

Final Report

Evaluation of UNESCO's Capacity
Development for Education for All
(CapEFA) Programme
ED/EO/SPM/bm/14/19

submitted to
CapEFA Coordination Team at UNESCO, Paris

February 2016

Evaluation Team:
Fabrice Hénard (Team Leader)
Bert-Jan Buiskool
Rogier van 't Rood
Larissa Wagner

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1 Executive Summary

1. Objectives of the evaluation

The main purpose of this evaluation is to determine the relevance and effectiveness of the Capacity Development for Education for All (CapEFA) programme's overall contribution to progress towards the realization of the Education for All (EFA) goals in its target countries, and to provide actionable and timely recommendations to the United Nations Educational, Scientific and Cultural Organization (UNESCO) on the positioning of the Programme to meet future needs and challenges related to the adoption of the Sustainable Development Goals (SDG) in September 2015, and more specifically to the SDG 4 to 'Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all'.

The focus of this evaluation is on assessing the CapEFA programme's relevance, effectiveness, efficiency, and sustainability. This evaluation does not focus on how the programme impacts on the EFA goals, due to the challenge in assessing the causality between the programme's goals and the EFA indicators. The focus of the assessment is on whether the right conditions at the systemic and institutional levels are created to have an impact on these EFA macro-indicators.

2. Unfolding of the evaluation

The evaluation was carried out based on a mixed-method approach. The process was structured into three core phases: desk and inception phase, field phase and synthesis phase. In the first phase, an evaluation framework and methodology for data collection was elaborated. In the second phase, the evaluation team carried out fieldwork evaluations in ten countries; UNESCO implemented 12 country evaluations itself, hiring external consultants in most of the remaining target countries¹. For triangulation purposes, additional interviews with UNESCO staff and donors and two surveys targeting national as well as global stakeholders of the CapEFA programme were conducted.

3. Findings

Programme evolution. This final external evaluation shows that the programme has been continuously learning during its existence and improving its method(s), its management and its alignment with the objectives and needs of stakeholders (UNESCO, beneficiary countries, other development partners).

In order to better align with the priority setting of countries of UNESCO, the CapEFA programme gradually improved its focus on post-conflict and post-disaster countries, with the priority area of Africa. In addition, the CapEFA programme works in close alignment with the UNESCO approach, regarding its normative work, its capacity-development approach, its complementarity with the regular budget and the knowledge and expertise available from UNESCO institutes. The CapEFA programme, as an extra-budgetary fund, has enabled UNESCO to maintain its presence on the ground in the area of education in a relatively large group of countries, including in some difficult country contexts, where UNESCO would be unable to provide major services using only its regular budget. In several countries, CapEFA enables UNESCO to continue its work in a systematic manner and to have a sustainable presence. Regarding beneficiary countries, the CapEFA programme is considered to be relevant addressing their priority needs. The strategic focus on 4 themes (Sector-wide Policies and Planning (SWPP), teachers, literacy and non formal education and Technical Vocational Education and Training (TVET)), the flexibility in the implementation, the participatory approach and the five-step capacity development (CD) approach are considered to be the main factors for making the programme relevant.

In a progressive manner, the CapEFA programme has also become a more gender sensitive programme. The presence of specific activities related to gender equality in some countries (Laos, Ethiopia, Myanmar)

¹External consultants carried out country evaluations in Guinea, Senegal, Mali, South Sudan, Burkina Faso, Togo, Bangladesh, Benin, Haiti, Ethiopia, Mozambique as well as the sub-regional project in the Arab states.

is certified by country evaluations. Moreover, programme monitoring on gender related aspects has been improved, while stakeholders consulted indicate that the emphasis on gender equality could still be strengthened in reporting and planning.

Finally, the alignment of the CapEFA programme with the 2030 Framework as well as the Sustainable Development Goals (SDGs) has been attested. The current programme is explicitly and implicitly addressing the new features of the 2030 Framework such as (1) access, equity and inclusion; (2) quality and learning outcomes; (3) lifelong learning approach and system developments; and (4) education in emergency situations. Indirectly CapEFA also contributes to other SDGs (health, gender, economic development).

Programme management. The programme is value for money. First of all, the programme budget allocated is considered to be sufficient for implementing the activities, although sometimes judged as insufficient to comply with all needs and demands on country level. The bigger part of the budget is directly allocated to activities on country level and stakeholders generally express their satisfaction with the supported activities that are developed in cooperation and based on a shared needs analysis. Besides, the programme funding acts as seed money by financing activities that subsequently attract additional funding from other donors (as for instance DR Congo, Myanmar or Chad). In a few cases activities are co-funded by CapEFA and development partners (and only in a very few cases by national ministries as well). The programme is well-managed and monitored. This is mainly explained by the competent and experienced CapEFA team. Moreover, the programme has improved its monitoring reporting arrangements over the years, for example by including result matrices and yearly monitoring reports.

A wide variety of activities across countries are supported, differentiating per thematic area. Activities are selected in dialogue with the beneficiary countries and according to their specific needs. There are no extensive baseline assessments (and ex-ante verification of the country approach) undertaken to serve an analysis of potential risks which could facilitate mitigating potential risks during the implementation of activities.

The programme is set-up as a basket fund and thus enables UNESCO to remain flexible and able to respond rapidly to changing situations in CapEFA countries. Beneficiary countries value this flexibility and responsiveness.

Programme implementation. Generally, the stakeholders consulted in the country evaluations, and mostly the beneficiaries, indicated that the CapEFA programme met their expectations. The methodology of the five-step capacity development approach led to concrete results, which are highly-valued by the beneficiary countries, as well as donors.

There is a fair balance within CapEFA between the number of countries supported and the level of depth of interventions. The activities supported are generally considered to be appropriate in light of the programme's objectives by focusing on a participatory approach to empower the programme's beneficiaries. Stakeholders of the CapEFA programme regard the programme as being implemented at a reasonable cost. The CapEFA programme establishes concrete work plans every year, with a country-specific budget for activities, personnel costs and equipment. Overhead costs are kept as small as possible. Moreover, the budget available is sufficient for implementing the activities as planned while in many cases insufficient for satisfying all needs and requests on country level. In the practice, most factors influencing the success of the programme implementation relate to the capacities of national authorities to properly implement and steer the set activities. In such countries where these capacities were not in place, the programme implementation did suffer from a diversity of difficulties (delays, staff turnover, lack of financial resources, etc.).

The implementation was facilitated due to the clarity of the objectives and the strategy of CapEFA for the national stakeholders as well as the coherence of activities within the CapEFA programme. Other enabling factors identified are the cooperation with diverse groups of national stakeholders and the focus on national ownership as a crucial component of successful implementation. The expertise of the UNESCO family is considered to be major asset compared to other development partners.

Some hindering factors for a smooth and effective implementation were identified like delays in the implementation of the CapEFA activities, staff turnover in partner institutions and organizations and difficulties in recruiting new staff. The coordination and communication of implementation of CapEFA activities remained a challenge to keep the national stakeholders to stay abreast of the implementation of all the activities under CapEFA. Lastly, one recurrent challenge observed is the tension between the short-term biannual planning and the long-term characteristics of a Capacity Development programme.

CapEFA interventions have involved a wide range of stakeholders while planning and implementing their interventions (sometimes united in local education groups). In some countries, synergies with other donor-supported initiatives were found (Senegal, Haiti, Mozambique) or even extra-financing for activities launched by the CapEFA was provided by other donors (Ethiopia, Madagascar, Laos). In most cases, mechanisms, such as regular meetings and systematic information exchange, were in place on country level in order to avoid overlap in activities of development partners. In few cases, CapEFA and other development partners intensively cooperated within one project, bundling expertise and human and financial resources.

The cooperation within the UNESCO family is positively assessed, although knowledge sharing could be further expanded between UNESCO programme stakeholders.

Programme effects. This evaluation collected evidence that beneficiaries of the programme improved their understanding on different topics and considered themselves as empowered. At the same time the evaluation shows the difficulties to measure “empowerment” of institutions and individuals (by lacking a proper baseline as well as a tool for measuring empowerment). Nevertheless, there is evidence that the programme has fostered the conditions enabling an increased level on national ownership by further rolling-out policies and strategic plans, or scale-up pilot projects by making use of other national or external funding.

The programme has been successful in reaching its objectives of developing the capacities of national stakeholders in the field of SWPP, literacy, teacher training and TVET. In SWPP, the CapEFA programme contributed to enhancing capacities to diagnose and assess education systems and to elaborate, revise and monitor education development strategies and plans. SWPP country evaluation reports showed that UNESCO is the only organisation capable of fostering horizontal and cross-cutting approaches, via CapEFA. In the Literacy and non formal education (NFE) theme, the CapEFA programme supported the design of literacy and NFE strategies and programmes as well as the conception of tools (guidebooks, modules) and products (training manuals, literacy and adult education manuals, gender-sensitive materials). Regarding the teachers theme, the CapEFA programme supported evidence-based teacher policy development and increased the national capacities for the management and training of teachers. Finally, in TVET countries, the CapEFA programme supported the elaboration of national strategies and policies, and supported activities to increase the capacity for planning, monitoring and evaluation of TVET systems, for example in the field of TVET statistics and labour market analysis. One particular contribution of CapEFA across all four themes is that it catalyses the cooperation between actors that did not have a regular and institutionalized cooperation structures. In the TVET sector, interventions provide some clear examples of supporting platforms where relevant stakeholders were brought together and for the first time cooperate and discuss TVET.

Even though the CapEFA programme contributed to the improved legislation, policies, strategies and concrete products like guides, tools and curricula, sustainability remains a challenge in some countries. In several CapEFA countries, policies and tools were not implemented, due to limited financial (in general, literacy countries) and human resources (Ethiopia, Mali, Cambodia) for implementation, as well as risks and political constraints at national level (Bangladesh, Mauritania, South-Sudan, Burkina Faso). Such kind of risks (and measures to mitigate them) are not yet an integral part of programme planning.

The evaluation shows that in all countries there is a need to further continue CapEFA.

Comparative advantage. There is a consensus amongst donors and beneficiary countries that the comparative advantage of CapEFA programme lies in its focus on developing capacities of stakeholders and on the thematic areas, the in-house expertise within the UNESCO family and the CD approach which

creates ownership amongst the main beneficiaries by following a participatory approach. Thanks to CapEFA, UNESCO is recognised as a trustful partner and broker. In general, stakeholders perceive CapEFA as complementing the programmes and activities of other donors as CapEFA objectives and programming is well-aligned with other development partners.

3. Recommendations

Drawing upon the findings and conclusions, this evaluation suggests four main issues for UNESCO Headquarters to be considered for the implementation of the current and future CapEFA programme. These recommendations are:

>> **Recommendation 1: Improve the programme structure and management**

- Keep the four themes framing CapEFA interventions (associating one country with one theme).
- Where necessary, allow programming activities that address cross-thematic issues (typically literacy and NFE and teachers or teachers and TVET).
- Turn SWPP into an operational umbrella for interventions under which CapEFA post-2015 will plan and implement its interventions.
- Keep a focus on upstream levels meant to support plans, strategies and policies to be designed and implemented either at national or decentralized or deconcentrated levels. Explore the possibility of midstream activities,
 - in case countries that have not achieved the objectives of the CapEFA programme, to the extent the midstream activities contribute to the objectives of the CapEFA programme (which focus on upstream level).
 - in cases where midstream activities constitute an entry point for capacity development activities in a country, to the extent there is sufficient consideration and follow-up of upstream activities, once midstream activities are put in place.
- Include a systematic risk analysis:
 - in the design of the CapEFA programme in order to identify the right level of operation (upstream or midstream levels or combined) and take into consideration the budget situation (as midstream activities are costlier).
 - in the beginning of programming of activities on country level to mitigate and anticipate on potential risks for implementing of programme activities at country level.
- Maintain the five-step process and participatory planning methodologies.
- Improve the baseline assessment of capacities of beneficiaries and the performance on relevant Sustainable Development Goals (e.g. by developing a practical tool to measure the level of empowerment and identify the gaps between the current situation and intended situation).

>> **Recommendations 2: Better align with the 2030 Framework and SDG4**

- Identify how the CapEFA programme supports the achievement of SDG4 as well as linkages with the other SDGs (e.g. poverty, hunger, gender equality, health, economic growth).
- Improve Monitoring and Evaluation (M&E) systems and log frames, by referring to the new features of the 2030 Framework for Actions (activities – indicators – measurement instruments - validation) and by identifying baselines for each indicator. Set mechanisms that will allow capturing longer term effects of the CapEFA programme.

- Foster the advocacy role of UNESCO towards the achievement of SDG goals in the target countries, and assist the national authorities in promoting the CapEFA achievements within the 2030 framework.
- Strengthen knowledge of CapEFA teams (national, regional, headquarters, institutes) on the key features of the renewed 2030 Framework and relevant SDG.
- Keep ensuring the right balance between access (which remains an obstacle in many countries), equity and quality in CapEFA programming.
- Further expand pathways between formal education and NFE in the perspective of developing life long learning systems as well as mechanisms for the recognition, validation and accreditation of informally and non-formally acquired competences for adults.
- Keep on putting emphasis on the integration of gender equality in CapEFA programming and monitoring, to ensure the theme does not lose priority.

» **Recommendation 3: Improve the sustainability of the programme**

- Specify how the programme assures the sustainability of programme activities from the outset:
 - Define a strategy to assure that sustainability of programme achievements is an integral part of programme planning and implementation.
 - Further explore the opportunity offered by the Global Partnership on Education as well as other funding opportunities to expand interventions supported by the programme.
 - Further explore the possibility of attracting new donors (including member states, other development partner, as well as the private sector).
- Ensure the sustainability of the programme:
 - Keep offering continuous support for CD and implementation (especially in countries that still need it or where interventions are running late), and complete relevant activities that have been postponed.
 - Keep ensuring the active involvement of UNESCO field offices in country-specific development issues with the national government and other development partners.
 - Maintain or further develop the broker function with other development partners to foster opportunities for financial cooperation.
- Ensure a follow-up of the programme implementation:
 - Ensure that the main CapEFA achievements are transferred in an effective way from national to the ground levels, in the context of deconcentration and decentralisation reforms.
 - Develop a practical tool to measure the level of empowerment of institutions as well as whether programme objectives are achieved.

» **Recommendation 4: Improve the programme's Knowledge Management (KM) practices**

- Further develop a KM strategy within the context of CapEFA and allocate resources to KM at Headquarter (HQ), as well as country level.
- Facilitate regular meetings for the purpose of knowledge-sharing between local teams and stimulate the community of practitioners in place.
- Define more closely the programme expectations per thematic area and define the key features of the 2030 Framework for Action as well as SDGs by reviewing the programmes theory of change.

- Identify different target groups to be involved in the KM strategy, for example: (1) the UNESCO/CapEFA family; (2) development partners; and (3) the beneficiaries of the programme.
- Improve the self-evaluation practices of local project teams to strengthen the learning capacity of the programme in dialogue with teams in the field.
- Develop evaluation instruments that are constructive rather than reactive, and that engage stakeholders in a learning process.
- Detect lessons learned from the self- evaluations by CapEFA coordinators.
- Identify good practices in KM across CapEFA countries.
- Monitor the implementation of the KM strategy in the yearly progress reports.

LIST OF ABBREVIATIONS

AECID	Spanish Agency for International Development Cooperation
BREDA	UNESCO Dakar Regional Office
CAP	Capacity
CapEFA	Capacity Development for Education for All
CAPNAM	Capacity Needs Assessment Methodology
CD	Capacity Development
COJSE	Consortium of Journalists Specialized in Education
CONEPT	National Coalition for Education for All
CESR	Comprehensive Education Sector Review
CTE	Colleges of Teacher Education
D&D	Decentralization and Deconcentration
DNEE	National Elementary Education Directorate
DNEFPE	National Directorate of Training and Development of Teaching Staff
DNESG	National Directorate of General Secondary Education
DGAPLAN	Direction Générale de l'Alphabétisation et de la Promotion des Langues Nationales
DRC	Democratic Republic of the Congo
DTE	Department of Teacher Education
DVV	Deutscher Volkshochschulverband
EBJA	Adult and youth literacy and basic education
EFA	Education for All
EMIS	Education Management Information System
ENI	Ecoles normales d'Instituteurs
ESDF	Education Sector Development Framework
ESP	Education Strategic Plan
ESDP	Education Sector Development Programme
FAES	Fonds d'Assistance Economiques et Sociales
GPE	Global Partnership for Education
HE	Higher Education
HQ	Headquarters
IBE	International Bureau of Education
ICEIDA	Iceland International Development Agency
IDB	Interamerican Development Bank
IICBA	International Institute for Capacity-Building in Africa

IIEP	International Institute for Educational Planning
IFAD	International Fund for Agricultural Development
INSEED	Centre National des Curriculas
ISSEG	Guinea Institute for Education Sciences
KM	Knowledge-management
LAE	Literacy and Adult Education
LEG	Local Education Group
LIFE	Literacy Initiative for Empowerment
LMIS	Labour Market Information System
LNFE	Literacy and NFE
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MEPSP	Ministry of Primary, Secondary and Vocational Education
MINEDH	Ministry of Education and Human Development
MLA 1	Main Line of Action 1
MoE	Ministry of Education
MoFED	Ministry of Finance and Economic Development
MOESTS	Ministry of Education, Science, Technology and Sport
NFE	Non-Formal Education
NGO	Non-governmental organization
OECD-DAC	Organisation for Economic Cooperation and Development - Development Assistance Committee
PCPD	Post Conflict and Post Disaster
PMIS	Personal Management Information System
PQN	Plano Quinquenal do Governo
QA	Quality Assurance
REB	Regional Education Bureaus
SDG	Sustainable Development Goal
SNCESE	National Service for Assessment Coordination of the Education System
SNFPP	National Directorate of Training and Skills Upgrading of Teaching Staff
STK	Stakeholder
SWPP	Sector-wide Policies and Planning
TEI	Teacher Education Institutes
TESAP	Teacher Education Strategy and Action Plan
TIMS	Teacher-related Information Management System
ToC	Theory of Change
ToR	Terms of Reference
TTC	Teacher Training Colleges

TTISSA	Teacher-training Initiative for Sub-Saharan Africa
TVET	Technical Vocational Education and Training
UIL	UNESCO Institute for Lifelong Learning
UIS	UNESCO Institute for Statistics
UNDP	United Nations Development Programme
UNEB	Uganda National Examination Board
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNESS	UNESCO National Sector Education Strategies
UNEVOC	United Nations International Centre for Technical and Vocational Education and Training
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WHO	World Health Organization

2 Background and Aim of the Evaluation

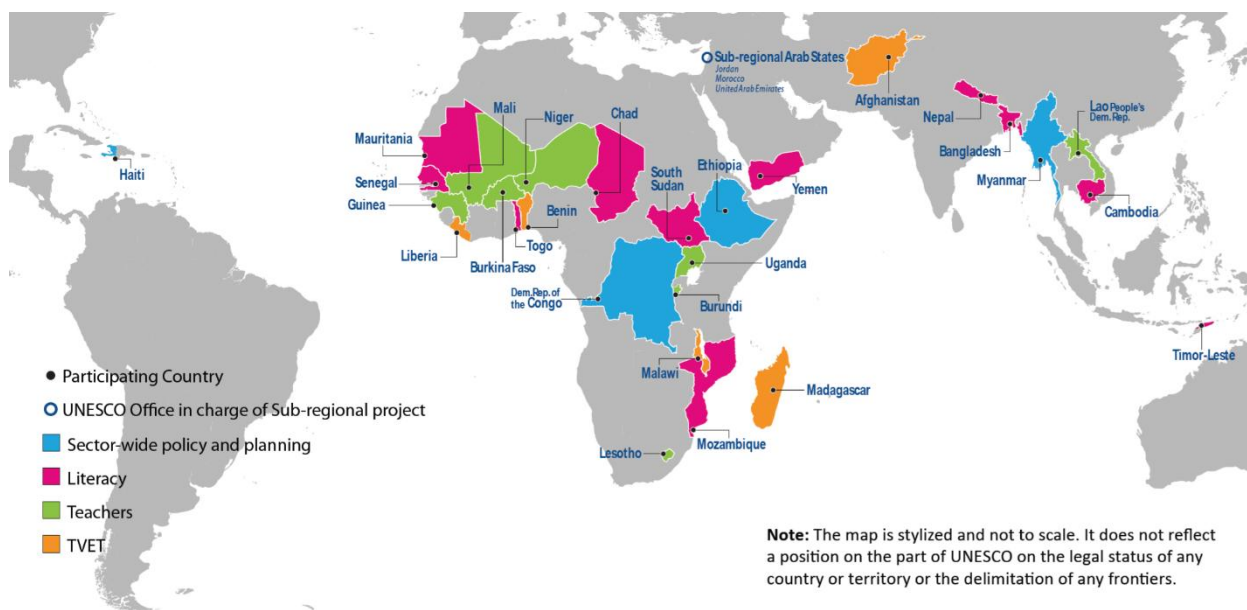
2.1 The CapEFA programme

The CapEFA programme was launched in 2003 as an extra-budgetary funding mechanism with the objective of ‘translating global advocacy for Education for All (EFA) into concrete action’.²

It focuses exclusively on capacity development (CD), understood as the process by which individuals, groups, organizations, institutions, and societies increase their abilities to a) perform core functions, solve problems, and define and achieve objectives, and b) understand and deal with their development needs in a broad context and in a sustainable manner³.

CapEFA focuses on a limited number of target countries (28 in 2015), identified as being among those furthest away from achieving the EFA goals. All of them are least-developed countries with low scores on the education-development index or which have been recently affected by conflict or major disaster. Most are located in Sub-Saharan Africa.

Figure 1: CapEFA's target countries⁴



In order to strengthen the planning and implementation capacity of target countries, the Cap EFA programme supports activities in four thematic areas considered as crucial for EFA improvement, namely:

- 1) SWPP
- 2) Literacy and NFE
- 3) Teacher training
- 4) Technical and vocational education and training (TVET)

Activities supported by CapEFA include training activities and workshops, the development/piloting and reviewing of curricula, learning materials, training programmes and

² Capacity Development for Education for All (2014): The CapEFA Programme. Annual Progress Report 2014, p. 23.

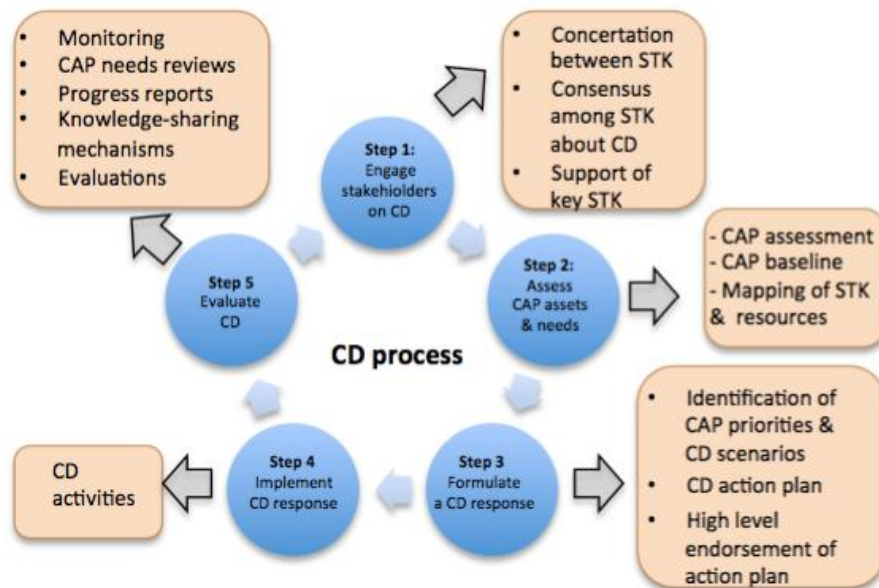
³ Quoted in UNESCO, De Grauwe, A., (2013), Without capacity, there is no development.

⁴ Presentation of the CapEFA Programme 2014, 13 May 2015.

activities for teachers, the drafting/reviewing of evidence-based policies/strategies/plans, and planning for capacity assessments/needs analysis/baseline assessments and action research (baseline assessments, studies, sector diagnosis)⁵.

CapEFA's core approach comprises the **five-step CD process**. This involves advocacy, dialogue, and consensus-building (step 1), followed by the assessment of capacity needs and the establishment of a capacity baseline (step 2), the development of a CD response (step 3), the implementation of the CD response (step 4), and the evaluation of CD (step 5). The process then begins again at step 1, as it is continuous and iterative.

Figure 2: Capacity development process⁶



Legend: CD means Capacity Development; STK means Stakeholder; CAP means Capacity.

This approach aims at enabling national stakeholders to build ownership, making sure that CD is fully adapted to national needs and priorities in order to harmonize stakeholders' views and actions, and to foster broad partnerships. The approach seeks to contribute to a high-level endorsement and to make CD a central part of education-sector strategies. Capacity needs assessments pay particular attention to the socio-economic context, institutional and organizational constraints, and interactions between stakeholders and sectors and sub-sectors that may positively or negatively influence CD.

In addition to the CD approach, CapEFA is implemented by a **participatory approach**, which means that the elaboration and implementation of CapEFA activities in target countries are led by field offices, with the support of HQ and the relevant UNESCO entities⁷. In accordance with UNESCO's 'family approach', UNESCO entities are involved as much as possible in the conception, planning, and implementation of CapEFA interventions in order to provide target countries with the best competences within the organization.

⁵ A more systematic overview of activities carried out is provided in chapter 3.2 Efficiency.

⁶ Presentation of the CapEFA Programme 2014, 13 May 2015.

⁷ Relevant institutes are Headquarters, Field Offices as well as the International Institute for Capacity-Building in Africa (IICBA), IIEP (International Institute for Educational Planning), IBE (International Bureau of Education), UIS (Unesco Institute for Statistics), UIL (Unesco Institute for Lifelong Learning) and United Nations International Centre for Technical and Vocational Education and Training (UNEVOC).

With regard to the **funding of CapEFA**⁸, as of 31 December 2014 the programme had received contributions totalling \$68.5 million since 2003. Until 2012, donor contributions followed a pattern of growth with minor decreases and slight variations, maintaining CapEFA's budget at an average of \$6.5 million a year from 2006. In 2013, however, contributions dropped to about \$5.2 million – a 25% reduction compared to 2012, mainly due to the discontinuation of support from Switzerland and the halving of contributions from Denmark. In 2014 contributions were on the rise again, reaching a record high of \$8.4 million. Although Denmark completely withdrew from the donor group in 2014, all the remaining donors increased their contributions⁹: The programme also welcomed a new partnership with Azerbaijan, which joined the donor group in 2014, providing a \$400,000 contribution to the CapEFA special account. As of 31 December 2015, the programme had received contributions totalling \$75 million since 2003.

Since its launch in 2013, the **CapEFA programme has significantly evolved** in terms of its focus, geographical scope, and alignment with UNESCO programmes and initiatives.¹⁰ For instance, while the programme focused on sector-wide policy development and realization of EFA action plans during the first years, the programme has since broadened its scope by including three additional themes: literacy, teacher training, and TVET. The alignment with UNESCO programmes and initiatives was also considerably enhanced in 2006/7, for example with the Literacy Initiative for Empowerment (LIFE) and the Teacher Training Initiative for Sub-Saharan Africa (TTISSA), by introducing better cooperation between the different UNESCO entities and institutes – the so-called UNESCO-family approach – and focusing on UNESCO's priority countries (2010). Also from a methodological and managerial point of view, the CapEFA programme has undergone some considerable developments since its launch. The introduction of the five-step CD approach (2010) set up a systematised cooperation framework with the target countries to identify and enhance capacities and ownership throughout the development process. The management of the programme was specifically strengthened, for example, by the introduction (2008/9) and subsequent refinement (2012) of result matrices.

The main financial and methodological evolutions are summarised in the following table¹¹.

Figure 3: Evolution of the CapEFA programme

Year	Evolution aspects
2003	Common MoU among Nordic donors
2004	CapEFA external evaluation
2004–5	Focus on least-developed countries
2006–7	Two-year programme cycle (instead of one)
2006–7	Alignment with C/5, LIFE, and TTISSA

⁸ Figures are based on CapEFA Progress Reports.

⁹ There was an increase of about \$600,000 from Norway – CapEFA's largest contributor to date – while Finland and Sweden approximately doubled and tripled their support, respectively.

¹⁰ See, for instance, MDF (2013): Evaluation Capacity Development for Education for All (CapEFA) Programme of UNESCO, chapter 1, 'Programme Description'.

¹¹ Information is taken from the following sources: CapEFA progress report 2014 (p.22, 14, 65); CapEFA evaluation report 2013 (p.208, 209); CapEFA progress report 2007 (p.21); CapEFA programme document 2012 (p.5); CapEFA progress report 2003 (p.1).

Year	Evolution aspects
2006–7	Possibility to hire coordination staff at local level
2007	Switzerland joins donor group
2007–8	Testing and adoption of the 'family approach' (although cooperation across the different implementation units has been encouraged since 2003)
2008	CapEFA external evaluation
2008	CD replaces capacity-building in CapEFA Programme Document
2008	Adoption of the five programming principles
2008	TVET becomes core intervention area
2008–9	Mid-term reviews introduced
2008–9	Result matrix introduced
2008–9	Programmes based on UNESCO National Sector Education Strategies (UNESS) analysis
2008–9	Regional support programmes introduced
2010	C/5 highlights CD and CapEFA
2010	Adoption of United Nations Development Programme's (UNDP) five-step approach
2010	Focus on list of priority countries identified by UNESCO
2011	Adoption of a more comprehensive definition of CD based on the UNDP's approach and Capacity Needs Assessment Methodology (CAPNAM)
2011	Italy provides a one-off contribution
2012	New results matrix linked to the four thematic areas instead of the five thematic principles
2012	Switzerland withdraws, Denmark reduces its contribution by 50%
2013	Denmark withdraws from donor group
2013	External evaluation of CapEFA carried out by MDF
2014	Azerbaijan joins donor group.

2.2 Aim of the evaluation and research questions

According to the terms of reference (ToR) the following objective and evaluation questions were identified.

Figure 4: Key evaluation questions

Objective

The main purpose of the evaluation, as outlined in the ToR, is to determine the relevance and effectiveness of CapEFA's overall contribution to progress towards the realization of the EFA goals in the targeted countries, and to provide actionable and timely recommendations to UNESCO on the positioning of the programme to meet the future needs and challenges of the new education development agenda. The evaluation will cover all geographic regions and the entire duration of the programme (2003–15). However, it will mainly focus on ongoing country programmes (the oldest having started in 2009).

Key questions for the study:

The ToR outline 33 indicative evaluation questions that are structured in line with the five standard OECD-DAC¹² criteria (relevance, effectiveness, efficiency, sustainability, and impact), plus the sixth criterion of partnership and cooperation. Many questions are logically interconnected, which allowed us to restructure them into evaluation questions and sub-questions.

The following set of general and guiding evaluation questions was used:

- EQ1: To what extent has the CapEFA programme achieved its objectives, outputs, and outcomes?
- EQ2: What intended or unintended changes has the CapEFA programme brought about at country level?
- EQ3: To what extent are national outcomes and interventions embedded in the national education reform and development context?
- EQ4: How relevant is CapEFA's contribution to, and what has been its added value for the achievement of, UNESCO's education-sector objectives, UNESCO's Global Priorities on Africa, and gender equality and the EFA agenda?
- EQ5: To what extent has CapEFA mobilised and made use of UNESCO's wide in-house expertise, particularly its Education Institutes and Centres, to assist beneficiary countries?
- EQ6: To what extent have partnerships been sought out and established and synergies created in the delivery of assistance at country level?
- EQ7: Are the costs of the CapEFA programme justified by its results?
- EQ8: How efficiently are planning and implementation carried out?
- EQ9: To what extent does CapEFA's CD approach ensure ownership/empowerment and facilitate the sustainability of results?
- EQ10: To what extent does CapEFA's CD approach ensure the efficient coordination of stakeholders at country level?

Taking all these evaluation questions into account, this evaluation aims to:

- Review and document the evolution of the CapEFA programme since 2003, with emphasis on its more recent evolution;
- Summarise previous reports and programme documents (2003–11) and provide an in-depth analysis of the programme's approach since 2012;
- Gain insight into the effectiveness, impact, relevance, partnership and cooperation, efficiency, and sustainability of the CapEFA programme, with particular attention to ongoing projects;
- Demonstrate the CapEFA programme's achievements and challenges;

¹² Organisation for Economic Cooperation and Development - Development Assistance Committee.

- Identify key lessons in terms of approaches, focus of support, management, and monitoring methods, particularly since 2012, when the programme document was last reviewed;
- Produce forward-looking recommendations that will inform the redesign and transition into the post-2015 agenda; and
- Provide recommendations to inform the formulation of the post-2015 fundraising strategy.

Although this final external evaluation covers the programme implementation and achievements since the start of the programme in 2002, the focus of this report is on the post-2012 period (other evaluations have covered earlier programme periods, namely those published in 2004, 2008, and 2013).

2.2.1 Reconstruction of the Theory of Change

In order to understand the underlying line of reasoning behind CapEFA, the **intervention logic** of the programme has been **reconstructed** based on the Theory of Change (ToC). The ToC is an approach that is applied to initiatives and programmes that have ambitious goals and require complex operational and strategic planning, as is the case for the CapEFA programme. The reconstruction of the intervention logic enables an explicit articulation and understanding of how objectives, initiatives, and results relate to each other.

Intervention logics and ToC are usually made up of five levels that depict the resources required (inputs) to do something (the implementation of the intervention, i.e. the activities) and the products, effects, or changes that this will entail (outputs, outcomes, and impact). The elements of the intervention logic that we used for the reconstruction of the CapEFA ToC are as follows:

Figure 5: Intervention logic elements

Inputs	UNESCO family staff, implementing partners, agreements and contracts with implementing partners, approved programmes and their financial allocations, external consultants
Activities	<p>Relevant types of intervention implemented in line with the CD approach, which facilitates the creation of broad participatory environments driven by strong national leadership, for example:</p> <ul style="list-style-type: none"> ▪ the drafting of policies, strategies, or plans ▪ the reviewing of curricula, learning materials, and teacher- and manager-training programmes and activities ▪ participatory capacity assessments.
Outputs	<p>The immediate or short-term improvements generated once the activities have been completed, for example:</p> <ul style="list-style-type: none"> ▪ revised policies, strategies, or plans ▪ new curricula, learning materials, and teacher- and manager-training programmes and activities. <p>The CapEFA programme has been in place long enough to produce immediate or short-term outputs, while mid-term changes/outcomes such as enhanced capacities require a couple of years¹³.</p>
Outcomes	<p>These are medium-term changes that correspond to enhanced national capacities, for example:</p> <ul style="list-style-type: none"> ▪ strengthened capacities to develop, implement, monitor, review, and evaluate policies, strategies, or plans ▪ strengthened capacities to develop, implement, monitor, review, and evaluate curricula, learning materials, and teacher- and manager-training programmes and activities.
Impact	<p>Long-term changes for the population in terms of improved quality of life, for example:</p> <ul style="list-style-type: none"> ▪ increased female literacy leading to improved career opportunities for women ▪ teachers better trained to teach minority groups, leading to higher literacy of these groups and better professional opportunities.

Based on these initial considerations and a thorough review of programme documents and reports as well as previous studies, a comprehensive ToC has been reconstructed (see annex 1).

¹³ Research shows that enhancing capacity requires a long-term effort. see for example Anton De Grauwe, 2009: Without Capacity there is no Development. UNESCO/IIEP.

2.2.2 Elaboration of the evaluation matrix

Following the reconstruction of CapEFA's intervention logic, a **comprehensive evaluation matrix** has been elaborated. The following considerations have been crucial in this process:

>> **Geographical levels**

The CapEFA programme operates on different levels, namely the global level (overall approach, design, and management of the CapEFA programme), sub-regional level (CapEFA sub-regional project in the Arab region), and country level (the actual programmes financed at national level)¹⁴. All these levels will be included in the evaluation framework.

>> **Thematic areas**

The CapEFA programme addresses four thematic areas (SWPP, literacy, teachers, and TVET) where results should be achieved. All these thematic areas will be included in the evaluation framework.

>> **Empowering institutions/organizations and individuals**

The CapEFA programme should have an impact on three levels: (1) the institutional level (changing patterns of collaboration, policies, rules, legislation, cultural value norms, and politics), (2) the organizational level (changing structures, systems, and processes), and (3) the individual level (changing knowledge, skills, and attitudes). All these levels have their own ToCs, but what they all share is that the programme strives towards self-control (self-management and self-determination). In other words, CapEFA should support empowerment at all levels, so that empowerment means institutions, organizations, and individuals have the ability to direct and control their own development path and resources, and the ability to take control over their own situation. There is no ownership without empowerment. This implies that there can be ownership only if institutions, organizations, and individuals have achieved the relevant competences, i.e. they understand what to do, the purpose of their task(s), and how to implement their activities. If one or more of these aspects is missing, people (and organizations/institutions) have not acquired ownership and consequently the outcomes or results of their activities will be disappointing, and thus not effective. In this evaluation we see empowerment/ownership as a main result of the programme, and seek to assess the contribution of CapEFA towards the achievement of empowerment and creating ownership.¹⁵ This evaluation mainly explores the effect on institutions and organizations directly participating/targeted in CapEFA, rather than the direct effect on individuals (which would go beyond the methodological scope of this assignment). Nevertheless, we would like to assess whether the changes on the institutional and organizational level also support the achievement of empowerment amongst individual beneficiaries/recipients by creating ownership at their level.¹⁶

¹⁴ To complement the picture, it should be said that in some countries pilot activities take place at the decentralized level (regions, districts, etc.).

¹⁵ Contribution analysis explores attribution by assessing the contribution a programme is making to observed results. It sets out to verify the ToC behind a programme and, at the same time, takes into consideration other influencing factors. Causality is inferred from the following evidence. 1. The programme is based on a reasoned ToC: the assumptions behind why the programme is expected to work are sound, plausible, and agreed upon by at least some of the key players. 2. The activities of the programme were implemented. 3. The ToC is verified by evidence: the chain of expected results occurred. 4. Other factors influencing the programme were assessed in terms of whether or not they had made a significant contribution. Where they had, the relative contribution was recognized.

¹⁶ Nevertheless, the evaluation team also seeks to consider and assess whether the changes on the institutional and organizational level also support the achievement of empowerment amongst individual beneficiaries/recipients by creating ownership at their level following the ideas of constructivism (Lev Vygotsky) and of psychosocial participatory methods founded on the ideas of Paulo Freire, in non-formal adult education. These methodologies are accepted by educational professionals as being the most effective learning approaches for empowering students. See, for instance,

>> **Evaluation criteria**

Finally, the CapEFA programme should be evaluated using the five standard OECD-DAC criteria (relevance, effectiveness, efficiency, sustainability, and impact) and the additional sixth criterion on partnership and cooperation. The focus of this evaluation is more on assessing the programme's relevance, effectiveness, efficiency, and sustainability. This evaluation does not focus on how the programme impacts on the EFA goals, since it is very hard within the scope of this evaluation to make a validated assessment of the causality between the programme's goals and the EFA indicators. The focus of the assessment is on whether the right conditions at the systemic and institutional levels are created to have an impact on these macro-indicators.

The comprehensive evaluation matrix, which is plotted along two dimensions – thematic areas and evaluation criteria – is presented in annex 2. Going beyond the ToR, the evaluation team has included an additional topic, namely the UNESCO corporate level, since this aspect is quite distinct from the thematic areas and makes it possible to tackle overarching evaluation questions related to the programme (strategy) level.

2.3 Research methods used

In order to enable thorough answers and conclusions to the evaluation questions, the evaluation was carried out in **four phases**: an inception phase, a desk phase, a field phase, and a synthesis phase. By applying a **multi-tool approach**, great emphasis was placed on data triangulation and validation. **Methodological triangulation** involved document analysis and review, semi-structured interviews at different stages of the evaluation process, online surveys, and workshops with the CapEFA team.

Experience suggests that participatory evaluation methodologies generate the most valid results and provide useful recommendations. We therefore applied the following mix of data collection methods with a strong focus on stakeholder participation.

general UNICEF policies and approaches on education, and the numerous evaluations on psychosocial participatory methods available at such places as the UIL in Hamburg. See also, for instance, Reflect by Action Aid (UK).

Figure 6: Overview of activities, tools, and deliverables for each evaluation phase

Phase					
	Inception and Desk Phases		Field Phase	Synthesis Phase	
Activities	Reconstruction of intervention logic/theory of change Development of an evaluation matrix	Wrap-up of existing information Identification of information gaps Interactive online training for local consultants	Collection of data to cover information gaps Analysis of collected data according to the methodological design	Expression and confirmation of findings for each evaluation question according to the judgement criteria Conclusions for each evaluation question Recommendations based on the conclusions	
Tools	Documentary analysis Interviews with key informants Observation at donor meeting Data analysis Online training for local consultants		Interviews Case studies Surveys	Validity tests Cross-checking and triangulation Formalization of responses to evaluation questions Workshop on first findings Additional interviews	
Deliverables	Inception Report		Country Notes	Draft Final Report	Workshop Final Report

>> **Inception and Desk Phase**

The main purpose of the inception phase was to elaborate the **evaluation framework** in close cooperation with the Evaluation Reference Group including a finalized reconstruction of the CapEFA Theory of Change and elaboration of the evaluation matrix. Moreover, an overall strategy for data collection was defined.

This was realized through an initial **inventory of the documentation provided by UNESCO** and through **semi-structured interviews** with stakeholders at HQ, UNESCO institutions, and donors (see annex 4 for a list of interviewees). The interviews used a checklist that was closely aligned with the questions included in the evaluation framework; they also allowed us to achieve a better understanding of the added value of the CapEFA programme and its cooperation arrangements within the UNESCO family, as well as donors' perceptions of the programme.

In addition, the team developed a **common methodology for the country-level evaluations** that was used by the team and independent consultants hired by the UNESCO field offices. This ensured coherence between the field visits conducted by the team and by the consultants. The common methodology contained the following aspects: a template for a country report, a detailed description of the data collection methodology to be used, a checklist for semi-structured interviews and focus groups, and clear criteria about how to make statements regarding evaluation criteria.

Following the elaboration of the methodology for country-level evaluations, the team prepared an **online training course for external evaluators** to enhance the common understanding of the methods to be used for the country studies. The course was designed as an e-learning tool consisting of both a theoretical and a practical part.

By the end of the desk phase, ICON's in-house staff started organizing the logistics for the field phase with the full support of the CapEFA programme at HQ and in the respective countries.

>> **Field Phase**

Originally it was foreseen that the evaluation team would visit ten selected countries in order to complete information needs and cross-checking data with the purpose to increase the validity of the evaluation. Due to critical security situations, the country case studies for Afghanistan and Chad were conducted with the support of ICON staff (Afghanistan) and a local consultant (Chad). The ten countries to be covered by the evaluation team were selected based on the following main criteria:

- Geographical spread amongst continents (Africa, Asia, and the Caribbean area)
- Thematic areas (SWPP, teacher training, literacy, TVET)
- Stability of the countries (inclusion of fragile states in the sample)
- Involvement in previous studies/evaluations
- Interesting developments/practices
- Practical aspects (safety, organizational issues, availability of a contact person).

The remaining countries, with the exception of Yemen, Timor-Leste, Malawi, Lesotho and Nepal, and one sub-regional project in the Arab region were covered by external consultants hired by UNESCO field offices.

The table below provides an overview of the countries visited during this evaluation.

Figure 7: Country visits conducted and/or managed by evaluation core team

Themes \ Countries	SWPP	Literacy	TVET	Teachers
Africa	Democratic Republic of the Congo (DRC)	Chad Mauritania	Madagascar	Niger Uganda
Asia	Myanmar	Cambodia	Afghanistan	Laos PDR

In order to ensure consistency in reporting, a common template was used for field reporting by the evaluation team and the extended evaluation team (local consultants). The main instruments for the compilation of country fiches were desk research and literature review, on the one hand, and semi-structured interviews and focus groups on the other. The stakeholders interviewed included representatives of UNESCO's field offices, representatives of other donors, authorities at national, regional, and local level of the beneficiary countries, consultants hired by CapEFA, programme participants and final beneficiaries. Each country mission concluded with a debriefing with local CapEFA/UNESCO staff.

Apart from the field missions, two online surveys were designed for two different target groups, and the responses were used to validate the main findings at global level:

- **Survey amongst programme stakeholders on global level** (including representatives of UNESCO Institutes, donor countries, and the field offices that play a role in CapEFA)

programme. Representatives of UNESCO HQ were interviewed face to face). CapEFA provided a list of 62 persons that were all invited to take part in the survey, and 34 completed the questionnaire (55%) and 3 of them partially (5%). More details on the survey (results) are included in annex 5.3.1.

- **Survey amongst national-level stakeholders in the 28 countries** in which CapEFA is currently implementing projects. Programme coordinators in each of the countries covered by this evaluation were asked to provide names of the main beneficiaries of the programme (like ministry representatives) and cooperation partners at country level. On average 14 names per country were provided with a maximum of 26 persons in Madagascar and a minimum of 3 names in the Arab States). Addresses were provided for almost all countries, excluding only Afghanistan, Burundi, Chad, Mozambique and Myanmar. For the survey amongst national stakeholders 268 persons were invited to complete the survey, of which 74 (27.6%) completed the survey and 18 (4.8%) completed it partially. 15 invitation e-mails bounced and therefore did not reach the participant. The response rate differed per country ranging from 54% in Niger to 14% in Mali. In all countries, at least a few responses were given by main beneficiaries of the programme (13 responses in Togo, while this was 1 in Mauritania). Nevertheless, since the response rate differs per country, (being more representative in one country than another) we made some reservations presenting the survey outcomes as hard evidence. Therefore, we triangulated the survey outcomes as much as possible with the outcomes of the country evaluations, identifying whether the survey findings support the outcomes of the country evaluations and vice versa. Where a clear trend is visible, we reported on these outcomes. More details on the survey (results) are included in annex 5.3.2, including the background characteristics of the respondents and the countries that responded.

Finally, **interviews were organized with representatives of donor countries** to discuss their views on the programme (see annex 5.4).

>> **Synthesis Phase**

In the synthesis phase all the information collected and the analysis undertaken in the desk and field phases was drawn together into a compilation of findings. This data was analysed according to the evaluation matrix. Making use of different sources of data collection, the assessment phase provided a critical triangulation of the evidence. Findings and conclusions were established for each evaluation criterion. Moreover, the evaluation team developed a set of practical recommendations on CapEFA's future design and implementation in light of the Education 2030 Framework for Action.

2.3.1 Limitations and challenges

During the implementation of the evaluation, the evaluation team faced the following limitation and challenges.

- Even though the evaluation team prepared a common methodology for all country evaluations and conducted an online training for the local consultants, the quality of country evaluation reports differed and challenged the team. Therefore, the in-depth analysis and visits carried out for the ten core countries formed the backbone of our analysis and confirmation of key findings and conclusions was sought by analysing the country evaluation reports elaborated by the local consultants.
- The evaluation is not representative for all CapEFA target countries as not all target countries formed part of this evaluation. For instance, no country evaluation was carried out for Nepal due to the earthquake in 2015, while countries like East Timor and Yemen were not covered within this evaluation as country evaluations had recently been carried out.

- As the process of empowerment and capacity development is a long-term process, long-term effects are hard to be captured and assessed within this evaluation. Due to this long-term nature, effects are mostly measured by capturing the perception of programme stakeholders and beneficiary about their empowerment and capacity development process. In some country cases, tangible outcomes supported by CapEFA were identified like education policies and strategies as well as specific tools or the initialization of follow-up activities.
- In the course of the evaluation it turned out that different stakeholders are assessing CapEFA from different perspectives. It seemed to difficult for informants to make a clear distinction between the expected impacts of the CapEFA programme (i.e. fostering empowerment and improving capacities of decision-makers) and the expected impacts on plans, strategies and policies after CapEFA ended. Therefore, a success of CapEFA might not be judged as such by informants who rather highlight the limited impacts on the national policies and ultimately on the beneficiaries (i.e. the learners).
- The CapEFA programme is implemented in a diversity of contexts with regard to the development status, political (in)stability and thematic focus. Therefore, it depicted a challenge to extract general key findings, since each finding might face an exception in one or more countries or themes. In our report we sought to underline our findings by referring to concrete practices in countries.
- The evaluation team sought to triangulate data as much as possible in order to assure robust findings. In addition to semi-structured interview and group discussions with UNESCO staff at HQ, institutes and field offices as well as key stakeholders, donor representatives and beneficiaries during the field missions, two online surveys were carried out. Even though response rates were satisfying, the response rates of survey among national-level stakeholders differed considerably between countries leading to a limited representativeness. Therefore, the core country evaluations as well as interviews and discussions conducted by the evaluation team form the backbone of the evaluation outcomes which were however triangulated with the survey outcomes as well.

3 Findings

3.1 Relevance and added value

3.1.1 Introduction

This section discusses the relevance of the CapEFA programme activities for beneficiary countries, as well as the global education agenda and other activities of UNESCO in the field of education. Moreover, it provides an assessment of the added value of the programme's activities for national policies, and compares CapEFA activities to the activities implemented by other development partners.

The following evaluation question will be answered:

1. What is the evolution of the CapEFA programme? Are the changes made considered to be an improvement?
2. What is the interlinkage of CapEFA's work, with other key areas of UNESCO's activities?
3. To what extent is CapEFA relevant in the (changing) country contexts?
4. How are gender equality principles mainstreamed within CapEFA?
5. Is CapEFA still relevant in light of the post-2015 agenda/2030 Framework for Action?

3.1.2 Evolution of the CapEFA programme

Key finding: *The CapEFA programme has improved its focus during the course of its existence by concentrating on post conflict and post disaster (PCPD) countries, with the priority region Africa, by selecting four thematic areas of intervention, and by introducing a five-step CD approach and a result matrix to make the intervention more effective.*

Since its establishment, the programme has developed itself by increasing the strategic focus (thematic and geographical focus, including more emphasis on gender equality and mainstreaming, TVET, and lifelong learning) and by better embedding principles of CD (including the five-step CD approach), improving alignment with UNESCO's regular programmes and frameworks (LIFE, TTISSA, etc.), and mobilizing the expertise of UNESCO's institutes and HQ's. Stronger focus on improving the result orientation of the programme (by introducing result matrices at thematic and country level) has also been given, allowing for better monitoring of the programme activities and results. Lastly, attention towards sharing knowledge and best practices (South–South level) has also increased.

The previous evaluations have already concluded that the programme has positively evolved over time. This assessment is re-confirmed in this final external evaluation, which portrays a programme that is gradually and continuously improving its management and operation.

- First of all, the programme increased its relevance by focusing its activities over the years on a selected number of countries in most need, such as PCPD countries, and homing in on a number of themes. This focus contributed to better profiling of the CapEFA programme in the outside world, creating a clear label. While some programme stakeholders still claim the programme should focus its scarce resources on an even more limited number of countries and priority themes, overall it can be concluded that there is a fair balance within CapEFA between the number of countries supported and the level of depth of interventions. The four priority themes are all considered relevant areas to invest in, with SWPP and literacy being areas where UNESCO has a long history and TVET and teacher training as emerging areas that are in high demand in the target countries.
- Secondly, programme stakeholders highly value the specific (five-step) CD approach of UNESCO that was introduced in 2010 (closely aligned with the UNDP's approach). This

capacity-building approach is in line with current insights on effective development aid, allowing beneficiaries to develop their own capacities and creating ownership. The participatory approach was considered by many national stakeholders to be an important success factor in the programme across all 28 countries. This CD approach was mentioned by a majority of respondents as a distinct feature of UNESCO, distinguishing the CapEFA programme from the support offered by other development partners with a more project-based/supply-driven approach. In some cases, like the case of Laos PDR, it was mentioned that the Ministry of Education (MoE) needed to get used to the CapEFA capacity-building approach; now it is familiar with the idea, the MoE completely supports it, and over time other development partners have embedded the same capacity-building principles in their national activities. National authorities in several countries insist that since they themselves have set the priorities, they thus own the country programme. In these cases, the countries themselves hold the overall responsibility for implementing the programme and its various activities (chairing the Steering Group of the programme), while the UNESCO field offices coordinate and support activities being implemented. The methods and tools are generally appreciated, especially the capacity-building workshops, which follow a participatory approach focusing on concrete products, tools, guidelines, curricula, or education-sector plans. Only in limited number of cases the capacity building approach was criticised by main stakeholders¹⁷.

- Thirdly, programme stakeholders positively assess the interlinkage of the programme with the UNESCO approach, indicating that the programme makes good use of the knowledge available within the UNESCO family and institutes (such as the International Institute for Educational Planning (IIEP) and UNESCO Institute for Statistics (UIS)). There is generally good cooperation and fruitful exchange of knowledge, expertise, and human resources, helping to implement the CapEFA programme in an efficient and effective way. The expertise within the UNESCO family was generally considered to be a success factor for the implementation of the programme, and major asset compared to other development partners that often do not have in-house expertise in a number of areas but fly in individual experts on project basis.
- Fourthly, the performance framework of the programme and intervention logic are well organized, and there is a consensus that this leads to a more result-driven programme. The objectives of CapEFA in each of the four specified themes are clear, and generally the activities supported are relevant and contribute to these objectives, enhancing capacities in different areas (diagnose, develop, plan, implement, monitor, evaluate, revise, scale up policies/strategies/plans/programmes/tools).
- There is a fair balance between planning and flexibility. Overall, there is agreement that interventions are clearly planned and that there is clarity in stakeholder roles. At the same time, there is still sufficient flexibility in the programme to facilitate quick adaptation to changing situations, an aspect that was appreciated by the beneficiaries of the programme. This has already been confirmed in the evaluation published in 2013, which stated that the central documents and structure that define the CapEFA programme create the impression of relative rigidity in its allocation of budgets, its focus on specific sectors, and its sequencing of steps; but in practice these features are handled with flexibility to enable adaptation to sometimes changing situations and priorities at national level (as is the case for Mali, where the programme adapted to changing situation caused by the political-military crisis in March 2012). The majority of stakeholders consulted in this evaluation considered CapEFA to be very flexible, especially compared to projects supported by other development partners that are run more rigidly. This flexibility enhances the relevance of

¹⁷ Only in Madagascar evidence was found that some conservative elements in the government opposed the capacity - building approach, although other stakeholders at country level clearly expressed their satisfaction with it.

CapEFA intervention by reacting in appropriate manner and taking into account changing needs and opportunities.

In general, the programme has shown a learning curve during the course of its existence, and has made continuous improvements. Staff have taken advantage of programmes developed and used by other agencies, including the UNDP, FAO and CIDA, and methods, procedures and ideas have been adapted to the specific objectives and thematic priorities of CapEFA.

3.1.3 Interlinkage of CapEFA with other key areas of UNESCO

Key finding: *The CapEFA programme works in close alignment with the UNESCO mandate with regard to its normative work, its CD approach, and the knowledge and expertise available, and is complementary to its regular budget.*

The programme is considered to be relevant in the light of a broader policy agenda¹⁸. The programme supports the overall mission of UNESCO in the field of education and is closely aligned with the education sector's regular programme up to 2015 (and the Millennium Development Goals (MDGs) and the six Education for All (EFA) goals). The CapEFA priority themes (literacy, teachers, TVET, and SWPP) correspond to those of UNESCO's education sector. The selection of the CapEFA countries is in line with the country priority-setting of UNESCO, targeting Africa and countries in PCPD situations.

As an extra-budgetary fund, the CapEFA programme enables UNESCO to maintain its presence on the ground in the area of education in a relatively large group of countries, including some difficult country contexts, where UNESCO would be unable to provide major services using only its regular budget. In several countries, CapEFA helps UNESCO to continue its work in a systematic manner and to have a sustainable presence. In Laos PDR e.g. it was indicated that without CapEFA UNESCO's work would be more scattered, since the regular budget is not sufficient to finance these kinds of support. CapEFA also works as catalysator / house of ideas, attracting other donors to replicate successful pilots.

At the same time, one should mention the fact that the financial budgets of CapEFA are relatively limited, certainly when compared to the budgets available to other development partners. Therefore, the financial setting is not considered by many national stakeholders to be the greatest asset of the programme. In addition to the monetary value of the extra-budgetary contributions to CapEFA, the characteristics of a flexible basket fund are very important because they allow UNESCO to remain flexible and able to respond quickly to changing situations in CapEFA countries (e.g. the adaptation of CapEFA activities in Myanmar to a rapidly changing education environment).

3.1.4 Alignment of CapEFA activities with national needs

Key finding: *Overall, the CapEFA programme and related activities are considered to be relevant to countries' needs. This is mainly explained by the intrinsic nature of the programme (focus and flexibility) and its methodological approach (five-step CD).*

In general, the CapEFA programme is tailored to countries' needs, but at the same time these needs strongly differ between and within countries. This depends firstly on the development phase they are in. Moreover, it depends on the relative importance and priority given to the education sector in the light of multiple development needs. Furthermore, it depends on the need for specific assistance in the field of

¹⁸This reconfirms the assessment made in the previous evaluation in 2013, which stated that the CapEFA programme was considered to be closely aligned with UNESCO's regular priorities and objectives as well as its structure in the education sector.

education, and lastly the success of national governments in obtaining international development support for specific elements in their education policies.

Considering these different needs, CapEFA operates in different ways:

- In some countries, the programme has proven relevant because its activities are clearly aligned with education-sector reforms or the development of national education-sector plans, such as in **Myanmar**, where the programme implementation coincides with a broader development agenda (namely the implementation of the Comprehensive Education Sector Review (CESR) and the National Education Sector Plan). **Ethiopia** provides another clear example, where CapEFA contributes to the objectives established in education-sector development programmes as well as other directives for education that have been prioritized and formulated as a road map for CD based on the consensus among key stakeholders at the Federal Ministry of Education, regional education bureaus (REBs), education offices, and schools. CapEFA has supported to improve the organizational capacities in education planning and management as well as M&E practices and to install some basic frameworks, such as Education Management Information System (EMIS), Teacher-related Information Management Systems (TIMS), and other M&E tools.
- In other countries the CapEFA is used to support the implementation of the priorities set in national education-sector plans (often as a follow-up to earlier support by CapEFA) and to develop/implement other specific sector plans.
 - ▶ A clear example in this respect is **Laos PDR**, where the programme has focused on **teacher education** in recent years, a logical continuation of the country's Education Sector Development Framework (ESDF) 2009–2015, which serves as a common strategic plan to guide both government and development partners. In the ESDF, a lot of attention is given to strengthening teacher education at all levels, in both formal and non-formal education (NFE) sectors, which UNESCO, with the help of the CapEFA programme, has supported technically and financially.
 - ▶ Another example is **Cambodia**, where CapEFA has provided technical support to develop capacity on **NFE** within the sector-wide approach, together with other development partners. The programme is well-designed to align with the government's Education Strategic Plans (ESP) 2009–2013 and 2014–2018. One of the most significant achievements under CapEFA in Cambodia has been the development of the Three-Year Non-Formal Education Capacity Development Action Plan 2011–2013 (NFE Action Plan) endorsed by the Ministry of Education, Youth & Sport in June 2011.
 - ▶ In **Bangladesh**, the programme supported the delivery of the literacy framework and the scaling up of the **NFE-MIS (Management Information System)**. Technical and professional assistance in developing an administrative arm for literacy and NFE was provided. Under the auspices of the CapEFA programme, the Bureau of NFE formulated a comprehensive Non-Formal Education Act in 2014.
 - ▶ The CapEFA programme in **Mozambique** has been relevant in supporting the development and implementation of **literacy policies, strategies, and plans**, aligning itself with the government and the sub-sector of Literacy and Adult Education (LAE) plans. CapEFA has been able to support the evaluation of the national LAE strategy in a coordinated process based on collaborative efforts between UNESCO, Deutscher Volkshochschulverband (DVV) International, and the Iceland International Development Agency (ICEIDA). CapEFA is currently supporting the Ministry of Education and Human Development to extend the LAE strategy until 2019 by updating the ESP, and to formulate operational plans in alignment with the Plano Quinquenal do Governo (PQG) relating to the Government Five-Year Plan 2015–2019.

- ▶ The CapEFA programme in **Malawi** is considered to be a key driver for reform in the **TVET sector**. Two generations of CapEFA have supported TVET reform by bringing national stakeholders together and fostering dialogue on challenges and the way forward. During the first phase of CapEFA in the country, three main actors were involved in TVET governance, each with their own policies, curriculum, and assessment and certification system, which created a lot of confusion for TVET institutions, students, and employers. A TVET policy review was carried out by UNESCO, and Malawi's new TVET policy was supported by CapEFA, clarifying the roles and responsibilities among key national players. The CapEFA programme also supported a review of all seven national technical colleges (leading to the publication of a handbook for technical colleges). The second phase of CapEFA has been focusing on continuing previous efforts to clarify roles and responsibilities and harmonize curricula (providing support in creating an autonomous TVET assessment and certification body), and building national capacities in monitoring TVET. CapEFA has brought the aspects of access and equity to the national TVET agenda, and supported the set-up of a gender-focused network.
- Finally, in some countries, there is no direct link to a CESR or national education-sector plan but the CapEFA programme provides specific support to overcome specific challenges/needs, such as in the case of **Guinea**, where CapEFA is tackling the shortage of qualified teachers in primary and secondary education. The same rationale applies to **Mali**, where CapEFA contributes to improving the qualification level of teachers and their classroom practices (in formal and non-formal settings). In **Haiti**, CapEFA has helped strengthen government education statistics, not only by enabling the MoE to conduct school surveys – which previously were not conducted for a long time – but also by processing statistics and feeding the results into the policy development process and planning. UNESCO was entrusted by a Steering Group of Representatives of the ministry and development partners to coordinate and support the development of IMES by coordinating the budgets of several development partners. Another example is **Madagascar**, where CapEFA, in the absence of sound approaches to tackle the large numbers of out-of-school youth, is providing an effective answer by introducing learning approaches that combine a mix of foundation, vocational and entrepreneurial skills to develop income-generating activities linked with economic development opportunities at local level. The introduction of the mentioned approaches has the potential to change the education landscape in terms of pedagogical methodologies in the country. In the **Arab region**, the CapEFA programme is offering concrete support to training centres for government officials. As the country analysis shows, there seems to be a large demand for capacity building in SWPP at country level, and centres need competent trainers. The centres have been supported by the UNESCO regional office in Beirut and the UNESCO offices in Doha, Amman and Rabat through the organization of workshops, facilitated mainly by the IIEP. In turn, the three centres have organized workshops to train national education planners, broadly covering the thematic area of SWPP. Supporting the capacities of these centres seems to be a sustainable investment in order to develop capacities in SWPP in the longer run. A similar training centre has also been set up in **Laos PDR**, and there are concrete plans to do the same in **Myanmar**, with a potential role of CapEFA.

All country assessments indicate that CapEFA is strongly aligned with countries' needs, and in most cases logically builds on earlier experiences and activities in the various countries or expertise gained in specific projects (whether funded by CapEFA or not). This alignment is assured by the five-step CD approach, which includes a collaborative diagnosis of needs, making it possible to match the programme's objectives with countries' needs and policy orientations as they evolve over time. This alignment has helped ensure the programme's time-scales are realistic, and facilitated the unfolding of activities. Trust-building amongst stakeholders beyond the ministries of education has

been a key result of this approach, and has laid the ground for more robust policy development, as country-wide reforms require strong buy-in from the wide range of stakeholders at the outset of the programme. There is general agreement amongst stakeholders that beneficiaries and partners have been sufficiently consulted in the preparation of interventions at country level, and interventions developed based on a careful needs analysis.

CapEFA has proven especially relevant in countries where the programme activities are clearly linked to education-sector reform activities or the development/implementation of national education-sector plans. These countries include those where the CapEFA programme is well integrated into the regular activities of UNESCO at national level (combining the programme's extra-budgetary resources with the regular budget) and where UNESCO plays an active role in the Education Sector Working Group or Local Education Group (LEG) (allowing activities to be harmonized and synergies found, while avoiding overlap). National stakeholders generally agree that, without the support of the CapEFA programme, certain activities would not be taken up by other development partners, or would not be supported to the same degree. Thus, the active support of CapEFA seems to initiate an early start-up at the very least.

3.1.5 Alignment of CapEFA with its donors

Key finding: *The CapEFA programme is appreciated by its donors and strongly aligned with their development aid policies in the field of education, although the programme needs to continue to prove its relevance and added value in a changing landscape of development aid.*

Donor countries indicate that the programme is closely aligned with their policies, focusing on the countries most in need, applying a CD approach that completely embraces the perspective of partner countries. Nevertheless, the programme should be aware that it is operating in a continuously changing policy context in which donors are continually rethinking their development policies and funding policy. Donors report a current preference to allocate their budgets to multilateral funding programmes such as CapEFA; however, they are also reporting budget cuts, which may have consequences for the future funding of the programme. This points to the importance of publicizing the achievements of the programme and further aligning it with donor countries' objectives, while also positioning it in the context of activities adopted by other development partners and initiatives such as the Global Partnership for Education (GPE). Apart from the programme's flexibility, donor countries especially appreciate CapEFA's ability to work in niche areas and explore new approaches, giving it a clear position in the landscape of development aid. Donor countries have indicated their ongoing appreciation of the programme and expressed their continued support.

3.1.6 CapEFA alignment with gender equality

Key finding: *In most countries, specific activities are supported that address gender equality, or gender is embedded as a horizontal programming principle. Nevertheless, continued attention should be given to gender equality in programming and monitoring to ensure the theme does not lose priority.*

Gender equality is a key part of the global education agenda. The previous evaluation from 2013 concluded that CapEFA did not have a strong approach or focus on gender equality. This final evaluation, however, shows some concrete evidence that CapEFA is now addressing gender equality in different ways.

In some countries, specific activities related to gender equality were supported, such as training on gender mainstreaming and gender-responsive budgeting in **Mozambique**, screening of textbooks for aspects of gender equality in **Laos**, screening of the Education Sector Plan and statistical information on gender equality in **Ethiopia**, and conducting a CESR on gender equality in **Myanmar** (as well as ensuring that the costing of national education-sector plans was based on the principles of gender

equality). Nevertheless, in some countries (such as **Benin**), it was indicated that gender equality is still not an integral part of planning.

In general, national stakeholders very much appreciate the work of UNESCO on gender equality, and the way the organization approaches gender equality as a horizontal principle. Although CapEFA has made efforts to better address the gender equality component in programming and reporting (for example including a separate section on gender in yearly progress reports), some programme stakeholders indicate that gender equality still needs more attention.

3.1.7 Future alignment of CapEFA activities with the post-2015 agenda and SDG 4

Key finding: Overall, the CapEFA programme and related activities are considered to have (lasting) relevance taking into account the post-2015 global education agenda, the key principles of the Education 2030 Framework for Action (and SDG 4). The new CapEFA programme should make clear reference to these principles in its activities.

It has already been concluded that CapEFA is relevant, taking into account the education sector's regular programme up to 2015 (and the MDGs and the six EFA goals). Recently, however, a new framework has been adopted in the shape of the Education 2030 agenda and targets, raising the question of whether the relevance of the CapEFA programme will be sustained.

The 2030 Agenda for Sustainable Development, and especially the SDG 4 and corresponding targets, as well as the Education 2030 Framework for Action, draw attention to the importance of certain specific features:

1. Access, equity and inclusion;
2. Quality and learning outcomes;
3. Life long learning approach and system development; and
4. Education in emergency situations.

The CapEFA programme more or less already incorporates these features emphasizing equal access and opportunities and non-discrimination, and addressing concepts such as inclusive education. Moreover, CapEFA supports several activities that stimulate quality learning and learning outcomes, such as improving teacher-training programmes, improving formative and/or continuous (classroom-based) assessments and summative assessment at different levels, developing quality education/training programmes, supporting quality assurance bodies, and facilitating the alignment between TVET and the needs of the labour market. Moreover, the activities supported in the TVET area clearly comply with the need to continue the promotion of technical and work-related knowledge and skills through access to different levels of technical and vocational education and training. The programme also addresses specific elements of the lifelong learning approach, with its specific focus on literacy and non-formal learning. Moreover, CapEFA addresses education in emergency situations through its focus on Post Conflict and disaster countries.

Although there is alignment with the four features of the new framework, the previous evaluation of the programme in 2013 already concluded that the balance between quality and equity and access to education was a challenge, because, both at the policy level and among donors, different opinions and positions sometimes prevail (also depending on country priorities). This conclusion is reconfirmed during this final external evaluation and the need to balance between quality and equity is further emphasized in the 2030 Framework for Action. Improving access to quality education (addressing principles such as learner-centred approaches and safe and conducive learning environments) was considered to be the most important challenge by the national beneficiaries of the programme in the online survey, followed by improving teacher-training policies and practices, improving TVET and labour-market relevance of education, and reducing illiteracy.

In conclusion, the four thematic areas can still be considered to be relevant in the context of this renewed 2030 Framework for Action. Given CapEFA's demand-driven approach, the programme is sufficiently broad and flexible to fit within the new Framework. This conclusion is supported by the majority of the programme stakeholders within the UNESCO family, as well as the beneficiaries and cooperation partners at national level who participated in the survey.

3.2 Cooperation and Partnership

3.2.1 Introduction

This section seeks to assess the extent to which the CapEFA programme has managed to involve relevant national stakeholders, and the degree to which it has been possible to create synergies between CapEFA, international donors, and the UNESCO family. In addition to this, cooperation within the UNESCO family is assessed, building on the previous section, which focused more on operational aspects.

The following evaluation question will be answered:

1. Has the cooperation with national and global stakeholders been relevant, and what has it consisted of?
2. To what extent have partnerships been sought and established?
3. Have synergies been created in the delivery of assistance at country level? If yes, with which partners?

3.2.2 Overview of cooperation with relevant national and global stakeholders

Key finding: *The CapEFA programme is generally well aligned with the activities of other development partners, especially in countries in which clear coordination mechanisms are in place and where a clear division of tasks is proposed, based on the expertise and experience that partners bring in. CapEFA interventions have involved multiple stakeholders ranging from institutional actors to international (donor) organizations and civil-society organizations. Evidence of synergies between CapEFA and partners' interventions in terms of objectives and activities is collected (but not in a consistent manner across countries).*

The previous CapEFA evaluation from 2013 stated that the programme aimed 'to facilitate multi-stakeholder partnerships with national non-governmental organizations (NGOs), service providers and the private sector, thereby reinforcing government capacities to manage such partnerships and build organizational/institutional capacity in the sector/thematic area to deliver on the EFA agenda'. This previous evaluation came to the conclusion that joint management for development results was a rarity. In several countries, activities were conducted together but there was room for improvement in the areas of joint planning, implementation, and regular monitoring, as well as in following joint plans and monitoring/implementation frameworks through to the same results (output–outcome–impact).

These conclusions are still valid for 2015, although some progress can be perceived in terms of organizing work and management in LEGs/coordination committees/technical working groups chaired by the beneficiary countries. In most CapEFA countries, development partners are brought together in Education Sector Working Groups or LEGs, where government and development partners ensure synergies and prevent overlapping of activities. In these cases, coordination mechanisms are in place to ensure maximum synergy of development aid, taking into account the position and added value of each development partner. This progress has been stimulated by the GPE, leading to a more streamlined relationship between development partners and beneficiary countries. Especially in countries where clear coordination mechanisms are in place and a clear division of tasks has been proposed, CapEFA is closely aligned with the activities of development partners.

Generally, the CapEFA programme involves a broad range of stakeholders important for the successful design and planning of education policies. This involvement also contributes to the

creation of national ownership with a broad range of partners. The following examples can be provided:

- In **Niger**, the CapEFA programme involved actors including technical partners from the UNESCO family (International Institute for Capacity-Building in Africa (IICBA), ED/TLC/LTR,¹⁹ the UNESCO Regional Bureau at Dakar) and UN agencies (World Health Organization (WHO), United Nations Population Fund (UNFPA), etc.), foreign development aid agencies (Luxembourg) and the World Bank, all working in line with UNESCO to improve public access to basic social services (including education). Also involved were the civil-society agencies²⁰ that were consulted for technical assistance or training activities.
- In **Benin**, the programme supported the mapping of all development partners involved in TVET activities in the country, and developed an interactive information-sharing platform in which all actors can update their own activities for an accurate picture of interventions nationwide. This has allowed a thorough and continuous process of knowledge-sharing and ownership development.
- In **Ethiopia**, the CapEFA programme involved national authorities (the House of People's Representatives, the Federal Ministry of Education, and the REBs, which were the main executants and beneficiaries) and the UNESCO family (the IIEP, IICBA, and UIS, which were involved in policy advice, reviewing, CD activities and the preparation of the Education Sector Development Plan). Other bilateral and multilateral organizations (the United States Agency for International Development [USAID]), the United Nations Children's Fund [UNICEF], and the World Bank) were involved in programme funding and monitoring from the programme's inception to its evaluation, according to the country report.

Examples can be found of cases where CapEFA and development partners have jointly implemented projects. These include cases in **Laos PDR**, where bilateral discussions took place with UNICEF to harmonize and maximize activity outcomes, as well as to avoid the overlapping of activities. This led to an initial agreement of collaboration to support curriculum revision in pre-service teacher education, moving towards a competency-based curriculum. A Workshop on Competency-based Curriculum for Pre-service Teacher Education, organized in August 2012, was the first cost-sharing activity. UNESCO supported this initiative by providing technical assistance, while UNICEF provided financial support, covering the workshop's organizational costs. **Chad** also serves as an example in this respect, where a partnership was established between CapEFA and international donors such as the Islamic Development Bank, enabling the elaboration of manuals for teachers and children as well as guides for NFE to be published and disseminated across the country. Other donors supported the use of the new CapEFA-supported manuals within their field of intervention for literacy programmes. **Haiti** provides a clear example of synergies between CapEFA and other development partners in the development of school education statistics (together with the Fonds d'Assistance Economiques et Sociales (FAES), the Spanish Agency for International Development Cooperation (AECID), European Commission, Interamerican Development Bank (IDB), and World Bank, as well as UNICEF), each partner financing a separate activity²¹. In **Burundi**, CapEFA supported the creation of a Fund for Education in collaboration with UNICEF, which has allowed teachers to be trained in the ninth year of basic education. In **Mozambique**, the evaluation of the country's adult education and literacy strategy was a joint effort and co-financing project of CapEFA, DVV International (German Adult Education

¹⁹ Education Section, Division for Teaching, Learning, and Content, Section of Learning and Teachers

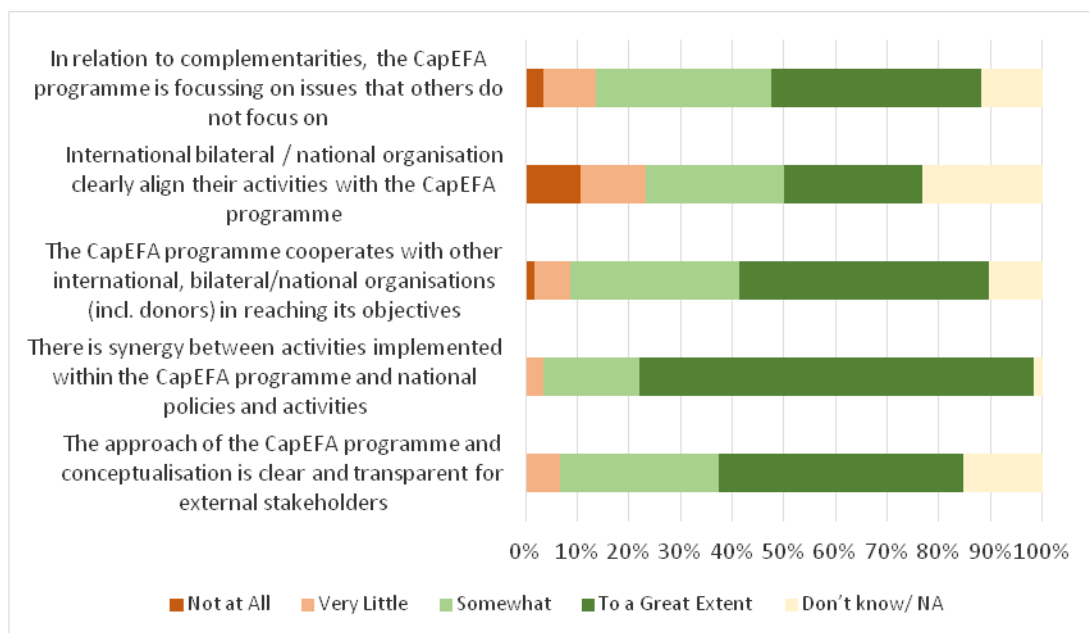
²⁰ L'Organisation des Educateurs Novateurs (ONEN); L'ONG Démocratie 2000; L'ONG Volontaires pour l'Intégration Educative (VIE); L'ONG Enfants du Monde; L'Association Nigérienne contre les Violences à l'École, etc.

²¹ CapEFA financially supported the awareness-raising campaign prior to the publication of national school statistics, and capacity development of the Direction of statistics within the Ministry of Education in data collection, while the FAES financially supported the training of school principals and the AECID the data entry in the South East Department. The European Commission supported the funding for the 2013-2014 census, while the IDB and World Bank funded some materials and equipment. UNICEF provided funds for training of officials on the collection of statistical data and the use of this data for planning.

Association) and the Iceland International Development Agency (ICEIDA). In **Cambodia**, the National Literacy Campaign was jointly financed by the MoE, CapEFA and private telecommunication companies. In **Madagascar**, the International Fund for Agricultural Development (IFAD) provided funds to complement CapEFA activities targeting the training centres. In the **DRC**, the World Bank is financing the expansion of EMIS. In **South Sudan**, the International Literacy Day is an advocacy event co-financed by several partners.

In general, most national respondents participating in the survey confirm that the CapEFA programme cooperates with other development partners in reaching its objectives. A prerequisite of, or enabler for cooperation with other relevant stakeholders is a transparent and clear approach that is well understood by potential cooperation partners.

Figure 8: Online national stakeholder survey, question 9 (n=73)



Source: Survey of national stakeholders, 2015

3.2.3 Added value of CapEFA and synergies between UNESCO and other donor initiatives

Key findings: The CapEFA programme shows clear added value and has succeeded in creating synergies with other donor-supported initiatives while playing a leading role in promoting stakeholder cooperation. However, cooperation and knowledge-sharing (particularly on best practices and lessons learned) have not been developed to the fullest extent, notably at the South–South level.

In general, the country reports show that the added value of UNESCO and CapEFA compared to other development partners comprises the following aspects:

- **Focus on developing capacities of stakeholders.** The main added value of the CapEFA programme is the exclusive focus on developing the capacities/empowering of relevant decision-makers in the field of education – specifically, government (officials) – instead of solely focusing on education infrastructure or the development of policy tools and instruments as stand-alone deliverables.
- **Specific focus on thematic areas.** The focus on certain thematic areas positions the programme uniquely in the wider landscape of development aid projects. Development partners consider UNESCO to have the most added value in the area of SWPP, bringing in expertise from the IIEP and country-specific experience. Especially the contributions of the IIEP were considered to be of high quality and central to progress in CD relating to strategic

plans in education. This was ascribed to the communication and pedagogical skills of the IIEP staff involved, and even more to the Institute's methodological approach. The work of UNESCO supported by CapEFA in the field of literacy and NFE is also considered to be an added value, not only given the organization's expertise in this area (and input from the UNESCO Institute for Life-long Learning [UIL]) but also taking into account that UNESCO is one of the only organizations prioritizing this theme in their country-specific approaches. The work on TVET and teacher training is valued by national stakeholders as well. Compared to other sectors such as literacy, a larger number of donors are active in these two sectors. National stakeholders indicate that UNESCO provides added value on these two thematic areas since it follows a sector-wide approach and embeds humanistic principles. In the countries where CapEFA focuses on TVET and teacher training, UNESCO was specifically asked for its expertise. In **Madagascar** for example, a country which lacks sound approaches to tackle the large numbers of out-of-school youth, UNESCO is the only actor focusing on non-formal TVET in this area.

- **Specific in-house expertise within the UNESCO family.** Another strong added value value as highlighted by the survey results and the country reports was considered to be the in-house expertise of the UNESCO family, which can be efficiently mobilized according to the specific needs of a country. The UNESCO institutes often have specialized competencies not necessarily found at the local UNESCO offices. Involvement of these units is therefore often likely to improve the quality and efficiency of UNESCO's efforts. UNESCO and the CapEFA programme have built a critical mass of knowledge and practices throughout the programme countries that can foster South-South cooperation, but at the same time knowledge exchange needs to be used systematically, tapping into the institutes and regional bureaus. The programme's link with the education sector's regular programme up to 2015 (and the MDGs and the six EFA goals) was also considered to be an added value. Some countries clearly refer to the EFA goals as a major aim, or in other cases, for example that of TVET, to the Shanghai consensus, helping give UNESCO and the CapEFA programme a unique position.
- **The CD approach.** Stakeholders appreciate the CD approach of CapEFA, which creates ownership amongst the main beneficiaries by following a participatory approach. CapEFA focuses on priority areas at national level that are well identified based on country-specific themes. Even in the context of the decentralization and deconcentration (D&D) process, CapEFA interventions manage to target and cooperate with decision-makers to support them in the design and implementation of appropriate policies. CapEFA is a demand-driven programme and does not impose any preconceived scheme or plan.
- **Trustful partner and broker.** In many countries UNESCO is considered to be a key development partner for the MoE, and is therefore in a good position to take on a coordination role for other development partners ('broker function'). In quite a number of cases, evidence shows that the CapEFA programme has taken a leading role when it comes to cooperating with ministries and international donors in the form of technical working groups and steering committees. In a few cases, international donors decided to provide extra financing for activities launched by CapEFA. National authorities and other stakeholders at country level consider UNESCO to be a stable, reliable and professional partner. In some countries, UNESCO, supported by CapEFA, is considered as a broker for other development partners, given the organization's good relationship with national governments and its active role in national coordination bodies for donor/development partners. Other elements that underline the added value of the programme include the humanistic values and the independence of UNESCO. There is evidence that UNESCO officers are very respectful in their relations with national stakeholders and have integrated the strengthening of national ownership into their attitudes, work approaches, and processes.
- **Alignment with other development partners.** As indicated above, CapEFA is generally aligned with other development partners, especially where UNESCO is represented in a

Sector Working Group or LEG (see above). Furthermore, the objectives of the CapEFA programme are closely aligned with the GPE, since the GPE also contributes to education development goals to ensure that all learners have access to a quality education. Nevertheless, CapEFA goes beyond supporting basic education and addresses youth and adult learning and NFE as well. Both initiatives can also be seen as basket funding programmes, receiving budgets from donors that are channelled to a selected number of countries, while the budget for the GPE is much larger, allowing a broader scope of activities. As a programme, CapEFA cannot receive direct funds from the GPE budget, since the GPE directly channels its funding to developing countries. Nevertheless, CapEFA has been able to align its activities with the GPE, first of all by contributing to the development and implementation of the education-sector plan, and secondly by positioning UNESCO in an LEG. Stakeholders indicate that UNESCO is well positioned in several countries to play an important role in the LEG, being responsible for implementing GPE activities at national level, or preparing the ground for this. UNESCO's activities within the LEG can be supported through the CapEFA programme, strengthening the organization's position in those countries where UNESCO is already visible and positioning it in countries where it is not. Stakeholders generally indicate that aid effectiveness can be improved through harmonization and better coordination.

In general, stakeholders perceive CapEFA as complementing the programmes and activities of other donors. National stakeholders consider CapEFA to be complementary, since the programme focuses on issues that other actors do not focus on. This complementarity might vary between themes, however. For literacy, the level of complementarity tends to be quite high, as this field of intervention is not a priority field for many donors and CapEFA partly compensates for the lack of intervention (for example, in **Bangladesh**, the CapEFA programme helped design quality standards and an NFE framework for the myriad NGO-led projects where international donors are absent or have intervened sporadically; in **Togo**, where the level of partnerships was low, CapEFA has come to be seen as a unique programme, and has a national and regional steering committee to bring together the major stakeholders involved, who are committed to improving youth and adult literacy in the country). However, in a few cases, overlaps between CapEFA and other donor initiatives have been identified, mostly in the field of teacher-training activities (in-service and pre-service, curriculum development, and CD activities for teachers and authorities). In **Burkina Faso**, one of the objectives of the CapEFA programme was actually to enhance the consistency between multiple interventions on teacher training that were supported by various donors.

Even though the CapEFA programme has taken on a leadership role for donor coordination in several cases, and a good level of complementarity and harmonization between CapEFA and other donors has been observed, stakeholders still call for more intensive cooperation and increased partnership between the programme and international donor organizations. The CapEFA programme and the development process in partner countries would benefit from strengthened cooperation between donors at early stages, organizing follow-up activities and better embedding programme activities in ongoing work and processes. The close cooperation with the World Bank in the **DRC** provides a good example of how a successful CapEFA approach to EMIS can be implemented in additional pilot regions using World Bank funding. The World Bank has shown a great interest in the CapEFA approach, and a partnership with UNESCO and the government of the DRC has been concluded to finance the expansion of the EMIS decentralization process to six new districts. The financing of the project amounts to \$2.9 million over three years, out of which \$1.9 million will be used by UNESCO field office with IIEP support to implement the project. In other cases, like **Chad**, for instance, the expertise and experience of some key stakeholders (mostly civil-society organizations) was not fully used in the implementation process of the programme, as these actors were only involved in the preparation of the CapEFA programme, not in its implementation.

The programme would also benefit from better cooperation between countries, since CapEFA coordinators and HQ have not exploited the full potential of **regional cooperation and knowledge-sharing**. Most UNESCO stakeholders surveyed in the context of this evaluation agree

that the CapEFA programme should do more to stimulate cooperation at regional level, including South–South cooperation. The evidence from the various country reports also shows that sharing of good practices and support for mutual learning between countries remain rare, while some CapEFA beneficiaries call for the systematic cross-fertilization of knowledge. In **Mozambique**, for example, knowledge-sharing on the capacity of literacy teachers has been enhanced thanks to CapEFA support, but translation costs into Portuguese have not been included in the budget and thus the cross-fertilization of knowledge amongst stakeholders is limited. In the rare cases where knowledge-sharing events have been set-up, stakeholders discover how other countries (sometimes neighbouring ones) operate CD, during site visits or training sessions involving international experts (for example, **Mauritania** was able to send high-level civil servants to visit Morocco). The exchange of ideas on practices has had a mind-opening effect on staff and high-profile decision-makers in ministries. For instance, progress has been made in clarifying (legislative) responsibilities and improving cooperation between different departments within a ministry and different ministries in charge of education-related sectors (e.g. basic education, NFE, vocational training).

Such cooperation is essential for self-evaluation and knowledge-sharing, allowing CapEFA coordinators and national authorities to gain international exposure in CapEFA programme implementation. Further cooperation could help them identify the right levers for an exit strategy, which would require financial contributions from other donors. Most country reports indicate that CapEFA coordinators and national authorities tend to direct their efforts towards the accomplishment of goals according to the original plan. There is usually no country-wide strategic reflection on the continuation of the programme or the fundraising imperative to ensure full realization of results.

3.2.4 Cooperation within the UNESCO family

Key findings: *On the whole, cooperation within the UNESCO family is considered to be of good quality and well aligned with the education sector's regular programme. The expertise provided by UNESCO's pool of experts and UN institutes is highly valued and considered to be of high quality. However, knowledge-sharing within the UN family has not been as extensive as it could have been.*

The implementation of the UNESCO family approach in the CapEFA programme can generally be assessed positively.

Most stakeholders indicate that there is a good level of cooperation and exchange of knowledge, expertise and human resources within the UNESCO family, supporting effective and efficient implementation of the CapEFA programme. In addition, the actors that were interviewed predominantly perceived CapEFA as complementary to other UNESCO projects, viewing coordination between UNESCO entities as good. This evidence is backed up by the high level of confidence in the alignment of CapEFA with the UNESCO education-sector programme (see section on relevance). Nevertheless, evidence from the field shows that the UN family approach has not been successfully implemented in all phases of the CapEFA programme. In **Guinea**, for example, the family approach worked well during phase 1 but experienced difficulties during phases 2 and 3, as only the IICBA provided inputs during these phases, while the UNESCO Dakar Regional Office BREDA and HQ or team leaders were unable to contribute as planned.

Furthermore, stakeholders anecdotally (as in **Benin**) criticized the excessive length and centralization of UNESCO procedures, which slowed down the programme's implementation and demotivated local actors. In the **Arab region**, the country report indicates weak coordination between the UNESCO country offices, the regional Beirut-based regional office and the three centres in charge of training education managers across the region. Weak coordination has hindered smooth implementation of the programme activities, leading to delays.

The evaluation shows that the mobilization of UNESCO's pool of experts is highly valued within the UNESCO family, and often considered to be the main added value of the CapEFA programme.

- In **Haiti**, the technical expertise of the IIEP contributed to strengthening the EMIS. The UIS provided advice on data quality and delivered training sessions on reporting national data to the international education survey for pre-primary to upper secondary. The UIS also advised the country in the process for reporting education finance and tertiary education data.
- In **Mali**, the provision of specific expertise in different areas of education (mostly by members of the UNESCO family, including IICBA) was highly appreciated by national and development partners because methodological tools (the capacity-assessment guide, the TTISSA²² diagnosis tool) were elaborated, increasing understanding of sector and relevant sub-sector issues.
- In **Mozambique**, the expertise of UNESCO applied through the Institute for Lifelong Learning (UIL) is considered to be of great benefit to stakeholders. As part of the CapEFA programme, the UIL has provided technical backstopping and disseminated evidence-based research and models of good practice, e.g. in relation to family literacy.²³

Thus, respondents appreciate the experts' high level of competence, as well as the quality and usefulness of the outputs they have delivered. On the whole, CapEFA appears to make good use of the existing expertise within UNESCO, notably from HQ, regional offices, and the IIEP, UIS, IICBA and UIL²⁴. For instance, the UIL has assigned a focal point for CapEFA literacy countries, providing feedback on work plans and backstopping in the design and implementation of activities²⁵.

Knowledge-sharing within the UNESCO family remains, however, limited. The CapEFA programme coordinators have made good use of UNESCO expertise but, in return, they have not subsequently contributed to enriching and circulating the knowledge gained from the CapEFA experience, which is quite unique due to the programme's explicit focus on CD. CapEFA HQ facilitates indirectly the circulation of knowledge between CapEFA teams. However, the CapEFA programme, as the UNESCO's flagship means of CD intervention, has not resulted in a resource centre that can capitalize on the experiences coming out of the 28 target countries.

²² Teacher Training Initiative for Sub-Saharan Africa.

²³ The family literacy approach emphasizes the importance of the intergenerational transfer of language and literacy, that is, from parents to their children, or otherwise from one generation to another. This approach has been translated into programmes all over the world. According to the UIL, family literacy is a means for enhancing literacy and lifelong learning by fostering parents' self-confidence and the will to re-engage in education.

²⁴ For instance, on a regular basis the UIL conducts missions to Nepal, Timor-Leste, Bangladesh, Togo, Senegal, Mali, Mozambique, and the DRC.

²⁵ There are other focal points assigned by IIEP for SWPP, IICBA for teachers and TVET Section at HQ for TVET.

3.3 Efficiency

3.3.1 Introduction

While the assessment of effectiveness and achievements of the CapEFA programme form the core of this final external evaluation, the efficiency of the programme is closely related, as it places what has been achieved in the context of the resources invested. The purely technical assessment (how much money has been spent to achieve which results) therefore needs to be combined with more qualitative aspects (which resources could have been saved; has the management structure facilitated an efficient allocation of resources?). For an analysis of the efficiency of the CapEFA programme, a conceptual distinction should be made between three levels of assessment (ideally, occupies the highest level):²⁶

- Level 2: analyse the efficiency of an intervention in comparison with other interventions
- Level 1: identify the potential to improve the efficiency of a particular intervention
- Level 0: describe and provide an opinion on some efficiency-related aspects of an intervention, for example, on the basis of personal judgements and/or focusing only on either the costs or the benefits of an intervention.

As the CapEFA programme takes a rather unique position in the institutional context of development aid and cannot easily be compared with other development partners (as required under level 2) – also due to the lack of benchmarking information on the costs of interventions – this evaluation aims for a level 1 and level 0 approach, in which the contribution of costs will be assessed vis-à-vis the achieved outputs and results (through a ‘cost-contribution analysis’). The advantage of this approach is that it gives room to identify softer, unquantifiable effects and to analyse the (costs of the) contribution of each activity relative to the outputs that have been identified. In addition to this, this evaluation seeks to include a level 0 analysis as well, by including the opinions of programme stakeholders on the cost efficiency of the interventions supported.

3.3.2 Donor contribution over the years

Key finding: *The contribution of donors over the years is relatively stable, especially compared to the fluctuations of the regular UNESCO budget. Nevertheless, the financial sustainability of the programme is a continuing concern that needs sufficient follow-up.*

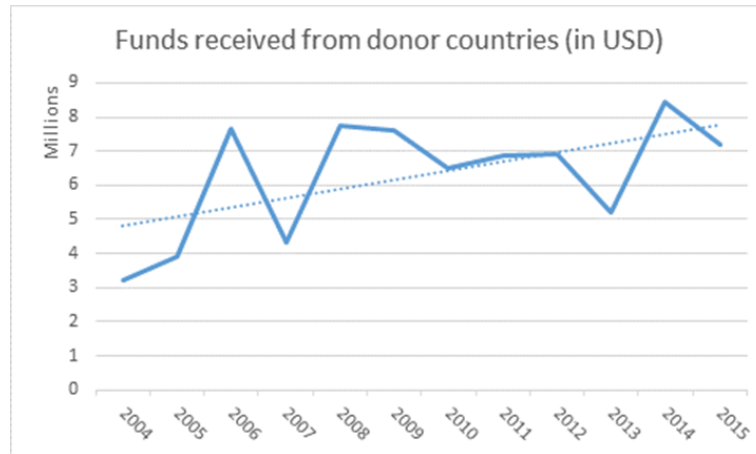
As an extra-budgetary programme, CapEFA is entirely funded by voluntary contributions. As of 31 December 2015, the programme had received contributions totalling \$75 million from 2003 onwards.

Until 2012, donor contributions followed a pattern of growth with minor decreases and slight variations, maintaining CapEFA’s budget at an average of \$6.5 million a year since 2006. Contributions dropped to about \$5.2 million in 2013 – a 25% reduction compared to 2012 – falling \$2 million short of covering the programme’s operational expenditures. This was mainly due to the discontinuation of support from Switzerland and the halving of contributions from Denmark. In 2014, however, contributions were on the rise again to reach a record high of \$8.4 million. Although Denmark completely withdrew from the donor group in 2014, all the remaining donors provided an increase in contributions: there was an increase of about \$600,000 from Norway – CapEFA’s largest contributor to date – while Finland and Sweden approximately doubled and tripled their support, respectively. The programme also welcomed a new

²⁶Inspired by European Commission (2003), ‘Evaluating EU Activities: A Practical Guide for the Commission Services. EC DG Budget’. This practical guide is in the process of being updated.

partnership with Azerbaijan, which joined the donor group in 2014 providing a \$400,000 contribution. The projection for 2015, 2016, and 2017, shows an increase in funds²⁷.

Figure 9: Funds received during 2004-2014 and projections for 2015-2017 (in million US dollars)



Source: CapEFA progress reports

The projection above indicates the fundings is not secured for the period 2016-2017. As of today only Sweden has formally committed to 2.350 M USD per year in 2016 and 2017. Accordingly, there is a need to secure donor funding, which will require additional efforts from the CapEFA team to find and encourage potential donors – primarily by looking at member states but also by exploring other types of funding from semi-governmental organizations, pooling resources with other development partners, and potentially tapping further into private funding²⁸. So far, interviewed donor countries have indicated their ongoing appreciation of the programme and expressed their continuous support. If the level of funding cannot be maintained or expanded, the programme should reconsider whether the number of target countries could be reduced or the available budget focused on fewer activities. At the same the programme should address more countries, given the fragile situation in most of the countries in which CapEFA is operating, to allow budgets to be shifted between countries in case states drop out or are unable to absorb CapEFA money.

In the search for additional donor funding CapEFA will need to compete with other, bilateral programmes. Special reference should be made to the Global Partnership of Education, which was established in 2002 with more than 20 donor governments, and includes international organizations (such as UNESCO), and the private sector²⁹. CapEFA cannot directly be funded by the GPE, since GPE only channels money to countries. Nevertheless, CapEFA can still link up with the GPE on country level and UNESCO field offices could even use GPE money for implementing capacity building activities in case needed and defined by the Local Education Group (a positive example in this respect is provided in the case of Chad). CapEFA money could be used for preparing the ground for GPE investments, building up capacities of governments, while GPE can be used for co-financing CapEFA activities or used for financing the implementation of policies or finance mid-stream type of activities. At the same time GPE only focusses on basic education for children, while CapEFA has a much broader focus also addressing TVET, literacy and non-formal learning (applying a cross sectoral approach). In some cases, the

²⁷ Till now only Sweden committed had formally signed partnership agreements for the full period. Finland and Norway have already formally committed to 2015, while Azerbaijan provided a one-time contribution for 2014 only.

²⁸ Tapping into private funding could, however, increase reporting obligations and endanger the independence of the programme by including the interests of the private sector.

²⁹ The GPE received unprecedented commitments from its partners at its second replenishment conference, totalling \$28.5 billion for 2015-2018: \$26 billion was pledged by developing countries in increases to domestic financing for education, and \$2.1 billion by donors to the GPE fund.

programme is successful in attracting additional funding from other donors at local level, for example related to the development and implementation of education-sector and sub-sector plans (as in the specific case of the DRC and Myanmar). Some countries report cost-sharing activities between development partners (such as in Mali, Laos, and Haiti). Efficiency is also achieved by virtue of the fact that the local counterparts are actively involved in producing the programme outputs (part of the participatory approach), which can be seen as a cost-effective local CapEFA 'production process'. In some countries, national governments co-financed activities, such as the concrete case of Laos PDR, where the Ministry of Education and Science allocated a significant amount from its national budget to support the the Inclusive Education Centre's initiative to cascade the training to every teacher educator at the teacher training college level.

UNESCO provided technical assistance in the provision of this training and monitored the master trainers and the training for improved teaching strategies. Another example is the co-funding of the literacy campaign in Cambodia, however such examples remain scarce, given the limited financial resources available in the targeted countries.

The idea of expanding the interventions of the programme towards a more mid-stream level, as suggested in some proposals for the new programming period, would have budgetary consequences, since such activities are considered more expensive than upstream activities. This scenario is only realistic if the programme is successful in attracting additional donor money for the coming years. Additional funds can be acquired as well at local level (e.g. with the help of the GPE), or CapEFA pilots get replicated by other donors, expanding the scope and impact of the programme. Therefore, CapEFA should improve its dialogue with other development partners, seeking to closely cooperate and further improve the follow-up strategy of pilots/interventions supported

3.3.3 Cost-effectiveness of the programme activities implemented

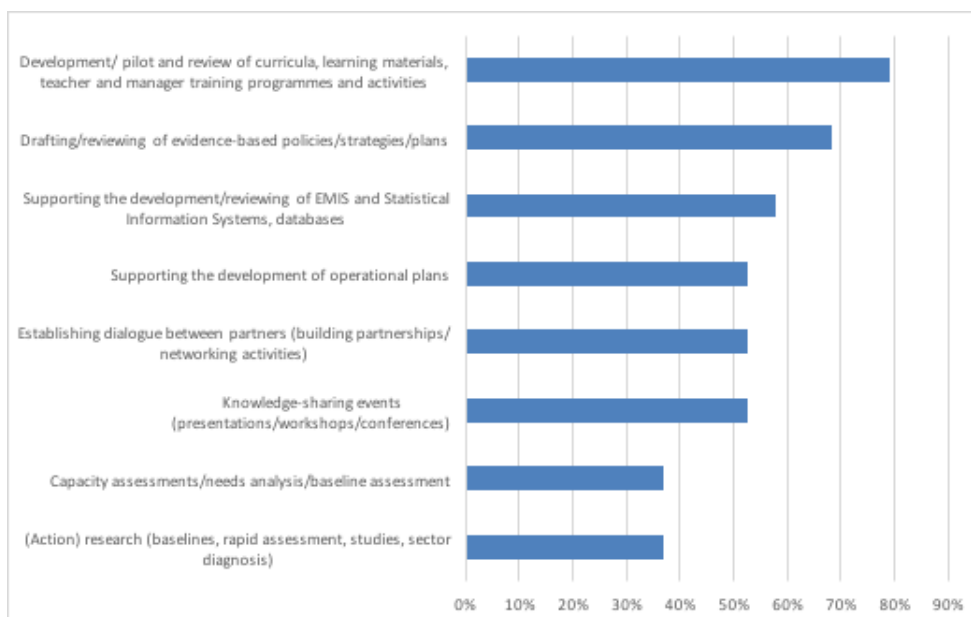
Key finding: *Within the programme a wide range of interventions/activities is supported. Even though systematic information on costs per type of intervention is missing (which would allow for a thorough cost effectiveness analysis), programme stakeholders regard the programme as being implemented at a reasonable cost.*

The CapEFA programme establishes concrete work plans every year, with a budget for activities, personnel costs and equipment per country providing a general overview of costs per type of intervention. In order to make an assessment of whether the CapEFA budget is well spent, it is important to first discuss what types of activity are supported by CapEFA and to compare the relative costs of the different types of intervention. A summary of the types of activity supported by CapEFA can be provided to give an overview³⁰. The figure below shows how often a certain activity is supported across countries, showing clearly that in most countries CapEFA helps the development/piloting and reviewing of curricula, learning materials, training programmes, and activities for teachers and the drafting/reviewing of evidence-based policies/strategies and plans. Less often, activities were implemented for capacity assessments/needs analysis/baseline assessments and action research (baseline assessments, studies, sector diagnosis) which typically belongs to Step 1-3 of the capacity development process.³¹ Most of the time these activities are implemented by means of workshops and drafting background documents.

³⁰ Programme activities were systematically analysed and labelled according to common categories of types of interventions.

³¹ The survey amongst the beneficiaries indicates that most of the participants participated in training activities and knowledge-sharing events (presentations, workshops, and conferences). These are also the types of activities that target the largest audience. Another relevant groups indicated- almost one third - that they had participated in a review of curricula, learning material, and teacher- and manager-training programmes and activities. Respondents seem to have participated less in action research and the pilot testing of curricula, learning materials/programmes/activities/EMIS. These last types of activities are more specific activities, focused on a small group of insiders, explaining the low level of involvement amongst respondents.

Figure 10: Overview of types of activity supported across beneficiary countries



Source: Country evaluation reports, 2015

Although sharing some commonalities each thematic area includes different types of interventions. SWPP more frequently addresses action research (baseline assessments, studies, sector diagnosis), establishing a dialogue between partners (building partnerships/networking activities), supporting the development/review process for EMIS and statistical information systems, supporting the development of operational plans, and drafting reviews of evidence-based policies/strategies and plans. Teacher training, on the other hand, naturally more often included the development/pilot and review of curricula, learning materials, and teacher and manager training (next to training/workshops). Literacy, on the other hand, shows a wide range of activities supported with a focus on the development and testing of curricula, learning materials, and training; and the drafting/reviewing of evidence-based policies/strategies and plans. TVET focuses much more on establishing a dialogue between partners (building partnerships/networking activities), EMIS and statistical data, curricula/learning material, and training.

Since benchmarking information is not available about the costs of the programme, it is difficult to assess how the cost of CapEFA compare to other (comparable) capacity development programmes. Moreover, the diversity of country contexts, and types of interventions implemented hampers a cross-country comparison on costs. Therefore, opinions of key stakeholders are sought on the efficiency of the programme implementation. Generally, the programme is considered value for money by the programme stakeholders. The survey of global stakeholders (including the UNESCO family and representatives of donor countries) supports this, with the majority of stakeholders indicating that the programme is implemented at a reasonable cost and that a limited share of budget is spent on programme management. Stakeholders consider the financial resources to be sufficient for delivering the expected outputs, and the majority indicate that the programme activities meet their expectations. Nevertheless, at the same time it is indicated that the budget is not sufficient for satisfying all needs for capacity building, handling additional request for assistance, or to further build on programme achievements further scaling-up activities or being more involved in midstream capacity building activities.

Overall there is limited information in the programme on the cost effectiveness of intervention, that can facilitate strategic decisions on programming on country level (with information on what works well, in which capacity-building phase and context, at what cost, and why). As already indicated in the previous evaluation from 2013, the programme does not systematically invest in *ex ante* assessments/feasibility studies at the beginning of each country-specific intervention, learning lessons from the past and from other countries in order to further define the programme strategy based on what is known to work and to be most cost-effective. In most cases, the start-up of an intervention in a specific country is based on a

political commitment by UNESCO to its member states to take fast action when opportunities are presented.

Building more knowledge on the cost-effectiveness of different interventions in each step of the capacity-building process

Each type of intervention/activity has a role to play in each of the five capacity-development steps. A conference/event, for example, could play an important role while launching or finalizing an intervention or disseminating the result, while baseline studies are very helpful in the early stages, enabling diagnosis of the situation. Workshops are more effective during the implementation phase, developing concrete products, programmes, or policy tools in a 'co-creation' process. This evaluation shows us that the activities that promote dialogue and create mutual ownership (such as participatory workshops with working assignments, with appropriate follow-up and coaching of participants) seem to be very cost-effective. Nevertheless, during the evaluation some practices were highlighted that in the first instance seemed cost-efficient – such as the application of cascade training after senior officials are trained with the help of CapEFA – but in reality proved to be of limited effectiveness, since a lot of information is lost in transmission from one informant/trainer to another³². It was also observed that in some cases there is still insufficient capitalization of activities, potentially hampering cost-effectiveness. For example, in some cases senior officials were trained but did not pass on their knowledge to their colleagues in the organization. This demonstrates that CD interventions, if not combined with an integrated multiplier and dissemination approach, are less likely to lead to an effect over time, and are therefore less cost-efficient. In general, follow-up activities are underdeveloped in the programme, limiting the cost-effectiveness of interventions.

3.3.4 Management of the programme

Key finding: *The programme is well-managed, with competent and dedicated staff, and the coordination costs are kept to a minimum. The programme has improved its monitoring arrangements over time, and the result matrices have helped improve the intervention logic and result orientation of the programme. Programme management could be further improved by increasing support for knowledge-sharing on effective capacity-building approaches between programme actors.*

Overall the programme is well managed and monitored, and programme stakeholders express their appreciation in this area.

Coordination costs are kept to a minimum, and the CapEFA secretariat at HQ remains small in size but proficient in terms of project management. The CapEFA team is experienced and has found a modus to manage the complex programme, which involves multiple needs, countries, and actors. The administrative burden for programme stakeholders has been reduced by producing written guidance materials and tools.

The programme has improved its monitoring arrangements over time. The result matrices have improved the result orientation of the programme and ultimately contributed to better reporting to donor countries of its key achievements. Donor countries indicate that the yearly monitoring reports have been improved over the years by finding a fair balance between financial/technical reporting and recounting the narrative of programme achievements and lessons learned. This was one of the recommendations made during the previous evaluations and follow-ups by the CapEFA team.

In general, the CapEFA team are dedicated to their work (HQ, UNESCO institutes, and field offices) and

³² As a purely theoretical model of diffusion and capacity-building, the cascade model seems promising, increasing the scale, efficiency, sustainability, equity and quality of the intervention. In practice, however, these outcomes are not always achieved, and in a lot of cases quantity prevails over quality. Mpho, M. D. & Matseliso, M. L. (2012). Does the cascade model work for teacher training? Analysis of teachers' experiences. In *The International Journal of Educational Sciences*, 4(3): 249-254.

continue to seek synergies within the UNESCO family and with other development partners. The qualifications of CapEFA local staff in project management (the coordinator, the technical assistant for CapEFA, and some support staff) have allowed for more responsiveness and widespread problem-solving approaches. The close interrelations with CapEFA HQ have helped in identifying solutions when problems occur. The flexibility in the programming has also ensured seamless and properly paced implementation of activities. Regional and local offices differ in their capacities in different thematic areas, making some regional offices more dependent on advisory services at HQ or UNESCO institutes. In general, field offices have a stable group of staff being involved in the coordination of CaEFA. Only in a few number of countries, there prevails a concern related the high turn-over among staff hired on CapEFA funds, leading to the loss of expertise and national networks.

Key finding: *The biannual planning horizon is still not aligned with the long-term characteristics of the programme. Ideally, a planning/financial cycle of eight years should be applied, in line with the mid-term strategy. Flexibility of programme spending has been improved, reacting to changing demands. Long waits for payment transfers could hamper programme implementation.*

The previous evaluation concluded that the short-term biannual planning horizon in the CapEFA programme is not consistent with the long-term characteristics of a CD programme. This is still a concern, but is unavoidable in a situation where contributions from donor countries are mostly planned with one- or two-year timeframes. Nevertheless, the majority of the programme stakeholders at global level (UNESCO family and donor countries) have the opinion that the planning of biannual programming should better match the long-term characteristics of capacity-development, and the expansion of their commitment over a longer time period is a point for further discussion with donor countries. Ideally a planning/financial cycle of eight years should be applied, being in line with the mid-term strategy, although a cycle of five years would already be an improvement.

The previous evaluation also concluded that the up-front awarding of relatively small (often equally sized) budget envelopes to a rather large number of member states creates a dispersed and piecemeal implementation of the programme. The evaluation therefore recommended a more flexible method of budget allocation, starting with a general budget indication up front, introducing mechanisms and procedures for adapting budgets during the needs-assessment and planning phases, with more results-based monitoring and reallocation of budgets improving the programme's capacity to increase efficiency and effectiveness or to direct finances to contexts where resources are most needed. Since then the programme has made important improvements, becoming more flexible in (re)allocating budgets over time. This flexibility was much appreciated by programme stakeholders and beneficiaries.

Another challenge mentioned in several countries where UNESCO does not have an office is the relatively long duration for transferring payments to contractors/consultants (such as reported for Lao PDR). This could affect the organization of activities. For some countries, where there is no government budget available to be advanced for expenses, activities had to be postponed. In some cases, personal funds were advanced to cover immediate workshop organizational costs until UNESCO budget was transferred.

3.4 Effectiveness

3.4.1 Introduction

The CapEFA programme should have an effect on three levels: (1) institutional (changing patterns of collaboration, policies, rules, legislation, cultural norms, and politics), (2) organizational (changing structures, systems, and processes), and (3) individual (changing knowledge, skills, and attitudes). This section evaluation only explores the effect on institutions and organizations directly participating/targeted in CapEFA; the direct effect on individuals is not measured (this would go beyond the methodological scope).

In this section the following evaluation questions will be answered:

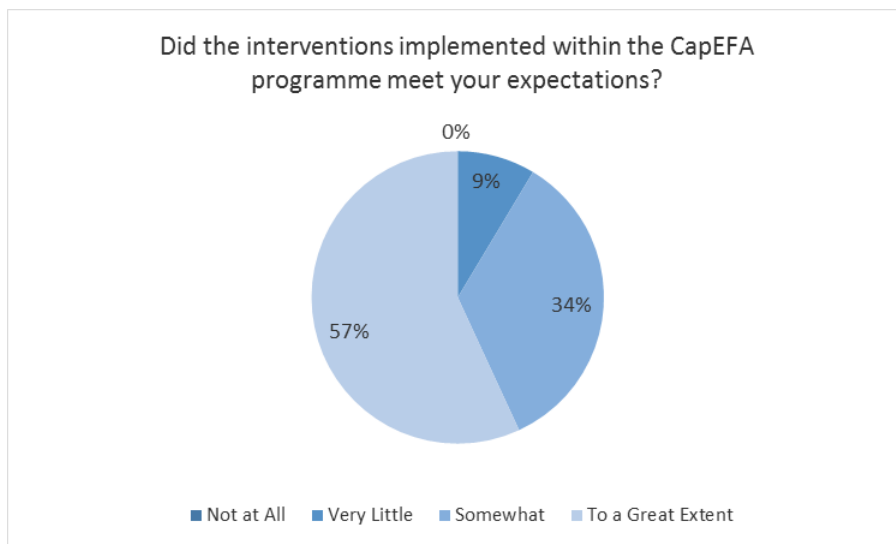
1. Have the expected results (in terms of outputs and outcomes) been achieved?
2. What have been the achievements that are specific to CapEFA themes?
3. What have been the enabling and hindering factors of the CapEFA interventions?

3.4.2 General appreciation of the CapEFA programme

Key finding: *The programming activities of the CapEFA programme generally meet the expectations of the beneficiaries at country level. On the whole, the CapEFA programme has been successful in developing the capacities of national stakeholders in the fields of SWPP, literacy, teacher training, and TVET.*

The figure below shows that the majority of stakeholders consulted indicated that the programme meets their expectations (57%), while one-third thought that this is somewhat the case (34%). Only around one-tenth (9%) of the respondents indicated that this is very little the case.

Figure 11: General appreciation of CapEFA interventions



Source: National stakeholder survey, question 19, n=71

National stakeholders generally appreciate the planning of the interventions, the provision of information before and during, the clarity of the roles involved, and the in-house expertise of UNESCO and its understanding of the policy area.

This provides an indication that CapEFA interventions at country level are based on a reasoned ToC and agreed upon by the key players, since beneficiaries are involved at the early stages of CapEFA activities,

enabling their empowerment before the design of such activities (and incidentally fostering their sustainability, as presented in the chapter on that theme). Moreover, it indicates that the programme activities in most cases have been implemented as planned.

At country level, different types of effect are achieved, influenced by the nature of the activities supported by CapEFA, which range from the strengthening of institutional and organizational capacities (supporting the implementation of reviews, education-sector plans, action research, working papers, or the development and testing of curricula, handbooks, or standards) to activities focused on individuals (providing training, workshops, conferences, coaching, monitoring, and field trips).

Some of these activities – in most cases especially those related to the technical assistance brought in to improve institutional and organizational capacities – have had direct effects, producing concrete products such as education-sector reviews, education plans, handbooks, action plans, etc.; some have had indirect effects, for example the influence of working papers on the development of legislation or policies. Concrete examples of these types of effect are reported in all countries.

Other effects of individual CD activities are more difficult to measure, since these activities should change the mind-sets and behaviour of individual officials in terms of knowledge, skills, and attitudes, which is less measurable than change in organizations (changing structures, systems, and processes) and institutions (changing patterns of collaboration, policies, rules, legislation, cultural norms, and politics). However, CapEFA was not intended to directly improve individual capacities for personal development (e.g. career progression or living standards); rather, enhanced individual capacities should serve in first place the institutional and organizational levels. Although there is no hard evidence – due also to the fact that many effects will only become visible in the long term, when organizations put what they have learned into practice – there is an indication on the basis of self-assessment that beneficiaries of the programme have enhanced/strengthened their capacities in the different thematic fields.

The majority of the global stakeholders that responded to the online survey indicated that the CapEFA programme is an effective instrument in enhancing the capacities of partner-country institutions and other stakeholders.

The evaluation furthermore considers that the four themes contributed to the seven expected results of UNESCO's Main Line of Action 1 (MLA 1): "Supporting Member States to develop education systems to foster high quality and inclusive lifelong learning for all³³".

3.4.3 Effectiveness of CapEFA in terms of priority themes

Based on the country studies and the survey of national stakeholders, the CapEFA programme can generally be considered to be effective (reaching its objectives as originally stated). Nevertheless, some variation is witnessed between the thematic fields in terms of effectiveness. This finding is in line with what was concluded above in the 'Relevance and added value' section.

In the sections below, we further explore the effectiveness achieved in each thematic field. It is important to keep in mind that these assessments are meant to provide insights into the effectiveness of each field, rather than a comparative analysis.

>> **SWPP**

SWPP is currently supported in four countries (the DRC, Ethiopia, Haiti, and Myanmar). For SWPP, according to the 2014 CapEFA progress report, the general objective of the CapEFA interventions is to strengthen national capacities to develop and implement education policies and plans within a lifelong learning framework. This objective is split into three sub-objectives: (1) to diagnose and assess education systems, (2) to elaborate and revise education development strategies/plans, and (3) to implement and systematically monitor education strategies/plans. The country evaluations show clear evidence of

³³ UNESCO (2010), Recommendation by the executive board on the draft budget for 2016–2017 (38/C5).

increasing capacities of senior ministry officials through capacity-building workshops and action learning while assessing, revising, developing and monitoring education strategies/plans.

- With regard to *capacities to diagnose and assess education systems*, CapEFA has contributed in different countries by carrying out (comprehensive) education-sector reviews. In **Myanmar**, the programme participated in a needs assessment of the national education system. Under phase 1 of a rapid assessment, CapEFA provided technical support, doing studies and applying a simulation model with a special focus on higher education (HE) and TVET. This resulted in a better insight into the current state of play in the country in the field of education. Finally, UNESCO, development partners and the Comprehensive Education Sector Review (CESR) team produced a rapid assessment report that covered all aspects of the education system (from early-childhood education to adult education). In consultation with UNESCO and other development partners, the MoE then recommended and requested further capacity-building activities in the fields of EMIS, management, M&E and quality assurance, policy legislation and management for decentralization, and evaluating learning outcomes. The rapid assessment continued into phase 2 (CESR), where UNESCO provided further support in areas such as decentralization, EMIS, financial planning, quality assurance, TVET, and higher education. These activities increased the capacities of mostly senior government officials, and some directly fed policy processes and reforms (such as the working paper on decentralization and legislation, and the work done on cost modelling). The working paper on legislation was widely distributed amongst parliamentarians and stakeholders, and was used in drafting the national education laws, which were submitted to the parliament in March 2014. The working paper on decentralization was also mentioned in the draft. UNESCO also provided substantial written feedback on all aspects of the CESR and inputs provided by other development partners, which was highly appreciated.
- *CapEFA supported the development of the capacities to elaborate and revise education development strategies and plans in different countries.* CapEFA contributed to the development of education-sector plans by providing input on legislation, drawing up policy scenarios, and cost modelling (the National Education Sector Plan in Myanmar, the Education Sector Development Plan (ESDP) in Ethiopia, the Interim Plan of the Ministry of Primary, Secondary, and Professional Training in the DRC, etc.). In **Ethiopia**, the CapEFA programme contributed to the elaboration of ESDPs IV and V and the reinforcement of the organizational capacities of the Federal Ministry of Education, REBs, and Colleges of Teacher Education (CTEs) (especially improving their planning and technical capacities in setting up and developing systems, guidelines, and tools for the education system). However, the high staff turnover (as encountered in most CapEFA countries) both at the Ministry and the REBs, the absence of a sophisticated KM system, and the shortage of financial resources challenged continuous development in Ethiopia. In **Myanmar**, CapEFA contributed to the drafting of the National Education Sector Plan, including the government's strategic vision based on evidence and measured results, on which UNESCO provided assistance in cost modelling of different scenarios. UNESCO also provided feedback on the different chapters of the National Education Sector Plan.
- *CapEFA supported different activities contributing to capacities to implement and systematically monitor education strategies and plans.* CapEFA supported the setting up of EMIS. In **Haiti**, for example, the CapEFA programme intervention aimed to improve the EMIS by focusing on the school census. Technical assistance and cascade training on education statistics were provided to central and regional planning units of the government while carrying out the census activities, leading to the finalization of the Education Census Yearbook 2011–2012. The evaluation shows that the first two sets of censuses conducted by the Ministry of Education have been fully implemented and the results published. However, the census on higher education launched in 2014 has not been finalized, according to the country report, and the census on technical education has not been launched yet. Besides, the school census does not integrate other data, for instance national exams and human resources. In **Myanmar**, with the help of CapEFA UNESCO has been providing technical

assistance in strengthening the country's EMIS since 2013. Following a diagnostic study on the current state of EMIS development in Myanmar, and in close consultation with the MoE, UNESCO designed a sector-wide five-year EMIS Strategic Plan, which was finalized halfway through 2015. On the request of the MoE, UNESCO is continuing its technical guidance in the implementation of the EMIS Strategic Plan. Key activities include support for the establishment of a high-level EMIS Steering Committee to oversee EMIS implementation, the development of a first-year Operational Plan, budget proposals specific to EMIS aimed at mobilizing both domestic and donor funding, and capacity-building activities tailor-made to equip officials with the requisite skills for leading EMIS development in the country. In **Ethiopia**, evidence was found that the CapEFA programme has helped the country make good progress in installing tools such as EMIS and TIMS, as well as other M&E tools, at the Federal Ministry of Education and the REBs. In the **DRC**, CapEFA contributed to the development of an information management system at central and provincial levels. The main challenge in 2012 was to equip the government with planning and management tools. Enhanced data and statistics facilitated the preparation and publication of a statistical yearbook on the three sub-sectors relating to education at central level. CapEFA has also supported the preparation of different sub-sectoral strategies, including, most importantly, the plan of the Ministry of Primary, Secondary and Vocational Education (MEPSP), which received funding of \$100 million from the Global Partnership for Education.

Overall, CapEFA interventions have contributed to CESRs and the development of education-sector plans, providing input on legislation and contributing to policy scenarios, cost modelling, and setting up EMIS. Most of the time, interventions contribute to one or more of the specific objectives at the same time, increasing capacities to diagnose and assess the education system as a first step (such as the rapid assessment in Myanmar). This is accompanied by capacity-building activities to monitor strategies and plans.

However, the area of SWPP requires more time and effort to ensure that the technical and operational capacities of the countries are further developed, particularly in the implementation, monitoring, and control of their education systems. The country reports on SWPP showed that UNESCO is the only organization capable of fostering horizontal and cross-cutting approaches, via CapEFA, aiming to set or foster a consolidated policy framework at country level. SWPP is a key factor for sustained support of CD policies in the countries, and is also a distinctive added value of the programme.

The CapEFA programme's effectiveness should also be assessed against what it is reasonable to expect over a short period of time (two to three years in the case of the present evaluation), and the likelihood of activities contributing to the improvement of national policies. The SWPP theme is key in this respect, as it encompasses a wide range of levers (e.g. statistics) that are likely to have a positive impact on the quality of the policies designed and conducted in the countries. The long-term impact of SWPP will emerge once national and local capacities³⁴ have been developed in multiple aspects of national policy-making (not only restricted to the education sector).

Although hard evidence is lacking on whether capacities have been increased, based on self-assessment the beneficiaries of the programme generally indicate that they have increased their knowledge and capacities on different aspects of SWPP, stating they are better equipped to carry out analysis and policy development on their own. This is confirmed by the outcomes of the survey amongst national stakeholders, showing that a large majority of national stakeholders consider the effectiveness of CapEFA in enhancing capacities to be high, indicating a positive contribution of the programme.

³⁴ Most CapEFA countries are going through D&D reforms, and CapEFA adapted its interventions to the local situation (see chapters on partnerships).

>> **Literacy and NFE**

The literacy theme relates to the design and implementation of gender-sensitive and development-responsive literacy and NFE policies, strategies, and programmes. Four sub-objectives were defined where the CapEFA contributes to increasing capacity: (1) development and implementation of effective literacy policies, strategies and plans; (2) scaling up of effective national literacy programmes; (3) delivery of good-quality literacy learning opportunities that are gender-sensitive and relevant to a diversity of target groups; (4) collaboration and sharing of knowledge. The country studies show collected evidence on each of these sub-objectives. Activities relating to this theme are implemented in 11 CapEFA beneficiary countries (Bangladesh, Cambodia, Chad, Mauritania, Mozambique, Nepal, Senegal, South Sudan, Timor-Leste, Togo, and Yemen).

The CapEFA activities contribute to each of the sub-objectives, as shown in the CapEFA progress reports and confirmed in the evaluation. There is actually a good range of outputs resulting from the CapEFA support that directly contribute to the achievement of the above-mentioned sub-objectives. The majority of stakeholders who participated in the survey support this positive assessment of CapEFA's activities in the area of literacy and NFE.

The results of the country studies implemented in the context of this evaluation clearly illustrate the main achievements of CapEFA within the field of literacy and NFE for each sub-objective.

- *Regarding the first sub-objective*, the country studies show that literacy and NFE policies, strategies and plans have progressed in the countries targeted. The survey outcomes show that a majority of national stakeholders think that the CapEFA programme strengthens the capacity of policy-makers, planners, and managers to develop and implement effective literacy policies, strategies, and plans. In the CapEFA countries, evidence was collected that the programme reinforced the skills of national staff in charge of literacy and NFE programmes in terms of their capacities to design policies, strategies and plans. In **Bangladesh**, the Bureau of Non-Formal Education formulated a comprehensive NFE Act that was passed by the national parliament in 2014. In **Togo**, the CapEFA programme has generated major changes in the steering of the Literacy and NFE (LNFE) sub-sector. The government has managed to clarify its political vision through the development of a national LNFE strategy and the phase-in of a new approach to the management of the sub-sector. In **Mauritania**, the technical aspects of the action plan for the NFE strategy have been validated and are being integrated into the MoE's Global Strategy for Education (2016–2020). Progress has also been made in the setting up of EMIS. The CapEFA programme helped the **Cambodian** government establish a nationwide NFE Management Information System (NFE-MIS). The Provincial Education Office is well equipped and officials are well trained to feed and use the system. The NFE-MIS is planned to be merged with the existing EMIS towards better policy planning, resource allocation and effective monitoring.

The realization of the first expected sub-objective is dependent on the realization of sub-objectives 2 and 3. The case of **Chad** is illustrative of the different CapEFA activities in literacy/NFE, which have led to major progress in terms of the structuring of national policies that were almost non-existent before CapEFA. Thanks to capacity-building initiatives at ministerial levels, the setting up of EMIS, the design of programming manuals, the revision of curricula, and teacher-training materials and sessions, Chad now benefits from an enabling environment for literacy and NFE. An integrated approach to literacy and NFE is therefore paying off.

- *Regarding the second sub-objective*, the CapEFA programme has supported the design of literacy/NFE programmes as well as the conception of tools (guidebooks, modules) and products (training manuals, LAE manuals, gender-sensitive materials). For instance, in **Mauritania**, the CapEFA programme supported the design of literacy programmes, manuals for out-of-school children and guides for teachers. In **Senegal**, CapEFA supported the production of resource documents (12 modules on adult and youth literacy and basic

education [EBJA], a users' quick guide for EBJA modules, and a trainee-teacher and facilitator EBJA handbook) in order to support and equip the training of teachers with adequate tools.

- *Regarding the third sub-objective*, the CapEFA programme contributed to the strengthening of the consideration given to gender issues. In **Chad** and **Mauritania**, manuals have been made gender-sensitive by the provision of examples and illustrations, highlighting the key role of women/girls in the society. However, gender-biased traditional activities or attitudes often play a role. In **Cambodia** for instance, gender equity remains low. In **Mozambique**, there is poor retention of learners, particularly women and girls, despite some progress in this field. Up to the end of 2015, the CapEFA programme planned to implement training of staff at the Ministry of Education and Human Development (MINEDH) on gender mainstreaming and gender-sensitive budgeting. However, in only a very few countries has the CapEFA programme supported the inclusion of diverse groups of beneficiaries based on ethnicity.
- *Regarding the fourth sub-objective*, knowledge-sharing and exchanges of practices between CapEFA countries has been somewhat limited. The sharing of knowledge within the UN family has been similarly limited (see chapter on partnership and cooperation). CapEFA coordinators explain that they have little financial room to expand visits or hold international/regional events dedicated to capacity-building in literacy and NFE; coordinators rely on the CapEFA budget for these kinds of activity.

Despite good progress in literacy and NFE, the country studies indicate that the lack of human and financial resources might compromise the roll-out of policies and programmes in this area. For instance, in Cambodia and Mozambique, national institutions responsible for literacy and the NFE sub-sector do not have enough resources to fully address the needs of the populations targeted and to fully implement the strategies (and tools) elaborated within the CapEFA programme. In both cases, this is due to a lack of consistent financial support for the literacy and NFE sub-sector, either from development partners or from the government.

>> **Teacher training**

Interventions in the field of teacher training are currently supported in eight countries (Burundi, Burkina Faso, Guinea, Laos PDR, Lesotho, Mali, Niger, and Uganda). The teacher-training theme aims at formulating evidence-based teacher policy and reinforcing teacher-training institutions, including through curricula and pedagogical materials. For this thematic area, three sub-objectives are defined: (1) enhanced capacity for evidence-based teacher policy development and strategic planning; (2) improved management and training capacity of teacher-training institutions; and (3) enhanced capacities of teachers and key stakeholders for knowledge-sharing. Positive results were reported on all these specific objectives, although these were rather implicit in the case of the third objective.

- *CapEFA supported evidence-based teacher policy development and strategic planning in different countries.* In **Uganda**, CapEFA supported the strengthening of a digital Teacher Management Information System (TMIS) and provided specific assistance developing one comprehensive teacher policy document (bringing together separate teacher documents). The country evaluation shows that these activities have proven effective. The draft Teacher Policy Document is now being used as a resource to complete a comprehensive Teacher Policy for approval by the Ministry of Education, Science, Technology and Sport (MOESTS), and a bill for legislation was prepared in December 2015. In **Niger**, CapEFA has contributed to the development and validation of a policy document on initial and in-service teacher training, as well as the review and validation of a database with statistical information on teachers. In **Guinea**, CapEFA has achieved significant results by designing a local policy and plans for initial and in-service training of primary- and secondary-school teachers and facilitating the set-up of a steering group for implementing this local policy. In **Laos PDR**, significant results have been achieved in increasing capacities of relevant stakeholders in the field of teacher education, while at the same time working on concrete

products fostering social action (such as the development of a teacher code of conduct, a manual on teacher quality indicators for monitoring development of teacher education, a projection model to forecast teacher demand over the next five to ten years, a competence framework for teachers, analysis of existing information management systems, or a database on training of in-service teachers). CD workshops were also supported to develop a framework and instrument for Monitoring and Evaluation (M&E) of the Teacher Education Strategy and Action Plan (TESAP) 2011–2015. Amongst the several outputs created, the development of the teacher code of conduct was considered most effective, since it involved a whole process of creating ownership with initial critical views, but ultimately also concrete results and impacts that changed national policies (reference is made to the code of conduct in the national education law). Stakeholders also indicated that principles of the code of conduct were already embedded in the teacher performance framework. In **Mali**, a holistic study on teachers has been implemented, in collaboration with UNICEF. This activity is part of institutional support for the analysis and strengthening of the situation of teachers in Mali through the ten-year Education Development Programme.

- *CapEFA supported activities that increased the management and training capacity of teacher-training institutions.* Several activities have been implemented in different countries to increase the management and training capacity of teacher-training institutions. In **Uganda**, for example, CapEFA has supported the harmonization of existing teacher-training programmes and the development of a Continuous Professional Development Framework. The activities are considered effective, since the Continuous Professional Development Framework, including the teacher profiles for early childhood, primary and secondary education, and TVET, has been completed. Implementation of harmonized teacher training will start soon. In **Mali**, CapEFA contributed to the implementation of the initial and in-service training programmes for teachers, and strengthened the capacities of the actors and structures involved in managing teacher training to achieve the EFA objectives. As a result, a plan has been developed for capacity-building with all actors involved in initial and in-service teacher training. In **Niger**, CapEFA contributed to a review of training in literacy and NFE programmes. In **Laos PDR**, workshops were organized on general approaches and teaching practices for the Department of Teacher Education (DTE), Teacher Training Colleges (TTC) and the Faculty of Education staff of three national universities. Workshops were also organized on course description development for pre-school teacher education for DTE and Teacher Education Institutes (TEI) staff, as well as one workshop on assessment and test design for TEI staff implementing a four-year pre-school teacher education curriculum (finally leading to the implementation of a four-year programme that is now in its third year). Knowledge and capacities of teacher educators in teacher-training institutions were also strengthened based on the concept of inclusive education. At the same time, activities were supported to improve quality assurance at teacher education institutions, for example a study visit to Thailand and the Philippines and support for the development of a teacher qualification framework. It was indicated that long-term relationships have been built with colleagues from these countries. Capacities to review and develop curricula, textbooks and other material from a gender perspective were also strengthened, and beneficiaries indicated that they will make use of what has been learned while revising textbooks in the future. **Burkina Faso** is still in the early phase of the CD cycle, but the capacity needs assessment has been finalized and a response developed. Recently, capacity-building workshops have been organized on curriculum development and assessment, development of curriculum documents, and development of the competence framework of primary-school teachers. One working group has developed a tool for the curriculum of the second year of basic education (content, management of content, and instruction manual), which is a clear result. Further training for other stakeholders is still in the planning stage. In **Guinea**, significant results have also been achieved, with the CapEFA programme facilitating successful curricular reform in initial and in-service training, based on a socio-constructivist assessment of teaching methods and experience. Many teachers and managers (of the

National Directorate of Training and Pedagogic Development of Teaching Staff) benefited from the capacity-building activities. The availability of modules and training tools complies with the needs of beneficiaries. It was indicated that the experiences of CapEFA shall be disseminated amongst all primary- and secondary-school teachers in the future. The new curriculum has proven to be effective, since the modular approach enabled an increase in students' pass rate: 'while before the use of this approach, the pass rate was rarely above 50% of candidates, now it exceeds 70 and 80% for French and Mathematics respectively'.³⁵

- *CapEFA supported activities that enhanced the capacities of teachers and key stakeholders in knowledge-sharing.* In most countries, knowledge-sharing was not explicitly defined as a specific objective in the country programming documents, but more as an instrument for addressing other objectives (such as developing teacher policies or instruments). In **Laos PDR**, knowledge-sharing was specifically mentioned as an objective and was stimulated by sharing good practices and disseminating products developed in the context of CapEFA (such as translations of TESAP 2001–2015, the teacher code of conduct for teachers, etc.). Study visits were also implemented, better positioning participants to draw on regional good practices and transnational expertise (such as on quality assurance (QA) systems for teacher education), leading to a sustainable exchange of knowledge and experience over time. Evidence was collected in Laos PDR that CapEFA brings together actors that formerly worked more or less in isolation (such as teacher education institutions, but also different departments responsible for monitoring specific parts of teacher statistics, using TMIS, EMIS, or Personal Management Information Systems [PMIS]). In **Mali**, experiences were shared on policies of teacher training at the sub-regional level (Benin, Burkina Faso, Côte d'Ivoire, Guinea and Senegal).

Overall, countries reported tangible outcomes, especially when the CapEFA programme contributed to comprehensive teacher policy reviews, the development of teacher-training programmes, and the conception of inputs such as training modules, guides, and TMIS. Stakeholders interviewed generally indicated that the programme supported CD, with some critical remarks on the effectiveness of CapEFA's support of teacher development. On the whole, difficulties tended to be identified in the lack of a holistic approach to teaching and learning in the CapEFA countries. Not all countries are capable of activating the multiple variables (e.g. learning environment and teacher training, as well as curriculum reform and assessment procedures) that constitute a quality education, which would include the possibility to address teacher training with a sector-wide approach by covering formal and NFE sub-sectors and considering multi-profile teacher qualifications. Countries often implement activities that are relevant but disconnected from each other. This shows that a SWPP dimension is key to help implement the teachers theme, just as it is for the other themes. Examples were also provided of cases where the effectiveness of teacher development programmes was hindered by rigid national examinations (such as in Uganda – see below) that force teachers to fall back on traditional teacher-centred approaches, replacing creative subjects and physical exercise by rote learning, which hampers learning outcomes and can even increase drop-out. In addition, the teachers' living conditions (i.e. including recruitment, pre- and in-service training, work conditions, position deployment, career path, etc.) – which represent a key element in quality education, helping promote teacher retention – were often not considered in CapEFA activities on teacher training. Teachers' living conditions were considered in Laos PDR and Burundi but could be mainstreamed in other CapEFA countries with activities related to teacher training. Just as the SWPP theme requires time in order to be effective, the building of a robust education system is a long-term venture in a favourable political environment (i.e. with political stability and consistency of reforms), in which teaching is one pillar.

³⁵ Country report, Guinea, French version, p. 16.

>> TVET

Interventions in the field of TVET are currently supported in five countries (Afghanistan, Benin, Liberia and Madagascar), although Côte d'Ivoire was also targeted until the beginning of 2014. For TVET, the general objective of CapEFA interventions was to “strengthen national capacities for the development and implementation of evidence-based TVET policies and for improving governance and widening stakeholders”. For this thematic area three sub-objectives are further defined by the programme, enhancing capacities for: (1) evidence-based TVET policy development and strategic planning; (2) planning and M&E of TVET systems; and (3) using analytical tools for labour market analysis. CapEFA supported CD for the production of evidence-based TVET policies and plans involving a wide range of stakeholders. Furthermore, progress was achieved in terms of improving TVET-MIS (Management Information Systems) for better-informed decision-making processes, as well as material for TVET planning and gender-mainstreaming advocacy.

- *CapEFA supported activities increasing the capacity for evidence-based TVET policy development and strategic planning:* Over the years, the programme has supported the successful production of TVET policies and related action plans through reinforcement of national capacities. According to stakeholders and document preambles, this was done through an extensive participatory approach, overcoming the fragmentation of the TVET systems, and thus reinforced the national capacities to work in a coordinated way, involving different ministries as well as private-sector representatives. In **Malawi**, the revised TVET Policy was approved in 2013 and launched in 2014; in **Afghanistan**, the new National Strategy for TVET was approved in 2014, and the Action Plan is under finalization; in **Liberia**, a harmonized TVET Policy was developed based on two previous documents and a new coordination mechanism set up by the President, and launched in 2015; in **Madagascar**, a one-year national, regional, and sectoral consultative process led to the recently approved National Policy on Employment and Vocational Training and its related Action Plan, including a special national and regional mechanism for governance in which private-sector stakeholders are equally represented. Different activities also supported the strengthening of the quality of TVET policies and programmes in Madagascar. In **Benin, Liberia and Malawi**, CapEFA support was provided for the establishment of committed inter-ministerial working groups and broader platforms and consultation frameworks. These frameworks aim to increase the efficiency of work on TVET and employment issues, as well as the sharing of knowledge and good practices, both at institutional and at national and sectoral level. The fact that different stakeholders have successfully collaborated who have never before cooperated in a systematic manner can be considered a major achievement for some countries. External factors such as the political instability in Afghanistan or the Ebola outbreak challenged the smooth implementation of some CapEFA activities. In **Benin**, support was provided to implement a sectoral framework for TVET for better coordination between institutional actors and sectoral representatives in the construction sub-sector. This framework was validated by a working group with regular meetings, which was supported to develop its own steering tools to assess skills needs in the sector. Moreover, the national council in charge of TVET was strengthened and a mapping of TVET development partners' activities finalized and published on an interactive platform. Partners are able to update this information by themselves, helping to better coordinate their activities. Actions to develop a normative guide (inclusive of all players) describing the methodological approach for the design of curricula were supported. These activities are part of targeted support to the national institute in charge of the training of trainers. The institute, which leads a national team dedicated to this theme of the programme. All documents are ready, but the workshop to validate/disseminate the approach has not yet been organized. In **Afghanistan**, CapEFA contributed to the launch of the national TVET strategy, and the related Action Plan is under finalization. National capacities were strengthened through the involvement of relevant

actors during the reform process; however, the implementation of the Action Plan was hampered by political instability, for example due to the belated appointment of a new Deputy Minister for TVET in 2015.

- In **Madagascar**, support was provided to specifically target the teaching of skills to out-of-school rural youth, through a creative and holistic approach piloted in four regions. Two thousand five hundred youth were targeted within this approach, implemented at institutional level to equip them with a mix of foundation, vocational and entrepreneurship skills. Local capacities to undertake value-chain assets analysis were reinforced in order to improve the identification of opportunities for farm and non-farm income-generating activities, the assessment of out-of-school needs, and the development of the capacities of institutions in the local language, including the provision of appropriate learning material. As a result, the programme achieved its main objectives and benefited from a strong political commitment to develop and implement an effective methodology towards providing the target group with minimal competences for the world of work.
- *CapEFA supported activities increasing capacities for planning and M&E of TVET systems:* In **Afghanistan**, support was provided for the establishment of the TVET-MIS system. Competence of relevant staff was increased through training for data collection, processing, and analysis of TVET policy and programmes. Data collection forms, tools and guidelines have been developed. In 2015, the developed forms and tools were used in data collection on TVET institutions and their students; this can be seen as a tangible result of the CapEFA intervention. In **Madagascar**, TVET management information was strengthened by training end users of the system to provide valid figures, allowing central-level staff to produce two TVET statistical yearbooks. In **Benin**, support was given to develop a statistical information system and analysis tools related to TVET, and capacities of relevant stakeholders were increased by implementing this system. The Stateduc2 tool was developed and is now being used. The country just produced its first ever TVET statistical yearbook, as did Côte d'Ivoire, based on the support provided by CapEFA until the beginning of 2014. In **Afghanistan**, CapEFA contributed to strengthening the governance structure of the National Centre for Vocational and Educational Research.
- *CapEFA supported activities increasing capacities for carrying out labour market analysis:* In **Benin**, the CapEFA programme contributed to the diagnosis of the strengths and weaknesses of the existing statistical labour market information system (LMIS) and its articulation with the TVET statistical information system. In **Malawi**, the capacities of nine TVET training institutions (representing 18 officers) for reviewing the TVET training offer, with a view to matching it with labour market needs, were strengthened. Fourteen data-coordination offices have now been set up within these institutions. Moreover, the first technical and vocational career-choice booklets have been developed and published in the country. Their dissemination in institutions and schools is planned, in order to advise current trainees – including female trainees – on the provision of TVET. In Madagascar, the approach targeting out-of-school rural youth as end beneficiaries included development of local capacities to undertake value-chain assets analysis and related identification of farm and non-farm income-generating activities to inform career paths.

This theme has allowed setting the ground for further TVET activities. By seeking the inclusion of private sectors and a vast range of stakeholders representing the employers, CapEFA has paved the way to a more sustained development of TVET in the beneficiary countries. The result-based approaches of the TVET theme is particularly noticeable, with priority given to policy work and the reinforcement of the operators (TVET providers, either public or private) for the benefit of the end users, i.e. the employees.

3.5 Sustainability

3.5.1 Introduction

The purpose of this chapter is to assess the sustainability of CapEFA-funded interventions, more specifically the extent to which the outcomes produced at country level are durable. The chapter also includes considerations of the impacts of CapEFA, highlighting the difficulties involved in assessing them. It would go beyond the scope of this evaluation to assess CapEFA's contribution to reaching the EFA goals or the new SDG 4. The latter can provide new perspectives on quality of education, inclusiveness, equity, and lifelong learning for the CapEFA programme in the future. Therefore, this chapter explores the extent to which CapEFA has facilitated the conditions for developing quality learning systems.

The following evaluation questions will be answered:

- To what extent has CapEFA's capacity-development approach ensured ownership/empowerment?
- To what extent has the CapEFA programme established effective and functional linkages within the education sector?
- What have been the hindering and facilitating factors regarding the sustainability of the CapEFA programme's results?

3.5.2 Sustainability of project results

Key finding: *The programme has fostered the conditions enabling an increased level of national ownership via a participatory approach and other programming principles such as ownership and leadership, which have been an element of the programme's sustainability that could be even further strengthened.*

The programming principles have theoretically framed the CapEFA programme's interventions in every targeted country. The previous CapEFA evaluation from 2013³⁶ indicates that the open participatory approach (programming principle) applied by the programme has been effective in creating trust, a spirit of cooperation, and, most importantly, a sense of ownership among the national stakeholders.

Ownership is another major programming principle, designed to lead the CapEFA programme to support empowerment at all levels, ensuring that institutions, organizations, and individuals all have the capacity to manage and control their own development and resources. This allows actors on all three levels to attain an understanding of their own needs and the appropriate response to these needs, as well as the means to implement such a response. In practice, ownership of CapEFA has been facilitated through the expansion of the leadership capacities of CapEFA stakeholders, who have been able to enforce the programme as initially expected.

For instance, in **Niger** the strengthening of a culture of consensus supported by CapEFA has been beneficial to the programme. The meetings of the working groups in the early stages showed that the programme could leverage trust between stakeholders in education who had never collaboratively built a vision before. Despite successive national plans on education, the degree of consensus was never as complete as that achieved in CapEFA. The testimonials from national and local stakeholders indicate that their sense of belonging to the same community (i.e. as actors in education) has evolved positively, and most of them feel empowered and responsible for the success of CapEFA activities.

³⁶ MDF Training & Consultancy BV, Evaluation of Capacity Development for Education for All (CapEFA) Programme of UNESCO, 18 February 2013, p. 65.

Key finding: *CapEFA has established effective and functional linkages within the education sector at national and local level, which means that the outputs are managed and used for the education system and by the education actors. The private sector has been involved in the TVET theme. Linkages with national policies and strategies focusing on education and training have also improved the sustainability of the CapEFA programme.*

The CapEFA programme has established linkages with the education sector through capacity-reinforcement activities. Such activities have targeted actors in the education sector at different levels – central (ministries, directorates, state agencies) and regional (regional directorates and agencies) – as well as in civil society, mostly via NGOs and cooperation with the media. In some countries, the involvement of civil society was reinforced by the professionalization of associations. One example is the increasing inclusion of civil society in the **DRC**:

- The National Coalition for Education for All (CONEPT) is a civil-society platform composed of unions of teachers, 18 member organizations of the Consortium of Organizations and Civil Society Actors in the Education Sector (COASCE), the Consortium of Journalists Specialized in Education (COJSE), and researchers engaged in advocacy for progress towards EFA.
- The activities of CONEPT have promoted the professionalization of the organization and strengthened its legitimacy in the eyes of ministerial authorities. CONEPT has gained institutional maturity through CapEFA-supported training and long-term cooperation with UNESCO.

Linkages with the education sector have also been developed through efficient cooperation mechanisms, for instance in countries where the CapEFA programme has aimed at enhancing cooperation between institutional actors responsible for education policy (for instance in Benin, the regional Arab states, and most countries with implementation of the SWPP theme). Based on the findings in the individual countries and the surveys conducted, it can be concluded that, in most of the 24 countries covered by this evaluation, the support of CapEFA led to the production of different political documents that are likely to improve the sustainability of the CapEFA outputs, such as national education-sector plans, legislative frameworks, and policy guidelines/policy implementation handbooks. For example, in **Mauritania**, the revised national strategy for literacy and action plan were validated by a wide array of stakeholders (central level, regional level, NGOs, etc.) during a validation workshop. Both documents are available in French and Arabic, facilitating accessibility for all relevant stakeholders. In the **DRC**, the document on the sectoral strategy for education and training has integrated the national strategy for NFE, elaborated with the support of the CapEFA programme. The country evaluation reported that the document is available to and understood by NFE actors. In **Ethiopia**, the MoE, the Ministry of Finance and Economic Development (MoFED), the REBs, the CTEs and other development partners are key stakeholders who have influenced the overall interventions of the CapEFA programme in the country by being strongly involved at the outset of the programme, developing a strong sense of leadership.

Similarly, the D&D reforms have contributed to enhanced sustainability. These have initiated organizational reforms (e.g. re-organization of ministerial departments, meant to guide the education reform agenda) and increased power granted to actors at sub-national levels (e.g. supervisors in regions, as in Senegal), resulting in new leadership functions. When leaders gain legitimacy and power for action, they tend to harness their work for the longer-term, and feel more accountable towards the society.

The programme implementers are national, and to a lesser extent include the private sector. In the different country studies, evidence was collected that the programme implementers were mostly national actors responsible for education policy (MoE, directorates, regional directorates, specialized institutions). For instance, in **Chad**, national actors were strongly involved in the conception and implementation of the plans and strategies for literacy and NFE. The Ministry of

Education led the institutional capacity-strengthening activities, while the Direction Générale de l'Alphabétisation et de la Promotion des Langues Nationales (DGAPLAN) and other institutions (INSEED, Centre National des Curriculas, ISEED) managed the implementation of activities related to organizational CD.

The private sector is to a lesser extent involved in CapEFA activities, with the exception of the TVET theme. The proximity of the representative of economic sector in the TVET field is key for the realization of internships, work-placements or recruitment. Therefore, the CapEFA coordinators have tried to systematically include the private sector in the design or the implementation of the programme. For instance in Madagascar, the CapEFA coordinator has brought together a vast array of institutions, including a number of Ministries, NGOs and the private sector representatives, whose activities complement to each other. In Benin, the TVET sector cooperates with professional associations and chambers of commerce, which are fully engaged in CapEFA activities.

Sustainability has also been fostered thanks to the integration of the programme into the activities of national institutions. According to the country reports, CapEFA implementers have defined strategies meant to enable direct implementation of the programme's innovations by the existing ministerial structures. This strategy has enabled a thorough understanding of the programme and ownership among the executive staff of the ministries, as well as de-concentrated levels of implementation. In **Guinea**, for instance, all aspects relevant to the improvement of teacher policy are integrated into the daily activities of the General Inspectorate of Education, in the framework of the de-concentration reform. Similarly, the National Directorate of Training and Development of Teaching Staff (DNEFPE) and the Guinea Institute for Education Sciences (ISSEG) are responsible for activities related to initial training of primary- and secondary-school teachers. Meanwhile, the National Elementary Education Directorate (DNEE), the National Directorate of General Secondary Education (DNESG), and the National Directorate of Training and Skills Upgrading of Teaching Staff (SNFPP) are responsible for activities related to lifelong/continuing learning and close supervision of teachers at the two levels, and the National Service for Assessment Coordination of the Education System (SNCESE) is in charge of tracking indicators related to lifelong/continuing learning. In **Burkina Faso**, the activities of the programme are implemented by the operational services of the Ministry of National Education and Literacy, which is supported by ad hoc teams. In **Mozambique**, CapEFA activities and CD strategies are now integrated into literacy and adult education sub-sector planning and development frameworks. In **Ethiopia**, the CapEFA programme has worked to ensure that technical assistance is embedded in processes in which national actors have a leading role, setting objectives within their own political and governance systems. All these interventions have contributed to a breakthrough in the design of interventions using collaborative country-driven diagnosis and implementation.

In a similar vein, the alignment of the CapEFA interventions with national policies and strategies has supported sustainability. In many countries, the CapEFA programme is closely aligned with national reforms and strategies, and, in quite a few cases, it has become a key implementation tool of national reforms in the field of education and the sub-sectors being targeted. This alignment has strengthened the relevance of the programme, as pointed out above, but has also enhanced ownership of the programme and the necessary reforms to be undertaken in the education sector.

3.5.3 Sustainability of the programme: follow-up of interventions

The evaluation revealed that in many countries it remains challenging for decision-makers and CapEFA coordinators to identify drivers other than a participatory approach and ownership that might foster sustainability. Indeed, the evaluation of implementation shows an insufficient follow-up of CD activities in terms of analysis of perceived effects, as well as inadequate implementation of products supported by CapEFA. The online survey reported that only 52% of the respondents think that sufficient attention is given to the follow-up of activities; two-thirds think the programme should improve follow-up and the elaboration of an exit strategy after finalizing its intervention, while one-fifth thinks this is true to some extent. National stakeholders are more unanimous, with a

large majority (88%) indicating that CapEFA should improve follow-up after finalizing the intervention (and only half citing follow-up as a success factor for the current programming).

Moreover, public knowledge of the programme effects at country level remains unknown, even where efforts have been made to make the CapEFA website clearer and improve the programme's visibility at national level through partnerships with other UNESCO initiatives and development partners. Interview partners indicate that the programme and its results are not visible (93% agree that the CapEFA programme should be more visible in the country). Country examples, however, indicate that the premium objective of CapEFA is not to increase the visibility of UNESCO but to improve ownership and leadership of national and local authorities. Seeking visibility is not a purpose in itself and almost all CapEFA coordinators confirmed this view.

3.5.4 Hindering factors for sustainable project outcomes

Key finding: *The CapEFA programme has set the foundations for greater impacts of the capacity building activities. However, limited human resources as well as risks and political constraints at national level hamper the sustainability of the CapEFA programme's results. In addition, there is a lack of evaluation to demonstrate the tangible results of CapEFA and convince donors to sustain its achievements. There is no instrument in place to assess the continuing need for assistance and to facilitate decision-making on possible exit strategies or continuation of the CapEFA programme in a country.*

Despite the capacity of the CapEFA programme to set the foundations for greater impacts of capacity building activities, the sustainability of the results remains fragile. Several non-CapEFA-related factors present barriers.

The **lack of adequate human resources** in national counterpart institutions such as line ministries has hampered full implementation of the CapEFA results. In **Ethiopia**, the high staff turnover at the MoE and REBs has undermined the benefits of the efforts made by UNESCO through CapEFA. This phenomenon has prevented the education sector from becoming self-reliant in SWPP-related activities and led to continuous dependence on external expertise (notably that of the IIEP). In **Mali**, high staff turnover at the Ministry of Education is also problematic as the ministry has no system for assigning employees to specific tasks, which leads to instability among supervisory staff.

In several countries, **lack of financial resources** has led to the cancellation of activities for creating impacts on education macro-indicators. Here, the case of **Guinea** merits special focus. In Guinea, the CapEFA programme is focused on teachers. The interventions are driven by several objectives: designing a holistic policy on the teaching issue, supporting the improvement of teachers' living conditions, reinforcing the capacity of control bodies to perform follow-up assessments and close supervision, operationalizing the modular approach in ENI (Écoles normales d'instituteurs), and reinforcing the academic CD of primary- and secondary-school teachers. Although the programme's effectiveness is strengthened by the high degree of achievement of set activities (87%, according to the country report), some activities closely related to teachers' motivation and qualification were cancelled because of budgetary restrictions.

Country-specific political instability and institutional rigidities are common features of the fragile contexts in which CapEFA operates. However, the CapEFA programme proves flexible when such bottlenecks occur, with alternatives to avoid the interruption of activities being designed and planned in accordance with the country context in **Bangladesh**, **Mauritania**, and **South Sudan** to redirect support to non-governmental actors at times of political transition and vacuum. In **Cambodia**, the CapEFA programme supported NFE initiatives, but the human and technical capacity of the relevant ministry was low, with a limited number of trained staff, a lack of a participatory approach including teachers on the ground, and the use of out-dated curricula and textbooks. In **Uganda**, the rigid national examinations managed by the Uganda National

Examination Board (UNEB) compel teachers to fall back on traditional teacher-centred approaches, which are ineffective and cause significant stress for many learners. As learner-centred approaches are ignored, learners do not receive the attention and support they need. As a result, many perform below their abilities or even drop out.

Although the CapEFA programme has delivered appreciable expertise and yielded numerous outputs for the education sectors of the countries selected, in some cases **the CD process is not fully completed within the five-step approach**. This is mostly the case for countries where capacity-reinforcement activities have been cancelled or have run late because of slowness in the programme implementation. It generally this happened when the programme implementation did not allow the complete the set of capacities to be built as envisaged in the programming and when the programme changed its focus to fulfill the changing national priorities.

It can also be stated that CapEFA has not contributed to the elaboration of strategies for **fund mobilization** after completion. This finding is in line with the external evaluation of the CapEFA programme from 2013, in which the short-term planning horizon of the CapEFA programme was seen as an explanatory factor, as such short-term planning does not help to create conditions which enable an independent continuation of activities by member states. The stakeholder survey for the present evaluation indicates that 65% of stakeholders agree the CapEFA programme should extend the planning horizon of the biannual programming, in order to better suit the long-term characteristics of CD. Progress has already been made, thanks to the flexibility of the CapEFA programme. UNESCO staff in charge of the CapEFA programme often consider that CD programmes should take place in four-to-five year cycles at least. However, as contributions are received by CapEFA and more funds are pledged, the programme cycle is expanded accordingly. Such flexibility has paid off, as all participating countries launched CapEFA in 2010 or 2012 and it will continue through 2016 and beyond, building on its achievements.

CapEFA coordination can be instrumental in assisting the relevant authorities to lobby for extra funds, hence scaling up the outputs of the CapEFA programme. UNESCO's brokerage role is therefore vital to connect with partners and give exposure to the achievements of CapEFA beyond the scope of its theme-related activities. In the **DRC**, the World Bank has shown an interest in the CapEFA approach, and signed onto a partnership between the government and UNESCO in February 2015 to finance expansion of the decentralization process to six new provinces, using ICT for data collection. In **Chad**, the country received two GPE fundings in the period 2013 - 2016 to implement its sectoral plan for education (7.06 and \$ 40.1 million USD). However, few of the programme's beneficiaries currently have the ability to lobby for extra funding (as shown in most country reports) and there is considerable scope to improve national fundraising capacities.

The **exit strategy issue** is not fully integrated in the planning process of CapEFA. Likewise, there are no instruments available to assess the capacity building gaps in a country after completion of the CapEFA programme and to foresee the needed form of continuation in the programming. In the area of literacy, stakeholders indicate the need to demonstrate the achievements of CapEFA with a view to attracting international donors, especially for the financing of future literacy projects and CD activities. In other CapEFA themes, it is evident that the target countries need support building skills to attract international investors. For instance, the three regional centres in the Arab states do not have the skills to raise funds, which will potentially have a negative impact on the sustainability of their work.

3.5.5 Sustainability of the programme at global level: financial risks but new opportunities

The evaluation shows that the current funding commitments and projected budget requirements will lead to a funding gap by 2017, based on the expected level of contributions from donors. A scenario of contribution cutbacks is plausible. The programme is however sufficiently valued and has produced tangible results, so that securing its future is a key imperative for UNESCO, the CapEFA recipients, and also for donors.

Firstly, it can be stated that the CapEFA programme is valued by a large number of stakeholders, in addition to the current donors. The programme is adaptable enough to fulfil the 2030 Framework for Action and SDG 4. It is therefore in line with the mainstream orientations shared by global stakeholders. The condition would be for CapEFA to put more emphasis on access, equity and inclusion, quality, and learning outcomes, as well as life long learning perspectives.

Secondly, the evaluation shows that the fact that the programme is set up as a basket fund enables UNESCO to remain flexible and able to respond quickly to changing situations in CapEFA countries. The CapEFA approach has become a key selling point for potential donors.

Thirdly, the CapEFA programme has been shown to be complementary to other UNESCO projects as well as other donor projects, and in some aspects (e.g. literacy and NFE) to have filled a gap in aid development interventions. Stopping the CapEFA programme would thus jeopardize the positive results gained in most CapEFA beneficiary countries.

Fourthly, new opportunities to improve sustainability are worth exploring. One of them relates to the close alignment between the CapEFA programme and the GPE, since the latter contributes to the education development goals and ensures that all potential learners have access to a quality education. While the UNESCO field offices can receive direct funds from the GPE budget, the CapEFA programme cannot do so. However, the programme can help countries in getting prepared to receive GPE funding.

In conclusion, as regards the sustainability of the CapEFA programme at global level, opting to maintain the status quo would compromise the durability of the programme and jeopardize the recent results that have been judged positively in terms of enhanced capacities in the CapEFA beneficiary countries. The recommendations of the evaluation should help UNESCO explore new avenues to secure the programme over the longer term.

4 Conclusions and Recommendations

This chapter presents our conclusions and recommendations based on the main criteria included in the evaluation framework (relevance, efficiency, effectiveness, sustainability, and partnership and cooperation).

The recommendations seek to harness the CapEFA programme's potential in the context of the new education strategies and orientations stated in the Education 2030 Framework for Action and the SDG 4. They are clustered into four major levers – the structure and management of the programme, the focus on quality education, the reinforcement of sustainability, and improved KM – which are meant to help CapEFA become a sustainable CD programme, drawing upon the many positive results.

4.1 Conclusions

4.1.1 Relevance

The CapEFA programme, as an extra-budgetary fund, has enabled UNESCO to maintain its presence on the ground in the area of education in a relatively large group of countries, including in some difficult country contexts, where UNESCO would be unable to provide major services using only its regular budget. In several countries, CapEFA helps UNESCO to continue its work in a systematic manner and to have a sustainable presence.

The programme supports the overall mission of UNESCO in the field of education and is closely aligned with the education sector's regular programme up to 2015 (as well as the MDGs and the six EFA goals). Likewise, the CapEFA programme is strongly aligned with the donors' development aid policies in the field of education, especially in countries in which clear coordination mechanisms are in place and a clear division of tasks is proposed.

The CapEFA priority themes/sectors (literacy, teachers, TVET, and SWPP) correspond to those of UNESCO's education sector. These thematic areas are still considered relevant within the renewed 2030 Framework for Action (and SDG 4). The CapEFA programme already more or less fulfils the new requirements by emphasizing equal opportunities and non-discrimination, and addressing principles such as inclusive education. Moreover, CapEFA supports several activities that stimulate quality education and learning outcomes over the programme's life span (ranging from the youth to adults). The activities it supports, specifically in the area of TVET, clearly comply with the need to further improve technical and work-related knowledge and skills for all. The selection of the CapEFA countries is in line with UNESCO's country priorities, targeting Africa and countries in PCPD situations. The CapEFA programme has included gender equality in programming and monitoring, in compliance with UNESCO's approach to gender equality as a horizontal principle.

The performance framework of the CapEFA programme and the intervention logic are well organized, leading to a result-driven programme. UNESCO's specific (five-step) CD approach is considered as an important success factor of the CapEFA programme, as this capacity-building approach allows beneficiaries to develop their own capacities, and creates ownership.

The CapEFA programme is sufficiently tailored to countries' specific needs and is adaptable enough to respond to evolving contexts. There is a fair balance between planning and flexibility. Overall, there is agreement that interventions are well planned and that there is clarity in the role of the stakeholders. At the same time, there is still sufficient flexibility to facilitate quick adaptation to change. Nevertheless, the programme is highly opportunity-driven, reacting to specific requests from governments, and is hence tied to political will and budget capacity, both of which are sometimes lacking.

4.1.2 Partnerships and cooperation

Overall, the CapEFA is implemented in a good partnership with beneficiaries and other development partners (within and outside the UN family).

First of all, the five-step CD approach ensures the involvement of beneficiaries in the programme, as well the capacity-building activities that allow beneficiaries to take on ownership of their own development process. CapEFA, in particular its capacity-building approach, is well appreciated by national stakeholders. The programme is generally well aligned with other development partners, especially in countries in which clear coordination mechanisms are in place and a clear division of tasks is proposed, based on the expertise and experience partners bring in. Nevertheless, this does not mean that in all cases development partners are cooperating or find synergies in the implementation of projects. Only in a few cases are examples found of activities implemented in cooperation with other development partners (co-creation), where the costs were shared. UNESCO generally provides clear added value compared to other development partners, given the organization's focus on developing capacities of national stakeholders, its specific focus on four thematic areas, its available in-house expertise, its CD approach, its ability to be a trustful partner and broker, and its alignment with other development partners.

On the whole, cooperation within the UNESCO family (and its main institutes, such as the IIEP, UIL, UIS, and IICBA) is considered to be of good quality and well aligned with the regular education-sector programme. The expertise provided by UNESCO's pool of experts is highly valued and considered to be of high quality. However, knowledge-sharing within the UNESCO family has not been extensive.

Cooperation and knowledge-sharing (particularly of best practices and lessons learned) have not been developed to the fullest extent, notably at South–South level.

4.1.3 Efficiency

The contributions of donors over the years have been relatively stable, especially compared to the fluctuations of the regular UNESCO budget. Nevertheless, the financial sustainability of the programme is a continuing concern that needs sufficient follow-up.

Although benchmarking information on cost per activity and/or cost per result is not available to allow comparisons on the financial performance of CapEFA, it can be asserted that the programme is implemented at reasonable cost and is well managed. The programme has improved its monitoring arrangements over time, and new result matrices have helped improve the intervention logic and result orientation. Generally, the programme is considered value for money.

In several countries the programme funding acts as seed money, financing activities that later attract additional funding from other donors, such as the development and implementation of education-sector and sub-sector plans.

4.1.4 Effectiveness

On the whole, the CapEFA programme can be considered to be effective, as it meets national stakeholders' expectations as well as those of beneficiary countries in terms of improved in-house capacities and policy development. The programme has been successful in its objectives of developing the capacities of national stakeholders in the fields of SWPP, literacy, teacher training, and TVET. Evidence was collected that beneficiaries of the programme improved their understanding on different topics and consider themselves to be empowered. At the same time, the evaluation shows the difficulties in measuring the empowerment of institutions and individuals especially when lacking a proper baseline as well as tools for both self-evaluation and external evaluation. Nevertheless, there is evidence that the programme has fostered conditions enabling an increased level of national ownership by further rolling out policies and strategic plans, or by scaling up pilot projects using other national or external funding.

Different effects have been achieved based on the respective characteristics of the activities supported by CapEFA, which range from assistance to the hands-on design of education policy products and tools (supporting the design of strategies and policies, the implementation of reviews and education-sector plans, action research, working papers, and the development and testing of curricula, handbooks, and standards) in combination with knowledge-development activities (providing training, workshops, conferences, coaching, monitoring, and field trips).

The main success factors contributing to the positive results are the clarity of the objectives and strategy of the CapEFA programme, the coherence of its activities, its focus on national ownership, its cooperation with diverse groups of national stakeholders, the expertise brought in from the UNESCO family, the long-term commitment of UNESCO, and, to a lesser extent, the budget available. Hindering factors are the delays in the implementation of CapEFA activities, rapid staff turnover in ministries, and lack of coordination and communication. A special hindering factor is the insufficient capitalization of activities, for example where senior officials are trained but do not pass on their knowledge to other colleagues in the organization.

4.1.5 Sustainability

The programme has fostered conditions enabling an increased level of national ownership, which is one element of the programme's sustainability. CapEFA has established effective and functional linkages within the education sector, such that outputs are managed and used for the education system by education actors at national and local level. Despite the high level of results achieved, there is a risk associated with the incapacity or weak ability of national and local authorities – not to mention the lack of political will in some situations – to properly implement the strategies and plans to whose design CapEFA has contributed. Limited human resources as well as risks and political constraints at national level hamper the sustainability of the programme's results. In some cases, counteracting policies or competing policy priorities also have a negative effect.

The absence of a well defined baseline for an assessment of whether institutions are sufficiently empowered also makes it difficult to facilitate a decision on whether to continue or discontinue the CapEFA intervention in a specific country. Nevertheless, the evaluation shows that there is a need to continue CapEFA in all countries to ensure a proper follow-up of the activities already supported (to ensure sustainability) or to allow further work on other thematic areas.

At global level, the future of the programme is highly dependent on the continuing support of donor countries and the continuing added value and position of the programme in the landscape of development aid. One weak point of the programme is that no instruments are in place to assess the continuing need for assistance or to facilitate decision-making on possible exit strategies.

4.2 Recommendations

Drawing upon the findings and conclusions, this evaluation suggests four main issues for UNESCO HQ to consider for the implementation of the current and future CapEFA programme. These recommendations are:

4.2.1 Recommendation 1: Improve the programme structure and management

- Keep the four themes framing CapEFA interventions (associating one country with one theme).
- Where necessary, allow programming activities that address cross-thematic issues (typically literacy and NFE and teachers, or teachers and TVET).
- Turn SWPP into an operational umbrella for interventions under which CapEFA post-2015 will plan and implement its interventions.

- Keep a focus on upstream levels meant to support plans, strategies and policies to be designed and implemented either at national or decentralized or deconcentrated levels. Explore the possibility of midstream activities:
 - in countries that have not yet achieved the objectives of the CapEFA programme (which focus on the upstream level), where midstream activities can contribute;
 - in cases where midstream activities constitute an entry point for CD activities in a country, where there is sufficient consideration and follow-up of upstream activities once midstream activities are put in place.
- Include a systematic risk analysis:
 - in the design of the CapEFA programme in order to identify the right level of operation (upstream or midstream levels, or combined) and take into consideration the budget situation (as midstream activities are costlier);
 - in the early stages of programming of activities at country level, to mitigate and anticipate potential risks of implementation of programme activities.
- Maintain the five-step process and participatory planning methodologies.
- Improve the baseline assessment of capacities of beneficiaries and performance on relevant SDGs (e.g. by developing a practical tool to measure the level of empowerment and identify the gaps between the current and intended situations).

4.2.2 Recommendation 2: Better align with the 2030 Framework and SDG 4

- Identify how the CapEFA programme supports the achievement of SDG 4 as well as linkages with the other SDGs (e.g. poverty, hunger, gender equality, health, economic growth).
- Improve M&E systems and logframes by referring to the new features of the 2030 Framework for Action (activities – indicators – measurement instruments – validation) and by identifying baselines for each indicator. Set mechanisms that will allow longer-term effects of the CapEFA programme to be captured.
- Foster the advocacy role of UNESCO towards the achievement of SDG goals in the target countries, and assist the national authorities in promoting the CapEFA achievements within the 2030 Framework.
- Strengthen knowledge of CapEFA teams (national, regional, HQ, institutes) on the key features of the renewed 2030 Framework and relevant SDGs.
- Keep ensuring the right balance between access (which remains an obstacle in many countries), equity and quality in CapEFA programming.
- Further expand pathways between formal education and NFE in the perspective of developing lifelong learning systems, as well as mechanisms for the the recognition, validation and accreditation of informally and non-formally acquired competences for adults.
- Continue putting emphasis on the integration of gender equality in CapEFA programming and monitoring, to ensure the theme does not lose priority.

4.2.3 Recommendation 3: Improve the sustainability of the programme

- Specify how the programme ensures the sustainability of its activities from the outset:
 - Define a strategy to ensure that sustainability of programme achievements is an integral part of programme planning and implementation.
 - Further explore the opportunity offered by the GPE as well as other funding opportunities to expand interventions supported by the programme.
 - Further explore the possibility of attracting new donors (including member states, other development partners, and actors from the private sector).
- Ensure the sustainability of the programme:
 - Keep offering continuous support for CD and implementation (especially in countries that still need it or where interventions are running late), and complete relevant activities that have been postponed.
 - Keep ensuring the active involvement of UNESCO field offices in country-specific development issues with the national government and other development partners.
 - Maintain or further develop the broker function with other development partners to foster opportunities for financial cooperation.
- Ensure follow-up of the programme implementation:
 - Ensure that the main CapEFA achievements are transferred in an effective way from national to ground level, in the context of D&D reforms.
 - Develop a practical tool to measure the level of empowerment of institutions, as well as whether programme objectives are achieved.

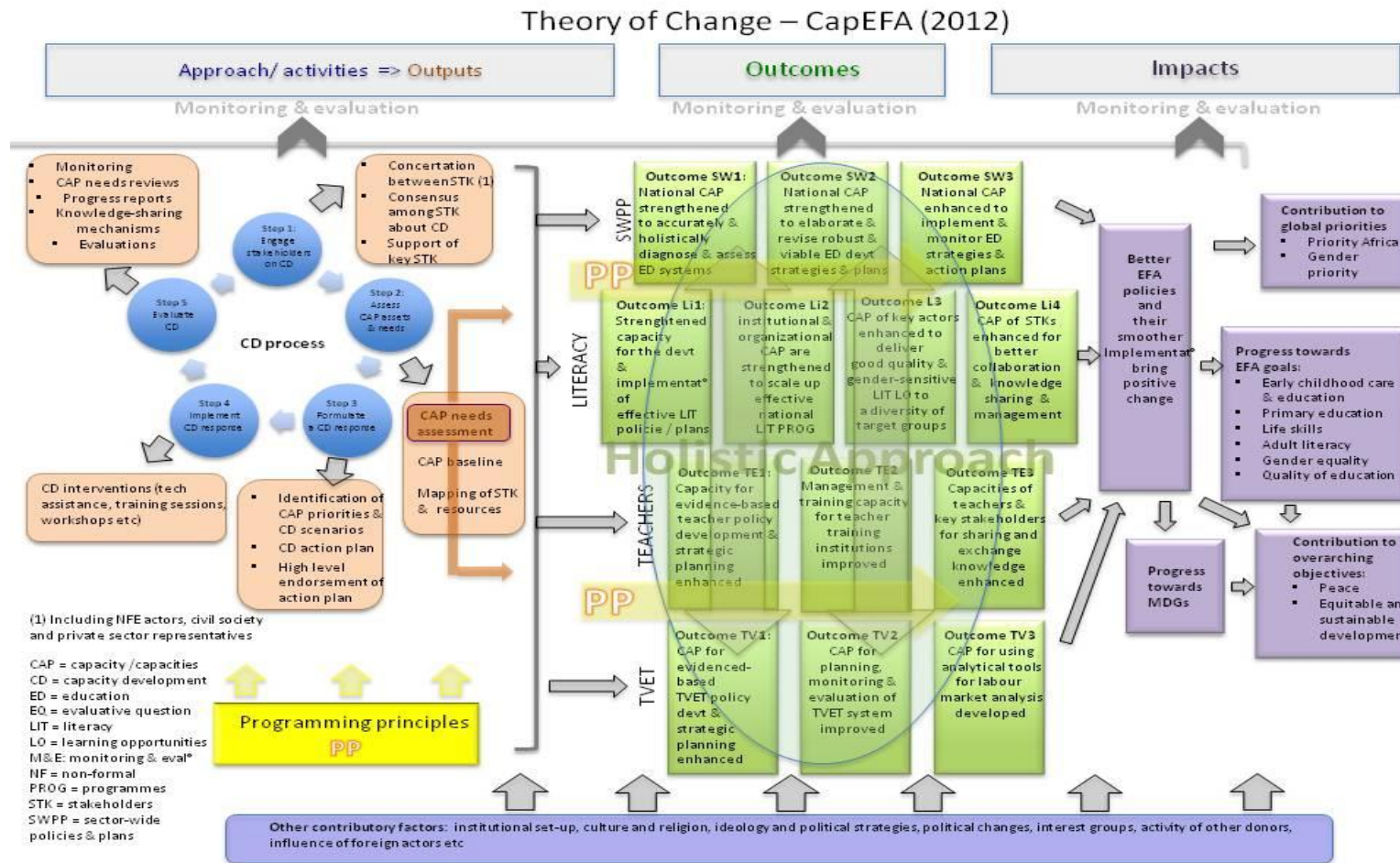
4.2.4 Recommendation 4: Improve the programme's Knowledge Management practices

- Further develop a Knowledge Management (KM) strategy within the context of CapEFA, and allocate resources to KM at both HQ and country level.
- Facilitate regular meetings for the purpose of knowledge-sharing between local teams and to stimulate the community of practitioners in place.
- Define more closely the programme expectations per thematic area, and define the key features of the 2030 Framework for Action as well as relevant SDGs by reviewing the programme's ToC.
- Identify different target groups to be involved in the KM strategy, for example: (1) the UNESCO/CapEFA family; (2) development partners; and (3) the beneficiaries of the programme.
- Improve the self-evaluation practices of local project teams to strengthen the learning capacity of the programme in dialogue with teams in the field.
- Develop evaluation instruments that are constructive rather than reactive, and that engage stakeholders in a learning process.
- Detect lessons learned from the self-evaluations completed by CapEFA coordinators.
- Identify good practices in KM across CapEFA countries.
- Monitor the implementation of the KM strategy in the yearly progress reports.

5 Annexes

5.1 Reconstruction of the Theory of Change

Figure 12: ToC CapEFA programme





5.2 Evaluation Matrix

Figure 13: Evaluation Matrix

CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations
Relevance	<ul style="list-style-type: none"> What is the interlinkage of CapEFA's work (as an extra budgetary programme) with other key areas of UNESCO, namely policy dialogue, monitoring, advocacy, mobilization of funding, and 'clearing-house'? How are the needs of the programme identified and evaluated? What is the evolution of the CapEFA programme? Are the changes made considered as an improvement? Are there any drawbacks? To what extent are the objectives stated in the programme strategy and annual plans relevant given the (changing) country contexts? Are the selected four themes still appropriate in light of ongoing developments in the field of education? Is the focus on PCPD countries still appropriate and should the 	<ul style="list-style-type: none"> What is the interlinkage of CapEFA's work in specific thematic fields with other key areas of UNESCO, namely policy dialogue, monitoring, advocacy, mobilization of funding, and 'clearing-house'? Are the needs of countries/stakeholders appropriately addressed in the objectives of the projects related to each specific thematic field? To what extent are these objectives specific given the country context? To what extent is the set of interventions within each thematic field at country level based on a need analysis and a clear line of reasoning? Is the project in alignment with relevant policies of the government? Is the approach chosen for a project appropriate taking into account existing sites in the field of teacher training? To what extent do the interventions at country level build on prior experience and expertise? What is the added value of CapEFA in comparison to programmes financed by other donors in the specific thematic field? Are activities overlapping or complementary? How could cooperation be improved? How are gender principles mainstreamed within concrete projects (project planning; project implementation and activities; project monitoring)? Is this sufficiently done? 	<ul style="list-style-type: none"> The programme goals and (set of) intervention(s) is/are relevant given the context of the implementation. Interventions are based on a clear line of reasoning (they are motivated on the basis of what works given the context). The programme's (set of) intervention(s) is complementary to interventions from other organizations/institutions/programmes. The programme's (set of) intervention(s) add value such that without the programme's support, the outcomes would not have been reached. 	<ul style="list-style-type: none"> How to improve the relevance of the CapEFA programme in the context of the new post-2015 planning cycle, with seamless continuation of support in beneficiary countries? 			



CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations
	<p>scope be adjusted?</p> <ul style="list-style-type: none"> ▪ Are the strategy and methods of CapEFA relevant/appropriate given the objectives? ▪ What is the added value of CapEFA to other programmes financed by other donors? Are activities overlapping? Complementary? How could cooperation be improved? ▪ How are gender principles mainstreamed within CapEFA? Is this sufficiently done? 						
Effectiveness	<ul style="list-style-type: none"> ▪ How is the monitoring of CapEFA organized at programme level? How are projects monitored? On what aspects? ▪ What is the total output and result of CapEFA at programme level over the years (total number of projects, achievement on result matrices)? 	<ul style="list-style-type: none"> ▪ What types of projects are supported and what are the preliminary outputs and outcomes of the projects in the field of teacher training, as compared to the baseline? Were these expected? ▪ Have the objectives of the programme been achieved in the field of SWPP by enhancing national capacities to: <ul style="list-style-type: none"> • accurately and holistically diagnose and assess education systems • elaborate and revise robust and viable education development strategies/plans • implement and systematically monitor education strategies/plans? ▪ Have the objectives of the programme been achieved in the field of teacher training by: <ul style="list-style-type: none"> • enhanced capacity for evidence-based teacher policy development and strategic planning • improved management and training capacity of teacher-training institutions 				<ul style="list-style-type: none"> ▪ The programme's (set of) intervention(s) is/are effective in reaching the objectives (the line of reasoning holds). ▪ The programme's (set of) intervention(s) are adjusted to fit the specific country context in order to obtain the envisaged results. 	<ul style="list-style-type: none"> ▪ How to improve the effectiveness of the programme in the context of the new post-2015 planning cycle, with seamless continuation of support in beneficiary countries?



CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations



CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations
		approaches/methods of the project? If so, how were these organized, and how can they be characterized (directive, interactive, participatory)? <ul style="list-style-type: none"> ▪ What are the leadership qualities within this project? (democratic, motivating, vision, transparent)? ▪ How can specific methods be characterized (directive, interactive, learner-centred, participatory)? ▪ How are equality (ethnic, gender, special needs) and gender sensitivity guaranteed? ▪ Are meeting/teaching venues appropriate for all (stakeholders, beneficiaries)? ▪ Are meeting hours appropriate for all (stakeholders, beneficiaries)? ▪ Are distances appropriate for all (stakeholders, beneficiaries)? ▪ What are the success and failure factors for CapEFA interventions at national level? 					
Efficiency	<ul style="list-style-type: none"> ▪ How does the cooperation within the UNESCO family work, i.e. the collaboration across UNESCO's various entities (IICBA, IIEP, UIS, UIL, UNEVOC, IBE³⁷, etc.). Who is doing what? ▪ What role do the donor 	<ul style="list-style-type: none"> ▪ Is there availability of sufficient physical and financial resources for implementing the projects? ▪ Is there a fair balance between overhead costs/bureaucracy, and project outcomes? ▪ Has implementation been congruent with planning? If not, which hindrances were encountered, and with which strategies? ▪ Is there sufficient Institutional capacity for running the projects in terms of: <ul style="list-style-type: none"> • leadership and management 	<ul style="list-style-type: none"> ▪ The programme's (set of) intervention(s) is/are cost-effective (efficient). The same outcome cannot be reached with more cost-effective interventions. 	<ul style="list-style-type: none"> ▪ How to improve the efficiency of the programme, in the context of the new post-2015 planning cycle, with seamless continuation of 			

³⁷ These are abbreviations for: International Institute for Capacity-Building in Africa (IICBA), IIEP (International Institute for Educational Planning), IBE (International Bureau of Education), UIS (UNESCO Institute for Statistics), UIL (UNESCO Institute for Lifelong Learning) and United Nations International Centre for Technical and Vocational Education and Training (UNEVOC).



CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations
	<p>countries play in steering the programme (steering mechanisms)?</p> <ul style="list-style-type: none"> ▪ How does the programme make use of UNESCO's wide in-house expertise, particularly its Education Institutes and Centres, to benefit beneficiary countries? ▪ How are decisions at corporate level taken in relation to the programme? Who is involved in these decisions? What is generally the pipeline of an intervention? ▪ Why a sub-regional project Arab region, while other projects are national? ▪ Is the systemic education quality analysis and monitoring framework used that is recently developed by the Education Sector? ▪ Availability of sufficient physical and financial resources ▪ How to deal with fluctuation of the overall budget over the years (programming)? 	<ul style="list-style-type: none"> • recruitment of staff/teachers • training of staff/teachers • staff/teacher meetings • support to beneficiary meetings? 					<p>support in beneficiary countries?</p>



CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations
	<ul style="list-style-type: none"> ▪ What has been done to increase the budget (number of donor countries, local partnerships, and other donor organizations)? ▪ Are there plans to change the implementation modalities after 2015 (post-2015 agenda)? ▪ How is the programme managed, and how are countries selected and projects and interventions initiated, selected, and implemented? How do the HQ and regional offices work together in designing interventions? ▪ How do intervention proposals get developed? Who is involved? Who takes decisions? ▪ What is the total budget of the programme, and how does this relate to overall activities? 						
	<ul style="list-style-type: none"> ▪ How have the interventions financed helped achieve programme aims? ▪ How is the impact of 	<ul style="list-style-type: none"> ▪ Did institutions and public officials/managers/teaching staff/other stakeholders directly targeted by the programme acquire the competences to carry out the project independently (ownership)? ▪ Are the right conditions in place that equip teachers/facilitators and 				<ul style="list-style-type: none"> ▪ The programme's (set of) intervention(s) lead(s) to an impact at a national level in the identified 	<ul style="list-style-type: none"> ▪ How to improve the impact of the programme, in the context of



CapEFA subject Evaluation criteria (DAC)	UNESCO corporate level (programme management)	Country level: SWPP	Country level: Teacher training	Country level: Adult literacy and NFE	Country level: TVET	Judgement criteria/indicator Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:	Future recommendations
Impact	interventions by the programme monitored and evaluated?	ministry staff to facilitate and support the learning processes by creating an optimal and conducive learning environment for all, also by implementing participatory pedagogical approaches (see Paulo Freire) and “21 st century skills/entrepreneurial skills”?			fields <ul style="list-style-type: none"> The programme's (set of) intervention(s) lead(s) to an impact at a national level in the identified fields 	the new post-2015 planning cycle, with seamless continuation of support in beneficiary countries?	
Sustainability	<ul style="list-style-type: none"> What methodologies are adopted to promote sustainability of the programme at corporate level? What practices are implemented to generate sustainability at corporate level? How is the sustainability of interventions by CapEFA monitored, evaluated and pursued? What types of lessons can be drawn from CapEFA and how do these feed the post-2015 agenda? What are the success and failure factors for CapEFA interventions at national level? 	<ul style="list-style-type: none"> How will advocacy and dissemination of the outcomes of the project be organized in relation to education systems/governments? Are there any institutional linkages with other institutions/organizations, and if so, with which type(s) of organization and linkage? Memorandum of Understanding signed and available? Is there a follow-up strategy after completion of the project (contents, methods, organizational [staff, institutional memory] and financial)? Is there adequate maintenance of physical infrastructure, transport facilities, equipment and teaching materials/teaching aids? Is there an easily accessible and well organized institutional memory (data base, archive, web access, etc.)? Did the interventions lead to sustainable outcomes, extending the project/intervention duration? Acquisition of ownership among stakeholders (well-developed understanding of project needs and approaches), exit strategies for ongoing funding established, functional linkages with the education sector established? To what extent are both stakeholders and the general public in partner countries aware of positive effects brought? To what extent do further developments depend on the support provided by the international donor community? 			<ul style="list-style-type: none"> The yielded outcomes at country level are sustainable in terms of stakeholder involvement (ministries and education stakeholders), joint ownership and further interventions planned. 	<ul style="list-style-type: none"> How to improve the sustainability of the programme, in the context of the new post-2015 planning cycle, with seamless continuation of support in beneficiary countries? 	



<p>CapEFA subject</p> <p>Evaluation criteria (DAC)</p>	<p>UNESCO corporate level (programme management)</p>	<p>Country level: SWPP</p>	<p>Country level: Teacher training</p>	<p>Country level: Adult literacy and NFE</p>	<p>Country level: TVET</p>	<p>Judgement criteria/indicator</p> <p>Experts' judgement (to a limited extent – somewhat – to a great extent) on the following criteria:</p>	<p>Future recommendations</p>
<p>Partnership and cooperation</p>	<ul style="list-style-type: none"> ▪ What steps have been taken by the programme to increase the synergy and coordination with other major donor-supported initiatives? ▪ How is the cooperation within the UNESCO family appreciated by national, regional and global stakeholders? 	<ul style="list-style-type: none"> ▪ To what extent do the interventions involve multiple stakeholders? To what extent are the interventions the result of a joint approach? ▪ How is the cooperation within the UNESCO family appreciated by national, regional and global stakeholders? 			<ul style="list-style-type: none"> ▪ There is synergy between different donors, and the programme adds community value. 	<ul style="list-style-type: none"> ▪ How to improve the partnership and cooperation of stakeholders within the programme, in the context of the new post-2015 planning cycle, with seamless continuation of support in beneficiary countries? 	

5.3 Online survey amongst global and national stakeholders of CapEFA

In the context of this evaluation, two surveys were organized. One survey targeted global stakeholders, including respondents from the UNESCO family such as from UNESCO institutes and field offices (with the exception of HQ) and donor countries. A second survey targeted national beneficiaries and cooperation partners.

5.3.1 Online survey of global stakeholders

Question 2 (n=37)

Please indicate the type of the organization that you represent:		
Answer Options	Response Percent	Response Count
Governmental organization (ministry/agency)	8.1%	3
International/bilateral organization (technical assistance/donor)	2.7%	1
UNESCO institute	21.6%	8
UNESCO regional office	24.3%	9
UNESCO local office/antenna	40.5%	15
Other (please specify)	2.7%	1

Question 3 (n=33)

How are you informed on the CapEFA programme of UNESCO on a regular basis? Please check all that apply:		
Answer Options	Response Percent	Response Count
Not at all	0.0%	0
Regularly work together in projects	90.9%	30
UNESCO webpage	27.3%	9
UNESCO newsletter	15.2%	5
UNESCO policy documents and reports	42.4%	14
UNESCO events and contributions to conferences	36.4%	12
Informally	9.1%	3
Other (please specify)	24.2%	8

Question 4 (n=36)

To what extent is the CapEFA programme (mission, objectives, approach and activities) relevant according to the specific needs, priorities and policies in the priority countries? Please assess between not at all and to a great extent	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Total
The CapEFA programme is sufficiently tailored to the country-specific needs	0%	0%	8%	89%	3%	100%
The CapEFA programme is focusing on the right topics to stimulate education policies in the different countries	0%	8%	11%	75%	6%	100%
The CapEFA programme is flexible enough in adapting its focus to the changing needs of countries	0%	3%	28%	67%	3%	100%

Question 5 (n=35)

To what extent is there synergy between the CapEFA programme, UNESCO, and other development partners in the specific thematic field? Please assess between not at all and to a great extent	Not at All	Very Little	Somewhat	To a Great Extent	Don't know/NA	Total
The CapEFA programme supports the overall mission of UNESCO in the field of education and is closely aligned with the Education Sector's regular programme to 2015.	0%	0%	6%	94%	0%	100%
The CapEFA programme is closely aligned with the Education Post-2015 Agenda	0%	3%	20%	69%	9%	100%
The CapEFA programme is sufficiently aligned with the needs of the donor countries (mission, objectives, strategy in the field of development cooperation)	0%	6%	14%	66%	14%	100%
Within the UNESCO family (HQ, regional offices, field offices, research institutes)	3%	6%	11%	69%	11%	100%

there is good cooperation and exchange of knowledge, expertise and human resources to implement the CapEFA programme in an efficient and effective way						
The CapEFA programme sufficiently cooperates and aligns its activities with other development partners (international, bilateral/national organizations, including donors) in reaching its objectives	0%	6%	40%	46%	9%	100%
In relation to complementarities with other development partners, the CapEFA programme is focusing on issues that other bilateral/national donor organizations do not focus on	0%	0%	37%	54%	9%	100%

Question 7 (n=34)

Given your knowledge and experience with the CapEFA programme, how do you assess the programme implementation and effectiveness of the programme based on the following statements?	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Total
The approach of the CapEFA programme and conceptualization is clear and transparent for external stakeholders (e.g. five-step capacity-building approach)	0%	3%	38%	56%	3%	100%
The introduction of the theme-based performance framework in the programme has led to a more focused result-driven programme	0%	0%	35%	50%	15%	100%
The interventions/activities are clearly planned within the CapEFA programme	0%	0%	18%	79%	3%	100%
Beneficiaries and partners of the CapEFA programme are sufficiently consulted while preparing the interventions at country level	0%	0%	18%	76%	6%	100%

There is clarity of roles of those involved in the interventions (it is clear what is expected from you)	0%	0%	26%	65%	9%	100%
The programme is flexible enough to facilitate quick adaptation to changing situations	0%	6%	18%	74%	3%	100%
There is clear information on the interventions/activities supported by the CapEFA programme for external stakeholders	0%	3%	26%	59%	12%	100%
The CapEFA programme is implemented against reasonable costs	0%	6%	26%	65%	3%	100%
The UNESCO family has sufficient in-house expertise to assist countries building up their capacities	0%	6%	29%	59%	6%	100%
The CapEFA programme sufficiently addresses gender equality	3%	6%	38%	44%	9%	100%
The CapEFA programme sufficiently addresses quality principles of learning (e.g. learning-centred approaches/safe and conducive learning environments)	3%	3%	38%	38%	18%	100%
The CapEFA programme uses up-to-date methods and approaches to assist countries in building their capacities and creating ownership (using participatory approaches)	0%	0%	24%	73%	3%	100%
Enough attention is given within the CapEFA programme to the follow-up of activities/interventions	0%	0%	35%	53%	12%	100%
The CapEFA programme is well managed and coordinated by the CapEFA team	0%	0%	18%	82%	0%	100%
CapEFA programme activities are regularly monitored and (self-)evaluated by the field offices responsible for the implementation	0%	0%	24%	68%	9%	100%
There is sufficient exchange of experiences between	3%	24%	35%	35%	3%	100%

programme stakeholders within UNESCO on what seems to work well in different countries and what does not (approaches, activities, tools)						
The CapEFA programme has proven to be an effective instrument enhancing the capacity of partner-country institutions and other stakeholders at country level	0%	3%	18%	76%	3%	100%

Question 8 (n=34)

Please indicate to what extent the following issues should be addressed in the future CapEFA programme? Please assess between not at all and to a great extent.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know/NA	Total
The CapEFA programme should do more at regional level (including South-South cooperation) with the aim of supporting mutual learning between countries (sharing good practices)	0%	3%	12%	85%	0%	100%
The CapEFA programme should better facilitate North-South cooperation	0%	15%	32%	44%	9%	100%
The CapEFA programme should cooperate more intensively with other international (donor) organizations	0%	6%	21%	74%	0%	100%
The CapEFA programme should make better use of expertise in the UNESCO family (HQ, Institutes, field offices)	0%	6%	32%	62%	0%	100%
The CapEFA programme should increase the number of thematic areas (currently these are Sector Wide Policy Planning, Teachers, Literacy and TVET)	24%	26%	21%	26%	3%	100%
The CapEFA programme should change these	47%	32%	18%	3%	0%	100%

thematic areas						
The CapEFA programme should become the CD programme of UNESCO in the field of education and should be scaled up to receive funds the regular budget as well	15%	6%	21%	56%	3%	100%
The CapEFA programme should increase the geographical scope/number of countries in which it is active	9%	15%	24%	36%	15%	100%
The CapEFA programme should expand its activities supporting midstream activities	6%	9%	29%	38%	18%	100%
The CapEFA programme should extend the planning horizon of its bi-annual programming to better match the long-term characteristics of capacity-building	0%	0%	26%	68%	6%	100%
The CapEFA programme should increase the number of donors and budget	0%	0%	6%	94%	0%	100%
The CapEFA programme should improve follow-up/exit strategies after finalizing its intervention	0%	3%	18%	67%	12%	100%

5.3.2 Online survey of national stakeholders

The following table gives an overview of the background characteristics of the respondents.

Country	Sample	Response (N)	Response (%)
Arab States	3	0	0%
Bangladesh	15	7	47%
Bénin	25	10	40%
Burkina Faso	21	9	43%
Cambodia	11	3	27%
DR Congo	4	2	50%
Ethiopia	6	1	17%
Guinée	21	8	38%
Haiti	11	5	45%
Lao PDR	15	2	13%
Liberia	7	3	43%
Madagascar	26	5	19%
Mali	14	2	14%
Mauritania	5	1	20%
Népal	0	1	
Niger	13	7	54%
Sénégal	20	5	25%
South Sudan	9	3	33%
Togo	20	13	65%
Uganda	17	5	29%
Total	263	92	35%

In the following the survey questions and response are portrayed.

Question 2 (n=82)

In relation to which country do you wish to fill out the questionnaire? Please select the appropriate answer category:		
Answer Options	Response Percent	Response Count
Afghanistan	0.0%	0
Bangladesh	7.3%	6
Benin	11.0%	9
Burkina Faso	7.3%	6
Burundi	0.0%	0
Cambodia	2.4%	2
Chad	0.0%	0

DRC	2.4%	2
Ethiopia	1.2%	1
Guinea	8.5%	7
Haiti	6.1%	5
Laos PDR	2.4%	2
Lesotho	0.0%	0
Liberia	3.7%	3
Madagascar	3.7%	3
Malawi	0.0%	0
Mali	2.4%	2
Mauritania	1.2%	1
Mozambique	0.0%	0
Myanmar	0.0%	0
Nepal	1.2%	1
Niger	8.5%	7
Regional Arab States	0.0%	0
Senegal	6.1%	5
South Sudan	3.7%	3
Timor-Leste	0.0%	0
Togo	14.6%	12
Uganda	6.1%	5
Yemen	0.0%	0
Other (please specify)	0%	0
Total	100%	82

Question 3 (n=87)

What kind of stakeholder do you represent? Please select the most appropriate answer category:		
Answer Options	Response Percent	Response Count

Government organization (ministry, agency etc.)	42.5%	37
Education and training provider	17.2%	15
Employers' association/private company/enterprise/employer	3.4%	3
Labour/trade union	0.0%	0
Research body (statistics office, university, consultancy, etc.)	2.3%	2
Development organization	13.8%	12
Civil-society organization	2.3%	2
Teacher/student association	0.0%	0
UNESCO family	3.4%	3
Other [please specify in the box below]	14.9%	13
Total	100%	87

Question 4 (n=79)

To what extent were you involved in policy-making and implementation activities in your country supported by UNESCO? Please select the appropriate answer category:		
Answer Options	Response Percent	Response Count
Highly involved: partner/beneficiary of UNESCO activities	57.0%	45
Somewhat involved: taking part/contributing to events/activities organized by UNESCO	35.4%	28
Limited involvement: know about UNESCO, but not actively participating in policy-making and implementation	5.1%	4
Not at all involved in any UNESCO activities	2.5%	2
Total	100%	79

Question 5 (n=84)

What do you consider as the three most important challenges for education and training in your country? Please select the appropriate answer category:		
Answer Options	Response Percent	Response Count
Improve SWPP	30%	25
Reduce illiteracy	37%	31
Improve teacher-training policies and practices	51%	43
Improve TVET and labour-market relevance of education	38%	32
Improve access to quality education (working on learning-centred approaches, competent teachers, and infrastructure)	63%	53
Improve the outreach to marginalized, underserved, excluded groups	15%	13
Improve people's entrepreneurial skills	8%	7
Improve data situation in the education sector	23%	19
Other (please specify in the box below)	3.6%	3
Total respondents		84

Question 7 (n=79)

Have you been involved in the CapEFA-supported activities in your country? Please select one or more of the following types of activity supported by the CapEFA programme (multiple answers possible)		
Answer Options	Response Percent	Response Count
No, I was not involved in any supported activities	1%	1
Capacity assessments/needs analysis/baseline assessments	25%	20
Drafting/reviewing of evidence-based policies/strategies and plans	20%	16
Supporting the development of operational plans	24%	19
Reviewing of curricula, learning materials, teacher- and manager-training programmes and activities	34%	27
Supporting the development or reviewing of EMIS and statistical information systems, databases, data-collection tools	28%	22
Training activities (workshops)	56%	44
Pilot testing of curricula/learning materials/programmes/activities/EMIS	14%	11
(Action) research	15%	12
Establishing dialogue between partners (building partnerships/networking activities)	27%	21
Knowledge-sharing events (presentations/workshops/conferences)	47%	37
Other (please specify in the box below)	11.4%	9
Total respondents		79

Question 6 (n=83)

Are you aware of the CapEFA programme that is currently running in your country? Please select the most appropriate answer category:		
Answer Options	Response Percent	Response Count
To a great extent: detailed knowledge on mission, objectives and activities	55.4%	46
Somewhat: general knowledge on mission, objectives and activities	31.3%	26
Very little: limited knowledge on mission objectives and activities	12.0%	10

Not at all: never heard about it	1.2%	1
Total	100%	83

Question 8 (n=79)

Please specify to what extent the following statements on the relevance of the CapEFA programme of UNESCO apply for your situation. Please assess between not at all and to a great extent.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Response Count
The CapEFA programme is sufficiently tailored to the country-specific needs	0%	1%	24%	73%	1%	100%
The CapEFA programme has developed its interventions based on an extensive need analysis	0%	3%	38%	56%	4%	100%
The CapEFA programme identified its interventions in dialogue with the final beneficiaries of the programme	0%	8%	23%	61%	9%	100%
The CapEFA programme is focusing on the right topics to stimulate education policies in my country	0%	4%	35%	48%	13%	100%
The CapEFA programme builds on prior experience and expertise in previous projects/activities of UNESCO	3%	9%	34%	45%	9%	100%
The CapEFA programme is flexible enough in adapting its focus to the changing needs of countries	4%	5%	33%	51%	6%	100%

Question 9 (n=73)

To what extent is there synergy between the CapEFA programme of UNESCO, national policies and other donor organizations in the specific thematic field? Please assess between not at all and to a great extent.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know/NA	Response Count
The approach of the CapEFA programme and conceptualization is clear and transparent for external stakeholders	0%	7%	34%	47%	12%	100%
There is synergy between activities implemented within the CapEFA programme and	0%	3%	22%	74%	1%	100%

national policies and activities						
The CapEFA programme cooperates with other international, bilateral/national organizations (incl. donors) in reaching its objectives	3%	7%	32%	50%	8%	100%
International bilateral/national organizations clearly align their activities with the CapEFA programme	10%	13%	27%	29%	21%	100%
In relation to complementarities, the CapEFA programme is focusing on issues that others do not focus on	3%	10%	32%	44%	12%	1

Question 13 (n=76)

Please identify in which core area the CapEFA programme assists your country to enhance capacities in policy development and implementation.		
Answer Options	Response Percent	Response Count
Sector-wide policy planning	13.2%	10
Literacy	25.0%	19
Teacher training	43.4%	33
Technical vocational education and training	13.2%	10
Don't know	5.3%	4
Total	100%	76

Question 14 (n=10)

To what extent has the CapEFA programme enhanced the capacity of institutions and other stakeholders in your country in the field of sector-wide policy planning? Please assess the extent to which the CapEFA programme is effective in your country in relation to the following dimensions.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Response Count
Enhanced national capacities to diagnose and assess education systems	0%	10%	40%	50%	0%	100%
Enhanced national capacities to elaborate	0%	0%	40%	60%	0%	100%

and revise education development strategies/plans						
Enhanced national capacities to implement and systematically monitor education strategies/plans	0%	0%	40%	60%	0%	100%

Question 15 (n=19)

To what extent has the CapEFA programme enhanced the capacity of institutions and other stakeholders in your country in the field of literacy? Please assess the extent to which the CapEFA programme is effective in your country in relation to the following dimensions.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Response Count
Strengthened capacity of policy-makers, planners and managers to develop and implement effective literacy policies, strategies and plans	0%	0%	16%	79%	5%	100%
Strengthened institutional and organizational capacities to scale up effective national literacy programmes	0%	0%	37%	63%	0%	100%
Enhanced capacities of key actors to deliver good-quality literacy-learning opportunities that are gender-sensitive and relevant to a diversity of target groups	0%	0%	42%	58%	0%	100%

Question 16 (n=32)

To what extent has the CapEFA programme enhanced the capacity of institutions and other stakeholders in your country in the field of teacher training? Please assess the extent to which the CapEFA programme is effective in your country in relation to the following dimensions.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Response Count
Enhanced capacity for evidence-based teacher policy development and strategic planning	7%	14%	21%	48%	10%	100%
Improved management and training capacity of teacher-training institutions	3%	6%	25%	66%	0%	100%
Enhanced capacities of teachers and key stakeholders for knowledge-sharing	0%	3%	19%	74%	3%	100%

Question 17 (n=11)

To what extent has the CapEFA programme enhanced the capacity of institutions and other stakeholders in your country in the field of TVET? Please assess the extent to which the CapEFA programme is effective in your country in relation to the following dimensions.	Not at All	Very Little	Somewhat	To a Great Extent	Don't know	Response Count
Enhanced capacity for evidence-based TVET policy development and strategic planning	9%	27%	27%	36%	0%	100%
Enhanced capacity for planning and M&E of TVET systems	18%	27%	27%	27%	0%	100%
Enhanced capacity for using analytical tools for labour-market analysis	27%	18%	36%	18%	0%	100%

Question 18 (n=70)

How do you assess the implementation of the interventions/activities of the CapEFA programme in terms of:	Very poor	Poor	Average	Good	Excellent	Response Count
Planning	1%	4%	34%	51%	9%	100%
Provision of information prior to the intervention/activity	0%	3%	41%	40%	16%	100%
Clarity of roles of those involved (it was clear what was expected from you)	0%	3%	34%	44%	19%	100%
Flexibility, facilitating quick adaption to changing situations	1%	10%	38%	41%	10%	100%
Provision of information during the intervention/activity	0%	4%	35%	51%	10%	100%
The in-house expertise and understanding of the policy area within UNESCO	0%	3%	44%	38%	15%	100%
The planning and work plan of the intervention/activity (was the intervention carried out according to plan?)	1%	7%	39%	43%	9%	100%
Provision of information after the intervention/activity (feedback and follow-up)	0%	12%	29%	47%	12%	100%

Question 19 (n=71)

Did the interventions implemented within the CapEFA programme meet your expectations ?		
Answer Options	Response Percent	Response Count
Not at All	0%	0
Very Little	7%	5
Somewhat	38%	27
To a Great Extent	55%	39
Total	100%	71

Question 21 (n=71)

To what extent are the following aspects factors for success of the CapEFA programme of UNESCO in your country?	Not at All	Very Little	Somewhat	To a Great Extent	Don't Know/NA	Response Count
Clear objectives and strategy of the CapEFA programme	0%	1%	20%	76%	3%	100%
Coherence among activities within the CapEFA programme	0%	4%	19%	70%	6%	100%
Cooperation with other donor organizations	3%	13%	40%	31%	13%	100%
Focus on creating national ownership	0%	6%	29%	59%	6%	100%
Close cooperation with diverse groups of national stakeholders	0%	4%	33%	61%	1%	100%
Expertise involved from the UNESCO family	3%	1%	31%	53%	12%	100%
Long-term commitment of UNESCO to assist the country	3%	7%	28%	54%	9%	100%
Flexibility of UNESCO to react to changing needs	4%	12%	32%	48%	4%	100%
Financial resources from UNESCO	1%	28%	26%	38%	6%	100%
Information and knowledge transfer from UNESCO to partners	0%	16%	24%	55%	4%	100%
Follow-up (sustaining the programme's outcomes)	1%	10%	32%	50%	6%	100%

Question 22 (n=71)

In relation to the future of the CapEFA programme, please indicate whether you agree with the following statements or not	Not at All	Very Little	Somewhat	To a Great Extent	Don't Know/NA	Response Count
The CapEFA programme should further expand its activities supporting regional administration officials, NGOs, trainers of trainers, schools and other intermediate organizations, teachers, illiterate people, and students	3%	1%	14%	80%	1%	100%
The CapEFA programme should do more at regional level with the aim of stimulating mutual learning between countries (benchmarking and sharing good practices)	0%	6%	29%	63%	3%	100%
The CapEFA programme should be more visible in the country	0%	0%	6%	94%	0%	100%
The CapEFA programme should cooperate more with other international (donor) organizations	1%	0%	10%	89%	0%	100%
The CapEFA programme addresses gender equality in a sufficient way	1%	6%	26%	57%	10%	100%
The CapEFA programme should focus more on quality of learning	0%	0%	5%	92%	3%	100%
The CapEFA programme should improve follow-up after finalizing its intervention	0%	0%	8%	92%	0%	100%

5.4 List of interviewees – UNESCO and donors

Name	Role
HQ and Institutes	
Mr Qian Tang	Assistant Director-General for Education
Mr Svein Osttveit	Director of the Executive Office, ED Sector (ED/EO)
Ms Astrid Gillet	Chief of Unit for Strategic Planning, Monitoring, Institute and Field Coordination, Executive Office, ED Sector (ED/EO/SPM)
Mr Bruno Mesquita Valle	CapEFA Coordinator (ED/EO/SPM)
Ms Elodie Deffous	CapEFA Coordinator (ED/EO/SPM)
Mr David Atchoarena	Director of Division for Policies and Lifelong Learning Systems (ED/PLS)
Mr Borhene Chakroun	Chief of Section of Youth, Literacy and Skills Development (ED/PLS/YLS)
Ms Hélène Guiol	CapEFA Focal Point for TVET (ED/PLS/YLS)
Mr Francesc Pedró	Chief of Section of Education Policy (ED/PLS/EDP)
Ms Maki Hayashikawa	Chief of Section of Learning and Teachers (ED/TLC/LTR)
Mr Anton De Grauwe	Head of Technical Cooperation Team, UNESCO International Institute for Educational Planning (IIEP) - Paris
Ms Ulrike Hanemann	Senior Programme Specialist/CapEFA Focal Point for Literacy, UNESCO Institute for Lifelong Learning (UIL) - Hamburg
Mr Omar Diop	CapEFA Focal Point for Teachers in Africa, UNESCO International Institute for Capacity-Building in Africa (IICBA) - Addis Ababa
Donors and others	
Mr Jussi Karakoski	Development Policy Adviser, Department of Africa and the Middle East, Finnish Ministry for Foreign Affairs
Ms Gry Ulverud	Deputy Permanent Delegate, Permanent Delegation of Norway to UNESCO
Mr Halfdan Farstad	Former Senior Adviser, Norwegian Ministry of Education and Research
Mr Per-Einar Trøften	Programme Manager, Unit for Global Social Development, Department for International Organizations and Policy Support, Swedish International Development Cooperation Agency (SIDA)
Jesper Andersen	Denmark/Former ED Advisor at DANIDA. Currently works for the GPE.