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Annotated Bibliography for Lessons Learned and Good Practices

G2G Education Toolkit

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These resources comprise the in-depth research and analysis from which the *Education G2G Lessons Learned and Good Practices* have been synthesized. They provide a rich set of conceptual and operational tools to further understanding of the relative merits of different types of aid delivery in a government-to-government relationship.

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FOREWORD

Government-to-government Education Toolkit

In line with the compelling policy guidance of USAID Forward, Agency education officers are currently exploring, developing and implementing new government-to-government (G2G) modalities in education projects. An immediate need exists for tools and training materials that will assist Education Teams as they design, implement, and monitor G2G activities to achieve USAID Education Strategy Goals.

Under the leadership of the Bureau for Economic Growth, Education and Environment's (E3) Education Office, the **G2G Education Toolkit** has been developed to provide this support. The Toolkit includes a literature review; an analysis of lessons learned and best practice; an analytic framework and roadmap; operational tools; and case studies. Additionally, sample G2G operational documents from Missions currently undertaking government-to-government activities will be available to guide field staff.

Annotated Bibliography: Lessons Learned and Good Practices

These resources comprise the in-depth research and analysis from which the *Education G2G Lessons Learned and Good Practices* have been synthesized. They provide a rich set of conceptual and operational tools to further understanding of the relative merits of different types of aid delivery in a government-to-government relationship. Each resource provides a brief summary of document content along with comments as to the relevance of the information to the use of various forms of aid delivery. These are meant to guide the reader who seeks clarification or wishes to further explore these issues. An asterisk in front of some of the resources indicates that a particular document is considered to be particularly valuable as a tool.

***Boesen, N. & Dietvorst, D. (2007) *SWAPS in motion Sector Wide approaches: From an aid delivery to a sector development perspective*. Train4Dev.Net for Joint Donors Competence Development Network.**

This document is an overview of eight European country aid programs which used Sector Wide Approaches to Programs (SWAPs). The document provides a synthesis of information about the individual country SWAPs experiences collected from multiple Joint Learning Events. The authors find that although exceptions exist, sector policies tend to be overly ambitious when reviewed against past sector performance, available capacity and available resources. They also assert that demand-driven domestic accountability must be integrated into any SWAP. The authors therefore suggest the use of a more consultative process which focuses on what SWAP partners can realistically achieve in a given context and what capacity can be developed. Building trust amongst participating actors for strategic incremental change is essential.

Booth, D. et.al. (2008) *Final Synthesis Report: Good governance, aid modalities and poverty Reduction: From better theory to better practice*. ODI, CDD-Ghana, CMI, ESRF for the Advisory Board for British Aid.

This document is a review of the in-depth analysis of Sector Budget Support of DfID and the European Community programs cited below by Williamson and Dom. It provides an insightful critique of the Paris Declaration and the Accra Agenda for Action specifically as they relate to the notion of aid effectiveness. Key concepts such as ownership, alignment, and incentives are examined to reveal the deeply-seated challenges and nuances that lie within each of these issues. Political change in aid recipient countries is more important than participants in the Paris Declaration debate admit. For a variety of reasons set forth in the paper, donor alignment is compromised by a damaging mix of risk-avoidance and political correctness. The authors assert that both donors and country authorities should assume a greater level of responsibility for their own incentives.

DeStefano, J. (2010) *Choosing the best way to provide assistance: The implications of project and non-project assistance modalities for aid effectiveness.* Academy for Educational Development. Washington D.C.: USAID EQUIP2.

This short document proposes a framework and criteria for USAID to determine which funding modalities best support education development objectives. An included diagram illustrates the possibilities of how education development objectives can be addressed through various funding modalities and shows the pros and cons for each modality and objective. The document also includes a decision tree, based on a series of yes and no questions, which illustrates the decision-making process in selection of the appropriate aid modality. This is accompanied by another table summarizing the tradeoffs in the use of each modality as they relate to specific objectives. The discussion on project and non-project modalities provides a starting point for project design but the author warns that not one perfect medley of modalities will lead to success.

DeStefano, J., Hartwell, A., & Tietjan, K. (1995). *Basic Education in Africa: USAID's Approach to Sustainable Reform in the 1990s.* Bureau for Africa, USAID: Washington, D.C. http://pdf.usaid.gov/pdf_docs/PNABX005.pdf

This document provides an in-depth analysis of six years (1988-1994) of USAID education programs in Africa defined as Education Sector Support (ESS). It involved a combination of budget support (Non-Project Assistance: NPA) and project approaches applied in nine countries, with NPA representing 75% of USAID education aid. Education Sector Support is characterized by six elements: i) support to national sector reform; ii) provision of budgetary support conditioned on performance of policy reforms; iii) support for systemic education change rather than on separate issues; iv) focus on national institutional development to manage the reform process; v) involvement of donor coordination, and vi) accountability for student access and learning performance results. Based on the analysis of the use of ESS during those six year, the authors provide lessons learned and operational guidance relevant to the use of G2G relating to: pre-conditionalities?, modalities, sector analysis and design, policy dialogue, institutional assessment and development, school reform, and monitoring and evaluation.

Dom, C. and Gordon, A. (2011). *Budget Support in Fragile Situations* Mokoro for Oxfam.

This extensive Oxfam Discussion Paper draws on existing research and analysis to provide evidence as the basis to use budget support in fragile states. The abstract succinctly describes the paper as sitting at “the intersection of three main sets of issues: fragility, budget support, and accountability (with a particular focus on the role of, and space for, civil society in holding government to account).” The study provides insights into the rationale, challenges and various conditions affecting application of budget support to fragile states and the effects of budget support on spending and delivery of basic social and agricultural services. Additionally, the paper closely examines experiences of parliaments and civil society/communities in the target countries with regards to their ability to hold governments and donors to account for public

spending. This examination culminates in a set of thirteen emerging good practices recommended for application of budget support in fragile situations.

European Commission. (2010). *Thematic global evaluation of European Commission support to the education sector in partner countries (including basic and secondary education). Volume I.*

http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2011/1296_vol1_en.pdf

This study provides an in-depth evaluation of the European Commission's education development budget (a total of 5.1 billion Euros) for 23 countries of General Budget Support (3.2 billion Euros) and education-specific Sector Budget Support (1.9 billion Euros) from 2000 through 2007. Over this period, the European Commission was able to increase alignment with partner countries' educational policies, priorities and systems, and this has also led to increased harmonization with other donors in support of education sector programs. The authors conclude that financial management systems have been strengthened and significant gains in educational access have been supported. However, little to no impact was evident on the quality of education being delivered when in fact, as enrollments expanded, a decrease in learning achievement was actually seen.

European Commission. (2011). *Engaging Non-State Actors in New Aid Modalities*, Luxembourg: European Union.

This reference book provides detailed operational guidance for identifying, assessing, engaging, and managing non-state actors in sector policy support programs and Sector Budget Support. As presented in the book, a comprehensive treatment is offered, complete with guidelines, tools, three working-group cases, seven country case studies, background literature reviews, and workshop notes with civil society actors.

Gillies, J. (2010). *The Power of Persistence: Education System Reform and Aid Effectiveness. Case Studies in Long-Term Education Reform*. Washington D.C.: USAID EQUIP2.

This 188-page study presents an analysis of USAID development efforts in education system reform and aid effectiveness through the review of five country case studies. The author concludes that a practice of evaluating activities in a five-year project inevitably gives a distorted view of reality and leaves one with an impression that most projects are successful when in reality education systems neither improve nor sustain reforms. An important lesson from the study of these cases of the political, institutional, and technical dimensions of reform efforts over two decades is that for effective and durable reform to take place, all specific interventions, policy reforms and project activities — decentralization, service delivery, dialogue, information and analysis, teacher training, workshops, textbooks and testing — must be understood and strategized in the context of longer-term goals and trends. Adequate

funding is a necessary but not sufficient condition to enable [sustainable] change and in fact is NOT where the greatest challenges to reform are (pp.152-153).

Glennie, J., Ali, A., King, M., McKechnie, A., & Rabinowitz, G.. (2012). *Localizing aid: can using local actors strengthen them?* London: Overseas Development Institute.

This paper was written in response to discussions at the Busan Conference regarding the inclusion of non-state actors in the use of aid modalities. Based on their research on government-to-government programming, the authors advocate for the broadening of aid modalities to include non-state actors such as civil society organizations (CSOs), non-governmental organizations (NGOs), and for-profit entities. The document further provides a useful framework outlining the possible relationship of state and non-state actors in the education sector, with potential roles, programs, and fiscal accountability mechanisms identified (p.37). Options for program design (p.44) and cases analyzed for risks and trade-offs (p.47) are also included in this resource.

***Interaction (2012).** *Procurement for Country Ownership and Better Results: Recommendations for Improving USAID's Implementation and Procurement Reform.* Policy Paper. Washington D.C.: InterAction

This brief paper provides a summary of policy statements that advocate for an emphasis on building capacity of local non-governmental organizations (NGOs) within the G2G framework. Ten key recommendations for working with local NGOs and CSOs highlight the need for modification of USAID's approach to include these development actors. Relationships between USAID and these entities should be based on the notion of a 'partnership' not requiring overly rigid or excessive requirements. Interaction goes on to suggest that USAID should provide support to these non-state actors in order to strengthen and build local capacity.

***SABER (2013a).** *What Matters Most for School Finance: A Framework Paper.* The World Bank http://siteresources.worldbank.org/EDUCATION/Resources/278200-1290520949227/7575842-365797649219/Framework_School_Finance_Apr.13.pdf

This 59-page document provides an evidence-based framework for analysis of the adequacy, equity and efficiency of national education financing as it impacts access, equity and quality in schools. The framework outlines a process for assessing school finance systems along six policy goals that all systems should meet. The authors maintain that while school financing is an essential component of every education system, comprehensive guidance on what matters within financing is lacking. The SABER School Finance document addresses this need by creating a knowledge base and providing a means of assessing education finance systems; tools that should prove useful to policy makers accompany this process.

USAID/AFR Task Force on Program Assistance (2002). *PROGRAM ASSISTANCE AND AFRICA: A Synthesis and Analysis of Africa Bureau Assessments* Washington D.C.

This document summarizes a large-scale literature review of 54 documents on Program Assistance (budgetary support) programs in Africa, thirteen of which are for education. The review provides evidence of how Program Assistance has influenced policies, leveraged other aid resources, reinforced sustainability of policy and institutional reforms, and strengthened expenditure systems. The authors highlight the challenges of implementing program assistance and then share recommendations on program design, planning, implementation, and evaluation to encompass program assistance modalities.

Williamson, T. and Dom, C. (2010). *Sector Budget Support in Practice. Good Practice Note.* London: Overseas Development Institute and Mokoro.

This 48-page document provides an overview of extensive evaluations of Sector Budget Support (SBS) programs sponsored by DfID and European development aid. The document includes a literature review, ten case studies, and an analysis of findings, resulting in the recommendation of ten guiding principles for the use of SBS (p. 6). In summary these are: 1) Place the strengthening of institutions and systems for service delivery at the heart of the design and implementation of SBS. 2) Provide SBS funds on a large enough scale to ensure an expansion in sector resources commensurate with the needs of sustainable service delivery. 3) Ensure that provision of SBS funds is accompanied by dialogue with the ministry of finance on sector resource allocation. 4) Do not require that SBS funds are separately identifiable in the budget. 5) Insist that SBS packages include elements to address the underlying causes of risk, and do not involve unnecessary derogations. 6) Ensure that SBS funding will support financing systems which are aligned with institutional mandates for service delivery. 7) Focus SBS inputs on alleviating the critical constraints to service delivery. 8) Gear dialogue and conditionality to strengthening incentives for domestic actors to improve service delivery. 9) Make sure SBS delivers reliable funding for service delivery. 10) Insist that sector donors and government actors work together to make links to civil-service, decentralization, and public financial management reforms. An insightful analysis of each of the ten cases is provided; variation in contexts provides for the broad application of the ten principles.

Williamson, T. and Dom, C. (2010). *Making sector budget support work for service delivery: wider policy implications.* London: Overseas Development Institute.

This brief four-page paper summarizes key findings from the large scale study cited above: *Sector Budget Support in Practice. Good Practice Note.* The paper examines the role of incentives on effective aid and concludes that a push for quality results, such as improved early grade reading, pushes away from SBS and towards project-specific aid. They further note that:

- Incentives are the key to what sector budget support (SBS) does well and what it does badly;
- Strengthening service delivery incentives involves substantial multilevel efforts by SBS donors and partners (p.3);

- Partner efforts must address the underlying causes, rather than the symptoms, of weak incentives.

The authors recommend a thorough review of incentives in place in order to better understand what works, what does not work, and why. They further assert that host-country service delivery incentives should be strengthened which would involve multilevel efforts by SBS donors and partners. Any efforts at enhancing service delivery must address the underlying causes, rather than the symptoms, of weak incentives.