development and execution of a Capacity Development Strategy, to include central capacity for policy and planning and that also focuses at the district level through a system of District Education Improvement Plans, coupled with improved reliability and use of data (EMIS);
- Increase the effectiveness of school inspection, supervision and support centred around national roll out of the Basic Required Minimum Standards (Cambridge Education, 2010: 6).

Other key documents and policies which are of importance in the education sector and which have informed the development of the ESSP include:

- Local Language Policy (lower primary) (2005)
- Basic Education Policy for Educationally Disadvantaged Children (2006)

²⁸ The Teacher Development Management System is a primary teacher training delivery mechanism, which has been implemented to improve quality and equity in primary education provision in Uganda by increasing access to quality learning opportunities and improving school management and instructional quality. The main activities are training, curriculum review, provision of instructional materials, infrastructure provision and equipment supply (Eilor, 2005).

- Strategic Plan for Secondary Education in Uganda 2008-2019 (2008)
- The Gender in Education Sector Policy (2009)
- Quality Enhancement Initiative in 12 poor performing districts²⁹ (2008) (Republic of Uganda, 2010a).

In December 2011 a strategic plan for the BTVET has been approved by the Cabinet. According to the Belgian Technical Cooperation Uganda (BTC Uganda, 2012) BTVET has not received sufficient attention so far, while this sub-sector faces major challenges with regard to improving linkages with employment, raising standards and expanding coverage.

In reality MoES policies tend to be undermined by presidential pledges, which are not informed by technical advice from the MoES and which can be contradictory to MoES policies (Cambridge Education, 2011, interviewees). Besides, for implementation of MoES policies that need cross-departmental or district support, the MoES is dependent on support of the Presidential Office (Cambridge Education, 2011). Similarly, Sekirime (2012) in her research on monitoring and evaluation (M&E) arrangements in Uganda's health and education sectors, refers to 'big man presidentialism', a term introduced by Bratton (2007) to refer to the dominance of the president in policy formulation. In line with this, it has been noted that both UPE and USE as well as the barazas (see 4.3.) were introduced upon presidential initiative at a time when the government structures were not yet ready.

Moreover, while Uganda's education policies are considered to be sound, implementation of these policies is a huge challenge (BTC Uganda, 2012), which is however not unique to the education sector. According to the Annual Report on Corruption Trends in Uganda (Republic of Uganda, 2010b), Uganda is good in establishing laws and regulations, but is known to be the country with the largest implementation gap in the world. This implementation gap not only applies to anti-corruption initiatives, but also more generally to laws and policies (Holvoet and Inberg, 2012).

3.2. Education systems

Within Uganda's formal education system four levels can be distinguished: pre-school for 3-5 year-olds; seven years primary education for 6-12 year-olds; post-primary education and training for 13-16 year-olds (O-level) followed by two years of advanced secondary education (A-level); and tertiary and university education. In addition, several non-formal education programs exist, which are, according to Blaak et al. (2013), an attractive alternative for children excluded from formal education. Education is, however, officially compulsory for 6-12 year olds (Republic of Uganda, 2010a).

Pre-primary education is completely in hands of the private sector and too expensive for many parents (Purcell, 2010). While most primary schools are government-owned (Purcell, 2010), only 30% of the secondary schools are government-owned (2009). The majority of secondary schools are private sector owned (53%) (17% are community owned)³⁰ (Republic of Uganda, 2010a). The percentage of

²⁹ These 12 districts are selected on the basis of the EMIS (interviewees) and include Amuru, Arua, Bududa, Bukedea, Buliisa, Kaabong, Kyenjojo, Lyantonde, Mubende, Nakapiripirit, Nebbi and Oyam (Ministry of Education and Sports, 2012b).

³⁰ The information is based on EMIS data and included in the Updated ESSP (Republic of Uganda, 2010). The percentages have been changed however, as the percentages included in the Updated ESSP do not correspond with the absolute numbers presented: 914 government owned secondary schools, 1602 private secondary schools and 504 community secondary schools.

government secondary schools does increase, however, as in 2007 20% were owned by government, 69% by the private sector and 11% by communities (Purcell, 2010). The Uganda National Household Survey 2009/10 provides data on the management of both primary as secondary schools, differentiated by urban and rural schools. The percentages are different than the EMIS data on ownership of schools used in the Updated ESSP (Republic of Uganda, 2010a), as table 3.2. demonstrates.

Table 3.2. Management of primary and secondary schools (%)

Level		government	private	religious	other
Primary	total	76	21	2	1
	urban	46	50	4	0
	rural	80	18	2	1
secondary	total	50	46	3	1
	urban	37	61	3	0
	rural	55	41	4	1

Source: Uganda Bureau of Statistics, 2010

The figures in the table clearly show the dominance of the government managed schools in rural areas and the dominance of privately managed schools in urban areas. The Uganda National Household Survey 2009/10 also provides data on the availability of education facilities. Between 2005/06 and 2009/10 more education facilities became available in communities. Particularly the percentage of communities with pre-primary and primary schools in rural areas increased significantly: the availability of pre-primary schools/centres increased with 21% to 48.8%; the availability of public primary schools increased with 21.8% to 49.4% and the availability of private primary schools increased with 18.6% to 32.1%. The availability of secondary schools in communities is still low: only 6.2% of the communities has a public secondary school and 19.3% a private secondary school (Uganda Bureau of Statistics, 2010). Uganda has four public universities: Makerere University, Mbarare University, Kyambogo University and Gulu University.

Under the local government act of 1997 pre-primary, primary education and education for primary aged children with special needs became the responsibility of local government (Republic of Uganda, 2010a). While the Updated ESSP only mentions primary education when referring to the local government act, Pillay (2006) and Hedger et al. (2010) refer to the fact that the local government act also devolved secondary education to local governments, but that in practice this decentralisation was less decisive than that of primary education. Districts and municipalities became responsible for recruiting, deploying and supervising teachers and for the disbursement and management of funds related to universal primary education (Capitation Grant and Primary School Facilities Grant, see 3.3.) (Hedger et al., 2010). As a result of the decentralisation schools and the MoES are linked through the district education office, headed by the District Education Officer. The District Education Officer, however, is not directly accountable to the MoES, but to the district head of the civil servants, the Chief Administrative Officer. Consequently, the MoES is dependent on the district for implementation of its policies (Cambridge Education, 2011). Hedger et al. (2010) refer to the limited attention (of government and development partners) to systems and institutions of service delivery as a consequence of which district education offices remain to have a weak capacity in service management (in contrast to the health and water sectors, for which local governments could use conditional grants for management and supervision activities, while district education offices are

dependent on local revenues) and are largely unable to supervise and inspect schools. They suggest that the lack of investments in district education management could have contributed to the poor quality of education.

While the districts are responsible for managing service delivery, the MoES is responsible for education policy and for monitoring and evaluating policy implementation (Hedger et al., 2010). Four semi autonomous sub-agencies of the MoES are responsible for specific areas of the education system: the National Curriculum and Development Centre, the Department of Education Standards, the Uganda National Examination Board and the Tutor/ Instructor/ Teacher and Training Department (Cambridge Education, 2011).

See table 3.3. for an overview of the mandates of the different management levels within the ministry.

Table 3.3. Macro structure for the management of Uganda’s education sector

Level of management	Mandate
MoES	<ul style="list-style-type: none"> - Political oversight management; - Accountability; - Monitoring; - Quality assurance.
MoES Top Management	<ul style="list-style-type: none"> - Policy assurance; - Overseeing the Education Sector Consultative Committee.
Education Sector Consultative Committee	<ul style="list-style-type: none"> - Programme design; - Management and monitoring of sector strategy; - Supervision and coordination of working groups; - Liaison with education development partners.
Working Groups	<ul style="list-style-type: none"> - Production of planning outputs; - Liaison joint effort education development partners; - Reporting to the Education Sector Consultative Committee.

Source: Lubanga, 2008

The Education Sector Consultative Committee comprises of senior technical and operational personnel from MoES, other ministries, education development partners, non-governmental organisations and the private sector. There are seven sub-sector working groups (primary; secondary; BTVET; higher education; teacher education; special needs education and career guidance and counselling) and three cross-cutting working groups (sector policy and management working group, budget sector working group and M&E working group) (Ministry of Education and Sports, 2003). The sector policy and management working group discusses all policy and management issues after they have been discussed in the M&E working group and before they are discussed in the Education Sector Consultative Committee. Issues not related to policy and/or management are sent directly to the Education Sector Consultative Committee after approval in the M&E working group. Members of the working groups are representatives from the technical offices of the MoES, other ministries, education development partners, non-governmental organisations and the private sector (Lubanga, 2008), except for the sector policy and management working group which has only members from the MoES.

3.3. Education financing

The education system is financed through public, private and household sources³¹ and foreign aid, with public sources being the main source (Pillay, 2006). Uganda allocates more than seven percent of its gross domestic product to the education sector, including both government and household expenditures, which is more than the average of countries of the Organisation for Economic Co-operation and Development (OECD) (Winkler and Sondergaard, 2008). Nevertheless, between 2002/03 and 2009/10 the share of the education sector in the total expenditure of the government decreased from 20.6% to 15.3% (Republic of Uganda, 2010a). In the context of the National Development Plan this percentage is expected to raise again to 17.4%, but competition in budget allocation with especially the infrastructure and energy sectors are strong. Moreover, the financial allocation to the education sector will not be sufficient for attaining the ESSP objectives if efficiency is not improved (Republic of Uganda, 2010a). For this reason the MoES commissioned a study on the efficiency of Uganda's public education system prior to the finalisation of the Updated ESSP. This study reveals that no less than one-third of expenditures on primary education is wasted due to four principal sources of internal inefficiency: i) leakage of resources between the central government and the school through e.g. ghost teachers and misuse of UPE grants to district government; (ii) leakage of resources within the school through e.g. high rates of students, teachers and headmasters absenteeism; (iii) deployment of teachers both across and within districts which are unrelated to measures of need; and (iv) allocation of resources within government schools, with largest class sizes in the early grades and lowest class sizes in the later grades (Winkler and Sondergaard, 2008). By including objectives to improve efficiency and effectiveness in the Updated ESSP (see 3.1.) The MoES intends to address efficiency and effectiveness issues (Republic of Uganda, 2010a). Nevertheless, even if efficiency measures will be taken, additional funding will still be necessary to attain all objectives formulated in the Updated ESSP (BTC Uganda, 2011).

The main budgeting tool is the Medium Term Budget Framework, which is in line with budget ceilings determined in the Medium Term Expenditure Framework. The Medium Term Budget Framework is prepared by the Education Sector Working Group and discussed in the sector budgeting workshops (instituted in 2003³²) with different stakeholders (Hedger et al., 2010). This process is repeated at local level, but due to the conditional nature of grants to districts and municipalities the degree of flexibility is limited (Hedger et al., 2010).

Important conditional grants are the universal primary education Capitation Grant and the School Facility Grant, which are both channelled by the central Government to districts and municipalities. These grants have to be used according to guidelines elaborated by the Ministry of Finance, Planning and Economic Development (in coordination with the MoES) (Penny et al., 2008). The objectives of the Capitation Grant include increasing equitable access to basic education through removal of the burden of school fees from parents and enhancing the quality of primary education through the provision of basic operational resources (Ward et al., 2006). Nevertheless, for many schools the amount of the Capitation Grant is lower (and comes often delayed) than the amount they received from parents prior to the introduction of universal primary education (Nishimura et al., 2009). The School Facility Grant was introduced to build new classrooms, latrines and teacher's houses, to

³¹ Under the UPE school fees have been abolished, but households still have to finance writing materials, uniforms and lunches (Ward et al., 2006)

³² The sector budgeting workshop replaced one Joint Education Sector Review, which were from April 1999 until November 2003 held bi-annually (Eilor, 2004), see also 5.3.

complete unfinished classroom and to supply furniture (Penny et al., 2008). The introduction of these two grants gave more responsibilities to school management committees and district education offices. Regular tracking studies verify if the funds reach the intended beneficiaries (Purcell, 2010). The main findings of a value for money audit on the management of the Capitation Grant include e.g. that accountability on funds released was delayed or absent in some districts; the Ministry of Finance, Planning and Economic Development did not conduct any supervision, monitoring and evaluation; the Ministry of Local Government did conduct inspection visits, but issues related to the Capitation Grant were not included; and the MoES monitored and evaluated the performance of the universal primary education programme (Office of the Auditor General, 2011a).

The contribution of development partners to the Capitation Grant and the School Facility Grant is channelled through the Poverty Action Fund (Purcell, 2010), which was introduced in 1998 for allocation of debt relief funds and budget support to poverty reduction priorities in the budget (Hedger et al., 2010). According to Purcell (2010) the Poverty Action Fund contributed significantly to the implementation of the national education policy.

Education development partners

A sector-wide approach (SWAp) was introduced in Uganda's education sector after the launch of the Education Strategic Investment Plan in November 1998, with the overall goal "to ultimately lessen donor fragmentation, strengthen the capacity of the line ministries to formulate and pursue consistent policies, facilitate information sharing and therefore strengthen the platform for funding common policy positions as well as making informed choices regarding sectoral strategies and allocation priorities" (Eilor, 2004: 79). Important characteristics of Uganda's education SWAp include:

- Based on clear sector strategy and policy/financing framework;
- Lead by national stakeholders (especially the MoES);
- Development partners contribute to priorities defined in sector strategy;
- One implementation system (including auditing and M&E);
- Reliance on national capacity (Institute for Health Sector Development, 2003).

A 2003 study on education SWAps (Institute for Health Sector Development, 2003) refers to Uganda's education SWAp as being 'full' (compared to 'sub-sector' SWAp and 'flexible' SWAp, see 2.2.), meaning that fundamental coordination mechanisms for development partners are well established under a strategic framework which is owned and led by Uganda's government, and being a useful example to showcase benefits of an education SWAp.

Initially six development partners subscribed to the SWAp model (World Bank, the Netherlands, the Department for International Development (DFID), Ireland Aid, the European Commission and the United States Agency for International Development (USAID)) by supplying sector budget support (SBS), while other development partners also aligned their projects to the Education Strategic Investment Plan (Eilor, 2004). Since the introduction of the SWAp education development partners have been organised in the Education Funding Agencies Group, which name was changed to the Education Development Partners Group in 2009. Through the Education Development Partners Group the position of development partners regarding sector strategy, policy and financing issues are coordinated (Hedger et al., 2010). The Education Development Partners Group is subdivided in five working groups (pre-primary and primary education, secondary education, BTVET/ skills development, tertiary education, budget and public finance management) which are each headed by a specific

member (until recently the Education Development Partners Group was subdivided in 27, partly inactive, working groups) (interviewees). The chair of the Education Development Partners Group is responsible for the coordination and facilitation of functioning and activities of the Education Development Partners Group. Since January 2012 Belgium has been the chair (the Netherlands in 2011) (BTC Uganda, 2011). Principles of aid management and coordination of development partners in education are formulated in a Memorandum of Understanding (2010) between the Government of Uganda and the Education Development Partners Group. This Memorandum of Understanding describes obligations as well as expectations of the Government of Uganda and the Education Development Partners Group under the SWAp partnership (BTC Uganda, 2011). According to BTC Uganda (2011) discussions within Education Development Partners Group and with MoES could be better prioritised and more thoroughly focussed on selected topics.

While Eilor (2004) mentions increasing instead of decreasing transaction costs due to the SWAp arrangements (e.g. working groups, multiplication of meetings, organisation of bi-annual joint education sector reviews, Hedger et al. (2010) refer to the fact that reviewing sector performance should be a core business of the MoES, also if there were no development partners involved in the sector. Moreover, according to them transaction costs have decreased more recently, as officials from the MoES and the Ministry of Finance, Planning and Economic Development report less demand on their time from development partners. On the other hand, Hedger et al. (2010) mention as well that harmonisation has decreased since 2003 due to the decline in sector budget support (SBS) and return to project support by some development partners.

After the introduction of the SWAp, aid to the education sector almost tripled with a peak in 2000/01, after which the aid declined again to the same aid levels as before the SWAP introduction (Hedger et al., 2010). While the share of SBS in the total aid to the education sector was significant between 1998/99 and 2002/03, it decreased to a minimum share in 2007/09 (Hedger et al., 2010). Hedger et al. (2010), in their study on SBS in practice in Uganda's education sector, indicate that the decline of SBS is caused by the shift to general budget support (GBS) by major development partners (DFID, European Commission and World Bank), the changed attitude of the Ministry of Finance, Planning and Economic Development since 2003 towards 'additionality'³³ making SBS less attractive and a renewed preference for projects in reaction to the continuing poor quality of education. The study on 'sector budget support in practice' identifies, however, several positive contributions of SBS to Uganda's education sector, which are mainly at central level:

- Sector policy processes at central level have been strengthened through e.g. the early institutional arrangements for the SWAp, which allowed a common focus on detailed policy development to deliver universal primary education; the limited earmarking of sector budget support and allocation of resources to the highest priorities, which resulted in an improved sector budget process; and the encouragement to an increased participation in sector policies, which enhanced the quality and inclusiveness of these processes;
- Public financial management systems at central level have been strengthened by using them;
- Sector institutions at central level have been strengthened through capacity building for planning, monitoring and reporting and through increasing the supply of schooling capacity.

³³ Until 2003 Poverty Action Fund budget ceilings increased equivalent with GBS and SBS commitments. The Ministry of Finance, Planning and Economic Development stopped with this 'additionality' due to concerns about the absorptive capacity of the economy and the feeling that reorientation towards basic social services in the Poverty Action Fund had been sufficient (Hedger et al. 2010).

- Domestic ownership has been privileged and domestic accountability has been promoted by aligning undertakings to consensus objectives and by relying increasingly on Ugandan financial accountability mechanisms (e.g. Auditor General and Public Accounts Committee) (Hedger et al., 2010).

In contrast to these positive contributions, SBS was not able to make positive contributions to improvements in quality and efficiency: quality and efficiency issues had already been on the agenda of education joint sector reviews before both the government and the SBS development partners considered them as priority. Moreover, the focus on central government processes came at the expense of attention to planning, management and inspection at district level. “None of the packages of SBS inputs has been directed substantially or consistently to the District level and that seems to represent a failing part of SBS development partners, and education development partners more widely, to contribute fully and coherently to the systemic challenges of improving education sector processes” (Hedger et al., 2010). Williamson and Dom (2010) in their synthesis report of the ‘sector budget support in practice study’³⁴ identify the Ugandan education sector as the example of lack of attention to the ‘middle level’ (Williamson and Dom, 2010). In their study they highlight that SBS (generally, not only to the education sector in Uganda) contributed to the expansion of service delivery while the quality of service delivery has not been effectively addressed. A critical shortcoming of SBS is the lack of focus on service delivery, referred to by Williamson and Dom (2010) as ‘missing middle’. Factors contributing to the lack of focus to the ‘missing middle’ include the specific background of government officials (often finance and economics) and the superficial country knowledge of development partners staff participating in the sector dialogue. Shortcomings specifically related to the SBS dialogue include the narrow focus on details at the expense of overall sector policies and systems, which is often due to the majority of SBS being traceable and earmarked, and the weak link with the dialogue and conditions related to General Budget Support (Williamson and Dom, 2010).

Belgium is one of the development partners reacting to the criticism in the report of Williamson and Dom (2010) by focussing the education dialogue more on the level of service delivery, by supporting the sector through a portfolio approach in which an optimal mix of modalities and entry points are combined and by conducting more field monitoring (BTC Uganda, 2011). The Belgian education portfolio, which is characterised by one common objective, a high degree of alignment and a mix of modalities, consists of sector budget support, project support, sector monitoring and dialogue, activities funded under the study and consultancy fund and a scholarship programme (BTC Uganda, 2011). According to BTC Uganda this portfolio approach allows Belgium to be “in a position to add value to the sector dialogue as linkages with operations at service delivery level can be made. On the other hand, lessons learned from project or interventions at service delivery level, feed into the policy dialogue at national level” (BTC Uganda, 2011: 5). Hedger et al. (2010) on the other hand refer to “the risk of multiplying transaction costs and undermining of improvements in allocative efficiency” (Hedger et al., 2010: 52) as the trend towards portfolio approaches could result in weakening harmonisation and reduced coordination (due to the inclusion of projects with e.g. additional reporting requirements).

³⁴ In the synthesis report results of ten case studies are brought together: the health sector in Mozambique, Tanzania and Zambia; the education sector in Mali, Rwanda and Uganda; the local government sector in Tanzania and Uganda; the agriculture sector in Mozambique and the road sector in Zambia.

In December 2011 13 development partners³⁵ were active in the education sector, with the African Development Bank, Belgium, Ireland, the Netherlands, UNICEF, USAID and the World Bank being the main development partners. The Global Partnership for Education will support Uganda's education sector as from 2012 (BTC Uganda, 2012). In 2010/11 only Belgium, Ireland and the Netherlands provided SBS, while the World Bank and the European Union include education indicators in their GBS variable tranches. Ireland and the Netherlands, however, suspended their planned SBS for 2011/12 due to concerns about lack of government action against corruption and weak public finance management performance, respectively. More importantly, the Netherlands have decided to change its focus from the education sector to economic sectors (BTC Uganda, 2011) and Ireland has decided to change from education budget support to project support (BTC Uganda, 2012)³⁶. This also puts Belgian SBS at risk as one of its eligibility criterion for sector budget support is the presence of at least one other bilateral sector budget support development partners (BTC Uganda, 2012).

³⁵ African Development Bank, Belgium, European Union, Germany, ILO, Ireland, Japan, Netherlands, UNFPA, UNHCR, UNICEF, USAID, World Bank (BTC Uganda, 2012).

³⁶ While an in-depth study of the reasons behind these decisions are beyond the scope of our study, several interviewees hinted at the fact that these decisions are related to domestic economic and political factors of the specific countries involved as well to the recent tendency of European countries to move away from budget support to a mixture of aid modalities.

4. Assessment of the education sector's M&E system

As mentioned in paragraph 2.3. a constant monitoring and evaluation of the education system is necessary, especially in a context of limited resources in which maximizing student learning is one of the greatest challenges. Uganda's education sector certainly faces this challenge. While Uganda managed to get high enrolments in education, it was not able to make improvements in the quality of education as chapter 3 has shown. Uganda's monitoring and evaluation framework for the education sector (2002) recognises the need to institutionalise a monitoring and evaluation (M&E) system within the Ministry of Education and Sports (MoES) that responds to the needs of the education sector (Ministry of Education and Sports, 2002).

In this chapter the M&E system of Uganda's education sector is assessed on the basis of six M&E key dimensions, including policy; indicators, data collection and methodology; organisation (structure and linkages); capacity; participation of actors outside government; and use of information. In order to structure the assessment and analysis, each of the dimensions is further broken down into sub-components (see checklist in annex 2).

The assessment below highlights that Uganda's health sector M&E system is satisfactorily developed. While none of the 34 sub-components scores 'excellent', eight of the sub-components score 'good', especially in the area of organisation (structure); in particular coordination and oversight, the joint sector reviews, the sector working groups and ownership are considered to be relatively strong. Moreover, none of the sub-components are considered weak. The lowest scores ('partially satisfactory') are in the area of capacity. The results of the quantitative assessment are provided in annex 5 (see annex 6 for the rating system used to identify the scores) while the different sections in this chapter provide a more qualitative discussion structured alongside the six M&E key areas.

4.1. Policy

When reviewing the M&E policy, we focus in particular on the existence of an overarching M&E plan, the way the policy distinguishes and links 'monitoring' and 'evaluation', the (relative) importance given to the basic M&E functions of accountability and learning, the attention given to reporting and feedback and the way the latter is organised as well as the importance attached to alignment of M&E with planning and budgeting.

M&E plan

In 2002 the MoES education planning department elaborated a monitoring and evaluation framework for the education sector with technical support of DFID. The framework indicates that a pressing reason for its elaboration was the requirement to complete six monthly reports and to organise annual reviews, while it is also mentioned that monitoring and evaluation should also be used for decision making in order to improve management and delivery of education. The framework consists of three key elements: monitoring activities, evaluation studies and assessment of student achievements (Ministry of Education and Sports, 2002). As the framework already dates back to 2002, the indicators included for the monitoring of progress of projects and programmes are not up to date, but the more recent Updated Education Sector Strategy Plan (ESSP) 2010-2015 (Republic of Uganda, 2010a) includes a draft list of indicators and targets, which only became available recently. The M&E paragraph does mention that during Education Sector Consultative Committee meetings the ESSP

performance against the work plans and the Joint Assessment Framework (JAF) indicators (see 4.2. and 4.3.2.) are monitored. During the education sector reviews achievements of broad goals of access, equity, quality and efficiency as well as progress on the education for all (EFA) and Millennium Development Goals (MDGs) targets and cross-cutting issues are reviewed. At school level, inspectors from the Directorate of Education Standards monitor ESSP performance through a common inspection framework and instrument.

With regard to evaluation studies, the M&E framework mentions that these will be an integral part of the M&E system and will look into specific aspects of the education sector. The assessment of students achievements is the responsibility of the Uganda National Examination Board (through Primary Leaving Exams and the National Assessment of Progress in Education (NAPE)). Data from the Southern African Consortium for Monitoring Education Quality (SACMEQ) is also used (see 4.2. and 4.5.) (Ministry of Education and Sports, 2002). The M&E framework and M&E paragraph of the ESSP do not elaborate on how and for whom to monitor and evaluate. Moreover, the 2009/2010 annual report of the Office of the Auditor General notes the absence of a specific time frame for M&E activities within MoES which can result in M&E being done on an ad hoc basis (Office of the Auditor General, 2011b).

The National Policy on Public Sector Monitoring and Evaluation of the Office of the Prime Minister (Republic of Uganda, 2010c), which is presently awaiting cabinet approval, stipulates the preparation and implementation of a monitoring strategy and five-year evaluation plan. This might incentivize the MoES to elaborate an updated M&E framework.

M versus E

The M&E framework clearly distinguishes between monitoring and evaluation (and research) and provides definitions for each of these different components. It also elaborates on the types of performance indicators (input, output, outcome, impact and efficiency) used for monitoring and different types of evaluations (formative and summative) (Ministry of Education and Sports, 2002). While the M&E paragraph of the Updated ESSP does not explicitly distinguish between monitoring and evaluation, the description of the activities of the M&E unit hints at the fact that the differences between the two components of an M&E system are clearly understood. More specifically, it is stated that the routine activities of the M&E unit include “monitoring of progress of sector programmes and projects” and “undertaking efforts to estimate longer-term impact of education programmes” (Republic of Uganda, 2010a: 81), the latter being only possible through evaluation.

A recent document of the Office of the Prime Minister (2012) demonstrates that evaluation is not a major activity within the MoES. While five types of evaluation (ex-ante, baseline, mid-term, final, impact) are performed (on a low scale) within most Ministries, Departments and Agencies, the MoES is allocating less to evaluation than average (1% of development expenditure in 2009/10, 2010/11 and 2011/12 compared to 4%, 9% and 4% all Ministries, Departments and Agencies) (Office of the Prime Minister, 2012). According to the MoES the limited focus of the M&E section on evaluation is related to the high reporting pressure, as a result of which the limited number of staff members do not have sufficient time for evaluation (and research) (interviewee).

A consequence of the focus on monitoring at the expense of evaluation is that underlying reasons for (non)-performance are not revealed (see Holvoet and Renard, 2007). The Government Evaluation

Facility, created in 2011 within the M&E department of the Office of the Prime Minister, might stimulate more attention to evaluation within the Government of Uganda. The Government Evaluation Facility has three full time staff members and has two roles: to design, conduct, commission, and disseminate evaluations on public policies and major investments (as directed by Cabinet); and to oversee improvements in the quality and utility of evaluations conducted across Government at a decentralized level (Office of the Prime Minister, 2011). Recently the Government Evaluation Facility finalised a first draft of its first evaluation on the Government of Uganda's response to absenteeism in the public sector. While absenteeism is a huge problem within the education sector (see chapter 3) the M&E section of the MoES was not involved in this evaluation. As M&E sections of line ministries are not entirely independent, one could indeed argue that these sections are less suitable for conducting evaluations than the Office of the Prime Minister. On the other hand, as these M&E sections are often within the planning department, evaluations done by the line ministries' M&E sections (or at least their involvement) might better respond to the demand side within line ministries and as such also increase feedback and use of evaluative findings into policy-making and planning at the level of line ministries. One of the staff members of the M&E section of the MoES suggests that in order to avoid duplications, ministries should focus on output evaluations (and studies), which should feed into outcome evaluations (studies) of the Office of the Prime Minister. In reality however, as evaluations are about linkages between different levels, this division is not so obvious. In any case, coordination between the Office of the Prime Minister and the M&E section of the MoES (and other line ministries) is a necessity.

Autonomy & impartiality

While the Updated ESSP does not refer specifically to autonomy and impartiality or include a separate budget for M&E, improving accountability is one of the objectives included in the ESSP to address efficiency and effectiveness issues (see 3.1.). Strategies for attaining this objective are e.g. the introduction of District League Tables (so that local governments can measure and track their performance rating at national level), support and supervision of school management committees and strengthening the inspection system (Republic of Uganda, 2010a). District League Tables were introduced in 2010 and rank districts on the basis of three indicators, which change every year. The 2011 district league table ranked districts on the basis of their net intake rate, completion rate and primary leaving examination performance index (Ministry of Education and Sports, 2011a).

A report on the efficiency of public education in Uganda (Winkler and Sondergaard, 2008), which has been used in the elaboration of the Updated ESSP, highlights the need for strengthening the school management committees and the inspection system. According to this report the school management committees and the inspection system are the two principal accountability mechanisms in Uganda's education sector. In practice however, school management committees have limited power to hire and fire school staff (Winkler and Sondergaard, 2008) and members of the committees often lack skills to monitor the head teacher (Cambridge Education, 2011). The inspection system is ineffective, as there are only a few inspectors which rarely have the vehicles and fuel to visit schools (Winkler and Sondergaard, 2008, interviewees). The inspections that take place are often superficial and not contributing to improvements of school management or performance (Cambridge Education, 2011). As a consequence there is hardly any accountability by districts and schools to parents, the public and the ministry for compliance with MoES norms and guidelines and for adequate educational performance (Winkler and Sondergaard, 2008). Moreover, Cambridge Education (2011) refers to rent-seeking and clientelism blocking action and accountability: "The formal structures that provide for

action and accountability within the system are ignored or blocked by individual actors who are incentivised to act out of self-interest or self-preservation” (Cambridge Education (2011: 108).

Since the publication of a first Public Expenditure Tracking Survey in 1996, which revealed that between 1991-95 only 13 percent of earmarked funds reached schools (World Bank, 2004), it has been obliged to publish all funding allocations to work plans of the Poverty Action Fund, which forces “transparency and accountability into administrators’ dialogue with clients and end users” (Hauge, 2003: 4). According to Hauge (2003) these allocations have only been published fragmentarily, because civil servants are not sanctioned if failing to publish these funding allocations (Hauge, 2003). Where these funding allocations have been published, they seem to have generated positive effects. Reinikka and Svensson (2005 and 2011), for instance, demonstrate that these publications have contributed to lower capture of funds at local level, with a positive influence on school enrolment and learning outcomes as a result. Subsequent local Public Expenditure Tracking Surveys (1999 and 2000) also showed an improvement from 13 percent to roughly 80 to 90 of funds reaching schools (World Bank, 2004).

In a comparative study on the introduction of universal primary education in Ghana, Kenya, Malawi and Uganda, Nishimura et al. (2009) indicate that parents and communities have adopted a passive attitude since the introduction of universal primary education as they view the government to be responsible for everything related to school issues. Also Cambridge Education (2011) and the Belgian Technical Cooperation (BTC) Uganda (2012) point at weaker pressure mechanisms and limited accountability due to the provision of free and universal public service delivery. Cambridge Education (2011) does provide several examples of exceptions where parents are involved in schools. In combination with well functioning School Management Committees and good head teachers,³⁷ this has resulted in better school results. The positive effect of parents’ involvement in schools is also confirmed by Nishimura et al (2009) who demonstrated for Malawi that a changing attitude of parents in schools resulted in a higher quality of education in these schools (Nishimura et al., 2009). Another study on Malawi (Barnett, 2012) demonstrates that community involvement has the strongest effect on school results when communities contributed financially in order to close gaps in state funding (e.g. payment of salaries of additional teachers and non-teaching staff, or financial contribution to construction and maintenance)³⁸.

In 2011/12 the MoES allocated 4% of the recurrent non-wage expenditure to monitoring and 1% of development expenditures to evaluation. A breakdown of expenditures on monitoring and evaluation demonstrates, however, that 100% of the expenditures in 2011/10 was spent on allowances (Office of the Prime Minister, 2012). While this percentage is highly unlikely (in comparison with other Ministries Departments and Agencies and in light of other costs related to the organisation of field visits), the MoES is specifically mentioned as 1 of 7 (out of 19) Ministries Department and Agencies spending more than 44% of their budgets for M&E on travel inland, allowances and fuel, lubricants and oils (Office of the Prime Minister, 2012). An Office of the Prime Minister report investigating the expenditures on M&E recommends Ministries Department and Agencies to allocate and ring fence a minimum percentage of the recurrent non-wage budgets to the running of management information

³⁷ According to Cambridge Education (2011) sensitising parents, mobilising communities and monitoring head teachers need simultaneous support “through connected but differentiated interventions to allow schools to succeed” (Cambridge Education, 2011: 107).

³⁸ Besides financial involvement, other types of involvements described by the author are ‘learning support’ and ‘networking’ (Barnett, 2012).

systems. Moreover, a minimum percentage of project budgets should be allocated and ring fenced to evaluation.

Feedback

The Updated ESSP (Republic of Uganda, 2010a) includes the dissemination of data and reports to stakeholders as one of the tasks of the M&E unit. The M&E unit prepares quarterly performance reports for the Ministry of Finance, Planning and Economic Development and Office of the Prime Minister (before two separate reports), quarterly reports for the National Planning Authority, semi-annual and annual reports for the Office of the Prime Minister (for the Government Annual Performance Report) and Education and Sports Sector Annual Performance Reports for education reviews and policy adjustments (interviewee).

During the Updated ESSP period (2010-2015), a communication strategy will be elaborated, which will consider local and national needs for information dissemination. The possibilities for using mass media and other information channels such as internet will be looked into (Republic of Uganda, 2010a).

Alignment planning & budgeting

The Updated ESSP refers to the use of several reports in updating the ESSP. These reports include amongst others the above mentioned report on the efficiency of public education in Uganda (Winkler and Sondergaard, 2008), an impact evaluation on primary education in Uganda (IOB, 2008) which was jointly carried out by the Education Planning Department of the MoES and the Policy and Operation Evaluation Department of the Netherlands Ministry of Foreign Affairs, and a study on pre-primary and primary teacher development (2010). Also Public Expenditure Tracking Surveys have been used in planning. The 1996 Public Expenditure Tracking Survey referred to above, has for instance been showcased as an influential evaluation in a World Bank study on successful cases of evaluation influence (World Bank, 2004). It was more specifically highlighted that Uganda's government acted upon the results and began amongst other things to publish monthly intergovernmental transfers of public funds through newspapers and radio. One of the interviewees, however, pointed at a missing link between M&E, policy-making and planning and highlighted that M&E is presently not systematically used to inform policy and planning.

It is not clear whether M&E results are presently used for budgeting³⁹, but the Office of the Prime Minister clearly has the intention to move in that direction as it urges line ministries to provide their reports one month earlier in order to be taken into account into the next budget round (see also 4.3.). Hedger et al. (2010) criticise the annual sector performance reports for not linking systematically performance and expenditures. This is in contrast to the Education Sector Annual Progress Report 2011, which includes an overview of activities, annual budget, expected output, actual expenditure 2010/11 and actual outputs (Ministry of Education and Sports, 2011a).

³⁹ The Updated ESSP includes an overview of total government costs by sub-sector, which is divided into recurrent expenditure and development expenditure for primary, secondary, BTVET and tertiary education and recurrent expenditure for services' central administration. No links are made with the ESSP objectives.

4.2. Indicators, data collection and methodology

Indicators

As mentioned above, the indicators included in the 2002 M&E framework are not up to date anymore and the annex to the Updated ESSP with draft monitoring indicators and outcome targets only became available recently. The paragraph on institutional set up mentions that the Education Development Partners Group is leading the development of a results framework which will provide the indicators and targets for the Updated ESSP, the JAF indicators (see also 4.3.2.) as well as a revision of the indicators used under the Revised ESSP (Republic of Uganda, 2010a). The most important sector performance framework, however, is the Joint Position Paper, which presents the status of undertakings agreed upon at the education and sports sector review (ESSR) (see 4.3.). The 2010 Joint Position Paper, includes an overview of 13 performance indicators. Most of these performance indicators are or have been included in the JAF (either as performance indicators or as headline sector results)⁴⁰, as table 4.1. demonstrates. While the Updated ESSP is aligned to the National Development Plan, no references are made to the monitoring and evaluation of education indicators included in the National Development Plan⁴¹, which do not correspond with the performance indicators or JAF indicators. The National Development Plan indicators have been proposed by the National Planning Authority and discussed with the MoES. As pointed out during interviews, the MoES sometimes rejects education indicators proposed by other agencies or ministries because of the non-availability of data sources needed for the calculation of these indicators.

Table 4.1. Education indicators included in the JAF and Joint Position Paper

Level	Indicator	JAF 4 ⁴²	ESSP
Impact	- % of literate 13-19 year olds in Uganda Panel Survey compared to 2005/6 household survey	X	
Headline sector results	- % of pupils reaching defined level of competence in literacy in English and in language of medium in instruction (P3 and P6 by gender)	X	X
	- % of pupils reaching defined level of competence in numeracy (P3 and P6 by gender)	X	X
	- % primary pupils passing Primary Leaving Exams with grades I-III at Government aide UPE schools by gender	X	
	- Survival to P7 by gender	X	X
	- % of students reaching defined level of competence in English at S2 (by gender)		X
	- % of students reaching defined level of competence in Mathematics at S2 (by gender)		X
	- % of students reaching defined level of competence		X

⁴⁰ The most recent Education and Sports Annual Performance Report (Ministry of Education and Sports (2011a) refers to eight sector performance indicators agreed upon by the Government of Uganda and Education Development Partners, which are the seven performance indicators included in the table plus 'pupil-text book ratio for lower primary'.

⁴¹ These indicators are: literacy levels, net enrolment rate and net completion rate in primary school; net enrolment rate and net completion rate in secondary school; pupil-teacher ratio; pupil-classroom ratio; student-teacher ratio; student-classroom ration; and international Education Competitiveness Index ((University Ranking, Technical Education, Secondary, Primary and Pre-Primary Education (Republic of Uganda, 2010d).

⁴² JAF 1 covers 2008/09, JAF 2 2009/10, JAF 3 2010/11 and JAF 4 2011/12.

	<ul style="list-style-type: none"> in Biology at S2 (by gender) - Proportion of business, technical vocational education and training (BTJET) students in the final year passing modular or final examinations at different levels of training 		X
Performance indicators	<ul style="list-style-type: none"> - Pupil to teacher ratio in government schools (P1 to P3 and P4 to P7) - % of programmed education sector wage bill effectively used - The difference between the average of the 10 highest pupil to teacher ratio's per district and the national average - % schools in the 12 worse off districts complying with established minimum sector standards and norms - % of teachers at task in the 12 worse off districts - % of head teachers at task in the 12 worse off districts - % of schools in the 12 worse off districts with functional school management committees 	X X X X X X X	X X X X X X X

Source: Ministry of Education and Sports, 2010 and Government of Uganda and JBSF Development Partners (2010 and 2011)

The last four performance indicators in Table 4.1 are related to the Quality Enhancement Initiative, which was initiated by the MoES to improve the quality of education in the 12 worst performing districts (Centre for Social Research, 2011). Recently, the Office of the Prime Minister indeed decided that the next JAFs will include only two sector indicators. This may shift (back) the core of the education dialogue to the sector dialogue between the education development partners and the MoES, which is well functioning and institutionalised (Education Sector Working Group, 2012). A working group of development partners tasked by the Heads of Mission/ Head of Cooperation to review the current JAF structure recommends that indicators should be 'SMART' (specific, measurable, achievable, relevant, time-bound) and appropriate. Only indicators for which data is available should be included (working group, 2012).

After consultations with different stakeholders, the MoES submitted two indicators to the Office of the Prime Minister, one indicator for primary education (increasing the percentage of pupils reaching defined level of competence in literacy and numeracy at grade six) and one indicator for secondary education (increasing the percentage of students reaching defined level of competence in mathematics, English and biology at S2) (Ministry of Education and Sports, 2012c). While these two synthetic indicators combine several indicators, within the MoES (and among education development partners) they will still be used in a disaggregated manner, as the ministry is in need of more specific information for planning (learning) than what is needed for the JAF (focus on accountability).

While the number of education indicators included in the 2010 Joint Position Paper and in the JAF are limited, which hints at an acknowledgment of the need to be selective, the education indicators included in the National Development Plan, the EFA indicators and the education MDG indicators also need to be monitored. As these indicators do not overlap, the list of indicators to be monitored is rather

long. Schools from their end are assessed on the basis of 16 indicators⁴³, which have been developed by the Education Standards Agency (by now the Directorate of Education Standards) together with a Non Governmental Organisation, Link Community Development (IOB, 2008).

The list of indicators included in the annex of the Updated ESSP includes baselines and targets. As the 2010 Joint Position Paper indicates that 11 of 13 performance indicators have been met and two not, it is highly likely that baselines and targets are also available for these indicators. The JAF indicators as well include baselines and targets. However, it seems that the identification of baselines and targets has not been done on the basis of achievements in the past and realistic assumptions about what might be achieved in the future. In fact, in reality some indicators are currently decreasing instead of increasing, with a few of the indicators showing scores that are currently below the baseline. While it is likely that the status of some of the indicators might further decrease in the future, putting targets (for instance for JAF 5 and 6) below earlier defined baselines proved to be unacceptable for some of the development partners, which could eventually lead to unrealistically high target setting. Recently, however, there seems to be more consensus on this issue and agreement that targets should be more realistic (interviewee).

As table 4.1. demonstrates several indicators are disaggregated by sex. Additionally, one indicator is specifically disaggregated by district and several indicators are specifically focused on the 12 worse off districts. Disaggregation of indicators is particularly useful for analytical purposes as it allows comparative analysis. The same holds for the district league tables which enable comparison between the performance of different districts.

The 2002 M&E framework specifies that “indicators organise information in a way that clarifies the relationships between the project’s or programme’s impact, outcomes, outputs, and inputs and help to justify problems along the way that can impede the achievements of project objectives. Performance indicators help clarify the objectives and logic of the programme” (Ministry of Education and Sports, 2002: 4). The draft indicators included in the annex of the Updated ESSP are however not linked with the ESSP objectives and moreover not even differentiated to different levels. The JAF distinguishes between impact, headline results and sector performance indicators. The four performance indicators are linked to two sector performance issues: inequitable teacher deployment across districts and within districts and schools; and high teacher absenteeism (Government of Uganda and JBSF Development Partners, 2011). The actions included in the JAF are linked to five sector performance issues (including the two mentioned above), but these actions (inputs) are not linked to the performance indicators, headline results or impact indicators.

Methodologies used

The M&E framework and the M&E paragraph of the Updated ESSP do not provide an overview of the methods that will be used for monitoring and evaluation. The only reference made is to the use of self assessment methods, which are developed by the Directorate of Education Standards and which are

⁴³ The 16 indicators are quality of teacher’s planning; quality of use of resources and of the classroom environment; quality of the teaching and learning process; assessment and record keeping; teacher’s knowledge; learners’ understanding and attainment; leadership; financial management; management of resources; supervision of teaching and learning; staff deployment and development; management of co-curricular activities; access and equity; climate and relationships within the schools; school governance; and community relations. Each indicators is subdivided into several themes, which are included in the handbook, as well as the evidence which needs to be collected by the inspector before making a judgement on the indicator (Education Standards Agency, 2005).

to be used for monitoring school performance (Republic of Uganda, 2010a). Duflo and Hanna (2006), however, show evidence that monitoring has failed when school headmasters are responsible for its implementation. They refer to evidence that external control, in combination with incentives (sticks) are more effective to stimulate changing behaviour.

The permanent secretary of the MoES (Lubanga, 2008) refers in a paper presented at a workshop on achieving the Millennium Development Goals (Dublin, June 2008) to an in-built mechanism for impact evaluation in the Quality Enhancement Initiative. This impact evaluation is expected to give information on the effectiveness, efficiency and impact of the programme.

Data collection

For each indicator included in the 2002 M&E framework the data source, the responsible MoES section and the frequency of data collection are specified (Ministry of Education and Sports, 2002). The Education Management Information System (EMIS) is the principal source for monitoring (Hedger et al., 2010; Penny et al., 2008). The EMIS has been introduced in the context of the sector-wide approach (Eilor, 2004) through a USAID project (Hedger et al., 2010) and is based on an annual school census exercise (Cambridge Education, 2010). The school census questionnaire for primary schools e.g. consists of eight sections: school identification, school particulars, pupil information, teaching staff information, infrastructure and sanitation information, teaching materials, information on HIV/AIDS and physical education and sports (Ministry of Education and Sports, 2012d). The school census questionnaires are sent to the schools through the districts and filled in by the head teachers, who send the filled-in questionnaires through the District Education Officer to the MoES, where the data is entered by data entry clerks (Ministry of Education and Sports, 2009).

In order to check actual enrolment, MoES top management can ask for 'rapid head counts', which are done on a sample basis by supporting officers of the M&E section and other MoES departments. Feedback is immediately provided to the districts included, but reports are not sent to them. Further follow-up is delayed and usually only takes place at the moment of joint sector reviews (interviewees).

While the quality of the EMIS is improving (IOB, 2008; Winkler and Sondergaard, 2008), incompleteness and unreliability of EMIS data is still a challenge. Important problems include the low response rates and incompleteness of information at school level and the tendency for over-exaggeration as the allocation of teachers and the Capitation Fund is linked to enrolment (Cambridge Education, 2010; Ward et al., 2006; interviewees). As highlighted in section 2.3.2., this phenomenon is not unique to Uganda. Nishimura et al. (2008) propose to link the Capitation Fund to internal efficiency, as under the present funding system pupils are also encouraged to repeat grades, resulting in poor internal efficiency. The MoES has proposed to the Ministry of Finance, Planning and Economic Development to pay UPE and USE grants on the basis of school attendance instead of registered enrolment and urged this ministry during the last cabinet retreat, where the issue of ghost schools, teachers and pupils was discussed, to act upon this proposal (Republic of Uganda, 2012b).

The Updated ESSP includes a strategy to secure the reliability of the EMIS, by validating and enforcing data collection at school level (Republic of Uganda, 2010a). Recently the EMIS technology system (Ed*Assist) has been replaced by a new school based system, through which data is collected in a real time environment. The new EMIS is funded by USAID and implemented by Agile Learning Company Inc, who has 23 staff members in Uganda who all work on EMIS implementation. The

programme is currently being piloted in 20 districts (each 25 schools), before expanding it to all districts (which is planned for April 2014). So far, mobile telephones and computers have been used, but from November 2012 onwards, 100 schools will receive a smart phone which should also enable schools to easily use the data for their own planning purposes (interviewees). In the second half of 2013 an evaluation will take place of the pilots and (the efficiency of) the school based data collection tools (mobile phone, computer, smart phone), in order to decide which data collection tool will be used (USAID, 2012). One of the advantages of the new system is the availability of real time data to inspectors. So far differences between e.g. number of students in EMIS and the number of students counted during inspections are easily disputed by the head teacher as usually a large time lag exists between data collected during the annual census (usually only available one year later) and the inspection. Therefore the new EMIS is expected to contribute in reducing data inflation. Also other initiatives to use mobile technologies for data collection are being implemented (BTC Uganda, 2012), including one by UNICEF (see 4.5.).

Other data sources specifically used for the monitoring of the JAF⁴⁴ include the baseline survey data of the Quality Enhancement Initiative, the Uganda Population Survey of the Uganda Bureau of Statistics (UBOS) and monitoring reports of the Uganda National Examination Board, the National Assessment of Progress in Education (NAPE) and Poverty Action Fund (Cambridge Education, 2010).

For the Quality Enhancement Initiative data is specifically collected for the 12 worst performing districts. As EMIS data does not provide sufficient information for the programme, a base line study was conducted (by Makerere Institute for Social Research) in 2009, followed by yearly M&E exercises (the 2012 M&E exercise is presently undertaken by Business Solutions). The 2011 M&E exercise (conducted by the Centre for Social Research), took a sub-sample (50%) of the 450 schools included in the baseline, by means of systematic random sampling in order to generate a probability-proportional- to-size (PPS) sample. Data was collected through questionnaires, observation and data extraction from school records (Centre for Social Research, 2011). The Education Sector Working Group (2012) critically notes that data collected through the M&E exercises are not integrated in the EMIS while also funding of these exercises is not sustainable.

In order to supplement information from the Primary Leaving Exams, NAPE was established in 1996 as part of the Uganda National Examination Board with the objective to:

- Determine and monitor the level of achievements of pupils over time;
- Generate information on what pupils know and can do in different areas of the curriculum;
- Evaluate the effectiveness of reforms in the education system;
- Provide information on variables which affect learning achievement;
- Suggest measures for the improvement of teaching and learning in schools (Uganda National Examination Board, 2011a).

While the NAPE used to assess all the subjects every three years (primary education only), it has over time and on the basis of advice from the MoES M&E unit, changed its system to yearly assessments of only numeracy and literacy (P3 and P6) (interviewee). Since 2008 NAPE also assesses achievements in English language, mathematics and biology at secondary level (S2) (Uganda National Examination Board, 2011b). On the basis of EMIS a sample is taken proportional to enrolment

⁴⁴ NAPE is the only data source for the two indicators included in JAF 5 and 6 (Ministry of Education and Sports, 2012c)

(including more schools with high enrolment, less schools with low enrolment while very small schools are eliminated). In order to ensure a scientifically sound sampling process, universities⁴⁵ and the UBOS are involved in the sampling procedure (interviewee). Whereas NAPE tends to limit itself to descriptive statistics, the 2011 NAPE surveys for primary education and secondary education also examine relationships between different variables⁴⁶. However, the analyses included in the NAPE surveys still lack analytical quality. While the MoES M&E working group was not satisfied with the quality of the 2011 NAPE surveys and wanted to address this, field missions for the 2012 NAPE surveys had already taken place (interviewee). In addition to NAPE, some non-governmental actors, such as Uwezo and the Southern African Consortium for Monitoring Education Quality (SACMEQ), are also collecting data on learning achievements. (see 4.5.).

In the months of April and September the MoES usually also organises joint monitoring missions of programmes funded under the Poverty Action Fund. The aim is to gain in-depth insight in Poverty Action Fund programmes through consultation with stakeholders as well as to assist in identifying implementation problems. According to the TOR of these missions 60 participants from different MoES departments, affiliate organisations, education development partners and other ministries should be involved over a period of two weeks. However, due to other assignments missions are in practice often reduced to one week and to a lesser number of participants (e.g. approximately 35 participants participated in the last Poverty Action Fund mission) (BTC Uganda, 2012). Moreover, some participants do not spend the required time in the field, while they already received their full per diem allowance, and it is not clear if all missions took place as planned (interviewees). As Poverty Action Fund M&E is in fact a duplication of other M&E activities, the Office of the Prime Minister recommends to abolish Poverty Action Fund M&E and to integrate it with M&E activities under local planning units (Office of the Prime Minister, 2012). However, as participants in the Poverty Action Fund monitoring missions receive per diem allowances, abolishment might be a sensitive issue and difficult to realise (interviewees). While the Office of the Prime Minister's has the mandate and power to abolish the Poverty Action Fund M&E, it is important to keep in mind the advice of Booth and Nsabagasani (2005) who highlight that one should be: "beware of seeing coordination of monitoring activities and data supply as a technical problem, subject to simple administrative solutions (convene a new committee, agree a capacity-building programme, etc.). In particular, adopting such solutions without addressing the systemic incentives to defend and extend existing monitoring activities is likely to increase the level of duplication, waste and over-load. The better approach involves having moderate expectations, and being smart about cultivating incentive change" (Booth and Nsabagasani, 2005: 34).

In addition to the quarterly, half-yearly and yearly reports, the MoES M&E section also produces sector studies, which are mostly outsourced to consultants. Topics are decided upon during joint sector reviews. Eilor (2004) refers to more than 35 sector studies conducted by external consultants between 1999 and 2003, which covered all sub-sectors of education (but especially pre-primary and primary education) and which were used by the top management of the ministry and the education

⁴⁵ Universities used to be involved in data analysis as well, but the own agenda of universities could not be combined with strict NAPE deadlines (interviewee).

⁴⁶ The 2011 NAPE study for primary education looks into the relationship between the achievement of teachers and gender, age, marital status, highest academic and teaching qualifications, teaching experience, school ownership, location and district (Uganda National Examination Board, 2011a). The 2011 NAPE study for secondary education looks into the relationship between teachers' achievement and gender, age, highest teaching qualification, teaching experience, school USE status, programme, ownership, location and zones of the country and into the relationship between student achievement and teacher gender, age, highest teaching qualification and teaching experience (Uganda National Examination Board, 2011b).

development partners (see Eilor, 2004 for an overview of how the outcomes of these studies have been used). These studies were rather ad-hoc and in reaction to specific issues. The Updated ESSP refers to policy tracking studies, commissioned by the Education Planning Department, which should supply information on the implementation of specific sub-sectoral and/or thematic policies. Three of these policy tracking studies were finalised by 2009⁴⁷ (Republic of Uganda, 2010a). BTC Uganda also has set up a study and consultancy fund to finance studies in support of several sectors. Approximately 50% of the fund has been used for the education sector (BTC Uganda, 2011)⁴⁸.

Specific financial information is obtained through annual Public Expenditure Tracking Surveys (see 4.1.), budget performance reports and audit reports of the Office of the Auditor General (Hedger et al., 2010). Value for money audits were introduced in the Office of the Auditor General in 1998 through support of DFID, with the aim to assess whether an entity or programme is operating economically, efficiently and effectively (www.oag.go.ug). In 2011 the Office of the Auditor General published a value for money report on the management of the universal primary education Capitation Grant (see 3.3. for some of its conclusions).

Thus far data of the various sources mentioned above are hardly or not cross-checked. UBOS is currently in the process of improving quality assurance (interviewees) (see also 4.3.2.).

4.3. Organisation

The assessment of the organisation of M&E is subdivided in two sections which deal with structure (4.3.1.) and linkages (4.3.2.).

4.3.1. Structure

In what follows the discussion is centred on issues related to M&E coordination and oversight, joint sector reviews, sector working groups, the level of M&E ownership and the use of incentives to stimulate M&E.

Coordination and oversight

The MoES has a specific M&E section, which falls under the responsibility of the Education Planning and Policy Analysis Department. The M&E section performs several activities routinely:

- Monitoring the progress of sector programmes and projects and assemble on a regular basis key education sector indicators;
- Ensuring coverage of all required education sector indicators and investigating critical issues in the education sector;
- Maintaining quality of data collection procedures and undertaking efforts to develop new methods or materials for use in the education sector;
- Verifying accuracy and quality of data from the field and designing appropriate reporting mechanisms;

⁴⁷ Policy Tracking and Analysis for Automatic Promotion, Thematic Curriculum and the local Language Policy (June 2008) and Tracking the Implemented Policies of Placing Books in the hands of the Pupils and the Early Childhood Development Policy (February 2009) (Republic of Uganda, 2010a).

⁴⁸ Education activities financed by the fund include the development of a BTVET strategy, the development of leadership and management training modules for head teachers and education managers (BTC Uganda, 2011) and the third Quality Enhancement Initiative M&E exercise.

- Disseminating data and reports to stakeholders at appropriate levels and training decision-makers in the use of data for improved management of education and;
- Undertaking efforts to estimate longer-term impact of education programmes (Republic of Uganda, 2010a: 81).

The M&E section staff are satisfied by their location within the Education Planning and Policy Analysis Department as the department is respected and receives full support from the Permanent Secretary. However, it is likely that the power of the M&E section to fulfil its coordination and oversight function is curtailed by this location. An M&E oversight function logically needs a positioning which is higher, as M&E is sensitive by itself and necessitates a certain degree of independence. Independence might be triggered through a location which is high enough in the hierarchy, an independent budget or by leadership of the unit from a recognised authority in the topic. The example of the Office of the Prime Minister e.g. shows that it became stronger through the elevation of the coordination, monitoring and evaluation department to directorate level (Oxford Policy Management, 2009, see also 4.3.2.). While it is highly likely that the present position of the M&E section jeopardizes to some extent the fulfilment of the accountability objective, its positioning within the Education Planning and Policy Analysis Department should normally steer the feedback and use of findings in the ministry's policy-making and planning.

Education and Sports Sector Review

The Education and Sports Sector Review (ESSR) is organised by the secretariat of the planning section of the Education Planning and Policy Analysis Department, with support of the M&E section. The ESSR is considered to be the most important tool for monitoring and evaluation of performance in Uganda's education sector (Cambridge Education, 2010) (see 2.3.1. for more general information on joint sector reviews). The first joint ESSR in Uganda's education sector took place in April 1999 just after the adoption of the SWAp. This first review made some important recommendations for future reviews, including the necessity to integrate the different components and sub-sectors, to plan within the financial constraints of the sector Medium-Term Budget Framework, to regularly monitor progress through the working groups, to include districts in planning, implementation and monitoring, and to increase emphasis on monitoring and improving education outcomes (Eilor, 2004). Magona (2009), cited in Hedger et al. (2010), refers to the importance of the first ESSRs: "These intense, high profile events were extremely valuable in shifting attention of stakeholders from the review of individual development partners projects towards the implementation of policies and strategic plans overall" (Hedger et al., 2010: 19). Until 2003 ESSRs were organised bi-annually, in April and in October/November, but from 2004 onwards the reviews have taken place once a year, as sector performance management and fiduciary risk management were considered of sufficient quality for the reviews to be only organised once a year. The Annual Planning and Budget Workshop replaced the April review (Hedger et al., 2010).

At the end of each ESSR an aide memoire is elaborated, which includes achievements, proposals of new approaches to address persistent problems and an overview of agreed performance undertakings and targets (Lubanga, 2008). Two types of undertakings are agreed upon, i.e. critical undertakings and process undertakings. Critical undertakings include performance indicators to be monitored at each review, while process undertakings are focussed on processes needed to achieve certain sector priorities and are replaced once they are achieved (Eilor, 2004). While the list of undertakings was very long at the first joint sector reviews (58 undertakings for half a year were agreed upon at the first

review (Penny et al., 2008)), the list became shorter and more focused at subsequent reviews (Purcell, 2010). Recently, however, the lists of undertakings have expanded again (74 undertakings at the 2010 ESSR (Ministry of Education and Sports, 2011b) and even more at the 2011 ESSR (Ministry of Education and Sports, 2011c)).

Progress on the undertakings, together with progress on the key JAF performance indicators, are used as triggers for budget support. In a Joint Position Paper, which is adopted in the Education Sector Consultative Committee and incorporated in the aide memoire, the performance of the education sector is assessed against the undertakings agreed upon in the previous sector review (Ministry of Education and Sports, 2011b). The Joint Position Paper is considered to be the principle M&E instrument for the education SWAp, which is also used for monitoring through the Education Sector Consultative Committee (BTC Uganda, 2012). A problem with the agreed upon undertakings and other recommendations decided upon during ESSRs, however, is that the budget is already approved in June as a consequence of which direct implementation of undertakings and recommendations with financial applications is not possible. As this might de-motivate participants to contribute during the ESSR, interviewees highlighted that it is important that these undertakings and recommendations are kept on the agenda of the Education Sector Consultative Committee.

Since recently (2008) field missions prior to the joint sector reviews have been organised with participation of the Ministry of Education and Sports, education development partners (Hedger et al., 2010) and civil society organisations (of which in fact only a few participate) (BTC Uganda, 2012). The objectives of these field missions include validating performance information included in the annual progress reports, generating consensus on sector performance and gaining insights into the perspective of districts and schools (BTC Uganda, 2012). During the field missions 4 education institutions (nursery, primary and secondary school and BTVET institution) in 18 districts are visited by 6 regional teams, which are each composed of 12 members (BTC Uganda, 2012). The Office of the Prime Minister refers to positive effects of the involvement of MoES top management in field visits, who tend to act more purposefully upon recommendations after they have been confronted with challenges on the ground themselves (Office of the Prime Minister, 2012). Presently, the education development partners are in the process of formulating some discussion pointers on joint field monitoring in the education sector, which will be used in the dialogue with MoES and with the aim to improve joint field monitoring. Discussion pointers are formulated on stakeholder participation, practical organisation and logistics of the mission, annual planning and complementarity of the joint field missions, methodological preparation & guidance and use and follow-up of findings after the mission (see Education Development Partners, 2012).

The most recent education and sports sector review (the 18th) took place from 15th to 17th of November 2011 and similar to the previous review, the thematic emphasis was on 'skills for national development'. The main objective of this review was to appraise the performance of the Education and Sports Sector in the period 1st July 2010 to 30th June 2011. Three papers were specifically prepared for and presented during the review: 'a presentation on school inspection in the context of skills for national development', 'a presentation on improving reading skills at primary and enhancing the performance of science at secondary level', and 'a presentation on imparting the required skills for employability and entrepreneurship at tertiary and BTVET institutions' (Republic of Uganda, 2011a). Other inputs included the Education Sector Annual Performance Review Report for year 2010/11, the Joint Position Paper on critical and process undertakings and agreed positions and recommendations

from the field visit exercise (Republic of Uganda, 2011a). While previous field visits mainly focused on inputs and outputs, during the 2011 field visits pupils from pre-primary and primary (P3) were tested on literacy and numeracy (focus on outcomes) (Republic of Uganda, 2011b). The field visits of 2012 (16-22 September 2012) assessed the new JAF indicators: literacy and numeracy competence of primary students (P6) and mathematics, English and biology from secondary students (S2) (Republic of Uganda, 2012c)⁴⁹. According to BTC Uganda (2012) findings of the Poverty Action Fund field missions (see 4.2.) should also be presented during the ESSR, as these findings, which could be important for the sector, have thus far not really been disseminated and discussed.

While ESSRs are especially focussed on content issues, the presentation of a paper on the inspection system and the inclusion of some undertakings related to M&E and inspection⁵⁰ demonstrates that there is some attention to systemic issues as well. The questionnaires used during the field visits, however, demonstrate that little attention is given to systemic issues during these visits. Only three questions related to inspection are included (i.e. was your school inspected last term, who carried out the inspection, if yes, did the inspector leave behind an inspection report). While problems exist with respect to data collection and feedback, no questions related to these issues are included. By focussing purely on monitoring and local level reality checks and not probing into underlying reasons for local non-performance, possible weaknesses or hindrances which are situated at other levels of the education system but which influence local level performance are not disclosed. The Terms of Reference for the 2012 field visits show that feedback will be provided to the District Education Officer at the end of the visit (feedback to schools is not included), which could stimulate discussion of the main findings and recommendations. Such discussion and negotiation is one of the ways in which effective use of M&E findings may be stimulated.

At sub-county level citizens are able to hold officials accountable for service delivery in the education sector (and the health, water, agriculture and road sectors) through the annual so-called 'barazas', which bring together policy makers (central government), public service providers (local government) and public service users (citizens). 'Barazas' were piloted in 2009 in four districts and eight sub-counties and lessons from the organisation of these pilot 'barazas' were fed into the introduction of 'barazas' nationwide⁵¹ (National Monitoring and Evaluation Technical Working Group, 2009). By September 2011, 24 districts had hosted at least two fora per district and in the financial year 2011/2012 all districts are expected to organise 'barazas' in two sub-counties (Republic of Uganda, 2011c). The Office of the Prime Minister, which is responsible for the implementation of the 'barazas', documented the issues raised during the 'barazas' in the 24 districts and concludes that the 'barazas' have shown to be a tool for strengthening the decentralisation policy and democratisation process (Republic of Uganda, 2011c).

⁴⁹ The topic of the 2012 ESSR is 'addressing learning outcomes for enhances skills development'

⁵⁰ Critical undertakings for the Education Planning and Policy Analysis Department for 2011/12 include undertaking the final evaluation of the Quality Enhancement Initiative (during our field mission no information was yet available on this final evaluation, while the third Quality Enhancement Initiative M&E exercise was taking place) and conducting two joint monitoring exercises based on the results of Quality Enhancement Initiative monitoring and NAPE findings on learning achievements in primary and post primary institutions (Ministry of Education and Sports, 2011c). Process undertakings for the Directorate of Education Standards include the JAF 4 Quality Enhancement Initiative indicator (see table 4.1.) and prior actions for improvements of the inspection system (e.g. inspect all government schools at least once a term; follow-up on recommendations in the inspection report; monitoring the quality of inspection in all districts and municipalities; capacity building and training for 130 inspectors) (Ministry of Education and Sports, 2011c)

⁵¹ Some of these 'barazas' were organized together with the Ugandan Debt Network who have a track record in community based monitoring.

Sector Working groups

As highlighted in paragraph 3.2., there are seven sub-sector working groups (primary; secondary; BTVET; higher education; teacher education; special needs education and career guidance and counselling) and three cross-cutting working groups (sector policy and management working group, budget sector working group and monitoring & evaluation working group, with members from technical offices of the MoES, other ministries, education development partners, non-governmental organisations and the private sector.

The M&E working group is chaired by the Commissioner of Planning and has about 50 members (attendance is about 30). While the name of the M&E working group suggests that this is the working group focusing on M&E issues (including M&E systemic issues), in reality the working group rather functions as an overall technical coordination working group where all technical issues are discussed before they are taken further up to the Education Sector Consultative Committee. Findings from M&E exercises figure among the issues discussed in the M&E working group, whereas M&E systemic issues are hardly discussed, except for the EMIS system (the new EMIS has e.g. been discussed in the July M&E working group meeting). As the 2002 M&E framework itself emphasises, EMIS is “a starting point of a Monitoring and Evaluation Framework, not the end point” (Ministry of Education and Sports, 2002).

Ownership

Already in 2003 the Sector Support Working Group of the Strategic Partnership with Africa (Strategic Partnership with Africa, 2003) refers to strong MoES ownership of the tenth education sector review. More recently Hedger et al. (2010) as well mention that the Education Sector Reviews and the Planning and Budgeting workshops are completely in the hands of the government of Uganda with education development partners participating, but not dictating the agenda. The reviews are attended by senior staff of the MoES, the Ministry of Finance, Planning and Economic Development, the Ministry of Local Governance, the Public Service Commission and Teacher Service Commission (Hedger et al., 2010). According to Sekirime (2012), however, who refers to the principle agent relationship between development partners and the MoES⁵², the ownership is rather to be understood as ‘ownership of development partner influenced strategies’.

Incentives

While ownership is considered to be a prerequisite for all development interventions (see e.g. the Paris Declaration), the utilisation of incentives is particularly important for stimulating the use of data, as the M&E demand side is even more important than the M&E supply side. As Mackay (2007: 54) puts it “if demand for M&E is strong, then improving supply in response can be relatively straightforward, but the converse does not hold”⁵³. The synthesis report on sector budget support in practice (Williamson and Dom, 2010), in which results from sector budget support to Uganda’s education sector are included, refers to the fact that many monitoring, reporting and follow-up problems in the countries included in the study relate to incentives, as e.g. implementing agencies and local governments hardly have any incentive to provide information. However, the report also gives an

⁵² The dependency of MoES on funding from development partners puts the development partner in the principle seat and the MoES in the agent seat. In such a relationship the interest of the principle usually dominates (see Sekirime, 2012).

⁵³ Mackay (2007) distinguishes three types of incentives: *carrots*, which provide encouragement and rewards for M&E and utilizing the findings; *sticks*, which give punishments to ministries or individual civil servants who do not take performance and M&E seriously; and *sermons* which involve high-level statements of endorsement and advocacy with regard to the importance of M&E.

example from Uganda's education sector showing the opposite, while emphasising that "such examples are conspicuous by their absence, including in Uganda" (Williamson and Dom, 2010: 88). In 2000 development partners threatened (during an Education Sector Review) to withdraw budget support as districts and municipalities did not want to submit monthly financial statements to the Ministry of Finance, Planning and Economic Development and the Ministry of Local Government, as according to them they were only accountable to their local councils. In reaction to the threat of development partners the president intervened and forced districts and municipalities to submit the reports to the central level.

Hauge and Mackay (2004) and the Office of the Prime Minister (2012) refer to incentives being linked with formal reporting requirements (doing good paperwork). While according to Hauge and Mackay (2004) incentives should rather be linked with underlying performance revealed by M&E, the Office of the Prime Minister (2012) suggests to link incentives with quality and timely M&E reports. The National Development Plan acknowledges the need to establish a strong incentive system and intends to link this to performance contracts of Permanent Secretaries and Chief Administrative Officers (Republic of Uganda, 2010d). The Government Annual Performance Report 2010/11 (Republic of Uganda, 2012a) shows that all Permanent Secretaries and Chief Administrative Officers and 82% of the head teachers (against a target of 95%) signed a performance agreement. The Government Annual Performance Report 2011/12 will report on achievements of targets included in the performance agreements.

The recently introduced cabinet retreats, during which performance of the government is discussed (on the basis of the Government Annual Performance Report), might create an incentive for data collection and use. The Office of the Prime Minister and UBOS have already noticed some more demand for M&E and data since the introduction of the cabinet retreats. In the health sector e.g. the cabinet retreats resulted in more emphasis on performance and therefore more attention for and use of data (see Holvoet and Inberg, 2012). With regard to the education sector, the recent retreat in December 2011 discussed the issue of ghost teachers, classrooms and pupils, which will be further discussed during an inter-ministerial meeting convened by the Office of the Prime Minister in the third quarter of 2012 (Republic of Uganda, 2012b).

As both the introduction of the performance agreements and the cabinet retreats seem to stimulate a move towards results-based financing, quality control of data becomes even more important, as without a proper data supervision/control mechanism side effects like crowding-out and gaming⁵⁴ are a real possibility.

4.3.2. Linkages

Linkage with Statistical office

As important data is supplied through UBOS surveys and censuses, UBOS plays an important role within the M&E system of the education sector. According to the World Bank (2010), UBOS is one of the most professional and transparent statistical offices in Africa. In addition to the production of data, UBOS is responsible for:

⁵⁴ 'Crowding-out' effect is the diminishing or erasing of intrinsic motivation due to external rewards and 'gaming' is the focus on indicators that are in the system hereby neglecting non rewarded indicators or falsification of results to maximise reward (see Kalk et al., 2010).

- Coordination, support, validation and designation of any statistics produced by UBOS, ministries, departments and agencies and local governments;
- Harmonisation and dissemination of statistical information;
- Strengthening of statistical capacity of planning units in ministries, departments and agencies and local governments for data production and use;
- Attention to best practice and adherence to standards, classification and procedures for statistical collection, analyses and dissemination in ministries, departments and agencies and local governments (Republic of Uganda, 2010c).

Similar to most of the low income countries borrowing from IDA (71 out of 79 countries) and as agreed upon during the 2004 Second International Roundtable on Managing for Development Results, Uganda elaborated a National Strategy for the Development of Statistics (OECD, 2011a). UBOS was responsible for the coordination of the elaboration of Uganda's National Strategy for the Development of Statistics (i.e. the Plan for National Statistical Development (2006/7 – 2010/11) (Republic of Uganda, 2006b).

The household surveys of UBOS provide additional information to the information collected through the EMIS, as household surveys cover the whole population, including as well those people who are not within the education system. However, the 2002 M&E framework or the Updated ESSP do not elaborate on the linkages between UBOS and the MoES. The M&E framework only refers to UBOS as source of data for some indicators and the Updated ESSP only refers to UBOS once, by referring to periodic studies on the domestic labour market skills requirements done by UBOS.

As mentioned above the aim is to expand the role of UBOS in improving quality of data collected at the level of line ministries. In doing this, a new law, the statistics act, is in the process of being elaborated, which will give the UBOS more leverage to harmonise the different sector management information systems (as a result of which districts will only have to use one system instead of several different sector systems). According to UBOS there is some resistance to this increased level of involvement, particularly within ministries, such as the MoES, that already have management information systems (interviewee). UBOS is currently also involved in the sampling of NAPE surveys, to make the sample more trustworthy (see 4.2.).

'Horizontal' integration

The Updated ESSP mentions that horizontal coordination between the MoES departments and partner organisations like the National Curriculum Development Centre and the Instruction Materials Unit will be strengthened, but no specific references to M&E are made. In practice, data collected through the semi-autonomous sub-agencies of the MoES are used by the MoES. The NAPE for instance is an important source of data for several education indicators (see above).

'Vertical' upward integration

At central level the Office of the Prime Minister is responsible for the overall coordination and oversight of M&E, through the National Monitoring and Evaluation Technical Working Group.⁵⁵ Senior technical officers from the education sector are members of this working group. The working group has two

⁵⁵ See Holvoet and Inberg (2012) for a brief overview of the national central M&E system.

subcommittees, one on monitoring and oversight⁵⁶ and one on evaluation. In the past few years, the Office of the Prime Minister has become stronger in fulfilling its coordination and oversight role, e.g. through the elevation of the coordination, monitoring and evaluation department to directorate level (Oxford Policy Management, 2009). However, one of the interviewees put the sustainability of the Office of the Prime Minister's role in oversight M&E into perspective, because of its dependence on external (DFID) capacity.

In practice, there is a complex interaction and competition among different players responsible for part of the central M&E coordination and oversight over different line ministries. While the Ministry of Finance, Planning and Economic Development used to be responsible for both budget monitoring and monitoring of the real (substance) sphere (outputs and outcomes), its responsibilities have been partly transferred to the Office of the Prime Minister. More specifically, the Poverty Monitoring and Analysis Unit has been transformed into the Budget Monitoring and Analysis Unit and is responsible for budget monitoring (see also below) while the Office of the Prime Minister became responsible for M&E of the real sphere (outputs & outcomes). While separating M&E of the real and financial sphere into two different entities makes a move towards more performance-oriented budgeting systems (which aim at confronting inputs with outputs and outcomes) inherently more difficult, information from the two spheres is currently brought together during the six monthly cabinet retreats (see above). Besides, ministries currently combine monitoring for the Office of the Prime Minister and the Ministry of Finance, Planning and Economic Development in one quarterly report.

What is, however, more challenging is the unclear division of M&E responsibilities between the Office of the Prime Minister and the National Planning Authority. Booth and Nsabagasani (2005) refer to a conflict of mandates between the Office of the Prime Minister and the National Planning Authority, which is responsible for the M&E of the effectiveness and impact of development programmes. While there has been a lot of discussion on how to settle the fact that both the Office of the Prime Minister and the National Planning Authority have a mandate in M&E, presently, there is an agreement that both have a role to play in M&E (another option was to change the law, but this seemed to be too counterproductive). Officials recently interviewed in the context of a review led by the Office of the Prime Minister on M&E expenditures (Office of the Prime Minister, 2012) refer to the need to strengthen cooperation between the Office of the Prime Minister, the National Planning Authority, the Ministry of Finance, Planning and Economic Development and development partners. According to them M&E procedures, practices and mechanisms need to be harmonized and standardised, which could lead to substantial savings.

As far as linkages between the MoES and the Office of the Prime Minister ('vertical' upwards integration) are concerned, the 2010 national policy on public sector M&E (still before cabinet approval) states that Ministries, Department and Agencies have to ensure that M&E activities are aligned to the National Policy on Sector M&E and related strategies, norms and guidance from the Office of the Prime Minister and other coordinating institutions (Republic of Uganda, 2010c). The Office of the Prime Minister on the other hand, has to provide technical support and oversight to planning units in Ministries, Departments and Agencies and sector working groups with respect to the operationalisation of monitoring and statistics functions and the design and implementation of a 5-year rolling evaluation plan (Republic of Uganda, 2010c). While the updated ESSP does not explicitly refer

⁵⁶ The sub-committee on monitoring and oversight recently (July 2012) elaborated a mapping of monitoring and oversight functions in government.

to the Office of the Prime Minister, in practice the MoES supplies quarterly performance reports and government semi-annual reports to the Office of the Prime Minister, which feed into the Government Annual Performance Report. The Government Annual Performance Report outlines specific progress on three instruments: the Presidential Investors Round Table⁵⁷, the cabinet retreat and the JAF (Republic of Uganda, 2012a). According to BTC Uganda (2012) through these reports the Office of the Prime Minister is gaining importance for government wide performance monitoring. In order for output based budgeting to function effectively, the Office of the Prime Minister has been pushing line ministries to send their reports earlier (September instead of October) in order to be able to take into account the performance reported in these reports for the next budget round. Interviewees within the MoES confirmed that this timing is feasible for them while simultaneously referring to the fact that reports will then probably include more estimations. While the quality of the Government Annual Performance Report is significantly improving, the MoES and the education development partners have agreed not to rely only on this performance report, but to continue using the Joint Position Papers and EMIS as basic M&E instruments (BTC Uganda, 2012).

As highlighted above, the Budget Monitoring and Analysis Unit is responsible for physical progress monitoring, technical monitoring and financial monitoring with a focus on inputs, outputs, value for money and intermediate outcomes (access and use) (Republic of Uganda, 2012d). Together with staff from other departments of the Ministry of Finance, Planning and Economic Development, the Budget Monitoring and Analysis Unit staff check information included in the progress reports of sector ministries (on a sample basis). Data reported by line ministries that proves to be incorrect (e.g. schools that do not exist whereas they are reported upon), are transferred to their Permanent Secretary who contacts the Permanent Secretary of the sector ministry. According to the Budget Monitoring and Analysis Unit, it often and increasingly happens that information included in the MoES progress reports proves to be incorrect (interviewee). On the basis of their monitoring activities the Budget Monitoring and Analysis Unit publishes briefing papers which are sent to the Permanent Secretary with copies to the Office of the President, Office of the Prime Minister, Parliament, sector ministries, local governments, development partners and civil society organisations (Republic of Uganda, 2012d). Among the 2011 briefing papers three were dealing with education matters, i.e. 'wastage in Uganda's Primary Schools', 'Ministry of Education and Sports spending: is it targeted at priority interventions' and 'non-functional facilities in Karamoja: un-holistic planning at work'. In particular the first mentioned briefing paper created a lot of discussion in planning and budgeting processes and in the media (interviewee).

'Vertical' downward integration

As mentioned in paragraph 3.2. the District Education Officer is not directly accountable to the MoES, but to the district head of the civil servants, the Chief Administrative Officer. However, districts do send quarterly work plans (for approval) and quarterly reports to the MoES. The progress reports include e.g. information on progress on projects for which the MoES provides funds (e.g. construction). Still, as data is hardly controlled, accountability from districts to the MoES is to be put into perspective.

Through the inspection system, the Directorate of Education Standards, which falls directly under the responsibility of the MoES Permanent Secretary, is responsible for collecting information on teaching

⁵⁷ The Presidential Investor Round Table in an Presidential initiative which brings together key actors from the private and public sector with the aim to develop a common agenda for accelerating economic development in Uganda (Republic of Uganda, 2012a).

and learning. The Directorate of Education Standards was established in 2001 (as the Education Standard Agency) as a semi-autonomous body of the MoES (IOB, 2008) with technical assistance from DFID (Hedger et al., 2010). In 2008 it became a directorate within the MoES with four departments (pre-primary and primary, secondary, teacher education and BTVET). The Directorate of Education Standards has four regional offices, i.e. in central, eastern, northern and western regions, each with an assistant commissioner and 13 technical officers (each responsible for 3 or 4 districts). Inspectors of the Directorate of Education Standards complement the District Inspector of Schools at district level, by performing deeper and more formal inspections (Cambridge Education, 2011). Similar to the District Education Officer, the District Inspector of Schools falls under the control of the district administration. As a result of this, the Directorate of Education Standards does not have the power to intervene when problems arise (interviewee). The District Inspector of Schools does send quarterly reports to the Directorate of Education Standards, through the District Education Officer and Chief Administration Officer.

The inspectors of the Directorate of Education Standards and the District Inspectors of Schools monitor the performance of schools on the basis of a common inspection framework and instrument (provided by the Framework for School Inspection and the Handbook for School Inspectors developed by the Education Standards Agency in 2005) (Republic of Uganda, 2010a). A four-point scale is used in the assessment: 'very good' when there are major strengths, 'good' when the strengths outweigh the weaknesses, 'fair' when weaknesses outweigh the strengths, and 'poor' when there are major weaknesses (Mutazindwa, 2011). Quarterly inspection reports are compiled into one annual inspection report which provides information on quality and efficiency of the education sector and which is used as an input for the Education Sector Annual Progress Report (Republic of Uganda, 2010a).

The District Inspector of Schools is supposed to visit each school at least once per term, but in practice most schools are visited less often due to financial and manpower constraints (Office of the Auditor General, 2011b; Republic of Uganda, 2012d). The District Inspector of Schools in Jinja e.g. is responsible for the inspection of 249 primary schools (87 public and, 162 private schools), 89 secondary schools (16 public, 73 private) and 20 tertiary institutions (8 government aided and 12 private) (Jinja District Local Government, 2012a), but focuses in practice on the inspection of primary schools. The District Inspector of Schools prefers to inspect schools more often than is officially prescribed, but it is not able to do this due to shortage of manpower (at district level the inspection team presently works with two instead of four inspectors, at county level there are three inspectors) and facilities. In fact, during the second term of 2012 they were only able to inspect 17% of the primary schools (Jinja District Local Government, 2012a). A list of 154 schools inspected in Jinja in 2011/12 shows that only 8.4% of the schools were inspected three times while most of the schools (62.2%) were inspected once (Jinja District Local Government, 2012b). Most of the schools that were visited more than three times had specific issues to be addressed, e.g. pupil, teacher or head teacher absenteeism⁵⁸. According to the Office of the Auditor General (2011b) a lack of regular inspection leads to education district offices not being able to assess compliance of schools with expenditure and other UPE guidelines while also challenges faced in the implementation of UPE remain undetected and unsolved.

⁵⁸ Some of the (head) teachers have to appear for the District Disciplinary Committee. They may get a reduction in salary or get fired. On average 10 teachers have to appear before Jinja's disciplinary committee, of which on average one is fired (interviewee).

Several reports (IOB, 2008; Hedger et al., 2010) consider the inspection system to be weak which is also perceived to, contribute to the high levels of teacher absenteeism. According to IOB (2008), the MoES blames the districts for not doing enough to combat teacher absenteeism (and misuse of funds), while districts reversely blame the ministry for not providing enough support and funds. The appraisal report of the Updated Education Sector Strategic Plan (Cambridge Education, 2010) refers to capacity constraints of school inspection at central level (Directorate of Education Standards) as well as at district level (District Inspector of Schools) due to several weaknesses, including:

- Lack of autonomy, whereby the Inspectorate is not independent at either central or district levels, and this lack of autonomy constraints its ability to give impartial analysis and advice.
- Staffing at all levels are insufficient to allow for a comprehensive regime of school inspection to take place, and many professional staff at central and regional levels are not employed in a substantive role.
- There are no defined competencies to guide the recruitment of school inspectors, nor a set of criteria to inform their professional development.
- There are insufficient vehicles and poor office facilities (at Regional and District level) to allow the inspectorate to function effectively.
- There is no overall inspection management information system, with storage and retrieval of inspection reports at all levels being weak and inadequate communications with education stakeholders and the broader public about the outcomes of school inspections.
- Weak linkages between the District Inspector of Schools and the local Centre Coordinating Tutors⁵⁹ undermine the quality assurance cycle which should see the outcomes of school inspections shared with schools, communities and Centre Coordinating Tutors so that follow up actions to address weaknesses can be identified, undertaken and subsequently monitored by the inspectors (Cambridge Education, 2010: 23/24).

Winkler and Sondergaard (2008) also refer to the weak linkages between the Centre Coordinating Tutors and the District Inspector of Schools. According to them there is a lack of coordination and clarification of roles between tutors and inspectors, due to the fact that in practice the tutors, who report to the MoES through the Primary Teaching Colleges, serve as a first line of inspection, which is however a responsibility of the district. The work of the Centre Coordinating Tutors and District Inspector of Schools could be highly complementary if they would coordinate amongst each other, which is however not an administrative requirement (Winkler and Sondergaard, 2008). The handbook for school inspectors (Education Standards Agency, 2005: 61) provides several suggestions on how the Centre Coordinating Tutors could supplement the work of inspectors. Cambridge Education (2011) pleads for a greater role of sub-counties and parishes in performing basic inspections and support in order to give districts more time for detailed and targeted support.

Hedger et al. (2010) refer to recent efforts of the ministry to strengthen the inspection system, e.g. by providing the District Inspectors of Schools (through the Directorate of Education Standards) additional funds specifically earmarked for school inspections (since 2007/08). A paper prepared by the Director of the Directorate of Education Standards for the joint sector review in November 2011 furthermore refers to a number of other measures being taken in the financial year 2010/11, including amongst others the nomination of Focal Point Officers which will engage with allocated districts (a couple of districts per Focal Point Officer); shifting from the use of only quantitative indicators to include quality

⁵⁹ Through Primary Teaching Colleges (PTCs), Coordinating Centre Tutors provide on-the-job support to teachers to improve education quality at primary level (Hedger et al., 2010).

indicators as well; developing a template for the collation and analysis of reports at school level; and facilitating data collection and reporting through the use of information and communication technology (with support of UNICEF, see 4.5.) (Mutazindwa, 2011).

Link with projects

According to the M&E section of the MoES, development partners are not conducting evaluations or studies without reporting these M&E activities to the MoES. The sharing of reports particularly happens through the M&E working group. If development partners have specific information requests, studies are jointly commissioned and undertaken. One of the interviewees, however, highlights that information from project evaluation is hardly used in the MoES system, which is unfortunate as this information could provide reality checks for policy-makers as well as for budget support development partners who are increasingly focussed on the aggregate 'policy' picture (see Holvoet et al., 2012).

While until recently a systematic overview of different M&E studies being done by different development partners was also lacking, BTC Uganda is in the process of listing all the studies conducted by the education development partners. When finalised, this list will be discussed in the M&E working group. Also some of the civil society organisations interviewed underscored the importance of this initiative and suggested that the studies they undertake would be useful supplements to the list.

4.4. Capacity

This section looks into present capacity, acknowledgment of capacity problems and capacity building plans.

The recent audit report on education shows that 38% of the 351 approved posts for the MoES are vacant (BTC Uganda, 2012). According to Hedger et al. (2010) the capacity of the MoES, particularly the Education Planning and Policy Analysis Department, has improved over time, which is evident from the higher quality input by the ministry staff during the Education Sector Reviews and Planning and Budgeting Workshops.

Both the M&E unit and the EMIS unit have four permanent staff members, supplemented with staff members who are hired on contractual basis. The Office of the Prime Minister (2012) refers to the MoES as the only Ministry Department and Agency that does not have sufficient staff for M&E. The Office furthermore highlights that alike other Ministries, Departments and Agencies, M&E staff lack technical skills as no one has a certificate or diploma in M&E (Office of the Prime Minister, 2012). Particularly analytic skills are lacking at all levels (interviewee). This critical assessment is somehow in contrast to a World Bank study (cited in BTC Uganda, 2012) who considers Uganda's capacity to monitor education indicators such as enrolment rates, teacher numbers, infrastructure and instructional material to be relatively strong. Moreover, as some of the staff members have a long work experience within the M&E unit, they have gained significant experience and on-the-job-training in education M&E. At district level there is no specific M&E staff for the education sector. Each district does have a District Inspector of Schools and inspectors at county level, but these are specifically responsible for inspection.

The M&E section of the Updated ESSP does not include an assessment or overview of current weaknesses in the M&E system. The weak inspection system is, however, included in the list of factors adding to the low quality of primary education (Republic of Uganda, 2010a), without however analysing the underlying reasons for the weak inspection system. Some of these factors have been listed in the appraisal report of the Updated Education Sector Strategic Plan (Cambridge Education, 2010) (see 4.3.2. for an overview of these weaknesses).

While the M&E framework of Updated ESSP does not include an elaborated capacity building plan, the M&E framework mentions that for M&E to become effective, capacity building is needed. The following elements are suggested:

- Established and functioning Education Standards Agency (by now Directorate of Education Standards);
- Full staffing at MoES headquarters;
- Full staffing at the district level;
- Adequate facilitation of staff at the centre and district levels;
- Relevant and regular training of staff at the centre and district levels;
- Staff training in specific areas (Ministry of Education and Sports, 2002)

Apparently, it is obvious from the current diagnosis, these capacity building activities did not all take place. The Directorate of Education e.g. is responsible for capacity building of inspectors, but due to lack of funds, the last meaningful training was in 2005 (interviewee). Several initiatives to improve data collection and monitoring have been taken in recent years, but these have not been well coordinated (BTC Uganda, 2012).

A strategy included in the Updated ESSP is the development and maintenance of a coherent and feasible system of standards and performance monitoring. With this strategy the Directorate of Education Standards is supposed to enforce the District Inspector of Schools to inspect every school at least twice per academic year (presently three times). Besides, the MoES will provide allowances for inspection visits and/ or other means with the aim to increase the frequency and usefulness of the inspection visits (Republic of Uganda, 2010a). In her opening speech of the education and sports sector review the Minister of Education and Sports refers to inspection capacity being built in schools using self-evaluation tools and methods (Alupo, 2011).

4.5. Participation of actors outside government

Important outside government actors are the Parliament (supported by the Office of the Auditor General), civil society organisations and development partners. This paragraph elaborates on the participation of these actors in the M&E system of the education sector and on the linkages between them.

Parliament

Within Parliament the Social Service Committee (about 9 to 10 members) used to deal with education, health and water and sanitation related issues, but recently this committee has been split into a health, an Education and a Water and Sanitation Committee (interviewees). According to interviewees the relatively stronger members of the social service committee have joined the Health Committee, as a result of which the Education Committee has not many members and is not very knowledgeable.

While the Updated ESSP does not refer to the Parliament, the National Policy on Public Sector Monitoring and Evaluation (Republic of Uganda, 2010c) does include the responsibilities of the Parliament with respect to M&E:

- Scrutinising various objects of expenditure and the sums to be spent on each;
- Assuring transparency and accountability in the application of public funds;
- Monitoring the implementation of Government programmes and projects.

Uganda's report of the second phase of the evaluation of the Paris Declaration concludes that Parliament is still to be fully accorded its space to make critical decisions on new and existing aid, including monitoring its impact on the population and holding sector ministries and development partners to account (Republic of Uganda, 2011d). Wild and Domingo (2010) mention as well that the Parliament is not considered an effective watchdog and is hardly involved in decision making on government activities. Williamson and Dom (2010) consider the lack of effective pluralism the reason for weaknesses of Uganda's Parliament, alike the parliaments of Tanzania, Rwanda and Mozambique, as political opposition, though allowed, is weak as compared to the power of the ruling party⁶⁰. On the other hand, according to Hedger et al. (2010), Parliament's role as watchdog is improving and Parliamentary Committees such as the Public Accounts Committee have become better informed and are more assertive (e.g. thanks to improvements in transparency as a results of e.g. sector budget support). An example of the stronger role of Parliament is the question of a member of Parliament to the Minister of Education with respect to the results of the primary leaving examination which are currently lower than prior to the introduction of universal primary education (Hedger et al., 2010).

The parliamentary committees can request the Parliamentary Research Services to carry out specific studies. Recent studies on the education sector include e.g. 'management of appropriation in aid in traditional government aided secondary schools in Uganda' (Parliament of the Republic of Uganda, 2010) and 'assessment of factors affecting pupil's performance in primary leaving examination' (Parliament of the Republic of Uganda, 2011). While the Parliamentary Research Services is fairly well staffed (17 staff members), it is underused by parliamentarians. They mainly use this department when issues are discussed related to budget matters or which affect their own district. In May 2011, however, a new Parliament has been installed including many relatively young parliamentarians. Apparently, these younger parliamentarians have a higher reading culture which increases the probability that information from M&E reports will be read and used. So far it has resulted in a more objective and qualitative debate, despite the fact that a large majority of parliamentarians is from the ruling party (Holvoet and Inberg, 2012).

The Office of the Auditor General ensures that Parliament is involved in the monitoring and management of public finances, by delivering annual expenditure reports directly to different commissions of Parliament (Wild and Domingo, 2010). The Office of the Auditor General is e.g. responsible for financial audits of all public accounts, value for money audits for projects involving public funds and revenue and expenditure inspections at local levels (Office of the Auditor General of Uganda, 2006). In 2011 e.g. the Office of the Auditor General conducted a value for money audit on the management of universal primary education Capitation Grants (see 3.3. and 4.2.). After discussion of the annual expenditure reports, Parliament provides recommendations to the Ministry of Finance,

⁶⁰ The legitimacy of the ruling parties of Uganda, Rwanda and Mozambique originates from their roles in conflicts from which the countries emerged, the ruling party in Tanzania is the heir of the previous one-party era (Williamson and Dom, 2010).

Planning and Economic Development, whereupon this ministry indicates in a Treasury of Memorandum which actions have been undertaken by the different ministries (interviewee). In practice, however, the last Treasury of Memorandum dates from 2003/2004 (interviewees) and there is a backlog of review and discussion of audit reports within Parliament (the 2009/2010 audit report was debated by the Public Accounts Committee in February 2012 and Parliament has not discussed reports of the Public Accounts Committee in the past three years), as a result of which feedback to the Ministry of Finance, Planning and Economic Development is rather informal and less effective. According to Wild and Domingo (2010) the Office of the Auditor General is poorly resourced, which negatively affects its effectiveness, and, even more importantly, it also seems to lack independence. Lubanga (2008) and Hedger et al. (2010) are however more positive about the Office of the Auditor General and they refer to successful capacity building initiatives within the Office of the Auditor General. In fact, the Office of the Auditor General won the Swedish National Audit Office Prize for the best performance audit report in 2011⁶¹ in the region of the African Organisation of Supreme Audit Institutions in English-speaking Africa (AFROSAI-E)⁶². Auditing at local level is, however, problematic, as the Office of the Auditor General does not have enough capacity to carry out regular audits at district or school level. Moreover, different methods are used and many schools do not have the capacity to generate financial data. Outsourcing of some of the audits was suggested as a possible solution.

Civil Society

Civil society organisations participate in the education and sports sector reviews, the planning and budgeting workshops and sector working groups. Their role (and those of communities and parents) in monitoring and inspection of education services is also acknowledged in the Updated ESSP (Republic of Uganda, 2010a). However, civil society organisations active in Uganda's education sector are considered to be weak with respect to voice and influence in national debates (Purcell, 2010, interviewees). Hedger et al. (2010) mention that the influence of civil society organisations has diminished since the introduction of forums like the education and sports sector review and the planning and budgeting workshop, due to the dominance of the MoES, the Ministry of Financing, Planning and Economic Development and the education development partners. In e.g. the planning and budgeting workshop of 2009 the contribution and influence of the Forum of Education NGOs in Uganda (FENU), representing the education NGOs, was quite limited (Hedger et al., 2010). In a seminar for civil society organisations on strengths and weaknesses of civil society organisations in Uganda organised by the Norwegian Embassy, the organisations themselves concluded that they are not really functioning as watchdogs, neither at central nor local level. According to the participants, capacity of civil society organisations can be built, but generally citizens are afraid to address staff positioned at higher levels (interviewees).

⁶¹ The winning audit report examines the implementation of Bujagali Interconnection Project by Uganda Electricity Transmission Company Limited (<http://afrosai-e.org.za/performance-audit/news/uganda-winner-performance-audit-prize-2011>) .

⁶² AFROSAI-E consists of 21 English and 2 Portuguese speaking Supreme Audits Institutions in Africa and is a subgroup of AFROSAI. As from January 2007 AFROSAI-E assists the Supreme Audits Institutions in achieving six goals: to obtain as great a level of independence as possible under the prevailing circumstances; to improve information technology infrastructure and optimise the utilisation thereof; to apply best practices in human resource management; to exercise quality control over audit services rendered, focusing on both technical and institutional issues; to promote performance auditing in the region so that meaningful performance audits can be carried out; to improve communication and relationships with stakeholders with the newly promoted awareness of the SAI's function and its impact on society.

There are, however, some examples of non-governmental organisations being involved in education sector M&E. The non-governmental organisation 'Link Community Development'⁶³ e.g. collaborated with the MoES and the previous Education Standards Agency in the elaboration of 16 quality indicators used for school inspection (see 4.2.), within the context of the Masindi District Education Development Project (2000 – present). The objective of this project is to improve the quality of education management at school and district level, e.g. by training and support in school inspection procedures and developing information management systems at district level (IOB, 2008). This project is considered quite successful with improved access, attendance (teacher and pupils), quality of teaching and pupil performance in project schools compared to schools not included in the project. According to IOB (2008) key elements of its success are the training of district officers and school management and the regular monitoring and inspection of schools on the basis of a detailed format. At present Link Community Development is active in seven districts⁶⁴ through several projects. As Link Community Development looks for proximity with government's work, its headquarters is within the Directorate of Education Standards and at district level within district offices (interviewee).

The Uganda Debt Network coordinates civil society monitoring of Poverty Action Fund activities in the districts (Office of the Prime Minister, 2012) and leads an experiment with local downward accountability. The organisation has been involved in community based monitoring since 2002 and has recently started to implement the Community Based Monitoring System. Together with 15 Community Based Organisations the Uganda Debt Network has trained more than 6000 community monitors in 22 districts to monitor service delivery at village level, not only in health, but also in education, rural roads, agriculture and water and sanitation. The high number of community monitors creates a critical mass which increases the probability that local level monitoring becomes an effective accountability tool (Uganda Debt Network, 2009). World Vision is involved in community monitoring as well through its Citizen, Voice and Action Programme. The organisation believes that by empowering communities to demand and monitor they could pressure districts to perform.

Another example is 'Twaweza', a ten-year initiative (2009-2018) in Kenya, Tanzania and Uganda with the aim to improve the quality of people's lives through a citizen-driven approach to development and public accountability. Twaweze is planning an intervention (starting in 2012) in Tanzania and Uganda, in which a combination of 'cash on delivery' and randomised controlled trial will be used (Twaweza, 2011). 'Cash on delivery' is developed by the Centre for Global Development and is designed to link payments with the delivery of well-defined outcomes (Twaweza, 2011). The original 'cash on delivery' approach is considered a new approach to aid, building on other aid approaches focussing on country ownership and paying for results (see Birdsall et al., 2010 and 2.3.). The cash on delivery approach used by Twaweza differs from the original approach in the sense that it is not used as an aid mechanism, but as a financing mechanism between central government and local governments and service delivery facilities. According to Twaweza this is likely to be more effective as the incentive is set at the local level where actors are most able to influence outcomes and where the amounts involved are relatively more significant (Twaweza, 2011). In the Twaweza project the 'cash on delivery' approach, in this case paying per child that achieves basic competency in grade 3 or 4, in one district, will be compared with the provision of capitation grants (both directly to schools and

⁶³ Link Community Development consists of nine independent organisations (located in England & Wales, Ethiopia, Ghana, Ireland, Malawi, Scotland, South Africa, Uganda and the United States) which are active on all levels of the education system (www.lcdinternational.org).

⁶⁴ Masindi, Bulisa, Kiryandongo and Hoima in mid-western Uganda, Katakwi in Eastern Uganda and Kamwenge and Kyenjojo in the Rwenzori region (www.lcdinternational.org/country/uganda).

through the district) in another district. While it is not clear yet to who the amount will be paid (either teachers, schools or communities), public information will be shared through media and local leaders will be involved (Twaweza, 2011).

'Uwazi' is another initiative of Twaweza, which means 'openness' or 'transparency' in Swahili. Activities within the 'uwazi' component include opening up public money, analysing service delivery (education, health, water) and understanding what is going on (Twaweza, 2011). While these activities so far took mainly place in Tanzania⁶⁵, Twaweza will increasingly be active with 'uwazi' in Uganda and Kenya as well. So far the 'uwazi' initiative in Uganda assisted another initiative, 'uwezo' (capability), in analysing its data on literacy and numeracy levels (www.twaweza.org/go/uwezo). The 'uwezo' initiative in Uganda is hosted in the Uganda National NGO forum and supported by the Hewlett Foundation, Hivos, Open Society Institute, the World Bank and Twaweza East Africa (Uwezo Uganda, 2011). 'Uwezo' aims to improve competencies in literacy and numeracy among children between 6 and 16 years old, through an innovative, civic-driven and public accountability approach to social change (Uwezo Uganda, 2010). The citizens-led assessment performed within the context of 'uwezo' complements government education assessments. So far 'uwezo' Uganda conducted two annual learning assessments, the first one (2010) in 810 schools and 16,200 households in 27 districts, the second one (2011) in 2400 schools and 48,000 households in all 80 districts. Whereas the 2011 Annual Learning Assessment Report refers to the support of Uganda's government through the MoES, the National Curriculum Development Centre, the Uganda National Examination Board (NAPE) and UBOS (Uwezo Uganda, 2011), in reality there has been some discussion between the MoES and Uwezo with respect to methodology issues as a result of which the MoES does not recognise the tests used by Uwezo. While some of the interviewees are positive about Uwezo and perceive MoES' reaction to be more related to the fact that Uwezo's findings on education outcomes are significantly lower than those of NAPE, precaution is warranted when comparing findings emanating from these different data sources. While NAPE collects data at school facility level, Uwezo tests all children between the ages of 6 and 16 regardless of their school attendance. While results of the latter tests could indeed complement information from NAPA and even be particularly interesting from a comparative perspective, the results of Uwezo are being presented as school level data (classification of results in P1 to P7) and used to demonstrate that schooling is not translating into learning. Whereas Uwezo data might indeed be useful to study the effect of schooling, it necessitates a comparison of performance of children in and out of schools (while also correcting for selection bias).

A regional organisation involved in assessment of learning is the Southern and Eastern Africa Consortium for Monitoring Educational Quality (SACMEQ), which receives technical assistance from the Institute of International Education Planning. SACMEQ organises monitoring of achievements (life skills, numeracy and literacy in grade 6) in 15 countries in south and southeast Africa. Uganda participated in the 2nd and 3rd assessment and is presently preparing for the 4th assessment (interviewee). The MoES houses the national SACMEQ coordinator and the Uganda National Examination Board is involved in data collection and analysis (Ministry of Education and Sports, 2002).

After being dormant for some years the Uganda Evaluation Association has been revitalised recently and is active e.g. in the National M&E technical working group. The association has 40 members with different backgrounds all of them being in some way or another involved in evaluation. Presently the

⁶⁵ 'Uwazi' publications on Tanzania include briefs on ignorance of audit findings, overcrowded primary schools without books and lack of accessibility to school level information (www.twaweza.org/go/uwazi).

main activity of the Uganda Evaluation Society is the elaboration of evaluation standards. In doing this, a mixture of existing standards is relied upon and translated to the specific Ugandan. They also have established contacts with the Uganda Christian University which organises a post graduate programme in Development Evaluation Studies and where the Uganda Evaluation Association will have its own office (interviewee).

Development partners

The education development partners' role in the development of the M&E system in Uganda's education sector has been quite important. The JAF, agreed upon by the development partners who have joined the Joint Budget Support Framework⁶⁶, has functioned as an important directive for M&E within the MoES. The JAF consists of four sections: (I) preconditions for effective and efficient implementation of government policies; (II) improved value for money in service delivery through removal of barriers in public financial management and public sector management systems while reinforcing compliance with regulations and avoidance of leakages; (III) sector results matrixes (for the sectors health, education, transport and water and sanitation); and (IV) development partners performance. The education indicators are presented in table 4.1. (paragraph 4.2.). The JAF indicators are monitored by the Technical Administration Support Unit, which is located within the World Bank and supports the Joint Budget Support Framework development partners. The Technical Administration Support Unit triangulates data and prepares JAF assessment reports, on the basis of which development partners decide upon their contribution. Oxford Policy Management (2009) in its review of DFID and European Commission support to government monitoring and evaluation functions in Uganda recommends the Office of the Prime Minister to ensure that the Technical Administration Support Unit does not undermine the role of the Prime Minister's Office.

According to Hedger et al. (2010) the inclusion of specific education indicators and actions in the JAF can be traced back to the World Bank's dissatisfaction with education sector performance. Recent comments with respect to the inclusion of too many indicators (which were also only focussed on primary education), resulted in the agreement to include only two education indicators in the next JAFs, i.e. one for primary and one for post-primary education and training (see 4.2.). According to BTC Uganda (2012), the JAF cycle tends to be time-consuming, labour intensive and often times rather inefficient, which results in high transaction costs.

The education development partners participate in the education and sports sector reviews, the budget and planning workshops and the working groups. While the reporting and M&E systems could be considered as genuinely government driven, the financial and technical support provided by the development partners for their development has been essential (Hedger et al., 2010). USAID e.g. has contributed to the development and strengthening of the Education Management Information System (see 4.2.). The reporting and M&E system has furthermore been supported by development partners through regular technical notes⁶⁷ and through their demands for dialogue and review processes, which have contributed more to the strengthening of these systems compared to technical assistance (Hedger et al., 2010). Some evaluations and studies have been done jointly by the MoES and

⁶⁶ Development partners who supply general and sector budget support have to join the Joint Budget Support Framework (Republic of Uganda, 2010e), which was approved in October 2009 (World Bank, 2010). The aim of this framework is to reduce budget support transaction costs, to increase predictability of disbursements and to create a stronger and more consistent policy dialogue which promotes mutual accountability consistent with the Paris Declaration and Accra Agenda for Action (World Bank, 2010).

⁶⁷ An example is the discussion pointers on joint field monitoring referred to in paragraph 4.3.

development partners. An impact evaluation on primary education in Uganda (IOB, 2008) e.g. has been executed jointly by the MoES and the Policy and Operations Evaluation Department of the Netherlands Ministry of Foreign Affairs. Another example is the study on the efficiency of public education in Uganda (Winkler and Sondergaard, 2008) which was undertaken with the assistance of both the MoES and the World Bank. While initiatives to improve data collection and monitoring have not been well coordinated (see 4.4.), the level of coordination among education development partners is on the increase, as well as their interest in M&E (demonstrated e.g. by the elaboration of a list with all studies conducted by the education development partners, see 4.3.2.).

UNICEF Uganda has been involved in collecting real time data with mobile telephones through its new programme 'Edutrack'. As a pilot for UNICEF worldwide, UNICEF Uganda started this programme because EMIS data is normally released quite late. The 'Edutrack' programme is currently being implemented in 14 districts (target is 75 districts and 3500 schools) and in this pilot phase quarterly field monitoring is done in order to randomly check the data received. UNICEF works closely with Coordinating Centre Tutors and shares its information with MoES working groups and development partners.

The European Commission and DFID have particularly been active in strengthening the capacity of central agencies responsible for M&E, including the Office of the Prime Minister, the Ministry of Finance, Planning and Economic Development and UBOS. A 2009 evaluation of this capacity strengthening concludes that "in each case the DFID and EC projects have succeeded in delivering the technical assistance intended. The individual partner organisations place high value on the long term technical advisers involved, and on the responsiveness and quality of the support delivered" (Oxford Policy Management, 2009: 36).

Linkages between actors outside government

Linkages among domestic and international accountability actors outside government tend to be largely underdeveloped in spite of the fact that these different actors have different comparative advantage when it comes to (steering) M&E. Civil society organisations for instance have easier access to local level data collection (reality checks), universities have more analytical capacity, parliament has more access to the political arena and development partners to the policy level.

So far however outputs of community-based monitoring exercises are insufficiently used by parliament and development partners. There are some ad-hoc instances of linkages such as the contacts between the Forum for Education NGOs and parliament in the context of the campaign on 'our children are not learning'. The Forum for Education NGOs is also particularly interested in establishing a more regular and institutionalised linkage or interface with parliament members where education issues can be discussed and subsequently fed into the education committee (interviewees). Linkages between civil society organisations and development partners are more difficult, as many of the development partners are not open to interact with civil society organisations. According to some development partners civil society organisations are not well organised and do not produce qualitative reports. Only one organisation, Save the Children, is participating in one of the working groups of the Education Development Partners Group.

4.6. Use of information

M&E outputs

As mentioned in paragraph 4.1. the M&E unit prepares quarterly performance reports for the Ministry of Finance, Planning and Economic Development and Office of the Prime Minister, quarterly reports for the National Planning Authority, semi-annual and annual reports for the Office of the Prime Minister (for the Government Annual Performance Report) and Education and Sports Sector Annual Performance Reports for education reviews and policy adjustments (interviewee).

The statistics section of the MoES produces yearly three EMIS outputs on the basis of the annual school census. These outputs include:

- Fact file: a document of two pages summarising key information, which is published directly after completion of data entry;
- Fact-booklet: a document (pocket-size) providing an in-depth analysis;
- Full abstract: a document providing data/information for stakeholders' own analysis (www.education.go.ug/emis-statistics/fact-booklet.html).

The Education Sector Annual Progress Report is one of the most important input documents for joint review, planning and budgeting (Cambridge Education, 2010). According to Hedger et al. (2010) the progress report provides a rich source of information, but performance and expenditures are not systematically linked. The Education Sector Annual Progress Report 2011 includes in its assessment of sector performance an overview of the interventions undertaken, progress and main achievements, results/outcomes and constraints and challenges for a few topics (access and equity, quality, efficiency and effectiveness) per sub-sector. While a lot of data is provided, the progress and main achievements and the results/outcomes are hardly compared to targets, which makes it difficult to assess whether objectives are attained. An exception is the progress on civil works under the school facility grant. For this specific issue percentages of non-performance plus reasons for non-performance are provided (Ministry of Education and Sports, 2011a: 38/39). The paragraph presenting progress on the Education For All and the education Millennium Development Goals includes in its overview of key challenges per goal some more analysis of non-performance.

Effective use of M&E by development partners

Since the introduction of the SWAp in Uganda's education sector, development partners have been using the M&E and reporting system of the MoES: "in practice that meant an end from 1999 onwards of separate requirements for government progress reporting and expenditure statements" (Hedger et al., 2010: 59). Education development partners providing project support, however, use their own M&E systems, even though they share terms of reference and final documents with the M&E working group (see 4.3.). As there is currently only one sector budget support development partner (who also provides project support with own M&E) development partners are less dependent on the M&E of the MoES.

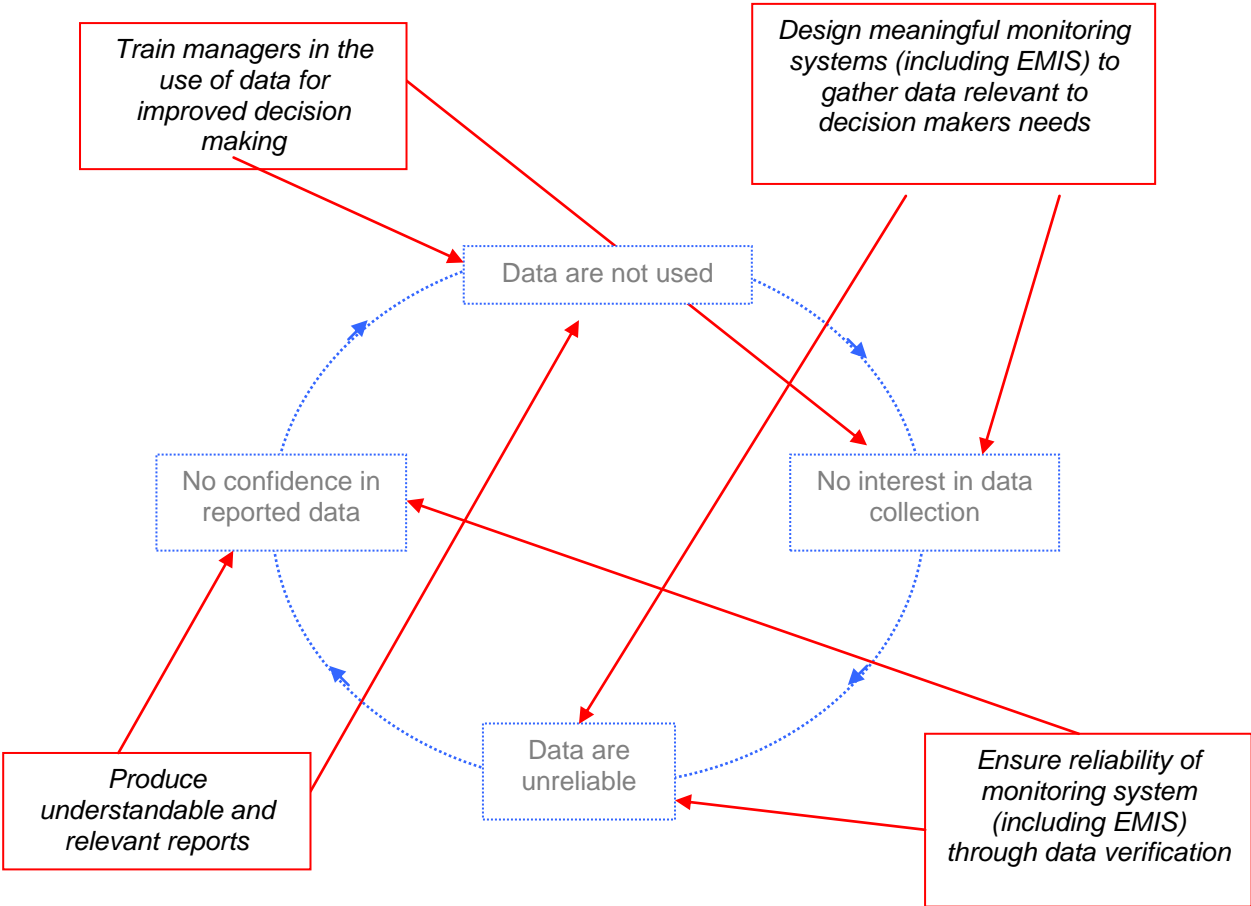
Effective use of M&E at central level

The 2002 M&E framework acknowledges that the implementation of the M&E framework is dependent on the use of the M&E output. The framework describes the vicious circle of low reliability and poor utility and offers solutions for breaking this circle (see figure 4.1.). While the framework is interesting and links M&E supply and demand, it remains blind for the political economy of M&E.

A 2003 World Bank working paper (Hauge, 2003) refers to the large amount of data collected in Uganda, which is however often of poor quality and not effectively used for decision-making. Therefore the author call for “not more, but *better*, M&E” (Hauge, 2003: 16). According to a more recent source (BTC Uganda, 2012) M&E findings are still not adequately used. While these findings reveal key challenges and areas of underperformance they do not lead to satisfactory policy responses (and this might possibly also be related to the politics of M&E, see e.g. Holvoet and Rombouts, 2008).

However, some examples exist of ad hoc use of M&E, e.g. the reaction of Uganda’s government on the first Public Expenditure Tracking Study (see 4.1.) and the use of sector studies conducted in the SWAp context. Additionally, in the Updated ESSP both EMIS and the Education Sector Annual Progress Report are indicated as sources of information being used for to establish the current status and trends in the education sector (Republic of Uganda, 2010a). The Updated ESSP also includes an objective with regard to the improvement of information use, which is supposed to be attained through the development of a central database for all MoES documents as well as documents from other departments and agency. Access to this central database will be ensured for all MoES departments and agencies. No specific strategies are included, however, to stimulate MoES staff to really use this database. As mentioned in 4.3.1. the recently introduced performance contracts and the half yearly cabinet retreats might create an incentive for data collection and use.

Figure 4.1.: Breaking the circle of poor reliability and non-use of data



Source: Ministry of Education and Sports, 2002

Effective use of M&E at local level

While the districts produce quarterly reports for the MoES and Directorate of Education Standards, they are especially produced for accountability purposes. While inspection reports are supposed to be used at school level, these reports are often of low quality. In spite of the low quality and lack of systematic follow-up of the actions taken to address the issues highlighted in the inspection reports, a teacher of the school visited in the context of this study, explained how recommendations included in the inspection reports are followed up at school level. In this particular case, the head teacher calls for a meeting with all teachers after inspection to discuss the outcomes of the inspection. The new EMIS is also expected to stimulate the use of data at district and school levels, as well as the recently introduced District League Tables.

Effective use of M&E by national outside government actors

Domestic accountability actors positioned outside government do not systematically use M&E outputs of the MoES. While civil society organisations refer to the unreliability of the EMIS, FENU is using education abstracts and NAPE data (and UBOS and Uwezo data) for its campaign on 'our children are not learning'. Parliament is using its own reports or reports of the Office of the Auditor General. Also UBOS highlighted that there is so far relatively little demand for education data collected by UBOS, in spite of the fact that data access is free.

UBOS particularly aims at increasing the use of data by universities, e.g. the Economic Policy Research Centre, and hopes to stimulate in this way also the attention given to analytical capacity building at universities.

5. Conclusions and recommendations

5.1. Conclusions

The recent 2011 Paris Declaration survey demonstrates considerable improvements in the 'management for results' indicator (i.e. number of countries with transparent and monitorable performance assessment frameworks to assess progress against (a) the national development strategies and (b) sector programmes) for several countries. The Paris Declaration evaluation, however, criticises the Paris Declaration survey for narrowing down the 'management for results' principle to a focus on monitoring and evaluation (M&E) technicalities (with a particular focus on M&E indicators). It is particularly in order to counter this criticism that our study broadens the spectrum to provide a more comprehensive picture of M&E systems. Our checklist (see annex 2) deliberately captures issues related to M&E policy, organisation, participation of outside government actors, M&E capacity and use of M&E outputs by different stakeholders and we complement the quantitative assessment with qualitative data. We consider a comprehensive diagnostic of what already exists a first important step into any M&E capacity building effort from the perspective that small incremental changes to existing systems might be more feasible and workable than radical and abrupt changes that seek to impose blueprints from the outside.

Within the education sector, a constant monitoring and evaluation of the education system is necessary, especially in a context of limited resources in which maximizing student learning is one of the greatest challenges. This particularly holds for Uganda's education sector, where increases in enrolments were not combined with improvements in the quality of education. The need to establish a sound M&E system within the Ministry of Education and Sports (MoES) is also recognised in the 2002 M&E framework for the education sector. The present assessment of the M&E system in Uganda's education sector highlights that thus far the development of the M&E system can be considered satisfactory (on a five point scale from 'weak' to 'partially satisfactory', 'satisfactory', 'good' and excellent; see annex 6 for a general overview of the scoring system and annex 5 for the translation of the general scoring system to the different sub-components of the M&E system).

M&E plan and policy

The MoES elaborated a sound M&E framework in 2002, which provides an overview of what and why to monitor and evaluate, but which needs to be updated and implemented. The M&E framework clearly distinguishes between monitoring and evaluation and acknowledges that evaluation is hardly done within the ministry. Presently, evaluation is still not a major activity within the MoES, amongst others due to substantial monitoring and reporting pressure (with different formats for different actors), as a result of which the limited number of staff members do not have sufficient time for evaluation. Adding to this is the fact that the analytical capacities needed for in-depth evaluation are oftentimes lacking. A consequence of the focus on monitoring at the expense of evaluation is that underlying reasons for (non)-performance are not revealed. The recently created Government Evaluation Facility within the Office of the Prime Minister might be an opportunity to stimulate the evaluation function, but coordination between the Government Evaluation Facility and the M&E section the MoES (and other line ministries) will be essential in order to focus evaluations also on those topics that are relevant for sector learning and policy-making.

Accountability mechanisms exist on paper, but in practice these do not function effectively. The School Management Committees have limited power and the inspection system is ineffective due to e.g. insufficient numbers of inspectors, vehicles and fuel to visit schools. The inspections that take place are often superficial and did not visibly contribute to improvements of school management or performance. Moreover, upward accountability from districts to the MoES is undermined by a lack of data control. Opportunities for improving accountability are the recently introduced District League Tables and strategies for improving the School Management Committees and inspection system included in the Updated Education Sector Strategic Plan (ESSP).

Feedback is only partially satisfactory: while references are made to reporting and dissemination, an explicit and consistent approach does not yet exist (a communication strategy is planned to be elaborated in the ESSP period (2010-2015)). The Office of the Prime Minister intends to use M&E in budgeting and urges line ministries to provide their reports one month earlier (September instead of October) in order to be taken into account in the next budgetary cycle.

Indicators, data collection and methodology

The weakest components with respect to the 'indicators, data collection and methodology' dimension are selection criteria and methodologies used. A limited number of indicators and targets are included in the annex of the Updated ESSP, but this annex became only recently available. More important though is the Joint Position Paper, which includes performance indicators with baselines and targets, which are also included in the Joint Assessment Framework (JAF). The next JAFs will only include two education indicators (one for primary and one for secondary education), which may shift back the core of the education dialogue to the sector dialogue between the education development partners and the MoES. The identification of the JAF targets proves to be a difficult undertaking as scores on a number of JAF indicators are currently decreasing instead of increasing, with some of them even positioned below baseline.

Data collection is the best scoring sub-component. While incompleteness and unreliability of the Education Management Information System (EMIS) data is still a challenge, the quality is improving. Important problems remain the low response rates and incompleteness of information at school level and the tendency for over reporting as the allocation of teachers and the Capitation Fund are linked to enrolment data. Opportunities for further improvements include ongoing initiatives to strengthen the EMIS, e.g. the validation and enforcement of data collection at school level (included in the ESSP) and the introduction of a new technology system, through which data is collected in a real time environment. Thus far data of various sources (e.g. EMIS, the baselines and M&E exercises of the Quality Enhancement Initiative, the Uganda Population Survey of the Uganda Bureau of Statistics (UBOS), the National Assessment of Progress in Education (NAPE) and the Poverty Action Fund) are hardly or not cross-checked, but recent UBOS initiatives offer an opportunity to improve quality assurance.

Systemic issues and capacity

While issues related to capacity are the least developed components of the M&E system (with low capacity levels throughout the system and in particular at decentralised levels, limited assessment of weaknesses and uncoordinated capacity strengthening initiatives), the organisation (structure) is the best developed dimension. Coordination and oversight, joint sector review, sector working groups and ownership all score 'good'. However, the power of the ministry's M&E section to fulfil its coordination

and oversight function might be curtailed by its location within the Education Planning and Policy Analysis Department. While this positioning generally stimulates the feedback loop to planning and policy-making, a hierarchically higher positioning for M&E which is sensitive by itself could guarantee a certain level of independence which is welcome for accountability purposes. While the name of the M&E sector working group suggests that this is the working group that focuses on M&E (systemic) issues, in reality the working group rather functions as an overall technical coordination group. The M&E working group as well as the Education and Sports Sector Review (ESSR) (and the field missions that are organised in the context of the ESSR), predominantly focus on content issues and hardly discuss systemic issues. This neglect of the more deep-rooted systemic issues is a critical shortcoming as it are particularly insights into the underlying systemic issues which might help to understand and address the lack of progress in education sector outcomes. From the perspective of budget support development partners, this lack of attention for the quality of the M&E system itself is all the more surprising as they primarily rely on the outputs of this M&E system for their own accountability towards their constituencies.

Incentives for monitoring and reporting are considered satisfactory and are currently especially related to formal reporting requirements. Some recent initiatives might, however, also create incentives for data collection and use. These initiatives include the performance contracts for Permanent Secretaries and Chief Administrative Officers and the half yearly cabinet retreats. As these initiatives seem to stimulate a move towards results-based financing, systematic and independent quality control of data becomes even more important, as without a proper data supervision/ control mechanism side effects like crowding-out and gaming are a real possibility.

Whereas the vertical upward integration between sector and central M&E is considered to function properly (score 'good'), vertical downwards integration between sector and decentralised M&E only scores 'partially satisfactory'. The Office of the Prime Minister, responsible for the overall coordination and oversight at central level, has become stronger in the past few years, e.g. through the elevation of the coordination, monitoring and evaluation department to directorate level and through the elaboration of the Government Annual Performance Reports. On the ground, the Office of the Prime Minister seems to be gradually become an M&E champion and cheerleader, which is amongst others evident from its efforts towards M&E capacity strengthening in line ministries, e.g. through the allocation and ring fencing of part of the sector budgets to M&E. From this perspective, the Office of the Prime Minister could evolve towards a kind of summative and formative meta-evaluation function, monitoring and strengthening the quality of the sector M&E units and their outputs. For line ministries which currently lack M&E this central role of the Office of the Prime Minister might be particularly welcome. However, for other line ministries such as the MoES who have already established their own M&E units, it might be more sensitive, as it is likely that they will need to adjust their own M&E structures and activities to the directives of the Office of the Prime Minister. Too much power and control over M&E from central agencies might also curtail the learning function of M&E within the line ministries. If anything, control over M&E is a sensitive issue with complex interaction and competition among different players, which are responsible for parts of the central M&E coordination and oversight over different line ministries. At present, there is e.g. an agreement that both the Office of the Prime Minister and the National Planning Authority have a role to play in M&E oversight.

Linkages of MoES' M&E unit with UBOS, semi-governmental institutions and projects are satisfactory. As UBOS intends to expand its role in improving the quality of data collected at line ministries' level, it

could become a 'data' champion and cheerleader in the future. However, in line with what was highlighted above with respect to M&E in general, line ministries that already have management information systems tend to resist the increased level of UBOS' involvement.

Participation of actors outside government

Important outside government actors are the Parliament (supported by the Office of the Auditor General), civil society organisations and development partners. In reality, particularly the participation of development partners is strong. The JAF, agreed upon by budget support development partners, has been an important instrument in guiding M&E within the MoES. The education development partners participate in the education and sports sector reviews, the budget and planning workshops and the working groups while they also support the reporting and M&E system through financial and technical inputs. While initiatives to improve data collection and monitoring have not been adequately coordinated in the past (leading to fragmentation), the level of coordination among education development partners is currently on the increase, as well as their interest in M&E. In the M&E working group Terms of References of new studies and (inception) reports are discussed and joint (MoES and education development partners) studies and evaluations have been carried out.

The participation of Parliament is satisfactory. The new Parliament has many relatively active critical young parliamentarians who have a higher reading culture, which increases the probability that information from M&E reports will be read and used. However, the recent split of the Social Service Committee into a Health, an Education and a Water and Sanitation Committee might be detrimental for the quality of the debate and follow-up in the education sector as most active parliamentarians have apparently chosen to become members of the health committee.

The Office of the Auditor General, which ensures that Parliament is involved in the monitoring and management of public finances through its annual expenditure reports and financial and value for money audits, is active and has become stronger through successful capacity building initiatives. The Office of the Auditor General has, however, insufficient capacity to carry out regular audits at local level, which might be partly solved by outsourcing these audits. The implementation of recommendations from the Office of the Auditor General are undermined through the delay in discussions of its reports in Parliament and the non-application of the system of the Treasury of Memoranda (elaborated by the Ministry of Finance, Planning and Economic Development). As a result, the feedback to the Ministry of Finance, Planning and Economic Development is rather informal and less effective.

Even though civil society organisations active in Uganda's education sector are considered to be weak with respect to voice and influence in national debates, their role is still assessed as satisfactory, as several examples exist of non-governmental organisations being involved in education sector M&E. However, there are some issues related to the validity of methodologies used by these organisations (e.g. Uwezo). An opportunity for increased involvement of domestic accountability actors, is the revamping of the Uganda Evaluation Society, which is presently involved in the elaboration of Ugandan evaluation standards and in evaluation capacity strengthening (in collaboration with the Ugandan Christian University).

The different outside government actors have different comparative advantages when it comes to (steering) M&E: civil society organisations have easier access to local level data collection (reality

checks), parliament has more access to the political arena, development partners to the policy level and universities generally have more analytical capacity. In practice, however, linkages and networking among these actors tend to be largely underdeveloped. What might be particularly interesting for development partners is to support domestic accountability actors within a framework of a portfolio approach, whereby developing capacity of domestic accountability actors is combined with increasing the room of manoeuvre for these domestic accountability actors as well as with using information from the local level monitoring exercises in their (development partners) own policy dialogue with government at sector level. The Ugandan Evaluation Society might also be a particularly useful forum for steering more effective networking among different actors involved in M&E.

Use of M&E outputs

The main output of MoES' M&E section is the Education and Sports Sector Annual Performance reports, which is a rich source of information. The analytical quality, however, is still poor, as performance and expenditure are not systematically linked, results and outcomes are hardly compared to targets and the analysis of causes of (non) performance is lacking or shallow.

The use of M&E outputs by education development partners is considered to be good. In fact, since the introduction of the SWAP most of the development partners have been using the reporting and M&E system of the MoES. However, as there is currently only one sector budget support development partner, a new up rise of own project M&E that is not systematically linked to the sector M&E, might become a real challenge. At central level M&E findings are used, but in an ad hoc manner. There is no systematic or institutionalised use of M&E outputs at central or local levels. This low demand for M&E, strongly affects the supply and sustainability of the system. The creation of a central database for all MoES and education related documents (included in the updated ESSP) might improve the use of data. Similarly, district league tables, performance contracts and half-yearly cabinet retreats could as well increase the demand for and use of data.

5.2. Recommendations

On the basis of the findings and conclusions we have identified the following recommendations:

- The M&E framework needs to be updated and should include a monitoring strategy and five-year evaluation plan, which would be in line with the National Policy on Public M&E of the Office of the Prime Minister. The monitoring strategy and evaluation plan (separately or combined in one M&E framework), need be discussed and validated in the M&E working group and Education Sector Consultative Committee and subsequently be implemented.
- It is advised to put systemic issues more prominently on the agenda of the M&E working group and the ESSR (including during joint field visits). As these underlying systemic issues often strongly affect (lack of) progress in education sector outcomes, it would also be logical to include them (or actions related to these systemic factors) in Joint Position Paper (process) undertakings.
- In line with the mapping of monitoring and oversight functions in government elaborated by the sub-committee of the National Monitoring and Evaluation Technical Working Group, the Education Development Partners Group could elaborate a mapping of who is involved in what

type of monitoring, evaluation and M&E capacity development within the education sector. This mapping should preferably include activities of civil society organisations as well.

- Capacity building in data production and quality should preferably be focussed on the full data chain, from collection of data at schools to the elaboration of progress reports at MoES level, as a focus on only parts of the data chain (e.g. introduction of sophisticated systems) tends to be insufficient to improve data quality. It is highly recommended to consider in this respect the 'politics of data' as it is likely that stakeholders involved have a certain interest to fiddle with data (e.g. head teachers have an interest to inflate enrolments).
- It is advised to harmonise and rationalise reporting and monitoring in order to liberate more time for analysis. It is also recommended to provide per diem allowances only after successful completion of field monitoring missions, in order to avoid that participants do not spend the required time in the field while already having received their per diem allowances. In order to increase analysis and evaluation an important first step is cross-reading among the different data sources. This involves (vertical) cross-reading among different data sources that collect data on the different levels of the causal chain (i.e. inputs, activities, outputs, intermediate outcomes) towards a specific final outcome as well as (horizontal) cross-reading among data that is collected on highly similar issues (at one level of the causal chain) (e.g. data collected on outcomes by the NAPE, the UBOS, civil society monitoring).
- An important way forward to increase quantity and quality of M&E supply is to stimulate M&E demand, feedback and use. A first step could be the identification and mapping of different cycles and entry points for feedback.
- Triggering M&E demand could also be done through a strengthening of domestic accountability actors and more particularly through the creation of linkages and networks between different actors in order to avoid duplications and make use of the comparative advantages of each actor. The revamping of the Ugandan Evaluation Society which offers an opportunity for M&E networking might be particularly useful in this respect.
- There is a multitude of interesting and innovative M&E pilot interventions (including the use of ICT in citizen-led M&E), and it is recommended that the impact of these initiatives is rigorously evaluated. Findings of these impact evaluations should be fed back and discussed at sector level and in the M&E working group before initiatives are generalised throughout the sector. The sector M&E working group might also play a key role in forging a more systematic and institutionalised linkage among (development partner) project M&E and the sector M&E system. Such an institutionalised linkage is important in order to stimulate as much as possible learning from project M&E beyond the project boundaries towards the entire sector. It involves establishing an ex-ante linkage when deciding on specific topics for project evaluation as well as an explicit strategy of dissemination of interesting project M&E findings towards national key sector stakeholders.

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Annex 1: Terms of Reference O*Platform Aid Effectiveness: assessing education sector M&E system in Uganda (01/06/2012)

Background

In 2005 development partners and recipients signed the Paris Declaration (PD) which sets out a reform agenda around the core principles of 'ownership', 'alignment', 'harmonisation', 'managing for results' and 'mutual accountability'. In 2008 commitments have been reaffirmed through the Accra Agenda for Action (AAA). Measurements of progress in the implementation of the PD/AAA is based upon 12 indicators (OECD/DAC, 2005). The indicator for measuring progress in the 'management for results' principle (indicator 11) is the "number of countries with transparent and monitorable performance assessment frameworks to assess progress against (a) the national development strategies and (b) sector programmes" (OECD/DAC, 2005:10).

The evaluation of PD implementation (Wood et al, 2008) highlights that improvements in the use of country systems is slow and largely limited to the area of financial management, audit and procurement. When it comes to the use of recipient M&E systems, development partners are generally more reluctant as they do not have enough confidence in the quality of these systems. This is not so surprising and justified by the fact that only 3 out of 54 countries (6%) included in the 2008 PD survey had results-oriented frameworks that were deemed adequate (OECD/DAC, 2008). While the recent 2011 PD survey demonstrates some progress (with 15 out of 76 countries (21%) having adequate results-oriented frameworks)⁶⁸, the target of 36% of the countries having a results-oriented framework in 2010 is not met. Most countries do have a number of M&E activities and arrangements in place, especially at sector level where progress is generally stronger than at national level (Wood et al., 2008), but there is often a lack of coordination between different components of a system. Moreover, M&E outputs, such as performance reports, are frequently incomplete and often include inaccurate data, which affects their utility (Nash et al., 2009).

While strengthening of M&E systems does not seem to be a priority for many development partners and partner countries, if development partners want to make progress on the 'alignment' and the 'managing for results' principle, more efforts are needed to strengthen and use the recipient M&E systems. Strengthening recipient M&E systems generally improves accountability and learning which may ultimately lead to increased performance and results on the ground.

Along the same line, it has been observed that the quality of joint sector reviews largely depends on the quality of the underlying sector M&E system (Holvoet and Inberg, 2009). An assessment of the quality of sector M&E systems highlights to what extent further JSRs could rely on performance information from the recipient M&E system and indicate which components of the system need further strengthening in order to rely upon these systems in the future. Strengthening sector M&E systems will improve the quality of the JSR in the short run and change its outlook in the long run (JSR more as a

⁶⁸ In the PD survey of 2011 Uganda's B score decreased to a C score, meaning that the performance assessment framework degraded from being 'largely developed' to 'action taken' towards achieving good practice. The PD survey does not give any reasons for this decline. The PD evaluation (Wood et al., 2011) on the other hand is far more positive and mentions Uganda as one of four countries participating in the PD evaluation which demonstrates evidence of strong national capacity in planning, managing and implementing results-driven national strategies. Moreover, some of the interviewees we met in Uganda in the context of our M&E study in the health sector neither agree with the deterioration in Uganda's score on indicator 11 and stress that the performance assessment framework has been improved in the previous years with the inclusion of stronger sector performance indicators, which resulted in improvements in performance reporting.

monitoring and evaluation of the existing M&E system including some reality checks on the ground instead of being a monitoring and evaluation instrument of activities and outputs).

Objectives:

A first step in strengthening M&E systems is the assessment/diagnosis of their quality. According to our knowledge, so far no (standard) instrument exists to assess the quality of M&E systems. Therefore, we elaborated an assessment tool to diagnose /monitor/evaluate the quality of sector M&E systems. So far we have applied this tool to three cases: the health sector’s M&E systems of Niger, Rwanda and Uganda. The objective of this present study is

- To apply this tool to the M&E system of Uganda’s education sector in order to diagnose its quality and identify strong and weak elements as well as existing opportunities and entry points for strengthening the system, its functioning and its use.

Results of the assessment exercise can be useful for the M&E department of the ministry of education in their efforts to strengthen the M&E system (as diagnosis of what currently exists is an important step in any capacity building effort). Furthermore, findings can also feed into Joint Sector Working Groups (in line with the harmonisation principle, it would also be a good idea to discuss the exercise ex-ante within the sector working groups dealing with M&E) and Joint Sector Reviews.

Methodology and time estimation

Application of assessment tool

The diagnosis of the M&E system of Uganda’s education sector will consist of both desk and field study. During a first phase available and relevant documents on the education sector, the (sector) M&E system, the aid and policy context etc. will be examined. During the field study the interviews will take place with those directly involved in and responsible for sector M&E (preferably at central and district level – Jinja would be the preferred district as we have also done data collection in Jinja with regards to M&E in the health sector), development partners involved in strengthening the M&E system and users of sector M&E products (both inside and outside government).

The **estimated days needed** are:

Preparation	5
Fieldwork	14 (2 researchers x 7)
Writing report	5
Debriefing	0.5
Total	24.5

As far as timing is concerned, a draft desk study was prepared by mid March 2012. The field study will take place from 21st to 28st of August 2012.

ANNEX 2: CHECKLIST M&E SYSTEM AT SECTOR LEVEL

	Topics	Question
1. Policy		
1	M&E plan	Is there a comprehensive M&E plan, indicating what to evaluate, why, how, for whom?
2	M versus E	Is the difference and the relationship between M and E clearly spelled out?
3	Autonomy & impartiality (accountability)	Is the need for autonomy and impartiality explicitly mentioned? Does the M&E plan allow for tough issues to be analysed? Is there an independent budget?
4	Feedback	Is there an explicit and consistent approach to reporting, dissemination, integration?
5	Alignment planning & budgeting	Is there integration of M&E results in planning and budgeting?
2. Indicators, data collection and methodology		
6	Selection of indicators	Is it clear what to monitor and evaluate? Is there a list of indicators? Are sector indicators harmonised with the PRSP indicators?
7	Quality of indicators	Are indicators SMART (specific, measurable, achievable, relevant, time-bound)? Are baselines and targets attached?
8	Disaggregation	Are indicators disaggregated by sex, region, socio-economic status?
9	Selection criteria	Are the criteria for the selection of indicators clear? Is it clear who is involved in the selection?
10	Priority setting	Is the need acknowledged to set priorities and limit the number of indicators to be monitored?
11	Causality chain	Are different levels of indicators (input-output-outcome-impact) explicitly linked (program theory)? (vertical logic)
12	Methodologies used	Is it clear how to monitor and evaluate? Are methodologies well identified and mutually integrated?
13	Data collection	Are sources of data collection clearly identified? Are indicators linked to sources of data collection? (horizontal logic)
3a. Organisation: structure		
14	Coordination and oversight	Is there an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level? With different stakeholders? What is its location?
15	Joint Sector Review	Does the JSR cover accountability and learning needs for both substance and systemic issues? What is the place/linkage of the JSR within the sector M&E system? Does the JSR promote the reform agenda of the Paris Declaration?
16	Sector Working groups	Are sector working groups active in monitoring? Is their composition stable? Are various stakeholders represented?
17	Ownership	Does the demand for (strengthening of the) M&E system come from the sector ministry, a central ministry (e.g. ministry of

		planning or finance) or from external actors (e.g. development partners)? Is there a highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system?
18	Incentives	Are incentives (at central and local level) used to stimulate data collection and data use?
3b. Organisation: linkages		
19	Linkage with Statistical office	Is there a linkage between sector M&E and the statistical office? Is the role of the statistical office in sector M&E clear?
20	'Horizontal' integration	Are there M&E units in different sub-sectors and semi-governmental institutions? Are these properly linked to the sector's central unit?
21	'Vertical' upward integration	Is the sector M&E unit properly linked to the central M&E unit (PRS monitoring system)?
22	'Vertical' downward integration	Are there M&E units at decentralised levels and are these properly linked to the sector M&E unit?
23	Link with projects	Is there any effort to coordinate with development partner M&E mechanism for projects and vertical funds in the sector?
4. Capacity		
24	Present capacity	What is the present capacity of the M&E unit at central sector level, sub-sector level and decentralised level (e.g. fte, skills, financial resources)?
25	Problem acknowledged	Are current weaknesses in the system identified?
26	Capacity building plan	Are there plans/activities for remediation? Do these include training, appropriate salaries, etc.?
5. Participation of actors outside government		
27	Parliament	Is the role of Parliament properly recognised, and is there alignment with Parliamentary control and oversight procedures? Does Parliament participate in Joint Sector Reviews and/ or sector working groups?
28	Civil Society	Is the role of civil society recognised? Are there clear procedures for the participation of civil society? Is the participation institutionally arranged or rather ad-hoc? Does civil society participate in Joint Sector Reviews and/ or sector working groups?
29	Development partners	Is the role of development partners recognised? Are there clear procedures for participation of development partners? Do development partners participate in Joint Sector Reviews and/ or sector working groups?
6. Use of M&E outputs		
30	M&E outputs	Is there a presentation of relevant M&E results? Are results compared to targets? Is there an analysis of discrepancies? Is the M&E output differentiated towards different audiences?
31	Effective use of M&E by	Are development partners using the outputs of the sector M&E system for their information needs? Is the demand for M&E data

	development partners	from development partners coordinated?
32	Effective use of M&E at central level	Are results of M&E activities used for internal purposes? Is it an instrument of policy-making and/or policy-influencing and advocacy at central level?
33	Effective use of M&E at local level	Are results of M&E activities used for internal purposes? Is it an instrument of policy-making and/or policy-influencing and advocacy at local level?
34	Effective use of M&E by outside government actors	Are results of M&E used as an instrument to hold government accountable?

Annex 3: List of interviewees

Government

Sylvia Acana	Principal Examination Officer NAPE, Uganda National Examination Board
Mary Frances Atima	Principal Inspector, Ministry of Education and Sports
Albert Byamugisha	Commissioner Monitoring and Evaluation, Office of the Prime Minister
Godfrey Dhatemwa	Commissioner of Planning, Ministry of Education and Sports
Alice Kafuko	Senior Inspector District Inspectors of Schools Jinja
Margaret Kakande	Head Budget Monitoring and Accountability Unit, vice-president Uganda Evaluation Association
Mark Kashaija	Research Fellow, Office of the Prime Minister
Carthbert Mulyalya	Principal Education Planner, Ministry of Education and Sports
James Muwonge	Director Socio-Economic Surveys, Uganda Bureau of Statistics
David Rider Smith	DFID Regional Evaluation Advisor, Office of the Prime Minister

Deputy Head Teacher Vic View (private primary school)

Development Partners

Beatrice Achiro Otto	Education Programme Officer, Irish Aid
Jan de Ceuster	Education Advisor, Belgian Technical Cooperation
Moses Cik	Policy Officer Education and Skills, Embassy of the Kingdom of the Netherlands
Emmanuel Kamuli	Education Specialist, UNICEF
Simon Kenny	MDG Results Advisor, DFID
Daniel Lukwago	Research Analyst, Technical and Administration Support Unit
Pascal Mwele	Chief of Party USAID/ Uganda EMIS II Programme, Agile Learning Company
Kelly Reid	Vice-President Agile Learning Company
Ludo Rochette	Head of the Belgian Development Cooperation
Rosemary Rugamba-Rwanyange	Education Specialist ,UNICEF
Diana Sekaggya-Bagarukayo	Education and Local Development Advisor, Irish Aid
Sybille Schmidt	Programme Officer Social Sectors and Economic Affairs, European Union

Civil Society Organisations

Els Heijnen Maathuis	Technical Advisor Education, Save the Children
John Byuma Musoke	Programme Officer, Forum for Education NGOs in Uganda
John Wilson Tereraho	Education Specialist, World Vision

Parliament/ Office of the Auditor General

James Bantu	Assistant Director of Audit, Office of the Auditor General
Joseph Kizito Kakeeto	Research Officer, Parliament of Uganda

Annex 4: Status of EFA indicators in Uganda, Sub-Sahara Africa and the World

Indicators EFA goals	Uganda	Sub-Sahara Africa	World
<i>Early childhood care and education</i>			
Under-5 mortality rate, 2010-2015 (‰)	114	123	60
Moderate and severe stunting, 2005 -2010 (%)	38	39	29
Total enrolment pre-primary, 2010 (000)	499	11,887	163,525
Gross enrolment ratio (GER) pre-primary, 2010 (%)	14	17	48
Gender parity index of GER, 2008 (F/M)	1.05	1.01	1.00
<i>Universal primary education</i>			
Total primary enrolment 2010 (000)	8,375	132,809	690,665
Primary gross intake rate 2010 (%)	155	115	110
Primary adjusted net enrolment ratio 2010 (%)	91	76	89
Survival rate to last grade of primary education 2009 (%)	59	62	91
Out of school children 2010 (000)	623	30,641	60,684
<i>Youth and adult learning needs</i>			
Out of school adolescents of lower secondary school age, 2010 (000)	650	21,676	70,570
Total secondary enrolment, 2010 (000)	1,306	43,653	542,684
Total secondary gross enrolment ratio, 2010 (%)	28	40	70
<i>Improving levels of adult literacy</i>			
Illiterate adults, 2005-2010 (000)	4,560	169,313	774,756
Percentage illiterate women, 2005-2010 (%)	67	62	64
Adult literacy rate (15 and over) 2005-2010 (%)	73	63	84
Gender Parity Index (GPI) adult literacy rate, 2005-2010 (F/M)	0.78	0.76	0.90
Youth literacy rate (15-24), 2005-2010 (%)	87	72	90
GPI youth literacy rate, 2005-2010 (F/M)	0.95	0.87	0.95
<i>Assessing gender parity and equality in education</i>			
GPI of the gross enrolment ratio, 2010	1.01	0.93	0.97
GPI of the gross enrolment ratio, 2008	0.85	0.82	0.97
<i>Quality of education</i>			
School life expectancy from primary to tertiary, 2010 (years)	11.1	9.1	11.5
Pre-primary education: teaching staff, 2010 (000)	20	444	7,787
Pre-primary education: pupil/teacher ratio, 2010	25	27	21
Primary education: teaching staff, 2010 (000)	172	3,103	28,483
Primary education: pupil/teacher ratio, 2010	49	43	24
Secondary education: teaching staff, 2010 (000)	31	831	24,327
Secondary education: pupil/teacher ratio, 2010	18	25	17

Source: UNESCO, 2012

ANNEX 5: UGANDA'S SCORES ON THE CHECKLIST FOR QUALITY ASSESSMENT OF AN M&E SYSTEM (EDUCATION SECTOR)

1. Policy

	Topics	Score
1	M&E plan	3
2	M versus E	3
3	Autonomy & impartiality (accountability)	3
4	Feedback	2
5	Alignment of M&E with planning & budgeting	3

2. Indicators, data collection and methodology

	Topics	Score
6	Selection of indicators	3
7	Quality of indicators	3
8	Disaggregation	3
9	Selection criteria	2
10	Priority setting	3
11	Causality chain	2
12	Methodologies used	2
13	Data collection	4

3a. Organisation: structure

	Topics	Score
14	Coordination and oversight	4
15	Joint Sector Review	4
16	Sector Working groups	4
17	Ownership	4
18	Incentives	3

3b. Organisation: linkages

	Topics	Score
19	Linkage with Statistical office	3
20	'Horizontal' integration	3
21	'Vertical' upward integration	4
22	'Vertical' downward integration	3
23	Link with projects' M&E	3

4. Capacity

	Topics	Score
24	Actual capacity	2
25	Capacity problems acknowledged	2
26	Capacity building plan	2

5. Participation of actors outside government

	Topics	Score
27	Parliament	3
28	Civil Society	3
29	Development partners	4

6. Use of information from M&E

	Topics	Score
30	M&E outputs	3
31	Effective use of M&E by development partners	4
32	Effective use of M&E at central level	3
33	Effective use of M&E at local level	2
34	Effective use of M&E by national outside government actors	2

ANNEX 6: SYSTEM USED TO IDENY SCORES (ON THE BASIS OF LEADS⁶⁹ METHOD)

		1	2	3	4	5
Policy						
1	M&E plan	No (sections of) M&E plan exist(s).	Only sections of an M&E plan exist, only partly indicating what to evaluate, why, how, for whom.	Different documents describing (parts of) an M&E plan exist, as a result of which it is clear what to evaluate, why, how and for whom. or An M&E plan exists, but not comprehensive, only partly indicating what to evaluate, why, how, for whom (less than three of the four elements).	There is a comprehensive M&E plan, but it does not completely indicate what to evaluate, why, how, for whom (three of the four elements).	A comprehensive M&E plan exists, indicating what to evaluate, why, how, for whom.
2	M versus E	<ul style="list-style-type: none"> - The difference and relationship between M and E are not spelled out. - 'M&E' is used for both M and E related activities. 	<ul style="list-style-type: none"> - The difference and relationship between M and E are not spelled out. - The two terms are separately used for M and E related activities. <p style="text-align: center;">or</p> <ul style="list-style-type: none"> - The difference and/or relationship between M and E are spelled 	<ul style="list-style-type: none"> - The difference between M and E is clearly spelled out, but the relationship is not. - The two terms are separately used for M and E related activities. 	<ul style="list-style-type: none"> - The difference between M and E is clearly spelled out, the relationship among M and E is also described but not clearly. - The two terms are separately used for M and E related activities. 	<ul style="list-style-type: none"> - The difference and the relationship between M and E are clearly spelled out. - The two terms are separately used for M and E related activities.

⁶⁹ • L (Little action), E (Elements exist), A (Action taken), D (Largely developed), S (Sustainable).

			<p>out.</p> <ul style="list-style-type: none"> - 'M&E' is used for both M and E related activities. 			
3	Autonomy & impartiality (accountability)	<ul style="list-style-type: none"> - The need for autonomy and impartiality is not explicitly mentioned. - The M&E plan does not allow tough issues to be analysed. - There is no independent budget. 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is mentioned, but not explicitly. - The M&E plan does not allow for tough issues to be analysed. - There is an independent budget. <p>or</p> <ul style="list-style-type: none"> - The need for autonomy and impartiality is mentioned, but not explicitly. - The M&E plan allows for tough issues to be analysed. - There is no independent budget 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. - The M&E plan does not allow for tough issues to be analysed. - There is an independent budget. <p>or</p> <ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. - The M&E plan allows for tough issues to be analysed. - There is no independent budget. 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. - The M&E plan allows for tough issues to be analysed. - There is an independent budget, but it is very limited (less than 1%) . 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. - The M&E plan allows for tough issues to be analysed. - There is an independent budget.
4	Feedback	There is no explicit and consistent approach to reporting, dissemination, integration.	References are made to reporting, dissemination and / or integration, but there is no explicit and consistent approach.	There is an approach to reporting, dissemination, integration, but it is not explicit and consistent.	There is an explicit approach to reporting, dissemination, integration, but it is not completely consistent.	There is an explicit and consistent approach to reporting, dissemination, integration.
5	Alignment of M&E with planning & budgeting	There is no integration of M&E results in planning and budgeting.	There is an integration of M&E results in planning and budgeting, but it is limited and rather	There is an integration of M&E results in planning and budgeting, but rather ad hoc.	There is a more systematic integration of M&E results in planning and budgeting, but	M&E results are systematically integrated in planning and budgeting and institutionalised

			ad hoc.		linkages between M&E, planning and budgeting are not yet institutionalised.	linkages exist among M&E, planning and budgeting.
Indicators, data collection and methodology						
6	Selection of indicators	No list of indicators is available.	<ul style="list-style-type: none"> - Different lists of indicators circulate. - Indicators are not harmonised with the PRSP indicators. 	<ul style="list-style-type: none"> - A list of indicators is available, but changing regularly. - Indicators are not harmonised with the PRSP indicators. 	<ul style="list-style-type: none"> - A list of indicators is available, but changing regularly. - Indicators are harmonised with the PRSP indicators. <p>or</p> <ul style="list-style-type: none"> - A list of indicators is available and does not change yearly. - Indicators are not harmonised with the PRSP indicators. 	<ul style="list-style-type: none"> - A list of indicators is available and does not change yearly . - Indicators are harmonised with the PRSP indicators.
7	Quality of indicators	<ul style="list-style-type: none"> - Indicators are not SMART. - Baselines and targets are not attached (or only baselines or targets). 	<ul style="list-style-type: none"> - (Most of the) indicators are not SMART. - Baselines or targets are attached. <p>or</p> <ul style="list-style-type: none"> - (Most of the) indicators are SMART. - Baselines or targets are not attached (to all indicators). 	<ul style="list-style-type: none"> - (Most of the) indicators are SMART. - Baselines and targets are attached, but not to all indicators. 	<ul style="list-style-type: none"> - Most of the indicators are SMART. - Baselines and targets are attached. 	<ul style="list-style-type: none"> - All indicators are SMART - Baselines and targets are attached.
8	Disaggregation	None of the indicators are disaggregated	Some indicators are disaggregated by sex, region, socio-economic status, but	Some indicators are disaggregated by sex, region, socio-economic status, also	Indicators are disaggregated by sex, region, socio-economic status, but	Indicators are disaggregated by sex, region, socio-economic status, also

			not in annual progress reports.	in annual progress reports.	not (all of them) in annual progress reports.	in annual progress reports.
9	Selection criteria	<ul style="list-style-type: none"> - Selection criteria are not clear. - It is not clear who was involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are not clear. - It is clear who is involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are clear. - It is not clear who is involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are clear. - It is clear who is involved in the selection process. - Not all relevant data collectors and users are involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are clear. - It is clear who is involved in the selection process. - Relevant data collectors and users are involved in the selection process.
10	Priority setting	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is not acknowledged. - The number of indicators is not limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is acknowledged. - The number of indicators is not limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is not acknowledged. - The number of indicators is limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is partly acknowledged. - The number of indicators is limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is acknowledged. - The number of indicators is limited.
11	Causality chain	Different levels of indicators are not specified	Different levels of indicators are specified, but these are not linked.	Different levels of indicators are specified and linked, but not explicitly.	Different levels of indicators are explicitly linked, but not for all indicators.	Different levels of (all) indicators are explicitly linked.
12	Methodologies used	<ul style="list-style-type: none"> - Methodologies are not identified - Methodologies are not mutually integrated. 	<ul style="list-style-type: none"> - Some methodologies are identified. - Methodologies are not mutually integrated. 	<ul style="list-style-type: none"> - Methodologies are well identified - Methodologies are not mutually integrated. 	<ul style="list-style-type: none"> - Methodologies are well identified. - Methodologies are mutually integrated, but not satisfactorily. 	<ul style="list-style-type: none"> - Methodologies are well identified. - Methodologies are mutually integrated and integration is satisfactorily.
13	Data collection	<ul style="list-style-type: none"> - Sources of data are not identified. - Indicators are not linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are identified, but not clearly. - Indicators are not linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are clearly identified. - Indicators are not linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are clearly identified. - Some indicators are linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are clearly identified. - All indicators are linked to sources of data collection.
Organisation: structure						
14	Coordination and oversight	There is no	There is an	- There is an	- There is an	- There is an

		institutional structure for coordination, support, oversight, analyses of data and feedback at sector level.	institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level, but not yet appropriate.	appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level. - Different important stakeholders have been left out - Its location is not high enough in the ministry's hierarchy	appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level. - The most important stakeholders are involved - Its location is not high enough in the ministry's hierarchy	appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level. - The most important stakeholders are involved. - Its location is high enough in the ministry's hierarchy.
15	Joint Sector Review	JSRs are not taking place. or JSRs take place, but - They do not cover accountability and learning needs for both substance and systemic issues. - They are not linked with other M&E tools within the sector M&E system. - They do not promote the Paris Declaration M&E reform agenda.	- JSRs cover both accountability and learning needs for both substance and systemic issues. - JSRs are not linked with other M&E tools within the sector M&E system. - JSRs do not promote the Paris Declaration reform agenda. or - JSRs do not cover accountability and learning needs for both substance and systemic issues. - JSRs are linked with other M&E tools within the sector M&E system <i>and/or</i> - JSRs promote the	- JSRs cover accountability and learning needs for both substance and systemic issues, but focus primarily on substance. - JSRs are not yet well linked with other M&E tools within the sector M&E system. - JSRs promote the Paris Declaration M&E reform agenda.	- JSRs cover accountability and learning needs for both substance and systemic issues, but focus primarily on substance. - JSRs are linked with other M&E tools within the sector M&E system. - JSRs promote the Paris Declaration M&E reform agenda.	- JSRs cover accountability and learning needs for both substance and systemic issues. - JSRs are linked with other M&E tools within the sector M&E system. - JSRs promote the Paris Declaration M&E reform agenda.

			Paris Declaration M&E reform agenda.			
16	Sector Working groups	<p>There are no sector working groups.</p> <p>Or</p> <p>There are sector working groups, but</p> <ul style="list-style-type: none"> - They are not active in monitoring. - Their composition is unstable. - Various relevant stakeholders are not represented. 	<ul style="list-style-type: none"> - Sector working groups are not very active in monitoring. - Their composition is stable. - Various stakeholders are represented. 	<ul style="list-style-type: none"> - Sector working groups are active in monitoring. - Their composition is not stable. - Various stakeholders are represented. <p>Or</p> <ul style="list-style-type: none"> - Sector working groups are active in monitoring. - Their composition is stable. - Various relevant stakeholders are not represented. 	<ul style="list-style-type: none"> - Sector working groups are active in monitoring. - Their composition is not stable, but people who left are quickly replaced. - Various stakeholders are represented. 	<ul style="list-style-type: none"> - Sector working groups are active in monitoring. - Their composition is stable. - Various stakeholders are represented.
17	Ownership	<ul style="list-style-type: none"> - The demand for (strengthening of) the ' M&E system does not come from the sector ministry or a central ministry. - There is no highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system does not come from the sector ministry, but from a central ministry. - There is no highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system comes from the sector ministry. - There is no 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system comes from the sector ministry and the central ministry. - There is a 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system, but not highly placed. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system comes from the sector ministry and the central ministry. - There is a highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system.
18	Incentives	No incentives are used (at central and local level) to stimulate data collection and data use.	Incentives are used, but not at all levels and not yet effectively to really stimulate data collection and data use.	Incentives are used (at central and local level), but not yet effectively to really stimulate data collection and data	Incentives are effectively used to stimulate data collection and data use, but not at all levels.	Incentives are effectively used (at central and local level) to stimulate data collection and data use.

				use.		
Organisation: linkages						
19	Linkage with Statistical office	<ul style="list-style-type: none"> - A linkage between the sector M&E unit and the statistical office does not exist. - The role of the statistical office in sector M&E is not clear. 	<ul style="list-style-type: none"> - The role of the statistical office in sector M&E is clear on paper. - In practice a linkage between the sector M&E unit and the statistical office does not exist (only ad hoc contacts). 	<ul style="list-style-type: none"> - There is a linkage between the sector M&E unit and the statistical office. - The role of the statistical office in sector M&E is not entirely clear. 	<ul style="list-style-type: none"> - A linkage between the sector M&E unit and the statistical office exists, but could be stronger. - The role of the statistical office in sector M&E is clear. 	<ul style="list-style-type: none"> - A linkage between the sector M&E unit and the statistical office exists. - The role of the statistical office in sector M&E is clear.
20	'Horizontal' integration	No linkages between M&E units of sub-sectors with the sector M&E unit	M&E units in different sub-sectors and semi-governmental institutions are hardly linked with the sector M&E unit.	M&E units in different sub-sectors and semi-governmental institutions are linked with the sector M&E unit, but not properly.	M&E units in different sub-sectors and semi-governmental institutions are linked with the sector M&E unit, but this link could be stronger.	M&E units in different sub-sectors and semi-governmental institutions are properly linked with the sector M&E unit.
21	'Vertical' upward integration	No linkages between the central M&E unit and sector M&E unit	The sector M&E unit is hardly linked with the central M&E unit.	The sector M&E unit is linked with the central M&E unit, but not properly.	The sector M&E unit is linked with the central M&E unit, but this link could be stronger.	The sector M&E unit is properly linked with the central M&E unit.
22	'Vertical' downward integration	No linkages between M&E units at decentralised levels and the sector M&E unit	M&E units at decentralised levels are hardly linked with the sector M&E unit.	M&E units at decentralised levels are linked with the sector M&E unit, but not properly.	M&E units at decentralised levels are linked with the sector M&E unit, but this link could be stronger.	M&E units at decentralised levels are properly linked with the sector M&E unit.
23	Link with projects' M&E	No efforts for coordination between development partner project M&E mechanisms and sector M&E unit.	There is limited coordination between sector M&E unit and development partner M&E mechanisms for projects and vertical funds in the sector exists.	Coordination between sector M&E unit and development partner M&E mechanisms for projects and vertical funds in the sector exists, but it does not function properly.	Coordination between sector M&E unit and development partner M&E mechanism for projects and vertical funds in the sector exists and functions but it is not yet institutionalised.	An institutionalised and properly functioning coordination exists between the sector M&E unit and development partner M&E mechanisms for sector projects and

						vertical funds.
Capacity						
24	Actual capacity	There is no M&E capacity at central sector, sub-sector or decentralised level.	There is some capacity (fte, skills and financial resources) but not at all levels.	There is capacity (fte, skills and financial resources) at central sector, sub-sector and decentralised level, but not sufficiently. or There is only sufficient capacity (fte, skills and financial resources) at some levels.	There is capacity (fte, skills and financial resources) at central sector, sub-sector and decentralised level, but capacity could still be strengthened.	There is sufficient capacity (fte, skills and financial resources) at central sector, sub-sector and decentralised level.
25	Capacity problems acknowledged	Current weaknesses in the system are not identified	Only some current weaknesses in the system are identified, but not on the basis of a diagnosis.	Current weaknesses in the system are identified, but not on the basis of a diagnosis.	Most of the weaknesses in the system are well identified (on the basis of a diagnosis).	All current weaknesses in the system are well identified (on the basis of a diagnosis).
26	Capacity building plan	There are no plans/ activities for remediation.	<ul style="list-style-type: none"> - There are some plans/ activities for remediation, but these are not coordinated. - Plans/activities include e.g. training and appropriate salaries. 	<ul style="list-style-type: none"> - There are coordinated plans/ activities for remediation. - These do not include e.g. training and appropriate salaries. 	<ul style="list-style-type: none"> - There are some plans/ activities for remediation, but these are not well coordinated. - Plans/activities include e.g. training and appropriate salaries. 	<ul style="list-style-type: none"> - There are coordinated plans/activities for remediation. - These include e.g. training and appropriate salaries.
Participation of actors outside government						
27	Parliament	<ul style="list-style-type: none"> - The role of Parliament is not recognised - There is no alignment with Parliamentary control and oversight 	<ul style="list-style-type: none"> - The role of Parliament is not recognised - There is no alignment with Parliamentary control and oversight 	<ul style="list-style-type: none"> - The role of Parliament is recognised. - There is no alignment with Parliamentary control and oversight 	<ul style="list-style-type: none"> - The role of Parliament is recognised. - There is some alignment with Parliamentary control and oversight 	<ul style="list-style-type: none"> - The role of Parliament is recognised. - There is alignment with Parliamentary control and oversight procedures. - Parliament

		<p>procedures.</p> <ul style="list-style-type: none"> - Parliament does not participate in JSRs or sector working groups. 	<p>procedures.</p> <ul style="list-style-type: none"> - Parliament participates in JSRs or sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of Parliament is recognised - There is alignment with Parliamentary control and oversight procedures. - Parliament does not participate in JSRs or sector working groups. 	<p>procedures.</p> <ul style="list-style-type: none"> - Parliament participates in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of Parliament is recognised. - There is alignment with Parliamentary control and oversight procedures. - Parliament participates in JSRs and sector working groups, but not actively. 	<p>procedures.</p> <ul style="list-style-type: none"> - Parliament participates actively in JSRs and sector working groups. 	<p>participates actively in JSRs and sector working groups.</p>
28	Civil Society	<ul style="list-style-type: none"> - The role of civil society is not recognised. - There are no procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society does not participate in JSRs or sector working groups. 	<ul style="list-style-type: none"> - The role of civil society is not recognised. - There are no clear procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society participates in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of civil 	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are procedures for the participation of civil society, but these are not clear. - Participation is not institutionally arranged. - Civil society participates in JSRs and sector working groups. <p>or</p>	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are clear procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society participates actively in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are clear procedures for the participation of civil society. - Participation is institutionally arranged. - Civil society participates actively in JSRs and sector working groups.

			<p>society is recognised and/or.</p> <ul style="list-style-type: none"> - There are clear procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society participates in JSRs and sector working groups, but not actively. 	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are clear procedures for the participation of civil society. - Participation is institutionally arranged. - Civil society participates in JSRs and sector working groups, but not actively. 		
29	development partner	<ul style="list-style-type: none"> - The role of development partners is not recognised. - There are no clear procedures for their participation. - Development partners do not participate in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of development partners is not recognised. - There are no clear procedures for their participation. - Development partners participate in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of development partners is recognised. - There are no clear procedures for their participation. - Development partners participate in JSRs and sector 	<ul style="list-style-type: none"> - The role of development partners is recognised. - There are no clear procedures for their participation. - Development partners participate in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of development partners is recognised. - There are clear procedures for their participation. - Development partners participate in JSRs and sector 	<ul style="list-style-type: none"> - The role of development partners is recognised. - There are procedures for their participation, but these are not clear. - Development partners participate actively in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of development partners is recognised. - There are clear procedures for their participation. - Development partners participate actively in JSRs and sector working groups.

			working groups, but not actively.	working groups, but not actively.		
Use of information from M&E						
30	M&E outputs	<ul style="list-style-type: none"> - There is no presentation of relevant M&E results. - Results are not compared to targets. - There is no analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are not compared to targets. - There is no analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is limited analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is analysis of discrepancies, but analysis is still weak. - The M&E output is differentiated towards different audiences. <p>or</p> <ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is in-depth analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is in-depth analysis of discrepancies. - The M&E output is differentiated towards different audiences.
31	Effective use of M&E by development partners	<ul style="list-style-type: none"> - Development partners are not using the outputs of the sector M&E system for their information needs. - The demand for 	<ul style="list-style-type: none"> - Development partners are using the outputs of the sector M&E system for their information needs, but rather in an ad hoc way. 	<ul style="list-style-type: none"> - Development partners are systematically using the outputs of the sector M&E system for their information needs. 	<ul style="list-style-type: none"> - Development partners are using the outputs of the sector M&E system for their information needs, but rather in an ad hoc way. 	<ul style="list-style-type: none"> - Development partners are systematically using the outputs of the sector M&E system for their information needs.

		M&E data from development partners is not coordinated.	- The demand for M&E data from development partners is not coordinated.	- The demand for M&E data from development partners is not coordinated.	- The demand for M&E data from development partners is well coordinated. or - Development partners are systematically using the outputs of the sector M&E system for their information needs. - The demand for M&E data from development partners is coordinated, but coordination could be improved.	- The demand for M&E data from development partners is well coordinated.
32	Effective use of M&E at central level	- Results of M&E activities are not used for internal purposes. - It is not an instrument of policy-making and/or policy-influencing and advocacy at central level.	- Results of M&E activities are used for internal purposes, but rather in an ad hoc way - It is an instrument of policy-making, hardly of policy-influencing and advocacy at central level.	- Results of M&E activities are systematically used for internal purposes. - It is an instrument of policy-making, hardly of policy-influencing and advocacy at central level. or - Results of M&E activities are used for internal purposes, but rather ad hoc - It is an instrument of	- Results of M&E activities are systematically used for internal purposes, but use could be more intense. - It is an instrument of policy-making and/or policy-influencing and advocacy at central level.	- Results of M&E activities are systematically used for internal purposes. - It is an instrument of policy-making, policy-influencing and advocacy at central level.

				policy-making and policy-influencing and advocacy at central level.		
33	Effective use of M&E at local level	<ul style="list-style-type: none"> - Results of M&E activities are not used for internal purposes. - It is not an instrument of policy-making and/or policy-influencing and advocacy at local level. 	<ul style="list-style-type: none"> - Results of M&E activities are used for internal purposes, but rather in an ad hoc way. - It is an instrument of policy-making, hardly of policy-influencing and advocacy at local level. 	<ul style="list-style-type: none"> - Results of M&E activities are systematically used for internal purposes. - It is an instrument of policy-making, hardly of policy-influencing and advocacy at local level. <p>or</p> <ul style="list-style-type: none"> - Results of M&E activities are used for internal purposes, but rather in an ad hoc way. - It is an instrument of policy-making and policy-influencing and advocacy at local level. 	<ul style="list-style-type: none"> - Results of M&E activities are systematically used for internal purposes, but use could be more intense. - It is an instrument of policy-making and/or policy-influencing and advocacy at local level. 	<ul style="list-style-type: none"> - Results of M&E activities are used for internal purposes. - It is an instrument of policy-making and/or policy-influencing and advocacy at local level.
34	Effective use of M&E by outside government actors	<ul style="list-style-type: none"> - Results of M&E are not used as an instrument to hold government accountable. 	<ul style="list-style-type: none"> - Results of M&E are used as an instrument to hold government accountable, but only limitedly and only by a few outside government actors. 	<ul style="list-style-type: none"> - Results of M&E are used as an instrument to hold government accountable, but only by a few outside government actors. 	<ul style="list-style-type: none"> - Results of M&E are used as an instrument to hold government accountable by several outside government actors, but use could be more intense. 	<ul style="list-style-type: none"> - Results of M&E are intensively used as an instrument to hold government accountable by several outside government actors.