

**Mid-Term Evaluation of the EFA Fast Track Initiative**

**Draft Synthesis Report  
Volume 2 – Annexes  
Annex G: FTI and Capacity Development**

**21 November 2009**



This report is based on the work of an independent evaluation team. It has been reviewed by the Evaluation Oversight Committee (EOC) which determined that it meets an objective set of quality standards for an evaluation of this nature (based in part on DAC guidelines and on DFID's quality assurance guidelines for programme evaluations) and that it sufficiently meets most of the EOC requirements for having satisfied the relevant portion of the terms of reference to be shared as a discussion document.

This determination in no way signifies the endorsement of the report's conclusions or recommendations by the EOC as a whole, by any of its individual members or by the agencies they represent. The analyses, interpretations and opinions expressed in this report are those of the evaluation team.

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## **Acronyms and Abbreviations**

CD	Capacity Development
CF	Catalytic Fund
CSR	Country Strategy Report
DQAF	Data Quality Assessment Framework
ECCE	Early Childhood Care and Education
EFA	Education for All
ESP	Education Sector Plan
FTI	Fast Track Initiative
GDP	Gross Domestic Product
HLQ	High Level Question
HQ	Headquarters
IF	Indicative Framework
KESSP	Kenya Education Sector Support Programme
LEG	Local Education Group
NETF	Norwegian Education Trust Fund
NGO	Non-governmental organisation
OECD	Organisation of Economic Cooperation and Development
PRSP	Poverty Reduction Strategy Plan
SBS	Sector Budget Support
SWAp	Sector-wide approach
TA	Technical Assistance
UPC	Universal Primary Completion
WB	World Bank



## A. Introduction

G1 In the evaluation's Working Paper on Capacity Development (CD) (Riddell 2009), it was explained that responses to many of the High Level Questions (HLQs) in this mid-term evaluation of the Fast Track Initiative (FTI) would have to wait until the nine full country case studies and eight country desk studies had been completed. It was simply not possible to reach any robust conclusions concerning the relevance, effectiveness or efficiency of FTI in achieving its objectives in capacity development by relying only on the global level data and reporting. This annex now attempts to synthesise the evidence on capacity development from the 17 country studies, linking it also to the information gathered by the evaluation's global level review.

G2 The capacity 'gap' was one of the four gaps identified as holding back countries' achievement of Education for All (EFA). The FTI 'process', beginning prior to endorsement, was supposed to ensure that local donors would mobilise support as required in the preparation and revision of a country's education sector plan (ESP), including "*upstream technical studies and capacity and consensus-building*" (FTI 2004d, 2004). The Framework went on to state that the sector plan would "*address key constraints to accelerating universal primary completion (UPC) in the areas of policy, data, capacity, and financing...and identify implementation capacity constraints and strategies to address them*" (FTI 2004d, p.5). Each of the country case studies details FTI's contributions to these four specific 'gap' areas. This annex focuses on the capacity development gap and the issues raised across all the country studies as well as looking at the global effort to keep pace with the changing conceptions of the capacity development challenge.

G3 FTI was designed to have three main channels of influence on capacity development at country level: the process of developing and endorsing of a country's ESP; the EPDF's contribution specifically; and the use of the CF in support of the endorsed ESP. Table 4C in the Appraisal Guidelines (FTI Secretariat 2006a), "capacity constraints and plans to overcome them", lists the following capacity areas: teacher recruitment; support and development; student assessment and curriculum development; data for better management; procurement/contracting systems; promotion of schooling among target populations; administration and management; legal/institutional framework; and school-level capacity. As explained in the Guidelines, "*their main purpose is to make sure that the key issues are addressed.*"

G4 Three of the four EPDF objectives focus specifically on capacity development:

- Support the development of sustainable national education sector programmes;
- Strengthen Government technical and institutional capacity to develop and implement policies and national education sector program; and
- Improve the understanding of issues that are key constraints to reaching EFA through support for regional studies, analytical work and strategies. (FTI 2005a).

G5 The support provided by the CF varied from country to country, using different aid modalities, targeted at different areas of the ESP, and in this way the FTI was potentially able to influence and contribute to overcoming the capacity constraints as identified in the Appraisal. Such constraints were expected to be addressed by strategies in the ESP. FTI's common approach across all countries by which it aims to focus on country level processes and to be country led was also supposed to build capacity. The FTI aims to build capacity through the process of a country's

development of its ESP, by animating the local donor and local education groups and supporting them in the process of producing and improving the plan. FTI's support of annual reviews, in conjunction with other donors was also considered to be a means of building local capacity.

G6 In addition to the three main streams of FTI influence on capacity development at country level (see ¶G3 above), discussions at global level and changing concepts of capacity development led to the FTI producing its own FTI Capacity Development Guidelines. In essence, the FTI was riding a wave that went beyond the initial conceptualisation of 'capacity gaps' and examined the individual, organisational and institutional underpinnings of capacity development. The production of the CD Guidelines was a positive undertaking, not diminished by the challenges faced by all who enter into holistic capacity development, rather than short-term gap-filling. Underlying these challenges is the inter-sectoral nature of addressing some of them. For instance, the incorporation of new teacher development pathways within a wider public sector reform, or public financial management reforms in the education sector which mirror national initiatives, are both enormous challenges which few countries have overcome successfully. Thus, to point out the limitations of FTI's contribution in such undertakings, merely acknowledges the complex nature of such reforms and the need for long-term engagement. Conceptually, the CD Guidelines have been a positive contribution in this regard.

G7 This annex comprises eight sections. Following this introduction, section B begins simply by listing some of the factors which have a bearing on FTI's contribution to addressing the capacity gap. Section C provides some background to the FTI CD Guidelines and their use within FTI. Section D provides evidence at the country level on the CF's contribution to capacity development. Section E discusses the necessity of the Country Processes Guidelines in bridging the divide between FTI's ideals of contributing to CD and its practices, especially the EPDF. Section F synthesises the positive aspects of the FTI's contributions to CD. Section G reviews the limitations, which are observed primarily in the use of EPDF monies in the countries studied. Finally, Section H picks out some patterns across the 17 country studies.

## **B. Factors influencing FTI contributions to addressing capacity gaps**

G8 Many factors have influenced the contributions made by FTI to addressing the capacity gaps identified in countries. First of all, the time period of FTI's involvement in a country is crucial, as the eligibility rules changed. Looking back to the origins of FTI, the inclusion of populous, predominantly federal states such as Nigeria, India, and Pakistan, placed them in a different category of countries eligible to receive 'analytic' support. Additionally, except for Africa, which had the Norwegian Education Trust Fund (NETF), before 2004, there was no EPDF. Since the launch of the FTI, the staffing of the FTI Secretariat has significantly increased, and this has led to individuals being made responsible for following capacity development issues. Also, the World Bank's (WB) application of 'due diligence' in its role as supervising or managing entity of the Catalytic Fund (CF) and the EPDF changed the nature of the approval process and the assessments required for different aid modalities. Furthermore, as the FTI developed, increasing reliance was placed on the Local Education Groups (LEGs) in appraising the ESPs of countries applying for endorsement. Finally, different countries had very diverse baseline track records in capacity development as well as different constellations of bilateral, multilateral and non-governmental organisation (NGO) support for capacity development.

G9 On the country side, different countries were focused, in a variety of ways, on capacity development issues, influenced in part by those agencies and individuals with whom they interacted. Different understandings of what is meant by capacity development also continue to abound, not only across, but also within countries, dividing the staff in governmental and non-governmental organisations as well as donor staff within Local Education Groups (LEGs). Similarly, the leadership and capacities of individuals within these different institutions also varies, as has the tradition of what is entailed in capacity development, not least when it is seen as a perk, such as when trips abroad or per diems are involved.

G10 The individual country case studies demonstrate that the process of FTI endorsement varied considerably from country to country, as did the reviews post-endorsement. The Appraisal Guidelines were not used systematically or consistently, and Annual Sector Reviews did not necessarily identify the effectiveness or efficiency of the action plans of endorsed ESPs. Indeed, in the Review of the Twenty-Eight Education Sector Plans carried out by the FTI Secretariat (World Bank 2007c), it was found that *“a majority of the ESPs do not take a holistic view towards capacity building but rather focus on one area.”* (p.19). Further, *“many countries were not able to clearly describe strategies to overcome and monitor these (capacity) constraints with realistic options.”* (p.26)

G11 The hypotheses set out in the Evaluation Framework (Cambridge Education, Mokoro & OPM 2009a) were investigated in each country study, starting with the overall hypothesis that limited capacity was hampering the development and implementation of education plans and programmes and affecting progress on achieving UPC. Clearly, FTI identified the challenge of the capacity ‘gap’ as one of the significant reasons for countries to seek support, so it is not surprising that none of the evaluation’s 17 case study countries was found to have sufficient, comprehensive capacity to plan and to implement its educational strategy to achieve UPC or the broader EFA goals.

G12 The second level of the evaluation investigated those activities and inputs of FTI to the 17 countries studied hypothesizing that FTI promoted a harmonised approach to capacity development and supported capacity development in areas prioritised for achieving UPC. In the same way that the CF was intended to catalyse donors to mobilise additional finance for endorsed countries, so was FTI, more generally, intended to promote harmonised and country coordinated capacity development to prepare and to implement ESPs for achieving UPC. Capacity development was addressed to some extent – but not comprehensively – in the endorsed ESPs of the countries studied. However, the FTI was intended to influence donor behaviour beyond the individual, bilateral or multilateral support given to separate CD efforts. Each country study details the contribution of FTI to capacity development in the three channels of influence, but also in this more general sense, towards better practice, in line with the guidelines of the Paris Declaration and, more recently, the Accra Agenda for Action.

G13 As is summarised below, however, and across the evaluation as a whole, there is little and only exceptional evidence at the country level of the FTI promoting such better practice, and thus potentially adding value beyond the contributions to capacity development of the EPDF and the CF, and the appraisal, endorsement and review processes conducted by the LDGs.

G14 Concrete FTI support in the form of EPDF and CF contributions is detailed in each of the country case studies. The studies also note individual bilateral and multilateral support for capacity development where it continued from the situation prior to and during FTI engagement. Each country case study details the different stages of FTI’s potential and actual contributions across the five work streams,

following the Evaluation Framework. The absence of further factors or channels of influence of FTI on capacity development is not for lack of investigation, but for lack of identifiable inputs.

### **C. The FTI Capacity Development Guidelines**

G15 The FTI Capacity Development Guidelines were published in 2008. This followed work carried out by the Capacity Development Task Team that was created in 2006. The Task Team was created in response to Germany's suggestion and willingness to undertake more rigorous work in addressing the 'capacity gap' during its year (2007) of co-chairing the Steering Committee as the G8 leader.

G16 The first activity of this Task Team was to capture an initial snapshot of the role of "capacity" in the FTI context. Responses to their survey indicated that capacity constraints, for various reasons, are not thoroughly and critically considered when assessing national sector plans. "Capacity" tended to be conceived of as human resource, or skills development. Reflection on "capacity development" as encompassing more than skills development was less common (FTI 2008a).

G17 The capacity gap was one of the four 'gaps' which was meant to be at the core of FTI support strategies, and the CD Guidelines were intended to "*support the Local Education Group under the leadership of the government to develop a time-bound strategy with priority actions for sustainable capacity development across all levels and areas.*" (FTI website 7 August 2009) The FTI website goes on to state that:

*"Countries may use the guidelines during ESP development, implementation or revision, may include a CD strategy as a component in the ESP or develop a CD strategy complementary to the ESP. This will help the Local Education Group to better coordinate their technical assistance in the education sector but also to assess the robustness of the ESP against the available capacity."*

G18 A workshop held in Bonn in the spring of 2007 exposed development partners to the CD Guidelines. But despite the production by GTZ of a dissemination plan and a toolkit for launching the guidelines in-country, the CD Guidelines were little known in many of the countries studied in this evaluation, and had been used only in Nicaragua and Malawi. In Malawi and in Nicaragua the use of the FTI CD Guidelines has aided capacity assessments, where the institutional development plan has been reviewed against the guidelines. (Similarly, a capacity constraints analysis has been carried out in Zambia, although not utilising the FTI CD Guidelines.) As noted by the FTI Task Team on Capacity Development in its report to the FTI Technical Meeting in Bonn (FTI 2007w), the guidelines should be able to be used by country-level education stakeholders to enrich analysis, stimulate discussions and facilitate country-led solutions to capacity development challenges at national and sub-national levels.

G19 Genuine ownership of the guidelines by FTI still seems distant, some FTI partner interviewees having dismissed them as the Germans' and too abstract for practical use in-country. This is in spite of the fact that they accord well with best practice in capacity development, dealing holistically with individual, organisational and institutional capacity development, and essentially constituting the Organisation of Economic Cooperation and Development (OECD) guidelines on CD adapted for the education sector. (OECD 2006d) Although they are comparatively recent, the CD Guidelines do not seem to feature as an obvious part of the pathway to pre-endorsement work on the ESPs, and by the end of 2008 no EPDF monies had yet been spent on their implementation.

G20 In practice, it would seem that the use of the FTI CD Guidelines has been serendipitous rather than planned, used by those few people, in country, having some connection with those who were involved in their production in some way. This is an important point because it is but one example of a pattern that one can see in FTI, which has its positive and negative attributes. On the one hand, FTI is large enough to embrace diversity – the diversity of development agencies, approaches, involvement, commitment to the Paris Declaration, etc. On the other hand, embracing such diversity can leave FTI without its own imprint, what defines ‘FTI’. Therefore, the CD Guidelines, rather than becoming ‘owned’ by FTI and a key part of the FTI approach, were instead seen by many as a ‘take it or leave it’ FTI asset. This has occurred despite the fact that the guidelines were trying to engender ‘good behaviour’ and represent best practice in a key area for FTI.

## **D. The Use of the Catalytic Fund for Capacity Development**

G21 Review of the evidence from the 17 country case studies illustrates that CF monies were spent on capacity development in the following countries: Ghana (for a teachers’ incentive scheme for underserved areas); Cambodia (for integrating contributions to the Child Friendly Schooling programme, a school inspection policy and education management training); Ethiopia (education management); Mali (teacher training for community schools); Rwanda (two teacher training centres); Yemen (district-level teacher training and capacity building in computer literacy, planning and statistics at central, governorate and district levels); and Moldova (early childhood care and education (ECCE)). Capacity gaps were not addressed comprehensively in any country, but FTI did in a number of cases make positive contributions to planning, policy analysis and policy dialogue; this is discussed below in the context of the main conduit of FTI influence on CD, the EPDF.

### *Adaptability to Fulfil Country Requirements Beyond Primary Education*

G22 In six of the countries studied, FTI CD inputs have gone beyond primary education, adapting to the needs and demands of the countries concerned. In Moldova CF support has been focused on early childhood education, providing training and materials and developing a mentoring scheme, though falling short of addressing staff shortages and the systemic difficulties with recruitment and retention of teaching staff. Secondary education strategies were developed with FTI contributions in Mozambique, Uganda and Yemen; and in Rwanda and Mali, the CF has supported teachers through training in Mali and enabled the hiring of contract teachers and the distribution of bonuses in Rwanda. These examples highlight the flexibility of the CF funding to encompass capacity development needs when they are directly linked to requirements in the country government’s Sector Plan. Unfortunately neither the endorsement of the plan nor the country level processes pre-endorsement rely upon the inclusion of a capacity development plan for the sector.

### *Aid Modality Effects*

G23 It has been increasingly recognised that the use of government systems whenever possible is an important ingredient of institutional capacity development. Yet several of the case studies link the limitations on capacity development with the aid modality chosen for the CF: specifically, the project modality which unlike Sector Budget Support (SBS), specifies particular resource allocations and may not join up the necessary capacity development with the particular monies allocated. The country case studies therefore highlight how by insisting on the use of the project modality FTI is diminishing the impact it could have on capacity development. The project modality in Nicaragua was seen as leading to a loss of the indirect effects in

improvements to capacity development promoted by the SWAp, which had been encouraging harmonisation of CD support, rather than the piecemeal alignment with the ESP. Conversely, in Rwanda, where sector budget support (SBS) was the modality selected, the resultant flexibility in resource allocation – including to CD – promoted greater linkages with the civil service reform programme, as well as implementation through regular government systems.<sup>1</sup> In Cambodia and Moldova, on the other hand, the aid modality chosen for the CF funding result in dual capacity development being necessitated, since, training on WB procurement procedures occurred in parallel with more aligned capacity development which already begun earlier.

## E. The Education Program Development Fund (EPDF) and Capacity Development

G24 **Appendix IV** deals with the EPDF in greater detail, As described in the FTI Framework document (FTI 2004d) the EPDF was established in 2004 to provide funding “for priority studies, capacity building, national outreach and stakeholder consultations.” (ibid, p.5). The Framework document states that the EPDF is being created to assist local donors in their support of the “FTI process”, which “includes upstream technical studies and capacity and consensus-building as countries develop the education component of a PRSP and/or prepare or revise national education sector plans”(ibid, p.5). The objectives and operational principles of the EPDF (detailed in Appendix IV) show that it was envisaged as a means of assisting countries in their development of credible Education Sector Plans (ESPs). It would utilise donor partnerships and increase harmonisation and alignment procedures, reflecting the new aid modalities.

G25 **Appendix IV** provides a thorough review of the use of the EPDF, but it is important to delineate here the role that the EPDF has played in FTI’s contribution to capacity development. In particular, the Country Level Processes Guide, which explains the steps toward FTI endorsement, including addressing the capacity gap, illustrates the gulf between the ideal procedures and the practices of the past – which, after all, brought about the necessity for such a guide in the first place. Different stakeholders have understood differently the purpose of the EPDF,<sup>2</sup> and the work being carried out currently by the EPDF Task Team is designed to bring about a common understanding and more effective practices.

G26 In the Country Level Processes Guide (FTI 2009a, the use of EPDF is at Stage 3, in taking stock of the sector. The Guide states that the key characteristics of FTI are that “they aim to advance all the aspects of the aid effectiveness agenda, they focus on filling all four gaps identified in the FTI framework (data, policy, capacity and finance) and ...can call upon the Education Program Development Fund.” The country studies carried out for this evaluation illustrate the lack of comprehensiveness of in the way in which FTI fulfils these goals, which are often more aspirational than defining characteristics. Indeed, the Guide goes on to state that, “it is important that the Ministry of Education seeks the participation of other Government entities, e.g. Ministry of Finance, Public Service Commission, local administrative units, and ministries responsible for labor, youth, gender, etc.” and that “for example, it is essential that the ESP be fully costed and clearly embedded into the country’s overall poverty strategy (PRSP or equivalent) as well as medium-term expenditure frameworks, but also in terms of other policies and strategies around

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<sup>1</sup> These linkages with the effects of the project modality clearly cover a range of country endorsement dates (Nicaragua (2002), Moldova (2005), Cambodia and Rwanda (2006).

<sup>2</sup> This can be seen in the section of Appendix IV which presents some of the perspectives garnered from the interviews carried out as part of this evaluation.

*public service reform, decentralization, gender and other cross-cutting issues such as HIV/AIDS, equity, inclusion, and learning outcomes.*” Whilst it is clear that some of these linkages have been made, there has been little traction at country level around these principles: FTI’s influence on capacity development through the EPDF has not been connected with public service reform nor, unsurprisingly, with overhauling teachers’ salaries and linking career paths with learning outcomes. Thus, EPDF’s role in contributing to the stock-taking necessary for a credible ESP has been circumscribed. Nonetheless, EPDF has contributed in other ways to partner countries’ capacity development, as is detailed in the next two sections which provide an overview of the positive aspects and limitations of the various FTI influences on capacity development.

## **F. Some of the positive aspects of FTI’s contribution to capacity development**

### *Country Status Reports and Policy Simulation Models*

G27 The most consistent, positive reports of FTI’s contribution to capacity development have related to the development and use – especially for policy dialogue – of the Country Status Reports (CSRs) and policy simulation models which were supported, initially by the NETF in Africa, as well as by the WB, and, from 2004, through the EPDF. However Burkina Faso’s experience of two waves of CD support in this regard hold out lessons for other countries. The first wave, entirely financed by the NETF, “focused on ‘the product’ (i.e. the diagnostic analysis of the education system itself) and was completed in a very short period of time, while the second CSR focused on the ‘process’ (i.e. capacity building in data analysis) and was carried out over a period of 18 months.” (Chiche et al 2009, p.67 para 8.27). This distinction between the product and the process has a bearing on all the CD activities to which FTI has contributed, as it concerns the modality and effectiveness of the CD, and not merely the end-product, as urgent as this might be for endorsement and eventual disbursement of the CF. In other words, especially given the much longer time taken in the second wave of CD in this area and the assessment of the much likelier sustainability of the capacities developed, a balance clearly needs to be struck between the production of those tools and the ownership and sustainability of their use in recipient countries.

G28 Other countries with positive experiences of capacity development in this area include Mozambique, where “*policy making (was) more informed by analysis of the financial implications of policy options*” and “*FTI contributed to the improvement of the technical quality of the policy and planning process*” (Bartholomew et al 2009d, Annex E). However, the sustainability of the capacities developed in the adaptations made to the FTI simulation model was judged as ‘fragile’.

G29 In Rwanda, Uganda and Yemen, positive experiences were also recorded of the capacity development accompanying the costing and policy simulation work to which FTI contributed. It is clear that the tools and capacity development contributed to improved planning, policy analysis and resource allocation, even if the pace and modalities of such support may have reduced the sustainability of the processes. The success of the support and contributions derives from the concerted and regular mentoring which characterised the more successful practices, as was confirmed in the interviews of members of the WB team at headquarters (HQs) who have persisted in their efforts with the transformation of NETF into EPDF activities. Just the same, whatever the modalities, even the more successful practices cannot overcome the mobility of staff often trained out of the ministry.

### *But Need for Comprehensive Coordination on Teachers*

G30 Of course, the whole issue of teachers and teacher training requires a comprehensive response that goes beyond short-term capacity development and shortcuts around public service reform. As we shall see in the next section, confronting these broader issues is the exception and by no means the rule. However, in Cambodia, even if FTI has fallen short of aiding the coordination of teacher training as a whole, the CF is addressing the coordination of contributions to Child-Friendly Schools by integrating the efforts of many supporters in a master plan.

### *Addressing Key Knowledge Gaps*

G31 Yemen, perhaps because of its history as a donor orphan, but also perhaps because of the particular technical advisors involved (as is commonly the explanation for many exceptional cases), did benefit from a litany of studies that filled key knowledge gaps in the construction of the CSR. Thus, unlike many other countries in which there seemed to be random, individual studies, in Yemen, it would seem that a concerted effort was made to fill the knowledge gaps concerning the institutional structure of education, student flow across the grades, levels and types of education, analysis of the household budget survey 2005 on the causes of dropout and linkage to education quality, an assessment of time on task in basic and secondary schools, etc. (Duret et al 2009, para 4.36) In the context of developing the capacity for planning and policy analysis, such filling of knowledge gaps plays an important role, although it cannot be assumed always to have a sustained effect on local capacity.

## **G. Some of the limitations on FTI's contribution to capacity development**

G32 Similarly, looking across the different influences which FTI has brought to bear on capacity development, a number of limitations can be observed in the practices and approaches taken.

### *CD Management by Country*

G33 Rwanda provides an exceptional example of a country which, having adopted a public sector reform, saw the establishment of a “*public agency in charge of coordinating and overseeing capacity building initiatives across Government*” (Chiche 2009a, para.5.60). Ironically however, the “*comprehensive review of the wage structure of the public sector*” carried out in 2007 excluded teachers. Although such CD management by the country as opposed to the donors cannot be attributed to FTI, it is underlined here especially because of the counter-examples in the next paragraph. Perhaps one could say that Rwanda didn't need the donors' assistance in this regard, whereas in other countries, management of CD is precisely what is missing.

### *Uncoordinated Gap-Filling and Un-harmonised Approaches*

G34 FTI's bringing donors together in support of countries' EFA, it would seem, has not led to harmonised approaches to capacity development, notwithstanding the relevance of much of the support given. Uncoordinated, piecemeal gap-filling, rather, has continued to be the norm, with few exceptions. In Cambodia, the capacity development planning that has taken place has been separate from operational planning, thus reducing the linkages to departmental activities. Indeed, a criticism of FTI's capacity development more generally is that it has focused predominantly on upstream work, the assumption being that downstream capacities would be adequately covered by the ESP. In Ethiopia, capacity development has had a low profile, especially at the level of implementation. In Ghana, an ad hoc, piecemeal approach was taken, lacking the systemic synergy required for institutional reform. In

Kenya, fragmentation of capacity development was over 23 Indicative Programmes of the Kenya Education Sector Support Programme (KESSP), with ad hoc delivery. Neither was a technical assistance (TA) plan developed nor a review of institutional development requirements drawn up in Kenya or, similarly, in Yemen. There has been an unbalanced dependence on training without the review of structures and organisational processes added to skill needs. While in Burkina Faso, as in Ghana, capacity development has not been tackled adequately nor comprehensively.

#### *Joined-Up Policy Support: Public Sector Reform, Holistic Approaches*

G35 Joining up public sector reform initiatives with capacity development is the exception not the rule: many forms of avoidance have been and are being used. This is especially the case for teachers, who comprise a significant proportion of the civil service in most countries. The benchmark of 3.5 times gross domestic product (GDP) in the Indicative Framework (IF) has typically raised a contentious issue, especially where the indicator, as in some francophone West African countries, viz. Burkina Faso, was lower than the average teacher's salary. Nevertheless, its use in the policy simulations in Burkina Faso was extremely helpful in bringing some realism into policy choices. However, when this benchmark has been viewed as conditionality, rather than as an indicative benchmark, it has not aided policy dialogue.

G36 Other forms of avoidance of the public sector reform issues have included priority mission groups such as have been used in Cambodia: here salary incentives are given to regular staff who are given significant responsibilities for the reforms; this aims to avoid introducing parallel staff, but does not address the underlying issues of public sector reform. Teachers' salaries were excluded from the public sector reform in Ethiopia, and the issue of the low teachers' salaries and the problems with their retention in the system, has been slow to be discussed in Moldova. In Pakistan, despite the recognition of capacity gaps in teaching, the political nature of teachers' appointments has only recently begun to be tackled. Pointing out the lack of joined-up policy support, however, is to underline its importance, not to diminish its challenge. The evidence of FTI's practice, which has focused primarily on ministries of education, rather than the joined-up guidance of the recently produced Country Level Processes Guide, does not 'naturally' connect the education sector into broader reform issues.

#### *CD Management by Donors*

G37 The management of capacity development by recipient countries themselves is an important aspect related to its sustainability. This is recognised in Kenya in the country case study. Yet there has been little progression on a pooled TA fund or a coherent TA plan, both of which are means of exercising potential national ownership and management. In Cambodia, capacity development has been left to the donors in practice, which has also been the case in Pakistan. Similarly in Nigeria, no TA plan has been developed. Although the EPDF is itself a 'pooled TA fund' (at international level), it has been only weakly, and not transparently, coordinated with other TA at country level.

## **H. Picking Out Some Patterns across the Country Studies<sup>3</sup>**

G38 Besides picking out the positive and negative issues that have been raised in the country studies, looking across them, there are also some patterns that can be discerned. There's little point in attempting a tally of each characteristic, especially with the desk studies in which not all of the same questions could be answered in the absence of a country visit. Further, whilst the country studies do illustrate a range of

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<sup>3</sup> Each country study includes a chapter on capacity development issues.

endorsement dates, pre-FTI status and continents, a tally would push them in the direction of being statistically 'representative', which they are not. Nonetheless, below are some of the findings which relate to the different FTI influences on capacity development across the cases studied.

- It is the exception, not the rule that countries have *CD plans*, and FTI has not significantly contributed to the prevalence of those that do have them.
- Even in those countries with SWAps, FTI has not so far given the extra push to harmonisation nor the comprehensive tackling of CD issues that is made explicit in the Country Processes Guidelines, the FTI CD Guidelines, and moreover, the forebears of such 'good practice', namely the OECD and even earlier, the EU CD guidelines (EuropeAid 2005).<sup>4</sup> In Rwanda and Mozambique (which had CD Plans), Nicaragua (which used the FTI CD Guidelines), Ethiopia (which was seriously tackling CD issues) and Malawi (work done with CD Guidelines), FTI was not found to be positively promoting harmonisation or the comprehensive tackling of CD issues. In Mali, despite the different contributions made by different donors, such support was still found to be disparate; and in Rwanda, linkages were not made between the education sector and national CD or civil service reform. These are challenging issues which few countries have tackled satisfactorily, but FTI's contribution has yet to make a significant difference.
- In none of the case study countries have comprehensive approaches to CD as yet been furthered by FTI, including those few making use of the FTI CD Guidelines.
- In only a few of the countries was there awareness of the EPDF outside of the WB, and knowledge of how to prioritise and access funds. Where there was such awareness, for example, in Mali or Kenya, typically it was only amongst a small handful of donors and not necessarily the Government. Thus the opportunity of widespread engagement and discussion of the potential use of EPDF monies was lacking.
- As already indicated as a positive aspect of the FTI's influence on capacity development, EPDF funds have been used for plan preparation, EPDF's priority use. However, this has by no means been uniform, and in some cases, notably Ghana, Rwanda, and Mali, little attention was paid to the use of EPDF funds for ESP revision.
- Although in the majority of cases the work carried out with EPDF monies has been relevant, often piggybacking on existing programmes, there were frequently reservations about the effectiveness and the efficiency of the use of EPDF funds.

G39 Each country is different and presents a different configuration of how exactly FTI has brought to bear its channels of influence on capacity development, whether in terms of the appraisal and endorsement process, the use of the FTI CD Guidelines, the EPDF or the CF Trust Funds. This annex has noted inconsistencies and shortcomings in the appraisal and endorsement process, in the operation of the EPDF,<sup>5</sup> and in the use of the CD Guidelines. These have led to the necessity of

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<sup>4</sup> EuropeAid, Institutional Assessment and Capacity Development: Why, What and How?, Aid Delivery Methods Concept Paper, European Commission, Brussels, September, 2005.

<sup>5</sup> Though with reference to further detail in Appendix IV.

producing the Country Processes Guide and continual and continuing discussion of reforming the EPDF, to bring practices more in line with the ideals of FTI performance, which are well illustrated in the CD Guidelines, even if weakly communicated at the country level. Capacity gaps were identified in some, but not all FTI countries, and not necessarily in any comprehensive way. Relatively limited, fragmented use has been made of the CF for capacity development. This far, harmonisation of CD inputs has rarely been furthered by FTI's involvement and in none of the case study countries was comprehensive CD support given.

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