

# Education Sector Support Programme in Nigeria (ESSPIN)

## Monitoring and Evaluation Framework

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### Scope of Checking

This report has been discussed with the originator and checked in the light of the requirements of the terms of reference. In addition the report has been checked to ensure editorial consistencies.

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ESSPIN 0--	Programme Reports and Documents
ESSPIN 1--	Support for Federal Level Governance (Reports and Documents for Output 1)
ESSPIN 2--	Support for State Level Governance (Reports and Documents for Output 2)
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KN	Kano
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## Contents

Report Distribution and Revision Sheet .....	ii
Scope of Checking.....	ii
Distribution List .....	ii
Disclaimer .....	iii
Note on Documentary Series .....	iii
Acronyms and Abbreviations .....	v
Abstract .....	1
Executive summary .....	1
Structure of the report .....	3
Theory of Change .....	4
Monitoring indicators.....	6
Sources of information.....	9
Evaluation .....	11
Capacity Development .....	13
Reporting .....	14
Risk Monitoring .....	15
Annex 1: Monitoring and Evaluation Action Plan .....	16
Annex 2: ESSPIN Results Monitoring Table (Presented by Output) .....	17
Annex 3: DFID Quarterly Reporting Format .....	28
Annex 4: School Resource Indicators .....	31
Annex 5: Evaluation Strategy .....	35
Annex 6: ESSPIN Risk Register .....	44

## Acronyms and Abbreviations

ABB	Activity Based Budgeting
AESPR	Annual Education Sector Performance Report
AESR	Annual Education Sector Review
ASC	Annual School Census
CCT	Conditional Cash Transfer
CGP	Civil Society - Government Partnership
CSO	Civil Society Organization
DFID	Department for International Development
DWP	Departmental Work Plan
EMIS	Education Management Information System
ESSPIN	Education Sector Support Programme in Nigeria
FME	Federal Ministry of Education
GE	Girls Education
HR	Human Resources
IQTE	Islamiyya Qur'anic and Tsangaya Education
ISD (P)	Integrated School Development (Planning)
LG	Local Government
LGEA	Local Government Education Authority
M&E	Monitoring and Evaluation
MDA	Ministries, Departments and Agencies
MDG	Millennium Development Goal
MLA	Monitoring Learning Achievement
MTSS	Medium Term Sector Strategy
NEDs	Nigeria Education Data Survey
PMU	Project Management Unit
PRS	Planning Research and Statistics
QA	Quality Assurance
RMT	Result Monitory Table
SBMC	School Based Management Committee
SDPs	School Development Plans
SESP	State Education Sector Project
SFPs	State Forward Plan
SIP	School Improvement Package
SMoE	State Ministry of Education
SSIT	State School Improvement Team
SSO	School Support Officer
SUBEB	State Universal Basic Education Board
TA	Technical Assistance
UBE	Universal Basic Education
UBEC	Universal Basic Education Commission

## Abstract

1. This document outlines the ESSPIN monitoring and evaluation framework for 2011-14. It is based on the Monitoring and Evaluation Framework (ESSPIN Report 025) of May 2009 but revised to reflect the new Strategy and Logframe developed in response to the Mid Term Review of May 2011. The approach is closely aligned with the monitoring and evaluation activities of the Nigerian government authorities at State level and as far as possible at Federal level.

## Executive summary

2. The M&E activities under ESSPIN have two objectives: (i) in terms of ‘input and output monitoring’, M&E activities will assess whether *workplans* are being realised (inputs, activities and short-term outputs); (ii) in terms of ‘output to purpose monitoring’ and ‘impact monitoring’, M&E activities will assess whether *results* are being achieved (medium- to long-term outputs, outcomes and impact) and whether they can be ascribed to programme activities.
3. The M&E activities will ensure that reliable and timely information is used to: (i) enable the *SMoE and SUBEB* in each focus State to take informed policy decisions; (ii) provide information that will inform *FME* policy and strategy decisions; (iii) enable *ESSPIN management* and *DFID* to review performance against clear measures based on sound evidence and take action as required to ensure key targets are met.
4. ESSPIN M&E activities are integrated into state-level education sector M&E frameworks. Each state conducts Annual Education Sector Performance Reviews (AESPRs) to report on progress in implementing its Medium Term Sector Strategy (MTSS) and on key developments within the education sector. In agreement with the ESSPIN Programme Memorandum (2.7), ESSPIN will use the states’ own supervision structures and M&E arrangements with a strong focus on building State Governments’ capacity to undertake M&E of their own policies.
5. The ESSPIN *performance assessment framework* is derived from the ESSPIN programme Logframe and Activity Log (Results Monitoring Table), which are underpinned by a Theory of Change (Results Chain) that links together activities, sub-outputs, outputs, outcomes, and impact. The M&E framework needs to establish, respectively, the degree to which outputs and outcomes are being achieved (through a set of monitoring indicators) and the veracity of the key anticipated relationships that link outputs to outcomes (through a set of evaluation studies).
6. The performance assessment framework is based on three sets of monitoring indicators: Logframe indicators (providing information on performance in relation to outputs, outcomes and impact); work plan monitoring indicators (providing information on the

extent to which activities are on target and sub-outputs being achieved); and school resource indicators – known as ‘ISD indicators’ (providing data on school infrastructure and staffing to enable states and LGEAs both to plan expenditure on school level physical and human resources and to monitor overall progress in these areas).

7. In order to monitor these indicators a range of different sources of information will be used: administrative sources (annual school census, SUBEB reports and records, UBEC records and FME reports); surveys and studies (household surveys, state annual self assessment exercises, public expenditure studies, infrastructure studies, EMIS verification survey, composite survey and cross-SLP citizen perception survey).
8. For these data collection activities to be effective, there needs to be demand for information at different levels of government. This demand has been stimulated through MTSS developments, leading to a realisation that it is impossible to plan without good data. Most recently, the introduction of the idea of using ISD indicators (based on Annual School Census data) to inform planning has heightened appreciation of the value of good information. ESSPIN has also been supporting capacity building measures, notably around the introduction of an *annual education sector review process* at state level, tied to the planning and budgeting calendar. In addition, EMIS Units have been established in all states and M&E Units are in the process of being established. Capacity development of State M&E Units, to draw together relevant sector-wide information and analyse it, is a key ESSPIN activity. This is underpinned by support to key MDAs to conduct their own internal monitoring as a routine management function.
9. There will be an overall evaluation of the programme towards the end. The composite survey will be one source which will provide quantitative evidence of impact at various levels of the results chain. Other studies and surveys will also feed into the evaluation, for example the public expenditure studies.
10. The main *reports* that will highlight achievements against the M&E framework are: the annual education sector performance reports; the individual survey reports; the Quarterly Report to DFID; and the ESSPIN Annual Report. However, a wider set of publications will also be supported to address the information needs of diverse audiences.
11. Annex A is the action plan on M&E activities for the remainder of the Programme (Jan 2012 – July 2014).

## Introduction

12. The M&E activities under ESSPIN have two objectives:

- In terms of ‘**input and output monitoring**’, M&E activities will assess whether *workplans* are being realised. With reference to the Results Chain, this aspect focuses on the activities and sub-outputs.
- In terms of ‘**output to purpose monitoring**’ and ‘**impact monitoring**’, M&E activities will assess whether *results* are being achieved. With reference to the Results Chain and Logframe, this aspect focuses on outputs, outcomes and impact. The M&E activities will ensure that reliable and timely information is used to:
  - enable the *SMoE and SUBEB* in each focus State to take informed policy decisions
  - provide information that will inform *FME* policy and strategy decisions
  - enable *ESSPIN management* and *DFID* to review performance against clear measures based on sound evidence and take action as required to ensure key targets are met.

13. The ESSPIN Logframe milestones and targets are derived mainly from State Forward Plans (SFPs). SFPs are developed jointly by State and SUBEB officials and ESSPIN State Teams. They set out the projected results from state government school improvement programmes, funded mainly from Nigerian government sources. The SFP targets are (or will be) incorporated into the MTSS. Monitoring of performance against MTSS targets will be conducted by State M&E Units, with contributions from State EMIS Units and key spending MDAs, both supported by ESSPIN. Reporting against performance will be set out in the state’s AESPR. The ESSPIN monitoring indicators are thus completely integrated into state M&E processes. This is in line with the ESSPIN Programme Memorandum (§2.7), which states that ESSPIN will “to the greatest extent possible, use the same supervision structures and monitoring and evaluation arrangements. There will be a strong focus on building State Governments’ capacity to undertake monitoring and evaluation of their own policies and programmes and to use outputs from these improved State systems in order to meet ESSPIN reporting needs”.

## Structure of the report

14. This document is structured as follows:

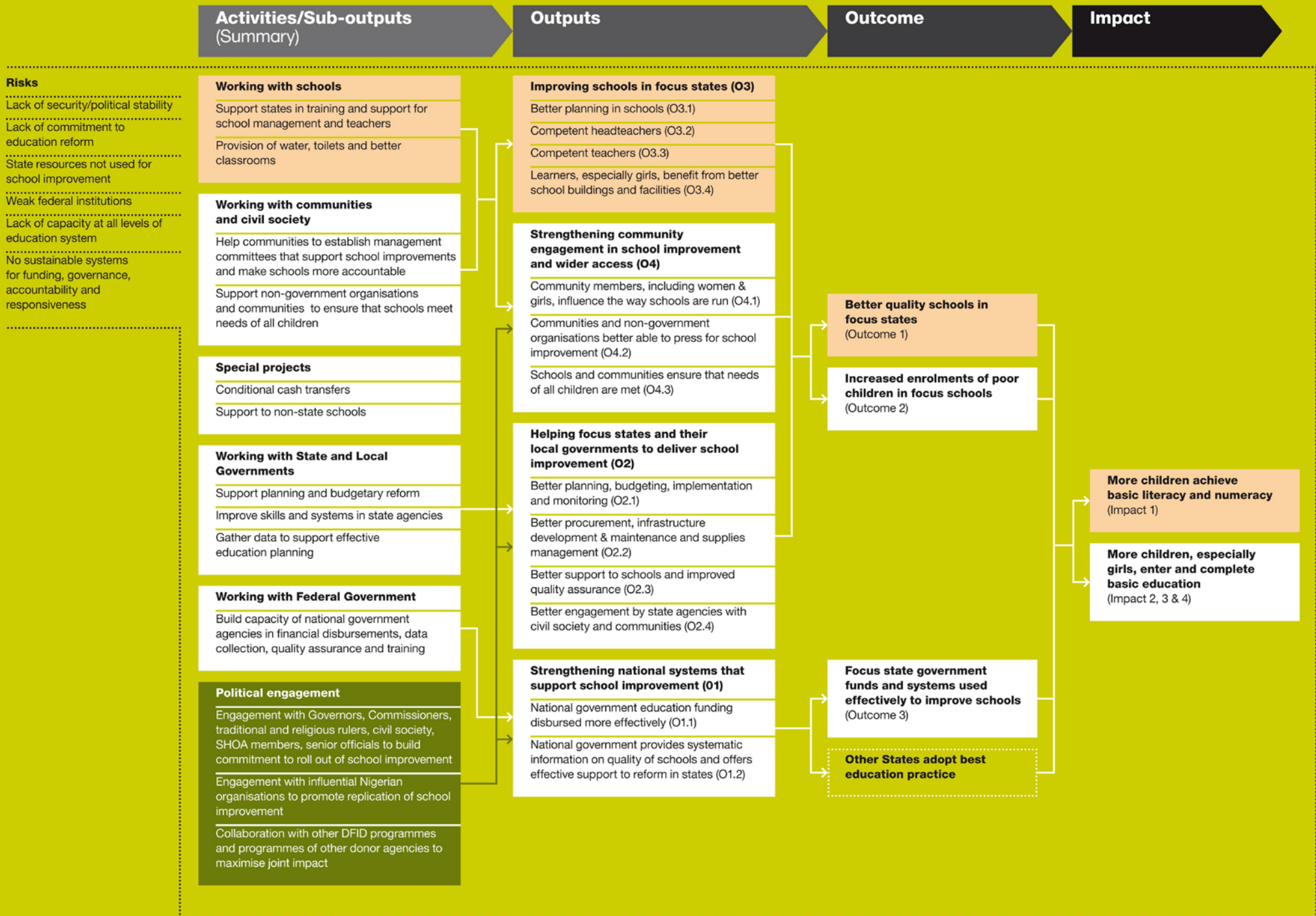
- The next section – **Theory of Change** - summarises the main expected results, through the Results Chain that links together activities, sub-outputs, outputs, outcomes, and impact. The Results Chain is the foundation for the ESSPIN Logframe and Activity Log.
- The following section – **Monitoring Indicators** - defines three sets of monitoring indicators:
  - work plan monitoring indicators (providing information on the extent to which activities are on target and sub-outputs being achieved)



- Logframe indicators (providing information on performance in relation to outputs, outcomes and impact)
- school resource indicators – known as ‘ISD indicators’ (providing data on school infrastructure and staffing to enable states and LGEAs both to plan expenditure on school level physical and human resources and to monitor overall progress in these areas).
- The next section – **Sources of Information**- describes in detail the sources of data and methodological aspects for ensuring that data are available in time and at the necessary standard of quality.
- The following section – **Evaluation Strategy** summarises the preliminary areas of focus of the end of programme evaluation, and the methodology and approach. It also outlines the purpose of the composite survey which lies at the core of the quantitative component of the evaluation, as well as being a key source for validating some of the more complex logframe indicators.
- The penultimate section – **Capacity Building** discusses the roles of different levels of government in this process as users of data and the associated capacity building measures
- The final section – **Reporting** - identifies the mechanisms for reporting progress against the M&E framework. The broader issue of how findings are shared is addressed in a separate document on communications and knowledge management (C&KM).

## Theory of Change

15. The theory of change and key results to be achieved are set out in the Results Chain below. The Results Chain is the foundation of the ESSPIN Logframe and Activity Log. Together, they present the planned impact, outcomes and outputs of the Programme and describe how inputs will be translated into results: if a set of *activities* is carried out and sets of external *assumptions* hold, then a set of identified outputs can be anticipated which in turn can be expected to lead to a set of desired outcomes having, in turn, desired impacts.
16. The M&E framework needs to establish, respectively, the degree to which outputs and outcomes are being achieved (through a set of monitoring indicators) and the veracity of the key anticipated relationships that link outputs to outcomes to impact (through a set of evaluation studies).



## Monitoring indicators

17. Three types of indicators are defined:

- **Logframe indicators**, which correspond to outputs, outcomes and impact set out in the Logframe
- **Work plan indicators**, which correspond to the activities and sub-outputs set out in the Activity Log (Results Monitoring Table)
- **School resource (ISD) indicators**, which relate to the physical and human resource levels in schools

18. The Logframe indicators are set out in Table 1 below. Output indicators are monitored by States using a range of sources. The results will be reported both in Annual Education Sector Performance Reviews and the ESSPIN Annual Report.

19. Definitions of Logframe indicators, rationale for calculating values and comments on data sources are compiled in a Logframe Handbook.

**Table 1: ESSPIN Logframe Indicators**

<b>Impact</b>	
Nigeria's own resources are efficiently and effectively used to achieve the MDGs for universal education and gender equity	
1	Proportion of Primary 4 and Primary 2 pupils in public and non-state primary schools in focus states who: <ul style="list-style-type: none"> <li>a. demonstrate ability to read with comprehension (%)</li> <li>b. demonstrate ability to do basic arithmetic calculations (%)</li> </ul>
	Information source: Monitoring Learning Achievement survey 2010, 2012 & 2014
2	a. Public primary and junior secondary education net enrolment rate (NER) in focus states (%) [MDG Indicator 2.1] b. Number of children supported by DFID per annum in primary and lower secondary education [DFID Country Operational Plan] in focus states
	Information source: Annual School Census Reports (by June each year)
3	a. Public primary and junior secondary education completion rate in focus states (%) [MDG Indicator 2.2] b. Number of children supported by DFID per annum completing primary school [DFID Country Operational Plan] in focus states
	Information source: Annual School Census Reports (by June each year)
4	Gender parity index (gross enrolment) in public primary and junior secondary education in focus states [MDG Indicator 3.1]
	Information source: Annual School Census Reports (by June each year)
<b>Outcome</b>	
Improvements in basic education services in terms of access, equity and quality	

1	Number of public primary and junior secondary schools in focus states that meet the benchmarks for a good quality school (%) <sup>1</sup>
	Information source: Composite Survey Reports 2012 & 2014
2	Public primary and junior secondary education net enrolment rate of the bottom two household consumption quintiles in focus states (%)
	Information source: Nigeria Education Data Survey (NEDS) Report 2010 & 2014
3	Level of resources available for school improvement in focus states: <ul style="list-style-type: none"> <li>a. State government education budget utilisation rate</li> <li>b. State government expenditure on school improvement</li> <li>c. Ratio of state government expenditure on school improvement to DFID-ESSPIN funding</li> </ul>
	Information source: Public Expenditure Studies Report 2012 & 2014
<b>Output 1</b>	
Federal Government systems that support states' implementation of school improvement strengthened and functioning	
O1.1	Disbursement rate of UBE Intervention Funds for basic education (3-year rolling)
	Information source: Universal Basic Education Commission (UBEC) quarterly disbursement records
O1.2	National systems established for: <ul style="list-style-type: none"> <li>a. Monitoring learning achievement</li> <li>b. Assessment of teacher competence</li> <li>c. Annual school census</li> <li>d. Quality assurance</li> <li>e. Accreditation of teacher education colleges</li> <li>f. SBMC implementation</li> </ul>
	Information source: Annual Self Assessment Report
<b>Output 2</b>	
Capability of State and Local Governments for governance and management of basic education at State and LGEA levels strengthened	
O2.1	Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level
	Information source: Annual State Self Assessment Report
O2.2	Quality of service delivery systems and processes at state and LGEA level
	Information source: Annual State Self Assessment Report
O2.3	Quality of school support and quality assurance services at state and LGEA level
	Information source: Annual State Self Assessment Report
O2.4	Level and quality of LGEA engagement with local communities on school improvement
	Information source: Annual State Self Assessment Report
<b>Output 3</b>	
Capability of primary schools to provide improved learning outcomes strengthened	
O3.1	Number of public primary and junior secondary schools using a school development plan (%)

<sup>1</sup>These benchmarks relate to headteachers operating effectively, teachers delivering competent lessons, school using a School Development Plan, school working with a fully functioning SBMC, and school benefiting from infrastructural improvements.

	Information source: Reports of School Support Officers (validated through Composite Survey 2012 & 2014)
O3.2	Number of head teachers in public and non-state primary and junior secondary schools operating effectively (%)
	Information source: Reports of School Support Officers (validated through Composite Survey 2012 & 2014)
O3.3	Number of teachers in public and non-state primary and junior secondary schools who can deliver competent lessons in literacy and numeracy (%)
	Information source: Reports of School Support Officers (validated through Composite Survey 2012 & 2014)
O3.4	Number of learners, especially girls, benefiting from better infrastructure:
	a. Number of learners with access to toilets (%)
	b. Number of learners with access to clean water (%)
	c. Number of learners benefiting from new or renovated classrooms (%)
	Information source: SUBEB records (Works & PRS departments) – validated through Infrastructure Study 2013
<b>Output 4</b>	
Capability of communities and civil society to support learner participation and articulate demand for inclusive, quality basic education services strengthened	
O4.1	a. Number of public and non-state schools with functioning SBMCs b. Number of communities where SBMCs reflect concerns of women and children
	Information source: Reports of Social Mobilisation Officers (validated through Composite Survey 2012 & 2014)
O4.2	Quality of civil society advocacy and mobilisation for school improvement and marginalised groups at community and LGA level
	Information source: Annual State Self Assessment Report
O4.3	Inclusive policies and practices at State, school and community levels
	Information sources: Policy level – Annual State Self Assessment Report School level – Reports of School Support Officers Community level – Reports of Social Mobilisation Officers

20. Work plan indicators are set out in the Results Monitoring Table (RMT) – see Annex 2. These are monitored and reported on quarterly by ESSPIN State Teams. Given the level of detail in the RMT, a selection of monitoring indicators of greatest interest to DFID has been made and provides the basis for quarterly reporting – see Annex 3. Reports on progress should be made to the State Education Steering Committees and to the Programme Management Committee.
21. The school resource indicators are set out in Annex 4. These indicators are being used by states to inform resource allocation decisions and to monitor progress in improving physical and human resources in schools.

## Sources of information

22. The previous chapter introduced the sets of indicators that ESSPIN will monitor jointly with state and Federal governments. The following sources of information are being used:

- **Administrative and regular monitoring sources**
  - Annual School Census
  - School Support Officer Reports (SUBEB – School Services Department)
  - Civil Society-Government Partnership Reports (SUBEB – Social Mobilisation Departments)
  - SUBEB records (Works and PRS Departments)
  - UBEC disbursement records
  - Annual FME Report on Four-Year Strategy
- **Surveys and studies**
  - Household Surveys (including NEDS)
  - State Annual Self Assessment Exercises
  - Public Expenditure Studies on School Improvement
  - Composite Survey (incorporating elements of Monitoring of Learning Achievement, Classroom Observation Survey, Teacher Development Needs Assessment, Head Teacher Survey and Community Survey)
  - EMIS Verification Survey
  - Physical Infrastructure Study

23. Table 4 shows which sources are being used for monitoring the various logframe indicators. In keeping with ESSPIN’s approach to strengthening monitoring systems at state level, the framework uses administrative sources for quantitative indicators wherever possible. A range of surveys and studies will be used to validate estimates from the main administrative sources:

- ASC validated by EMIS Verification Study
- SSO and CGP reports validated by Composite Survey
- SUBEB infrastructure records validated by Physical Infrastructure Study

More details on the surveys and studies are given in the following section on evaluation.

24. Annual reports from State Self Assessment exercises are the main source for qualitative indicators, which are used to assess progress with systems reform. Self Assessment methodology has been used to monitor progress in public financial management reforms in many countries. ESSPIN is adapting this approach so that it can be applied to education systems reforms at state, local government, and community levels. Core principles of Self Assessment processes are that they are facilitated by independent specialists, and documentary evidence is used as far as possible to justify scoring.

Table 2: Sources used for Monitoring Indicators

Indicators	Quantitative	Qualitative	ESSPIN/ State records (annual)	ASC (annual)	SSO Reports (annual)	SMO Reports (annual)	SUBEB records (annual)	UBEC records (quarterly)	Household survey (NEDS) (2010, 2014)	Evidence-based Self Assessments (annual)	Expenditure Studies (2012, 2014)	Various baseline studies/surveys (2010)	Composite survey (2012, 2014)	Infrastructure survey (2013)	EMIS verification study (2013)
Impact 1	X											√	√		
Impact 2	X			√											√
Impact 3	X			√											√
Impact 4	X			√											√
Outcome 1	X											√	√	√	
Outcome 2	X								√						
Outcome 3	X										√				
Output 1.1	X							√			√				
Output 1.2		X								√					
Output 2.1		X								√					
Output 2.2		X								√					
Output 2.3		X								√					
Output 2.4		X								√					
Output 3.1	X				√								√		
Output 3.2	X				√								√		
Output 3.3	X				√								√		
Output 3.4	X						√							√	
Output 4.1	X					√							√		
Output 4.2		X				√				√			√ <sup>1</sup>		
Output 4.3		X			√	√				√			√ <sup>1</sup>		

Note: (1) Some school/community level components of outputs 4.2 and 4.3 will be assessed as part of the composite survey.

## Evaluation

25. ESSPIN intends to conduct a detailed evaluation towards the end of the programme to understand how successful the programme has been (was it well designed? and well implemented?), and to shed light on the causes of success or failure. The lessons from the evaluation will be available to help shape future interventions.
26. A detailed strategy provides a preliminary framework for undertaking the evaluation of ESSPIN (see Annex 3). This covers relevant programme background, selected evaluation questions, methodology and approach. The quantitative component of the evaluation will draw on the studies and surveys listed in the previous section. This analysis will be complemented by focused qualitative studies which aim to understand the processes and conditions which have led to particular results. The remaining part of this section summarises the main elements of the evaluation strategy.
27. **Background:** An appropriate evaluation strategy for ESSPIN is complicated, not only because it has a large number of individual components, but because of the evolution of the programme. Midterm there is a shift towards maximising the number of school utilising the ‘ESSPIN approach’ to school improvement in the six focal states. The rollout of ESSPIN’s school improvement package (SIP), or elements of it, will largely be funded by state governments rather than ESSPIN directly, and the model of delivery is changing to some extent because of the scale. While the SIP and the complementary systems interventions cover many aspects of sector reform, there are some areas where there has been little (or no) actual or intended intervention (for example, curriculum reform). In some focal states there are other programmes/projects which also aim at school improvement and to impact on learning outcomes. This background informs the design of the evaluation.
28. **Evaluation questions:** the strategy proposes a number of core ESSPIN interventions which merit special focus for the evaluation:
- Training of head teachers to improve school management and improve teacher performance (as defined)
  - Training of teachers to improve their capacity to provide higher quality teaching (as defined)
  - Provision of physical infrastructure to improve the school environment and increase access and retention of pupils
  - Establishment and training of SBMCs to increase participation of the community in the schools (as defined)
  - Innovative activities, including use of challenge funds, to increase school access and participation for disadvantaged groups of children, especially girls
  - Support to the establishment of civil society-government partnerships leading to tangible improvements at school level



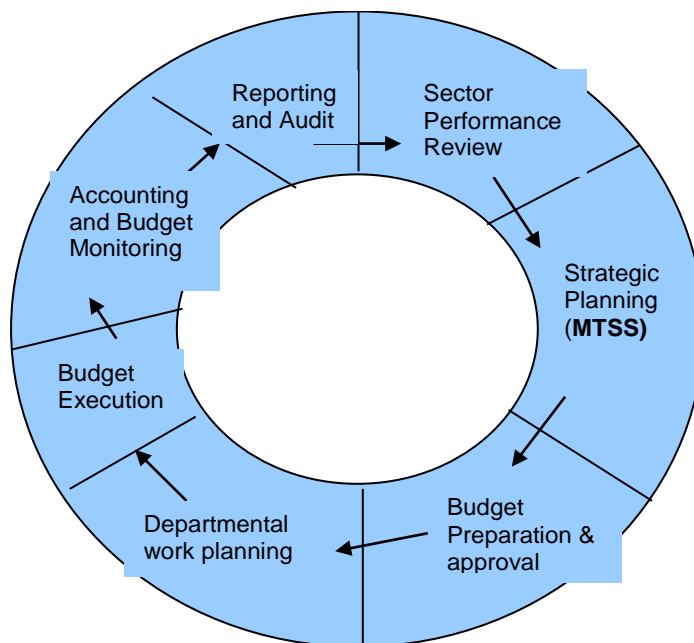
- Introduction of MTSS processes to ensure that state government resources are increasingly allocated towards identified priorities in basic education
  - Activities to increase the effectiveness of national institutions and programmes -e.g. UBEC Intervention Fund, Annual School Census, national assessment of learning achievement, national programme of SBMCs.
29. A set of evaluation questions, under the headings relevance, impact, effectiveness, efficiency, and sustainability, provide guidance to shape the research under each of the areas above, and also to address the combined effect of the programme interventions. It is noted that as the programme evolves over the remaining period, the areas of focus for the evaluation and the key questions will need to be refined.
30. **Methodology:** the central element of the evaluation effort is a two-round composite survey. This will be used to answer the overarching evaluation question: has ESSPIN contributed to improvements in school quality and student learning achievement? A number of additional surveys and studies are also proposed. All are summarised below.
- **Composite Survey (2012 and 2014):**the design is driven by the ESSPIN’s theory of change. It will measure changes in the overall quality of schools and gains in learning achievement in each of the six states. In order to unpick reasons for these changes related to ESSPIN, key research questions are focused on the school and community level elements of the SIP: head teacher development; teacher development; school development planning; SBMC development; and inclusive practices. Infrastructure improvements will be addressed in a separate study. A summary concept paper is available which provides more details on the purpose, research questions, sample and baselines.
  - **State Expenditure Studies on School Improvement (2012 and 2014):**the overall primary goal of ESSPIN is to support the situation in which ‘Nigeria’s own resources are efficiently and effectively used to achieve the (education) MDGs’. These studies aim to understand the changes in the level and composition of (focus) state government expenditures on basic education since the beginning of the programme and, in particular, the ways in which changes in the composition reflect the overall ESSPIN strategy. A concept note and preliminary guidelines are available.
  - **Infrastructure Study (2013):** relative to state governments’ expenditure on other items for basic education, those on infrastructure are huge. This study will examine: (i) the extent to which the state government’s infrastructure programme is/was influenced by ESSPIN through the adoption of new procurement processes, building specifications and monitoring by SBMCs, and (ii) the resulting increase in quality of infrastructure. The study will show how far states have come compared with extremely low baselines in 2010.
  - **Qualitative studies (2014):** For some aspects of the programme the evaluation will need to understand *how* (through what processes, through what linkages between

activities and outputs) particular results have been achieved. An important example is the adoption of aspects of the ESSPIN programme by state governments during the second part of the programme – how did this come about, how did the programme (staff) influence decisions, what part did the new budgeting/planning structures play, did ESSPIN directly provide any direct catalytic inputs etc. Other possible areas of focus for qualitative studies into the processes which have led to particular outputs and outcomes are set out in Annex 3.

31. **Approach:** this is an internal programme evaluation, but it will be conducted according to a number of principles which should give external audiences confidence in the results, these include: (i) transparent methodology; (ii) properly documented evidence; (iii) use of specialist consultants who have not been integral to the delivery of ESSPIN; and (iv) capacity building. More details are in Annex 3.

### Capacity Development

32. The context for the capacity development strategy for M&E at state level is the planning, budgeting and reporting cycle. M&E has a key role to play in this cycle, with the overarching aim to promote evidence-based decisions on how resources are allocated to best achieve sector goals.



33. Strengthening the M&E process at state level is an integral part of an overall package of ESSPIN support to state systems strengthening. Work on the strategic planning process (MTSS and strategic plans for key MDAs) has stimulated demand for sector performance information because it is evident that rationale planning cannot occur without it. Most recently, the introduction of the idea of using ISD indicators (based on Annual School Census (ASC) data) to inform planning at LGEA and state level has heightened appreciation of the value of good information.

34. On the supply-side, ESSPIN has supported state EMIS systems to the point where EMIS units require only limited external support in managing the ASC process, analysing and producing the ASC report. A validation survey found that the quality of the ASC data in the six states was generally good. EMIS units are also taking on the management of other education performance databases.
35. Central to efforts to develop the M&E function at state level, have been the establishment of M&E units in SMOEs and SUBEBs, and the production of an annual education sector performance report (AESPR). This AESPR analyses financial inputs, activities, and results achieved over the year, against plans laid out in the MTSS.
36. Going forward, the emphasis of M&E capacity development will centre on the nascent M&E units in their sector-wide role, but will also encompass support to key MDAs to conduct their own internal monitoring as a routine management function. In relation to the budget cycle set out above, the key areas where support will be focused are:
- *Budget monitoring*: to establish a routine system for key MDAs to track the implementation of the budget in financial and activity terms on a quarterly basis, and for M&E units to analyse the information and prepare short reports. (Note: This relies on further support to the departmental work planning process which is used to prioritise activities from the MTSS have funding allocated in the approved budget).
  - *Results monitoring*: as well as drawing on the ASC data, the aim is to eventually incorporate a broader set of routine sources, including nascent school-based systems of school support officer (SSO) reports and community government partner (CGP) reports.
  - *Sector performance review*: (i) Preparing the AESPR; (ii) Coordinating the annual education sector performance review process—with an emphasis on the linkage between this and the MTSS.

## Reporting

37. The mechanisms for reporting progress against the ESSPIN M&E framework is set out in Table 5 below:

**Table 3: Reporting mechanisms**

M&E framework	Reporting instrument	Frequency/timing	Audience
<b>Monitoring</b>			
Logframe indicators	ESSPIN Annual Report	Annual	State Education Steering Committee; Programme Management committee
	State AESPRs <sup>1</sup>	Annual	All education stakeholders
Workplan indicators	Results monitoring table	Quarterly	ESSPIN programme management
	ESSPIN quarterly reports including summary	Quarterly	State Education Steering Committee;

	results table		Programme Management committee
School resource indicators	State AESPRs	Annual	All education stakeholders
<b>Evaluation</b>			
Component surveys and studies	Reports from studies and surveys	As detailed in the M&E Action Plan (Annex A)	State Education Steering Committee; Programme Management committee
	State AESPRs	In relevant annual report	All education stakeholders
Overall programme evaluation	Final evaluation report	End of programme	State Education Steering Committee; Programme Management committee

Note: (1) AESPRs will report on state-wide outcome, impact and output indicators.

### Risk Monitoring

38. The ESSPIN logframe sets out a number of risks to achievement of programme targets. A Risk Register (Annex 6) has been developed to ensure that these risks are rated and monitored on an ongoing basis. In addition to risks to achievement of programme outputs, the Register also monitors other categories of risk – security, finance, facilities and human resources.
39. All risks rated High or Medium are reviewed every month. Specific risks to programme targets are monitored monthly in Technical Team Meetings (TTMs) and quarterly in Quarterly Reports. Security risks are monitored weekly through security meetings and updates, monthly in TTMs, and bimonthly in the All-Nigeria Risk Assessment. Risks to finances, facilities and HR are monitored through monthly meetings.

## Annex 1: Monitoring and Evaluation Action Plan

	2011-12		Q1	2012-13			Q1	2013-14		
	Q3	Q4		Q2	Q3	Q4		Q2	Q3	Q4
<b>State capacity building in M&amp;E</b>										
Budget monitoring	■				■				■	
Results monitoring	■				■				■	
Sector performance review		■			■			■		■
Need-driven skills development			■	■			■	■		
<b>Programme monitoring</b>										
logframe monitoring (outputs, outcomes, impact)		■			■			■		■
Workplan monitoring (activities, sub-outputs)	■	■	■	■	■	■	■	■	■	■
<b>Validation and Programme Evaluation</b>										
Composite survey	■	■	■	■			■	■		
State expenditure studies on school improvement	■	■								
EMIS validation					■	■				
Infrastructure study									■	■
End of programme evaluation									■	■

## Annex 2: ESSPIN Results Monitoring Table (Presented by Output)

### Output 3

O	Output indicator	SO	Sub-output indicator	Milestones and Actuals				A	Activity
				Mar-12	Achieved	Jun-12	Achieved		
O3.1	Number and proportion of public primary and junior secondary schools using a school development plan	3.1.1	Schools making use of a school development plan jointly produced by the school and its community and being implemented to achieve school improvement.					3.1.1.1	Support the implementation of annual school self evaluations
								3.1.1.2	Facilitate interactions between communities and schools to prioritise school needs and produce costed plans
								3.1.2.1	Ref. 3.2.1.2 and 4
								3.1.2.2	Establish transparent mechanism for disbursing school grants
								3.1.2.3	Implement fiduciary controls
								3.1.2.4	Disburse grants to schools based on agreed formulae
								3.1.2.5	Facilitate the States to integrate DFS into the system
O3.2	Number and proportion of head teachers in public and non-state primary schools operating effectively	3.2.1	Head teachers who fulfil two sets of defined criteria – professional leadership and promotion of learning time.					3.2.1.1	Provide training for SSIT members
								3.2.1.2	Provide training in School Self Evaluation and School Development Planning for head teachers
								3.2.1.3	Support the SSIT to provide in-service support to headteachers and teachers
								3.2.1.4	Provide training and advisory for School Support Officers

								3.2.1.5	Provide advisory support for head teachers
								3.2.1.6	Facilitate integration of the SSIT into State systems, e.g. SUBEB
								3.2.1.7	Conduct head teacher assessment survey
								3.2.1.8	Promote inclusive education practices
								3.2.1.9	Facilitate the development of a career path for HTs
O3.3	Number and proportion of teachers in public and non-state primary schools who can deliver competent lessons in literacy and numeracy	3.3.1	Teachers fulfil defined criteria for delivering a good lesson:					3.3.1.1	Provide training and advisory support for SSIT
								3.3.1.2	Provide training and advisory support for SSOs through SSIT
								3.3.1.3	Provide phased training for teachers
								3.3.1.4	Provide advisory support for teachers through the SSOs
								3.3.1.5	Integrate use of assessment of LoBs into the system to set targets and improve accountability
								3.3.1.6	Support development and implementation of school lesson plans
								3.3.1.7	Conduct MLA and teacher observation studies
								3.3.1.8	Facilitate the development of in service provision for teachers
O3.4	Number of learners, especially girls, benefiting from better infrastructure:	3.4.1	Children have access to toilet facilities (either for pupils only or jointly for pupils and teachers); disaggregated by gender to identify level of provision for girls					3.4.1.1	Establish management and fiduciary arrangements for project implementation
								3.4.1.2	Facilitate application of standard procurement rules
								3.4.1.3	Supervise construction of latrines
	a. Number of learners with access to toilets							3.4.1.5	Facilitate application of standard procurement rules

	b. Number of learners with access to clean water c. Number of learners benefiting from new or renovated classrooms	3.4.2	Children have access to water that is safe to drink and in sufficient quantity					3.4.1.6	Support conduct of geological surveys
		3.4.3	Children benefit from newly constructed classrooms or renovated ones					3.4.1.7 3.4.1.8	Supervise installation of boreholes Facilitate school and community involvement in supervision and maintenance

\*Activities for O3.4 are generic to the three sub-outputs

#### Output 4

Output indicator	SO	Sub-output indicator	Milestones and Actuals				A	Activity
			Mar-12	Achieved	Jun-12	Achieved		
a. No. of schools with functioning SBMCs	4.1.1	SBMC policy documents (national and State) produced					4.1.1.1	Support review of existing SBMC policies
							4.1.1.2	Facilitate visioning exercises at community and State levels
b. No of communities where SBMCs reflect women and children's concerns	4.1.2	SBMCs trained and supported					4.1.1.3	Support production and distribution of national and State policies and guidelines
							4.1.2.1	Develop the capacity of State and LGEA personnel to support SBMCs
	4.1.3	Advocacy and training conducted on participation of women and children					4.1.2.2	Support State Task Teams to mobilise resources for and monitor development of SBMCs
							4.1.3.1	Provide training for SBMCs (8 members per SBMC initially)
							4.1.3.2	Provide mentoring support for SBMCs through contracted CSOs
							4.1.3.3	Monitor SBMC performance through contracted CSOs
4.1.4	Partnerships with communities and civil society established					4.1.4.1	Sensitise SBMCs and relevant women groups to the need for women and children sub-committees	



							4.1.4.2	Monitor extent to which the voice of the sub-committees is incorporated into SBMC discussions (through contracted CSOs)
							4.1.4.3	Facilitate public discussion forums
							4.1.4.4	Conduct joint training activities for government officials and CSOs
Quality of civil society advocacy and community mobilisation for school improvement and marginalised groups	4.2.1	Civil society working in partnership with government to mobilise SBMCs					4.2.1.1	Partnership workshop to develop the relationship between civil society to work in partnership with relevant government partners
							4.2.1.2	Orientation Workshops prior to mentoring programme to develop capacity of CGPs to provide relevant support to SBMCs based on their roles and responsibilities (Communication, Child welfare and participation, inclusive education and gender, relationships and change management, resource mobilisation, mentoring, monitoring)
							4.2.1.3	CGPs jointly implement SBMC development (SBMC training, mentoring and monitoring)
	4.2.2	SBMCs and their wider communities supporting school improvement and education for all children					4.2.2.1	Civil society with government partners step-down capacity development training on resource mobilisation, child protection and participation, inclusive education, communications and relationship management with SBMCs
	4.2.3	Civil society plan and conduct advocacy based on issues arising for their work with SBMCs and communities					4.2.3.1	Civil society working in partnership with government document progress, challenges and issues arising from their engagement with communities (including women, children and marginalised groups)
							4.2.3.2	Support CSO training to conduct issue-based advocacy and develop plans related to their engagement with SBMCs and communities

	4.2.4	Civil society satisfied with response to their advocacy						Civil society conduct 4 advocacy events based on a clear advocacy plan and one key issue arising from their community/SBMC engagement
Inclusive policies and practices at State, school and community levels	4.3.1	Inclusive policies implemented					4.3.1.1	Support baseline research on out-of-school children
							4.3.1.2	Support SUBEB to coordinate partnerships with civil society and voluntary organisations working to promote inclusive education
							4.3.1.3	Provide relevant training for State and LGEA level personnel
	4.3.2	Inclusive practices demonstrated in schools					4.3.2.1	Provide training for teachers in inclusive practices (ref. 3.3.1.3)
							4.3.2.2	Provide training for head teachers on measures to increase school attendance and retention (ref. 3.2.1.2)
	4.3.3	Inclusive practices demonstrated in communities					4.3.3.1	Provide training for SBMCs on measures to increase school attendance and retention (particularly for disadvantaged children) (ref. 4.1.3.1)
4.3.3.2							Support CSOs to mobilise communities to give all children a chance at schooling (ref. 4.1.3.4)	

## Output 2

O	Output indicator	SO	Sub-output indicator	Milestones and Actuals				A	Activity
				Mar-12	Achieved	Jun-12	Achieved		
2.1	Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level	2.1.1	Evidence-based plans developed and integrated between state, LGEA & school					2.1.1.1	Support development of Medium Term Sector Strategies (MTSS)
								2.1.1.3	Support development of LGEA action plans
								2.1.1.4	Develop capacity of SUBEBs and LGEAs to use evidence from lower-level plans in their planning & budgeting
		2.1.2	Appropriate budget management systems for efficient service delivery in place					2.1.2.1	Transparent budget presentation systems introduced
								2.1.2.2	Support use of Departmental Work Plans (DWP) for domesticating budgets and presenting budgets transparently
								2.1.2.3	Train relevant MDA personnel to use the DWP
								2.1.2.4	Support key departments (PRS & School Services) to use the DWP in a phased implementation plan
								2.1.2.5	Support rollout of DWPs across MDAs
		2.1.3	Monitoring & Evaluation units and systems established					2.1.3.1	Facilitate creation of M&E units in SUBEBs / MoEs
								2.1.3.2	Provide training for deployed M&E personnel

		2.1.4	Functional EMIS and Annual School Census cycle established					2.1.3.3	Develop the capacity of M&E units to lead on annual sector reviews and produce annual review reports.
								2.1.3.4	Support sector reporting including AESPR
								2.1.4.1	Support establishment of State EMIS Committees and systems
								2.1.4.2	Provide training for data management personnel
								2.1.4.3	Support conduct of Annual School Census, data processing and production of ASC reports and processing of inspection reports
2.2	Quality of service delivery systems and processes at state and LGEA levels	2.2.1	Strengthen organisations (Ministry, SUBEB, LGEA) to manage service delivery more effectively					2.2.1.1	Support development of MoE & SUBEB strategic plans
								2.2.1.2	Assist MDAs to clarify their mandate and set service charters
								2.2.1.3	Support development of MDA corporate vision and mission
		2.2.2	Strengthen human resource development & management systems at state and local government levels					2.2.1.1	Support MDAs in undertaking functional reviews and organisational restructuring
								2.2.1.2	Support MDAs in undertaking HR systems & process review
								2.2.1.3	Facilitate establishment planning on basis of HR reviews
								2.2.1.4	Support MDAs in workforce planning to implement establishment plans

								2.2.1.5	Support states to initiate performance management systems reviews
		2.2.3	Strengthen financial management systems and processes for efficiency & effectiveness					2.2.1.6	Support states to revise teachers' career paths
								2.2.3.1	Support review of financial management systems
								2.2.3.2	Support payroll audits and development of payroll management systems
								2.2.3.3	Support asset and liability analysis
								2.2.3.4	Support budget tracking and financial reporting
								2.2.3.5	Support strengthening of internal control systems including audit
								2.2.3.6	Support strengthening of risk assessment & mitigation systems
								2.2.3.7	Assist states to locate and mobilise resources for school improvement from Federal and other sources
		2.2.4	Strengthen procurement and supplies management processes and systems					2.2.4.1	Support development of fit-for-purpose infrastructural designs and prototypes
								2.2.4.2	Facilitate adherence to standard procurement rules
								2.2.4.3	Support measures to improve the quality of supervision of construction projects, e.g. greater community

									involvement
		2.2.5	Undertake political engagement to win support for institutional reforms and school improvement programme					2.2.5.1	Engage with Commissioners to provide leadership and mobilise resources
								2.2.5.2	Engage with SUBEB Chairs for commitment to support implementation of school improvement programme
								2.2.5.3	Engage with SHoA to win support for school improvement reforms
								2.2.5.4	Engage with LG chairmen to provide resources for school improvement programme
2.3	Quality of school support and quality assurance services at state and LGEA level	2.3.1	Build capacity to plan and budget for quality assurance programmes					2.3.1.1	Assist states to establish school improvement targets (with budgets)
								2.3.1.2	Support relevant State working groups to incorporate school improvement targets in the MTSS
								2.3.1.3	Assist LGEAs to aggregate and analyse school development plans
								2.3.1.4	Provide technical assistance for appropriate costing of planned school improvement inputs
		2.3.2	Quality Assurance (QA) programme for schools established and maintained					2.3.2.1	Facilitate institutional support for an effective QA system (funding of inspections, recruitment of inspectors, reporting, etc.)
								2.3.2.2	Support states in developing QA policies and legislative frameworks

		2.3.3	School support and teacher advisory service established and operative					2.3.2.3	Link QA system with school improvement programme
								2.3.2.4	Support implementation of the QA programme including evaluation schedules and manuals
								2.3.2.5	Link QA system to state and LGEA planning budgeting& M&E through EMIS
								2.3.2.6	Support strengthening of reporting systems and processes
								2.3.2.7	Build skills in evidence collection, analysis and distribution
								2.3.3.1	Facilitate resource allocation to school services in the MTSS
								2.3.3.2	Facilitate development of job descriptions focused on school improvement
								2.3.3.3	Provide training for relevant personnel
2.4	Capability of education agencies to engage and collaborate with local communities and CSOs at state and LGEA level	2.4.1	Strengthen capacity of LGEAs to support schools					2.4.1.1	Support establishment of communications function of Social Mobilisation Departments/Units
								2.4.1.2	Consultative planning processes established
								2.4.1.3	Support development of mechanisms for stakeholder participation
		2.4.2	Strengthen capacity of CSOs to hold duty-bearers accountable					2.4.2.1	Engagement with Civil Society Action Coalition on Education for All to

										develop priority areas for political engagement at federal, state and local government levels for increased accountability
										2.4.2.2 Support civil society to give voice to disadvantaged groups in the planning process
										2.4.2.3 Facilitate the composition of broad based working groups for strategy planning



Annex 3: DFID Quarterly Reporting Format<sup>2</sup>

Key results (cumulative) (period)	Jigawa		Kaduna		Kano		Kwara		Lagos		Enugu	
	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
1 Number of target schools												
Primary												
JSS												
Total												
2 Number of learners in target schools												
Male												
Female												
Total												
3 Children accessing water from new units												
Male												
Female												
Total												
4 Girls with access to separate toilets												
5 Learners benefiting from new/ renovated classrooms												
Male												
Female												
Total												
6 Learners benefiting from direct school funding												
7 Community members sensitised / trained to serve on SBMCs												
Male												
Female												
Total												

<sup>2</sup>The main source of information for data in the table is training information and other project records kept by ESSPIN state teams.

8	Women participating in SBMCs												
9	Learners benefiting from Challenge Fund projects												
	Male												
	Female												
	Total												
10	Learners in IQTE schools receiving basic education (Kn, Kd, Jg)												
	Male												
	Female												
	Total												
11	Female learners benefiting from cash conditional transfers (Kn)												
	Male												
	Female												
	Total												
12	Additional girls in school (girl education project - Jigawa)												
13	Teachers trained (male and female) i.e. person days of training												
	Male												
	Female												
	Total												
14	Head teachers trained (male and female) i.e. person days of training												
	Male												
	Female												
	Total												
15	State/LGEA officials trained i.e. person days of training												
	Male												

	Female												
	Total												
16	Schools inspected using QA methodology												

## Annex 4: School Resource Indicators

Group	Indicator	Observation	Score	Column reference	Max
A. Adequacy of Physical Facilities (Maximum score = 47)	1. Pupil/classroom ratio	<=40	10	BT	10
		41-50	7		
		51-70	3		
		>=71	0		
	2. Proportion of classrooms with seating	100%	8	BU	8
		75-99%	4		
		50-75	2		
		<75%	0		
	3. Pupil/toilet ratio	<=50	7	BV	7
		51-75	5		
		76-99	1		
		>=100	0		
	4. Dedicated girls toilets	Yes	2	CC	2
		No	0		
	5. Good Blackboard/classroom ratio	1	5	BW	5
		0.5-0.99	3		
		<0.5	1		
	6. Proportion of classrooms (in use)in need of major repair	0	4	BX	4
		0.01-0.2	3		
		0.21-0.4	2		
		>0.4	0		

	7. School has water source	Yes	3	BY	3
		No	0		
	8. Health facility	Clinic	2	BZ	2
		First aid	1		
		No	0		
	9. Use of outside classrooms	No	2	CA	2
		Yes	0		
	10. Source of electricity	Yes	2	CB	2
		No	0		
	11. Fence	Yes	2	CD	2
		Needs repair	1		
		No	0		
				CE	47
<b>B. Adequacy of Staffing (Maximum Score =47)</b>	1. Pupil/teacher ratio	<=40	8	CF	8
		41-50	6		
		51-70	4		
		>=71	0		
	2. Pupil/Non-teaching staff ratio	<50	3	CG	3
		50-100	2		
		<100	1		
	3. Average academic teacher qualification	4	6	CH	6
		3-3.99	4		
		1-2.99	2		

		<1	0		
	4. Average teacher teaching qualification	5	6	CI	6
		4-4.99	4		
		3-3.99	2		
		2-2.99	1		
		>2	0		
	5. Proportion of teachers who attended training in past 12 months	>=80%	3	CJ	3
		60-79.9%	2		
		30-59%	1		
		<30%	0		
	6. Girl pupils/Female teachers ratio	<20	4	CK	4
		20-50	2		
		>50	0		
		No girls in school	2		
	7. Proportion of teachers scoring 1 on teacher presence at school	>=80%	4	CL	4
		60-79.9%	2		
		30-59%	1		
		<30%	0		
	8. Overall Textbook/Pupil ratio	>=4	8	CM	8
		3-4	6		
		1-3	3		
		<1	0		
	9. Teaching Guide/Teacher ratio	>=3	5	CN	5
		1-3	3		
		<1	0		

				CO	47
<b>C. Institutional Development (Maximum Score: 6)</b>	1. SBMC exists and met in past 12 months	Yes	2	CP	2
		No	0		
	2. Inspection in past 12 months	Yes	2	CQ	2
		No	0		
	3. School development plan prepared in past 12 months	Yes	2	CR	2
		No	0		
				CS	<b>6</b>
				CT	100

## Annex 5: Evaluation Strategy

### Introduction

1. This annex provides a framework for undertaking the evaluation of ESSPIN, and presents examples of a set of interventions which might be evaluated and some of the questions to investigate. This proposed framework is based on the recognition that lead responsibility for the evaluation of ESSPIN rests with IMEP. It sets out a proposed overall evaluation strategy to which ESSPIN would **contribute**

### Background

2. An appropriate evaluation strategy for ESSPIN is complicated, not only because it has a large number of individual components, but because of the nature of the operation as originally designed and the changes in emphasis which are occurring midterm. Initially the operation was conceived with two main strands - one focusing on changes and systems state-wide across six focal states (through, for instance, information systems including the annual school census and rationalization of the planning-budgeting processes), and the other on school improvements (through teacher training, new and better quality infrastructure, more effective SBMCs and more inclusive approaches to delivering education) in a relatively small number of 'pilot' schools in each of the six states underpinned by improvements in the organisational structures which support school improvement.
3. It was anticipated from the start that the achievements recorded in the pilot schools would persuade the state governments to expand ESSPIN's school improvement activities to other schools. Critically, the programme has emphasised the importance of delivering the activities as a full package. In the rollout phase which depend more on state government funding there is less certainty that all the elements will be included. It was also the initial intention of the programme to influence (largely by example) the monitoring, planning and budgeting of the education sector in non-project states. Defining the impact indicators to cover enrolment and completion and gender equality across the country (in the original logframe) also implied an attempt to influence basic education across all states.
4. At the end of the third year of the project, ESSPIN was encouraged by DFID explicitly to maximize the number of schools utilizing the 'ESSPIN approach' to school improvement within the focus states over the remaining years of the programme. Expectations of influencing basic education across the remaining 30 states in Nigeria were reduced. The extent to which this marked a real change in the planned evolution of the programme during its second (so-called 'rollout') phase, and the impact this had on other aspects of the project will itself be an issue to evaluate at the end of the project.
5. In the first phase to 2011, ESSPIN supported state bodies, with technical assistance and direct funding, to deliver the school improvement package (SIP) in a set of schools in each



state. From 2012, a much larger number of schools are expected to adopt ESSPIN approaches and activities funded by/through the state governments. The model of SIP delivery will alter to some extent because of the scale of the reforms.

6. ESSPIN's interventions cover many aspects of sector reform. The school improvement approach includes head teachers, teachers, infrastructure, SBMCs and inclusive policies/delivery; and complementary support for systems reforms. There are, however, some aspects of sector reform where there has been little (or no) actual or intended intervention (for example, curriculum reform). Other programmes/projects which also aim at school improvement are operating alongside ESSPIN in some of the focal states. Both of these factors are relevant to evaluation design.
7. An evaluation of ESSPIN will clearly be closely linked to the indicators within the logframe but it needs to be more than this. The set of surveys which have been proposed for the purposes of the logframe (particularly the composite survey) will provide largely quantitative information, or summary qualitative information, on the effectiveness of ESSPIN interventions. An evaluation of the project will need to go further - first to dig into more complex issues and second, to go beyond the logframe indicators and investigate how the activities achieved the particular results identified, particularly in the areas of system reform and the influence generally which ESSPIN has had on state government programmes. The end of programme evaluation of ESSPIN will be externally led, i.e. conducted by IMEP. However, ESSPIN's set of planned surveys and studies will form the basis of internal self evaluation to feed into IMEP's formal evaluation.

### Evaluation Questions

8. Some of the information required for evaluating ESSPIN interventions will be captured through routine monitoring designed for the purpose of reporting on the logframe, some through surveys designed to augment this source of information, again for the logframe, while some will require specific studies - both desk studies and those undertaken in the field.
9. ESSPIN interventions suitable for evaluation include:
  - Training of head teachers to improve school management and improve teacher performance (as defined)
  - Training of teachers to improve their capacity to provide higher quality teaching (as defined)
  - Provision of physical infrastructure to improve the school environment and increase access and retention of pupils
  - Establishment and training of SBMCs to increase participation of the community in the schools (as defined)
  - Innovative activities, including use of challenge funds, to increase school access and participation for disadvantaged groups of children, especially girls

- Support to the establishment of civil society–government partnerships in leading to tangible improvements at school level
  - Introduction of MTSS processes to ensure that state government resources are increasingly allocated towards identified priorities in basic education
  - Activities to increase the effectiveness of national institutions and programmes -e.g. UBEC Intervention Fund, Annual School Census, national assessment of learning achievement, national programme of SBMCs
10. In the preliminary evaluation questions set out below, those relating to Relevance will be mainly for IMEP to take into account. ESSPIN has not had the resources to evaluate other strategies to test for comparative advantage.
11. A preliminary set of evaluation questions includes:

### *Relevance*

12. Were the interventions at the Federal level the most appropriate ones for influencing national systems supporting school improvement in states?
13. What was the evidence for the need to strengthen state government planning and budgeting procedures and were the interventions the most appropriate ones?
14. On what basis were the specific interventions at school level aimed at improving pupil learning achievement chosen? Why were other possible interventions not included?
15. How relevant were the choices made regarding the level of additional efforts for specific groups of children (e.g. girls, children in qur’anic schools etc.)?

### *Impact (using a broader definition than in the logframe)*

16. Have the scores of children enrolled in ESSPIN first phase schools improved in numeracy and literacy assessments, and more so than in other schools?
17. Is there any evidence to suggest whether particular school improvement interventions have more impact than others and, even more ambitiously, whether the whole package has a greater impact than the impacts of individual interventions aggregated?
18. What is the impact of a functional SBMC on the management and performance of a school and on expanding enrolments?
19. What impact has the programme had on state governments' basic education programmes, in particular across teacher training, community mobilisation and the modalities of construction? How many non-programme schools have been affected?

20. What impact has the programme had on planning and budgeting for basic education and ensuring that budget expenditures and other resources received by the state are more in line with evidence-based priority setting?
21. Has the composition of state government expenditures on basic education changed over the programme period?
22. Where the state government adopted the ESSPIN approach, through what efforts and processes was this done?

### *Effectiveness*

23. In what ways has the head teacher training component been effective in improving head teacher competence in school management in general - in first phase project schools, in rollout schools and across the remaining schools in the focus states?
24. How effective has the teacher training component been in improving teacher competence in various aspects of classroom management and teaching-learning interactions (again across school groups)?
25. How effective have the school support officers been in supporting improved teaching practices?
26. How effective has the SBMC component been in creating functional SBMCs and in what areas have these been effective in improving the performance of schools (again across school groups)?
27. To what extent have planning and budgeting practices improved in the school education sub sector and what has been the consequence for the level and composition of expenditures?
28. How has the operation of the UBEC Intervention Fund changed in ways which benefit expenditures in basic education as a consequence of the programme?
29. Have the physical infrastructures provided by the programme been of higher quality as a result of different procurement practices, designs and community oversight?
30. What has been the effect of the programme's direct grants to schools (and possibly the self help grants from UBEC) on school improvement?
31. Has the conditional cash transfer scheme in Kano been effective in increasing attendance?

### *Efficiency*

32. To what extent has the ratio of external TA to national TA changed over the programme period?

33. How have costs of training per head teacher and per teacher changed over the programme period?
34. How have management/overhead costs as % of total project cost changed over the programme period?
35. What was the unit cost of the ESSPIN school improvement package for first phase schools, and for the rollover?

### **Sustainability**

36. What programmes have been initiated and funded by state governments which reflect the goals, activities and modalities of ESSPIN?
37. What changes have been made to state government planning and budgeting frameworks which provide a greater assurance of continued funding for initial state government initiatives in basic education?
38. What evidence is there that (a) the ASC will continue to be undertaken and produce reliable information across the six focus states, and more generally across the country, and that (b) programmes to measure learning achievement will be continued?
39. Are systems in place to provide regular meaningful support (a) for teachers (b) headteachers and SBMCs across focus states?
40. Are systems in place to improve the quality/relevance/effectiveness of new physical infrastructure through improved procurement practices and designs, and SBMC oversight?
41. Is there any evidence that school grants will be available to support school plans and to provide an incentive for the continued functioning of the SBMCs?
42. To what extent have state government staff taken over the activities of ESSPIN staff and consultants over the programme period?
43. Will the state school improvement teams remain operative and be funded by the state government?

### **Methodology for Evaluation Surveys and Studies**

44. The evaluation strategy includes additional surveys and some studies. The results of these will feed into aspects of the logframe but also provide for further analyses. ESSPIN surveys undertaken up to 2011 are school census validation, measurement of learning achievement, community survey, teacher development needs, and classroom observation, plus a small learning assessment and classroom observation survey in Kwara. ESSPIN also supported the large EdData/NEDS survey, and survey work was undertaken as part of planning the conditional cash transfer programme in Kano.

45. It is proposed that the central element of the evaluation effort during the second half of the programme is a composite survey, administered in 2012 and 2014, covering the activities and effectiveness of headteachers, classroom observation of teaching-learning practices and the functioning of SBMCs, together with an assessment of learning achievement. These surveys will provide information for a number of the logframe outputs, outcomes and impact as well as for the additional evaluation questions outlined above (although, as noted above, the survey information will not be sufficient to fully answer these). The results of the 2014 survey will be used to, among other things, provide the material for analysis of the effects of ESSPIN activities in altering the teaching-learning environment in general and the effect of these changes in turn on learning achievement. A survey concept paper is available which describes the rationale, proposed methodology and approach to the survey.
46. In addition to the composite surveys and the resulting analyses, other surveys and discrete studies will be carried out. . All are described below.

#### *Annual School Census Validation Survey (2013)*

47. Since several of the outcome and impact indicators rely heavily on data from the Annual School Census (together with age-specific population estimates) it is important that these data are widely regarded as credible. The Validation Survey undertaken for the 2009/10 data in the six project states concluded that enrolment data were, in general, reasonably accurate apart from in very specific instances the causes of which are known. However, to maintain trust in the results of the ASC, a further validation of the data needs to be undertaken. Given the anticipated efforts by ESSPIN to strengthen the implementation of the ASC in more states during 2012, and the inter-year checks already being carried out (e.g. checks are being made at school level to assess whether there are unrealistically large changes year on year in particular variables), another validation exercise will be undertaken in 2013 for the November 2012 data. In the previous Validation Survey, several questions were asked beyond those in the ASC (e.g. pupil and teacher absence, availability of learning materials). These might again be included.

#### *Study of state governments' level and composition of expenditure on ESSPIN influenced school improvement activities (2012 and 2014)*

48. The overall primary goal of ESSPIN is to support the situation in which "Nigeria's own resources are efficiently and effectively used to achieve the (education) MDGs." This suggests that it is important to understand the changes in the level and composition of (focus) state government expenditures on basic education since the beginning of the programme and, in particular, the ways in which changes in the composition reflect the overall ESSPIN strategy. Linked to this, and reflecting the systems reform focus of ESSPIN, it would in principle be important when considering the impact of ESSPIN to identify the specific reforms and processes which have resulted in a more efficient expenditure planning system.

49. Studies are being conducted to assess the extent to which ESSPIN has been able, by various means, to alter and increase the level and, more likely, quality of expenditures on basic education. There is too little readily available information on (non-wage) expenditures on basic education in the states to be able to routinely document changes in the composition of expenditures at a sufficiently disaggregated level, and over recent time-periods, to allow the calculation of ESSPIN-influenced school improvement activities to be made. To this end, recourse is being made to the cashbooks. Defining the activities to be included (e.g. which of the school infrastructure activities across the state can be claimed to have been influenced by ESSPIN activities - e.g. procurement procedures, copying of building specifications, use of SBMCs to monitor, etc.), and examining expenditure data is being done initially in one state and guidelines set for similar studies in the other states.
50. Studies will be carried out in 2012 and 2014. The 2012 study will provide a baseline of 2010 expenditures.

### *Study of Physical Infrastructure (2013)*

51. Output 3.4 requires an estimate of the number of children benefiting from specific infrastructure activities associated with ESSPIN - latrines, boreholes and classrooms. During the first phase, this is relatively straightforward. However, from the rollover beginning in 2012 and the programme's consequent attempts to influence the quality of state government physical expenditures, the estimation will be more difficult. Relative to state governments' expenditure on other items for basic education, those on infrastructure are huge. Important questions for the monitoring and eventual evaluation of the programme will be (i) how much of the state government's infrastructure programme is/was influenced by ESSPIN through the adoption of new procurement processes, building specifications and the monitoring by the SBMCs, and (ii) the resulting increase in quality of infrastructure. During the programme, for the purposes of monitoring output 3.4 (number of beneficiaries from infrastructure improvements) some partial assessments might be made through efforts to tag those state-wide physical activities which are evidently incorporating ESSPIN influences. However, towards the end of the project a more thorough study of the extent of the ESSPIN influence, and the improvements in quality would be useful. This would involve assessments of both the physical structures and the processes leading to the completion of construction, including, importantly, the role of the SBMCs.

### *Qualitative Studies*

52. The above set of surveys mainly seek to measure the direct effects of the activities of the ESSPIN programme. However, for some aspects of the programme it may also be useful to understand how (through what processes, through what linkages between activities and outputs) particular results have been achieved. An important example is the adoption of aspects of the ESSPIN programme by state governments during the second part of the programme - how did this come about, how did the programme (staff) influence decisions, what part did the new budgeting/planning structures play, did ESSPIN directly provide any

direct catalytic inputs etc. Some of this information may come through the proposed expenditure study but some may not. Other possible areas that IMEP may wish to consider where more qualitative studies into the processes which have led to particular outputs and outcomes may be relevant include:

- To what extent and how has the ESSPIN approach spread to non-programme schools in the same LGEA?
- How were particular national programmes influenced by ESSPIN e.g. ASC, UBEC IF, MLA?
- What factors lie behind the successful functioning of a SBMC e.g. particular approach of the CSO, composition of the membership of the SBMC, availability of financial resources?
- Through what behaviours and actions have SBMCs improved levels of access to schools - particularly for girls?

### Approach to the evaluation

53. The formal evaluation of ESSPIN in 2014 will be led by IMEP.

54. The strategy described in this paper is ESSPIN’s internal programme evaluation. It will be conducted according to a number of principles which should give external audiences confidence in the results, these include:

- *Transparent methodology*: the methodology will be clearly documented. This will include concept papers which will be available for each of the component surveys and studies, and for the overall evaluation.
- *Properly documented evidence*: findings will be based on explicit evidence. All sources of evidence will be carefully noted, and, where relevant, discussions related to their quality or potential bias included.
- *Use of specialist consultants*: to ensure that outside perspectives are taken into account, specialist consultants who have not been integral to the delivery of ESSPIN will be included in the evaluation team.

55. *Capacity building*: bearing in mind the purpose of the state M&E systems strengthening work, the evaluation affords an opportunity to support key officials to develop analytical and practical evaluation skills. Without compromising quality, the aim is to involve M&E officers, and potentially others from key delivery MDAs, in some of the component surveys and studies—the results of which will be reported in the AESPRs—and in some stages of the overall evaluation. An appropriate balance between using parts of the evaluation as a practical training exercise, and more full involvement in the analytical work will vary across states, partly dependent on the success of on-going M&E capacity development in the states.

### Concluding Comments

56. The evaluation strategy is closely associated with the logframe. Many of the evaluation questions identified will be at least partially addressed as part of the process to update and extend the coverage of the logframe through time. The surveys proposed for 2012 and 2014 will provide the information for the more complex questions including the extent to which new teaching and school management practices are being utilized and the degree to which (hopefully) learning achievements are increasing. The information will be available for groups of schools which have had different levels of interventions. The expenditure studies will provide assessments of the extent to which ESSPIN has influenced state government expenditures practices and the composition of expenditures. Closer to 2014, ESSPIN and DFID will need to decide what additional outputs are required for evaluation purposes beyond the studies and survey reports described here.



## Annex 6: ESSPIN Risk Register

Category	Risk	Description	Date Identified	Date Last Updated	Probability	Impact	Action	Deadline	Action Owner	Closure Date				
Programme targets (Logframe risks - output to outcome)	1	Lack of transparency in UBEC funding regulations	2010	Feb-12	M	M	*Targeted political engagement to secure commitment of senior government officials to school reform: .. Quarterly meeting of HCs/SUBEB chairs .. Periodic meetings of State Steering Committees	Ongoing	STLs LSs SMT	2014				
	2	FME lacks vision and commitment to national systems			H	M								
	3	Lack of state government commitment to ASC			M	H								
	4	Lack of state government commitment to planning, budgeting & organisational reform			M	H								
	5	Insufficient state resources and persistence of financial malpractice			M	H								
	6	Failure of state governments to sustain commitment to school improvement			M	H								
	7	Failure of states to respond to severe school quality problems identified in assessments			M	H					*Engagement of civil society organisations to improve accountability & transparency in delivery of services	Ongoing	A&E SS	2014
	8	Infrastructure programmes continue to side-step sound procurement and supervision practices			H	H					*Proactive investigation of other sources of federal funds, e.g. MDGs & ETF (TETF)	Ongoing	O1 LS	2014
	9	Failure to recognise the role of women and children in school governance			M	M					*Investigation of private sector funding sources, e.g. Oando Foundation & CIFF	Ongoing	O1 LS	2014
	10	Marginalised groups in states continue to be			M	M					*Collaboration with other SLPs and IDP programmes	Ongoing	SMT STLs	2014

		sidelined due to overriding cultural factors									
	11	Lack of state government recognition of CSOs				H	M				
	12	Insufficient resources to accommodate additional children in schools				M	H				
<b>Security</b>	1	Safety of staff	Safety of staff may be compromised by acts of terrorism, terror threats, armed robbery and burglaries.	2011	Jun-12	M	H	Up-to-date business continuity and evacuation plans. Regular security updates to staff and visitors. Deployment of appropriate security systems. Recruitment of security manager. Monthly security reviews	BCPs complete. Evac Plans by Aug. Sec Mgrer by Aug	AC State Admins.	2014
	2	Disruption to state activities, including office closure	Civil disturbance, riots, explosions, industrial strikes, etc. preventing normal office operations	2011	Jun-12	M	H	Up-to-date business continuity plans. Alternative plans for delivering activities, e.g. relocating workshops to Abuja	BCPs - see above. State activities in Abuja - ongoing	AC State Admins.	2014
<b>Facilities</b>	1	Failure of IT system/equipment	Weather disruptions, supplier inefficiencies or service outages leading to failure of IT system	2008	Jun-12	L	M	Weekly back ups in IT sites. Periodic back up verification exercise & monitoring. Offsite storage of weekly back ups. Up-to-date contact details of IT service providers.	Ongoing	AO State Admins	2014

	2	Rent disputes	Disagreements with landlords, controversial rent laws or exorbitant rent rates leading to disputes over accommodation facilities.	2008	Jun-12	L	M	Transparent contracting/leasing arrangements. Adherence to legal requirements. Prompt payments of utility bills, municipal rates or levies.	Ongoing	AO State Admins	2013
	3	Slow procurement	Bureaucratic bottlenecks, e.g. in relation to Crown Agents, delaying procurements.	2008	Jun-12	M	M	Adequate lead time in CANL procurements. Clear specs for ad hoc procurements. In case of routine purchases, 'dead time' for contracting and payments processing	Ongoing	AO	2013
	4	Vehicles/road accidents	Road traffic accidents, armed robberies & car jacking, poor conditions of vehicles disrupting operations.	2008	Jun-12	M	H	Strict adherence to ESSPIN transport policy. Selective use of MOPOL/armed escort services. Regular security updates to staff and visitors. Adherence to vehicle maintenance schedules. Daily & weekly vehicle inspection by drivers. Training of drivers.	Ongoing	SA State Admins	2014
	5	Communication systems failure	Failure of GSM networks disrupts flow of communications	2011	Jun-12	M	H	Provision of satellite phones for SMT, STLs. Alternative platforms - Web, Skype & IP phones.	Aug-12	AO	2014
	1	School grants fiduciary controls	Grants provided for school operational needs are diverted or not used for the intended purpose.	2011	Jun-12	M	M	Audit trail in dedicated SUBEB and individual school bank accounts. SUBEB monitoring records inc. reconciliation of grant expenditure	2011	SQS	2014
<b>Finance</b>	2	VfM in infrastructure contracts	Weak procurement management systems undermine quality of infrastructure and engender financial leakage.	2010	Jun-12	H	M	Use of standard prototypes. Supervision supported by independent consultants. Competitive tenders. SBMC chairs involved in payment approval. Dedicated project bank accounts.	Ongoing	SQS DC, JK	2014

	3	Inaccurate budget forecasts	ESSPIN operations disrupted by insufficient funds in Abuja or state bank accounts due to poor forecasting.	2008	Jun-12	M	H	Monthly budget monitoring reports (forecast & outturn). Inclusive budget preparation (LS & state teams). Monthly finance meetings overseen by SMT.	Ongoing	STLs SMT	2014
	4	Conditional Cash Transfers diverted from legitimate beneficiaries	Government officials, security, banking or education personnel capture some or all of transfer funds	2010	Jun-12	H	M	ESSPIN in PMU Technical Working Group. Access to online database inc. finance records. Independent exit surveys of beneficiaries. Systematic random household surveys of beneficiaries. Transaction records from each transfer exercise.	Ongoing	STL Kano	2014
<b>HR</b>	1	High staff turnover	Frequent staff changes/departures disrupts continuity of programmes	2009	Jun-12	L	M	Competitive staff welfare package. Personal development opportunities.	Ongoing	SMT	2014