Education Sector Support Programme in Nigeria (ESSPIN)

Learning and Evidence Framework

June 2015

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Acronyms

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
TTM	Technical Team Meeting
UBE	Universal Basic Education
UBEC	Universal Basic Education Commission

Abstract

1. This document outlines the ESSPIN Learning and Evidence (L&E) Strategy for 2014-2017. It is based on the Monitoring and Evaluation Framework (ESSPIN Report 025) of February 2012, and revised to reflect the logframe developed for the ESSPIN extension (2014-2017). The Strategy also sets out the programme's approach to evaluation and the planned end of programme evaluations.

2. The Learning and Evidence Strategy is based on four frameworks through which ESSPIN builds, uses and communicates evidence of how well the programme is performing:

    1. The ESSPIN Monitoring Framework;
    2. ESSPIN Evaluation Strategy;
    3. Value for Money Framework;
    4. Communication and Knowledge Management (CKM) Strategy.

3. ESSPIN's approach to Monitoring and Evaluation is closely aligned to the monitoring and evaluation activities of the Nigerian government authorities at State level and as far as possible at Federal level. This ensures that programme M&E works to strengthen state systems and capacity, not undermine it.

Executive summary

4. The L&E Strategy presents four frameworks through which the performance of the ESSPIN programme is monitored and evaluated and through which evidence is communicated with stakeholders. The four frameworks included in the strategy are:

    1. The ESSPIN Monitoring Framework;
    2. ESSPIN Evaluation Strategy;
    3. Value for Money Framework;
    4. Communication and Knowledge Management (CKM) Strategy.

5. The development of a Learning and Evidence Strategy represents the importance placed on using evidence to learn from ESSPIN about what works, and does not work, for improving basic education in Nigeria. The primary purposes of the frameworks that make up the L&E strategy are to monitor ESSPIN's results, to find out what works and what does not, to use evidence to learn from the programme, and to refine the programme as a result.

6. The importance of evidence in driving change is reflected in ESSPIN's Theory of Change. Building evidence, and communicating evidence to stakeholders as a strategy to change systems, practices, attitudes, and behaviours is already well established within ESSPIN's programme activities.

7. Monitoring and Evaluation frameworks have two key objectives;

    (i) In terms of 'input and output monitoring', monitoring activities assess whether *work plans* are being realised (inputs, activities and short-term outputs);

    (ii) In terms of 'output to purpose monitoring' and 'impact monitoring', monitoring and evaluation activities assess whether *results* are being achieved (medium- to long-term outputs, outcomes and impact).

8. 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 national 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.

9. The M&E framework within this Learning and Evidence strategy also pays greater attention to equity objectives of ESSPIN. New indicators have been added to the logframe which will be used to monitor how effective ESSPIN is in improving access for children with disabilities, and in improving learning outcomes for children from the poorest backgrounds and those that have been most disadvantaged in terms of their learning.

10. Monitoring Value for Money ensures that the investments made by DFID and Government of Nigeria are efficient and cost-effective. The value for money framework examines the added value that ESSPIN provides through its outcomes and impact for the most disadvantaged children in Nigeria. In line with DFID's VFM guidance for education programmes, the ESSPIN VFM framework goes beyond the 3Es (economy, efficiency and effectiveness) and includes indicators of equity and sustainability. The equity metrics aim to monitor ESSPIN's impact on children marginalised through their location, gender and wealth status.

11. ESSPIN M&E activities are integrated into state-level education sector M&E frameworks. Based on our Theory of Change, this is a deliberate strategy to strengthen state capacity. Each state conducts Annual Education Sector Performance Reviews (AESPRs) to report on progress in implementing its Medium Term Sector Strategy (MTSS), including specific School Improvement Programmes (SIP), and on key developments within the education sector. In agreement with the ESSPIN Programme Memorandum (§2.7), ESSPIN uses 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.

12. Four sets of monitoring indicators are used to assess programme performance:

a. logframe indicators (providing information on performance in relation to outputs, outcomes and impact);

b. work plan monitoring indicators (providing information on the extent to which activities are on target and sub-outputs are being achieved);

c. 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).

d. value for money indicators (providing information on economy, efficiency, and cost-effectiveness of performance)

13. In order to monitor these indicators a range of different sources of information are used: administrative sources (annual school census, SUBEB reports and records, State school improvement monitoring reports, UBEC records and FME reports); surveys and studies (household surveys, state annual self-assessment exercises, public expenditure studies, EMIS verification survey, composite survey, SBMC impact study and cross-SLP citizen perception survey).

14. The Evaluation strategy ensures that evidence will be collected to judge the impact, effectiveness, efficiency and sustainability of the programme as a whole, as well as of specific interventions.

15. The Evaluation strategy is informed by the programme's Theory of Change. Key evaluation questions will explore whether the changes anticipated by the Results Chain have been achieved, and whether the assumptions underpinning each transition in the chain have held true. Evaluation research will provide critical evidence to support (or disprove) the assumptions that underpin ESSPIN's Theory of Change.

16. The Composite Survey (held every two years) will be the main source of quantitative evidence to evaluate the Theory of Change at various levels of the results chain, and to evaluate whether the results achieved can be attributed to ESSPIN.

17. State reporting systems, the SSO and SMO reports, are used to assess input-output and, to some extent output-outcome conversion, every term, by LGEA, state, and

ESSPIN teams. These reports are also the basis of the Annual Reports, so are used regularly to evaluate ESSPIN's efficacy.

18. Throughout implementation, ESSPIN has evaluated all pilot interventions. During the extension phase, examples of pilots that will be evaluated before considering scale up by states, include the SMS student attendance monitoring system, the LGEA integrated database, trialling of the SIP approach at JSS level, and a children's learning materials challenge fund.

19. The evaluation of DFID' support to education in Nigeria is being supported by the DFID-funded EDOREN programme. Three external evaluations have so far been commissioned and support to the final review and evaluation of ESSPIN could also be commissioned through EDOREN . Qualitative research examining ESSPIN's role in building the capacity of the State is being discussed with EDOREN.

20. DFID's Independent M&E Programme (IMEP), in addition to being responsible for ESSPIN's Annual Reviews, will conduct the evaluation of DFID's suite of State Level Programmes (SLPs), which includes ESSPIN, in 2016. ESSPIN will be required to feed impact information into the suite evaluation through a Self-Assessment in September 2015.

21. ESSPIN's Communication and Knowledge Management (CKM) strategy ensures that evidence about ESSPIN's effectiveness is communicated effectively to all relevant stakeholders.

22. Communicating new evidence about how to improve the quality of primary education in Nigeria is central to ESSPIN's Theory of Change. The TDNA carried out in 2010 found that on average, teachers had low levels of literacy and numeracy skill and content knowledge. These findings were discussed with states, and convinced states of the need for change. The programme began with a pilot phase, and robust evidence about the effectiveness of the SIP was gathered through the MLA in 2010, and then again through Composite Survey 1 (CS1) in 2012. The programme Theory of Change assumed that once this evidence was shared with states, and once convinced of the effectiveness of the model, states would choose to roll it out to scale across the state. By the start of the ESSPIN extension phase in 2014, state government funding had driven scale up from 2,300 pilot schools (DFID funded) to over 10,500 schools, with CS1 evidence of improvement in pilot schools providing the critical motivation[1]. The CKM strategy ensures that capacity to communicate evidence is built within ESSPIN, and within the focal states.

23. The L&E Strategy is comprised of the following sections

[1] Six out of eight ESSPIN logframe Output indicators, the pivotal Outcome indicator of school quality, and two out of four Impact indicators were found to be significantly better in ESSPIN phase 1 schools than in control schools.

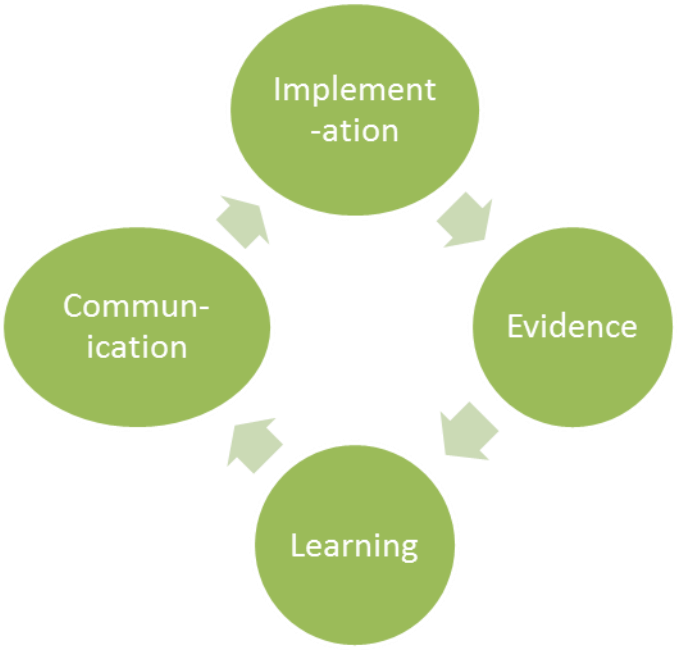
- Section 1, Introduction presents the purposes of the strategy, and the approach to learning from evidence that underpins it
- Section 2 presents ESSPIN's Theory of Change in narrative and picture form. It also identifies the key assumptions underpinning the theory of change and starts to map the evidence available for each assumption.
- Section 3 describes how ESSPIN is monitored using the programme's logframe.
- Section 4 describes how risk is monitored in ESSPIN.
- Section 5 describes the approach taken to monitoring ESSPIN's value for money. The value for money strategy is provided in Annex 4.
- Section 6 presents ESSPIN's approach to evaluation, and the Evaluation Strategy is provided in Annex 5.
- Section 7 summarises how the approach to M&E helps strengthen capacity in Nigeria.
- Section 8 presents the mechanisms for reporting progress.
- Section 9 presents ESSPIN's approach to Knowledge Management. The Knowledge Management strategy is provided in Annex 6 .

Introduction

24. The ESSPIN Learning and Evidence Strategy describes how evidence will be built, disseminated and used to monitor progress, manage the programme, and improve its activities.

25. ESSPIN's Theory of Change assumes that both educational reform and development programme management are most effective when evidence-based. Programme management includes: cycles of collecting data to build evidence; learning from evidence; communicating evidence and lessons learned to stakeholders; and modifying interventions based on evidence.

Figure 1: ESSPIN's cycle of learning from evidence



26. The role of evidence in change is a central assumption of ESSPIN's Theory of Change. Throughout the programme, evidence is shared with stakeholders in order to change systems, processes, attitudes and behaviours. For example, the programme has demonstrated that the provision of robust evidence about how schools in Nigeria are improving leads to states scaling up the ESSPIN School Improvement Model, reaching more schools and benefiting more children. Sharing and disseminating experiences of community engagement in school governance has encouraged more communities to establish and participate in School Based Management Committees – and to do so in ways that ensure the full participation of girls and women.

27. Evidence of ESSPIN's performance is collected through four frameworks. Together, these four frameworks make up the ESSPIN Learning and Evidence Strategy:

- Monitoring Framework;
- Evaluation Strategy;
- Value for Money Framework;
- Communication and Knowledge Management Strategy.

28. The frameworks are based on ESSPIN's Theory of Change, based on the Results Chain through which capacity development activities carried out by ESSPIN lead to changes in schools, LGEAs, States and the federal MDAs, and are translated into learning outcomes for children.

Theory of Change

This section describes ESSPIN's Theory of Change, which is also presented in Figure 4.

The Problem

29. The problem that ESSPIN is helping to address is the very low level of learning outcomes in Nigeria's basic education system. 23.1 million Nigerian children are in school but learning little (UNESCO GMR 2012). Pupils lack the foundational skills they require by the end of Grade 2 and so cannot cope with Years 3-4 curricula. Pupils reaching the required standard in Grade 2 English range from 38% in Lagos to 8% in Kano.

30. Linked to the low achievement of learning outcomes is the very low level of access to basic education in Nigeria. 10.5 million children are estimated to be out of school. Most 'out of school' children are in Northern Nigeria and the majority are girls[2]. Poor children, children with disabilities and other hard-to-reach group face particular barriers in accessing basic education. Children from the poorest households and those with mothers having less than primary education are largely excluded from school. The high cost of schooling is a major factor in limiting attendance. Girls' attendance is further compromised as schools are not seen by parents as a safe and secure environment for their female children. Parents' decisions about sending their daughters to school are influenced by teachers' attitudes towards female pupils[3]. Increasing numbers of children are displaced and vulnerable in the face of escalating violence related to insurgency in some northern States.

31. Multiple factors contribute to children's low level of achievement in primary schools. These include: high levels of household poverty, particularly in the North; socio-cultural biases, particularly for girls; poor school infrastructure and instructional materials; a lack of effective teaching; a lack of competent head teachers; and weak governance and low levels of accountability. Teaching is generally of poor quality, and teachers often do not have either the teaching skills or knowledge of the curriculum to be able to improve practice. Teaching standards are low. ESSPIN's baseline survey (2010) found that, out of 20,000 teachers in Kwara State, only 75 had sufficient working knowledge to enable them to teach the Grade 4 to 6 curriculum. In Lagos, only 98 teachers were capable of doing so, and no teachers at all were in Jigawa and Kano. Governance of schools has been undermined by weak community participation in school management, by political interference from States, and by inadequate support from local government.

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[2] UNESCO (2012) *Global Monitoring Report,* Factsheet Education in Nigeria.
[3] USAID COMPASS (2004-2008)

32. Complex institutional arrangements in the education sector are major challenges for the achievement of universal basic education[4]. Roles and responsibilities between the three tiers of Government, and between Government and parastatals are poorly defined, resulting in limited accountability for education outcomes[5]. The Universal Basic Education Commission (UBEC) was set up in 2004 to coordinate the implementation of the Universal Basic Education programme by states and local governments. Whilst states and LGEAs are responsible for financing basic education, UBEC supports this through its annual allocation of 2% of the national Consolidated Revenue Fund. However, funding flows to States are unpredictable and there is a lack of Federal engagement with implementation at State and local levels. The post 2015 elections outlook is gloomy. Declining oil prices[6] in 2015 and 2016 mean there will be less basic education funds available to states through the UBEC Intervention Funds and capital investments will suffer as a result. The elections themselves are unlikely to affect the leadership of UBEC; however, new state administrations would present the risk of shifting priorities away from the provision of quality and equitable basic education.

Role and Interests of Stakeholders

33. Every state is a political patchwork of interests, contests and payoffs. ESSPIN carries out regular political analyses in each state to understand, and update, the role and interests of stakeholders. These have informed the programme's political engagement strategy, and reveal specific risks to be managed in each context. Elected and appointed leaders are under pressure to pay off their 'political investors'. They do so by means of two legitimisation strategies:

- The maintenance of power and access to resources through ongoing political payoff. Over time, the payoff mechanisms grow into major political barriers e.g. inflated budgets, abuse of procurement rules, patronage through post allocations, and diversion of local government funds, amongst others.

- The beginnings of a social contract secured through service delivery. Over time, there may be marked improvements in the workings of government, even within the context of payoffs, e.g. more realistic budgets, increased proportions of awarded contracts actually executed to completion, some post allocations based on merit.

34. Configurations of power vary from state to state. These will change again, given the results of the 2015 General Election, and change in power at the Federal level and in many states. Analysis carried out after the 2011 election described the main axes of

[4] World Bank (2008) Nigeria: A review of costs and financing of public education. Volume II. Main Report. Report 43418-NG.AFH3. Human Development Unit, Africa Region, World Bank.
[5] Centre for Universal Education, Brookings Institute (2013) *Accelerating Progress to 2015: Nigeria*. Published by UN Global Education First Initiative.
[6] The forecasts for 2015 and 2016 are $53 and $57 respectively, compared with $94 in 2014 (World Bank, Commodity Markets Outlook, January 2015)

power and influence in the states at that time. The political engagement strategy responded to this analysis. In Lagos, the State Government has been sorting out its local revenue collection for several years, an opportunity peculiar to this state with its urbanised, substantial business and middle class base. The relatively well education business and middle class and concentration of local and INGOs means that there is a growing political lobby and organised movement pushing for transparency over the use of resources. Whilst support to previous patronage networks in some form remains a critical element in sustaining political control, a strategy that legitimises the governor through delivery of public goods is now also critical.

35. In Kaduna, electoral success depends heavily on patronage delivered through networks of traditional interest. Realigning control over the networks is resource expensive, and there is no particular opposition constituency calling for governance based on public goods delivery. In Enugu, the legacy of civil war allowed selected families to gain access and control over government resources. Mining and industrial bases were undermined and power concentrated further in the state. ''Political investments'' are used to monopolise state resources within elite, competing families. In Kano, religious power is considerable, although the religious constituency is complex. Large proportions of the budget and patronage are channelled to sects and leaders mobilised to support the governors election appeal. Jigawa has little social or economic base of its own. Its five Emirs are traditional but discordant. There exists little in the way of political constituency and resulting form of public accountability. The character of the governor is therefore able to influence the nature of policy, but this also makes apparent reform fragile. ESSPIN will review its political analysis of the states once the transfer of power has taken place on 29th May 2015 and it will update its political engagement strategy to respond to the new context.

36. Within Nigeria's basic education system, many actors are able to influence change. Powerful agents for change are found at the State level, most notably the **Education Commissioners** and the **SUBEB Chairs** who are political appointments with authority and influence, and are able to bring this to bear within education Ministries and the State Universal Basic Education Board (SUBEB), at LGEA level and at school level. ESSPIN has supported SUBEBs to establish **State School Improvement Teams (SSIT)** to drive educational reform in the state.

37. At the local level, individual officers are able to influence change. **School Support Officers**, **Social Mobilisation Officers** and, to a degree, **Quality Assurance** officers

within LGEA structures have a mandate to work with schools and therefore hold potential for bringing about change.

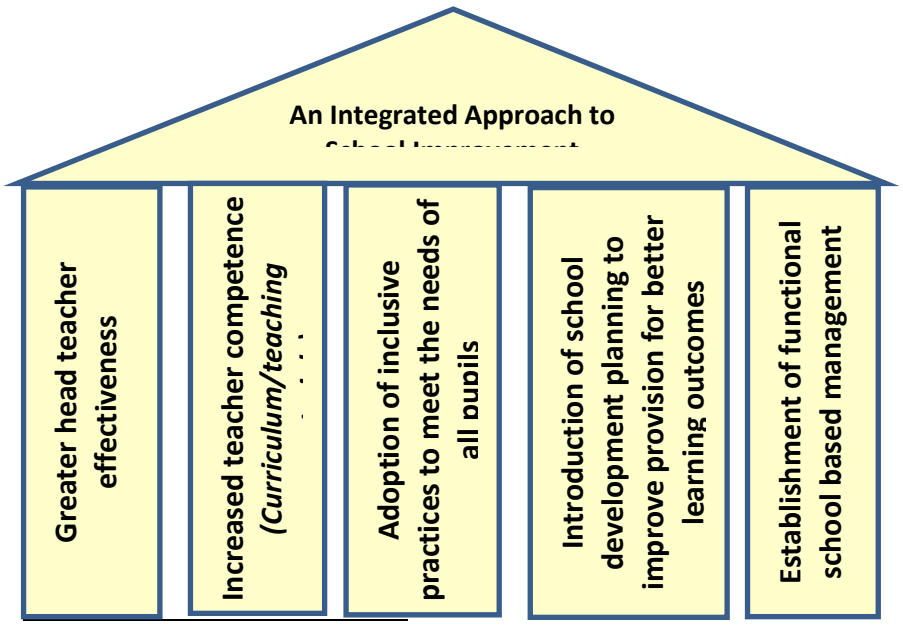
38. Within schools, head teachers play a critical role in bringing about change in their school. Teachers can also make real differences to the quality of education children receive . Parents and local community members are often unaware of the potential role they could play in school governance. Civil Society Organisations (CSOs) and Non-Governmental Organisations (NGOs) can play an important role in changing communities' understanding of the critical role they can play in governing, improving their local school and taking action on behalf of excluded children. At a Federal and State level, CSOs can also help bring about change by conducting evidence based advocacy based on their work with schools and communities, and scrutinising State education budgets and undertaking issue-based advocacy on behalf of the public. CSOs supporting SBMC development can conduct advocacy based on issues of community demand raised through SBMCs7.

39. At the Federal level, agencies such as UBEC are being engaged to bring pressure to bear on States to improve governance.

Theory

40. ESSPIN is based on the premise that schools are most effective and children's learning is greatest when school development and management are holistic. Several domains contribute to high quality teaching and learning, and ESSPIN is working to strengthen several of these areas.

Figure 2: ESSPIN's School Improvement Programme

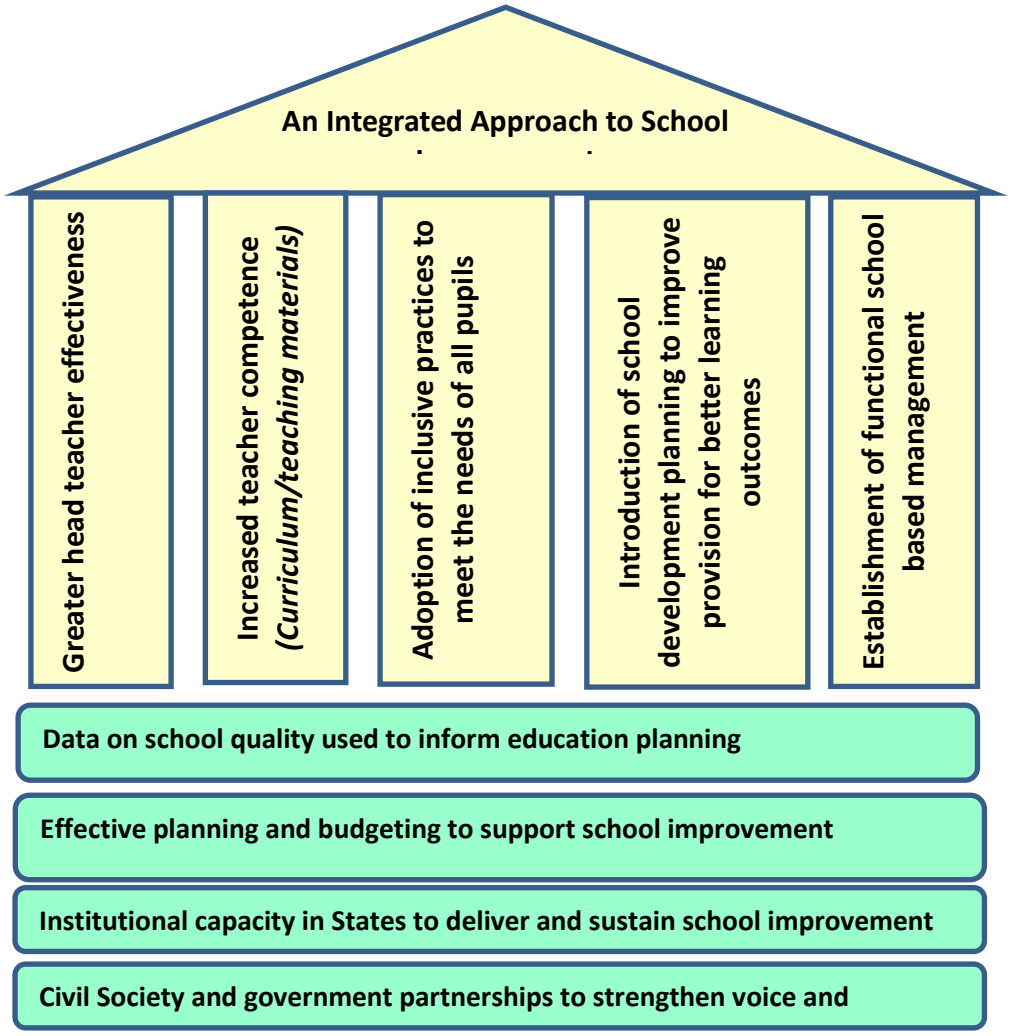


[7] Issues brought to State Houses of Assembly and SUBEBs may include teacher deployment particularly to rural areas, infrastructure needs particularly in Lagos, inclusive education and child protection in schools and sustainable funding for SBMC development in Nigeria

41. This model of school-based interventions within the School Improvement Programme has evolved in response to lessons learned during the programme. A range of activities take place within each domain, contributing to the achievement of outputs. The development of teaching materials, and training teachers in their use, have been core activities directed towards improving teacher competence. Teacher training has also included working with teachers to produce low cost learning materials for use in their own practice. The lesson plans developed do not assume the presence of text books within the classroom. However, the extension period will extend the programme's advocacy for student learning materials in schools and a challenge fund is planned to develop low cost options for schools .

42. The second theory informing the programme is that to be effective, school improvement in Nigeria must be accompanied by parallel strengthening of the governance system at Local Government, State, and Federal levels. Improving schools must be supported by an enabling governance environment. This has led to the model for the School Improvement Programme as presented in Figure 3.

Figure 3: ESSPIN's model of State Capacity Development for School Improvement



43. The programme subscribes to the theory that, for governance reform to be sustainable, programmes must be state-led, with implementation decisions made by states. A key assumption of the programme is that ESSPIN is owned and led by the State, with key influencers including the Commissioners for Education and SUBEB Chairs in each of the six states. The principal implementing agencies are the SUBEBs. Political engagement with these powerful figures and encouraging their leadership in the governance of education is a core strategy of the programme.

44. Finally, the management of the programme is based on the theory that in order to be relevant and effective within Nigeria, and to build sustainable outcomes, programme monitoring must be based on data generated within state systems, through self-assessment and formative evaluation and through regular monitoring of teachers' delivery by head teachers, and formalised summative assessments of schools' achievements in key areas by SSOs. Processes of gathering data, building evidence, reviewing and communicating evidence and making decisions based on evidence are core programme management activities.

Long Term Change

45. The expected impact is that ESSPIN will contribute to **better learning outcomes for children of basic education school age, in six states:** Enugu, Jigawa, Kaduna, Kano, Kwara, and Lagos.

46. The programme expects to contribute to this by: strengthening the quality and sustainability of basic education delivered in schools; supporting more children to enrol in and attend basic education. This includes children that are marginalised, including girls, children with disabilities, poor children, and those in 'hard-to-reach' groups. The key outcome of the programme is that the **quality of and access to basic education is improved equitably and sustainably**.

Process / Sequence of Change

47. ESSPIN's approach to change is founded on an understanding that capacity development takes place at three levels: Institutional, organisational and individual[8]. The institutional level comprises the framework of laws, regulations and arrangement of formal and informal institutions that govern how education services are delivered. Formal institutions include UBE Law, the MTSS and budgets for example. The informal institutions include customs and traditions such as early marriage, corruption, and political patronage. At the organisational level, the education system is comprised of organisations such as State and Federal Ministries, CSOs, media agencies, teaching unions and schools. At the individual level are the

[8] ESSPIN (2009) Institutional Development – Position Paper. Doc No ESSPIN 021

people who work within these organisations, requiring skills, knowledge and incentives to deliver this change in their workplace and communities.

48. ESSPIN will bring about this change through a wide range of integrated activities at each level of the education system: Federal, State, Local Authority, School and Community. These activities are directed towards four outputs, all of which are focused on improving primary schools in the six focal states in Nigeria. The four outputs are:

- strengthened Federal Government Systems supporting states' implementation of school improvement;
- increased capability of State and Local Governments for governance and management of basic education at State and LGEA levels;
- strengthened capability of primary schools to provide improved learning outcomes;
- improved community participation in school improvement.

49. The sequence of change is presented in Figure 4 and described below.

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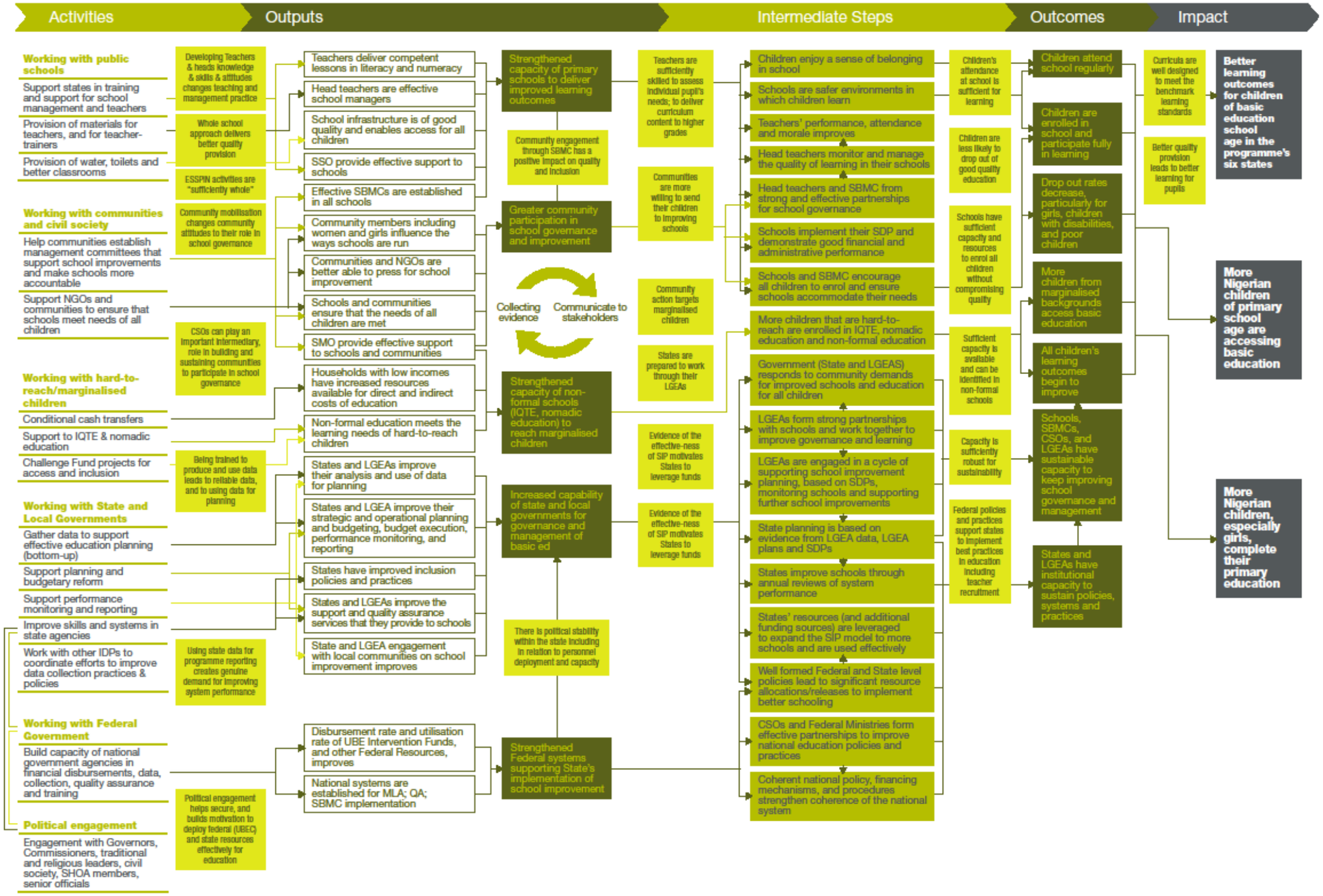
Figure 4: ESSPIN Theory of Change



Output 1: Support to Federal level

51. ESSPIN provides support to the FME and key MDAs, notably UBEC, to strengthen national systems for monitoring learning achievement, quality assurance and the implementation of SBMCs. The programme also works with UBEC to help facilitate the timely release and effective utilisation of UBE-Intervention Funds (IF), which supports change at school level.

52. ESSPIN works with the Federal Ministry UBEC, CSOs and other DFID programmes to improve stakeholder engagement at federal level.

Output 2: Support to States

53. ESSPIN takes a flexible, responsive approach that allows emerging priorities to be addressed, and differentiated technical support provided to education leaders and decision-makers in each state. Capacity development activities with state institutions include strengthening state systems for monitoring and tracking public expenditure, and strengthening links between education plans, budgets and allocations, and strengthening institutional capacity to support schools through systematic organisational development. They also include strengthening the States' Quality Assurance systems, and the embedding of the 'Education Management Information Systems'(EMIS) at State level to strengthen the evidence base for monitoring improvements in schools.

54. Since 2012, states have been encouraged and supported to use their own resources to roll out some or all elements of the School Improvement Programme (SIP) to all of their schools.

55. The programme also works with State Accountability and Voice Initiative (SAVI) to build the capacity of CSOs to scrutinise budgets and advocate on education and relevant issues.

56. ESSPIN supports states move towards ensuring that all schools deliver 'inclusive education for all children'. This includes: building institutional understanding of effective teaching which focuses on each child's needs; widening understanding of different forms of assessment and their value in identifying children's skills and challenges; developing and strengthening state level policies and practices on inclusion; increasing the implementation of existing policies; and supporting States in strengthening strategies for providing basic education to hard-to-reach groups through diverse forms of non-formal education. Gender is addressed within the MTSS and associated annual budgets. An Annual School Census (ASC) and annual education performance reports incorporate data disaggregated by sex, so that progress in making schools more inclusive in terms of gender is tracked.

57. At LGEA level, ESSPIN provides support to build LGEA management systems, an LGEA database and staff capabilities, including the development of role descriptions and building staff understanding of their own work. An LGEA database has been developed and piloted in all states, with the intention of enabling local government to understand their schools' needs and take action on them to deliver key educational services.

58. School Support Officers (SSO) and School Mobilisation Officers (SMOs) in focus LGEAs receive training targeted at building their technical skills, as well as their understanding of the needs of schools in their respective areas of expertise. The sharing of information between different departments and levels at LGEA level, and the development of stronger relationships, is intended to widen understanding of how LGEA roles impact on school improvement, and how LGEAs can communicate the needs of their schools with the state.

Output 3: Supporting Schools

59. The major focus for ESSPIN is creating better learning opportunities for children through improving the quality of schools. The quality of schools is being developed through an integrated approach that supports head teachers to be more effective, teachers to be more competent, and SBMCs to become more functional. ESSPIN supports State School Improvement Teams (SSIT) at State level, and SSOs and SMOs at LGEA level, so that these officers can deliver capacity development support directly to schools and their communities.

60. SSOs deliver training and support to head teachers to develop their understanding of their professional role and the impact it can make on pupil learning. They are expected to identify some of their teachers' strengths and weaknesses through structured lesson observation, and to address these through professional development meetings. They are also expected to take stronger control of teachers' and pupils' attendance, and the hours of effective teaching pupils receive, through identifying approaches that work in their particular context.

61. Schools are encouraged to plan for their own improvement: identifying their needs; addressing areas they can respond to; and sharing those issues they cannot solve themselves. Through their self-evaluation and planning, in combination with their improved professional skills, schools move towards practices that enable all children to access school and learning (i.e. the school becomes an inclusive school).

62. Teachers receive increased and targeted support from their head teacher and from an SSO. This is primarily targeted at building their capacity to support all children in their learning. As a result, they should be more able to have positive interactions with children, respond to their needs, and be able to apply a range of teaching

methods. These include the use of materials, different teaching styles, and different classroom organisations.

63. Training that is based in local contexts, and which engages with the realities of teachers' professional contexts, skills, and experiences, will improve teachers' understanding of how to perform more effectively in the classroom.

64. The SIP moves teachers towards understanding how to use formative assessment in evaluating pupils' learning and their own teaching, and in planning for the future. This in turn should enable teachers to be better able to respond to the needs of children of different abilities, vulnerable children, and those that are being left behind. Emphasis is placed on making teaching and learning meaningful and building more positive relationships between teachers and children.

65. A major tool for achieving the changes in teaching and learning is printed lesson plans for Literacy and Numeracy. These give teachers guidance on effectively structured lessons, different and interactive activities for delivering curriculum content, and prompts for creating their own learning aids. English is a major area of challenge in Nigerian schools and emphasis is placed on the effective teaching and learning of literacy as a key skill underpinning access to the rest of the curriculum. These tools also support development of the teachers' own literacy skills, without which they cannot teach the rest of the curriculum.

66. As a result of the capacity development support to schools, teachers will begin to build the skills, knowledge and strategies to deliver effective lessons, in which they create opportunities for all children to learn. Teachers will be guided, mentored, and monitored by effective head teachers and SSOs, whose lesson observations will form the basis of information shared with LGEAs and SUBEBs. All staff will become more proficient at identifying the needs of every child in their school.

67. For both head teachers and teachers, states have been encouraged to start to develop their own targets for performance, which are then incorporated into the training and support that SSOs deliver to schools with the support of SSITs. This is a first step towards formalising a process, already effectively begun by the institutionalisation of activity outlined above, of states developing their own logframes and targets which are based on their specific needs and ambitions.

68. ESSPIN has supported states to address different school infrastructure needs, largely in terms of water and sanitation, targeting all children but with particular reference to the needs of girls and children with disabilities. A new challenge fund intends to support low cost, locally developed, innovative ways of putting reading or story materials into classrooms; and to support community and school managed

initiatives to ensure pupils in primary grades 1 to 3 have something to write on and with.

Output 4: Supporting Communities

69. Capacity development for SBMCs on inclusive education focuses on their capacity to identify children in the community who are not in school, understand the reasons why, and work with communities and schools to support children to enrol and remain in school. It concentrates on the role that SBMCs can play in mobilising parents to follow and support the progress and welfare of children in school; and how SBMCs and schools can ensure that schools are safe places for children to learn. SBMC research in 2009 highlighted that women's and children's participation in existing SBMCs was 'highly constrained', so support to develop state policy guidelines and their implementation has strongly focused on women's and children's participation in decision-making and action for school improvement as part of overall SBMC functionality. SBMC are encouraged to sensitise communities to basic education, including girls' education. They are also mobilised to see schools as belonging to communities and to take up their responsibilities as SBMC members. Support has been provided to a Community EMIS to help communities understand which children are out of school and why, do what they can to support, and then monitor their school attendance. Women's and Children's SBMC Committees receive capacity development on school improvement and help to create space in which women and children, particularly girls feel comfortable to participate. Supported by SBMCs and with strong links to their communities, schools will encourage parents to enrol their children in school and support them to attend regularly.

70. Civil society organisations work in partnership with the SUBEB Social Mobilisation Department to activate, train and mentor SBMCs. They also receive capacity development on advocacy to help them to amplify community voice in school improvement based on their work with schools and communities. Of the 3 self-assessments that ESSPIN conducts on an annual basis, one focuses on civil society. The CSOs are facilitated to assess their own capacity to partner with government, mobilise communities for school improvement and conduct evidence based advocacy. CSOs are also involved in support to women leaders and gender champions to motivate for girls' education, as well as engagement and influencing work with community gatekeepers. CSOs work in productive partnership with SUBEBs to provide training and mentoring support to SBMCs.

Supporting hard-to-reach groups

71. ESSPIN provides support to interventions which target girls' education in northern states, community-led schooling in nomadic communities, and integrated Islamic Qur'anic and Tsangaya Education (IQTE) schools which provide non-formal

education to Almajirai children introducing secular subjects into Islamic schools. ESSPIN trains volunteer community-based teachers, provides learning and teaching materials, supports practical and vocational skills training, and the expansion of IQTE schools to enable additional cohorts of Almajirai school children to attend.

72. In Kwara the Challenge Fund supported a rural housing scheme for teachers as a strategy for improving the retention of rural children by keeping teachers in rural communities and improving teacher attendance in remote schools. In Enugu Challenge Fund is used in partnership with Christian Missions and CSOs to support children from poor homes to enrol and complete primary education in mission schools. It was also used to support Community EMIS in one of the remoter LGEAs of the state, Kaiama LGEA. The findings of C-EMIS in Kwara state highlighted the continued charging of PTA levies for children to attend school as the most major barrier for children, alongside children's involvement in seasonal farming activities and language of instruction in schools for some children.

Intermediate steps

73. The transition from the programmes outputs to outcomes in the ESSPIN Programme Results Chain involves many mechanisms (steps) that are not described in the chain, nor measured by logframe indicators. This complex transition to outcomes involves steps that integrate and articulate different forms of capacity being strengthened through the programme's activities at output level. During the extension phase, greater attention will be paid to supporting states and schools to engage these mechanisms.

74. The outputs achieved by ESSPIN will contribute to improved quality and access to equitable and sustainable basic education through a series of intermediate outcomes. These reflect the improved **planning and financing mechanisms** for basic education; **new partnerships**; and **virtuous cycles of quality improvement.**

75. By building capacity at each institutional level (schools, communities, State and LGEA and federal level), capacity, systems and confidence is built in all parts of the system. This will enable each institution to play their role in relation to, and in partnership with each other. Institutions will share a common understanding of the direction of travel for system reform, and a commitment to improving children's learning.

76. Improved teaching and management practices, and more inclusive schools, will result in schools where children are safe and content, enjoy a sense of belonging and are able to learn.

77. Teachers' performance, morale and attendance will improve. As teachers start to understand how they can make a difference to children's learning and feel more professionally skilled, morale will improve. As their head teacher and SSO treat them as professionals, respecting and building their skills, they will invest more in their work and attendance will improve. As they understand that their head teacher and SBMC are working to monitor and increase their attendance and engagement, their overall standard of work and engagement with their professional role will improve.

78. Head teachers will monitor, manage and improve the quality of teaching in their schools. As the teachers who attend training work in partnership with their head teacher, mutually understanding the changes that are needed and their own potential in bringing them about, they will share learning with other teachers. The small cohort of trained teachers in the school, with specific knowledge and skills about literacy and numeracy lessons, will be used by the head teacher and SSO to increase the quality of all teachers in the school. As a result of the workshops they attend, and the additional visits of their SSOs, head teachers will begin to understand what their role can involve and how it can affect the learning pupils achieve. With the ongoing support of their SSO, head teachers will implement some of the key lessons from their training workshops. This will include actively monitoring the quality of learning in their schools, conducting lesson observations that focus on pupils' experiences and learning, and which lead to changes in classroom practice. As a result of teachers' increased skills and head teachers' understanding of how to engage with, critique, and build it, relationships between headteachers and teachers will improve, and head teachers will begin to pro-actively take actions that increase the quality of learning in their schools, by (for instance) developing teachers' professional skills, or planning for peer sharing, or engaging communities with classroom practice.

79. Head teachers and SBMCs will form strong and effective partnerships for school governance. As head teachers increase their expertise, and teachers can be seen to be working more effectively and making an impact on children's experiences and learning, SBMCs will be able to work in partnership with them. As SBMC members develop their understanding of their potential role in increasing pupil learning, they will be able to engage with head teachers and teachers in their professional context and demand an appropriate role in overseeing the governance of the school for the benefit of the local community. As partners in promoting learning, then, head teachers and SBMCs will start to form stronger and more effective partnerships for school governance. As head teachers and SBMCs begin to understand how children learn, they will be able to identify actions they can take which promote that learning. They will be able to evaluate challenges in their schools, focusing not just on big issues but on immediate contextual and behavioural challenges which inhibit

learning; or on local opportunities to increase learning. They will be able to plan to improve pupils' learning and will be able to take their own actions, independent of government and at zero cost, to influence it. Where relevant, they demonstrate good financial and administrative performances.

80. Stronger partnerships between head teachers and SBMCs will lead to schools that are more inclusive. Schools and SBMCs will encourage all children to enrol in school and ensure schools accommodate their needs. Head teachers, teachers and SBMCs will work together to identify and address barriers that prevent children in their community from entering school, from staying in school, and from learning. They will also help schools reach out to communities to address issues that influence access to schooling, and to form effective partnerships with local CSOs that can help lobby for changes in policy or practices that are keeping children out of school. Partnerships between communities, SBMC and LGEAs will ensure that communities have channels through which to address any additional concerns they may have and address school needs which communities alone cannot provide.

81. Strong partnerships with the LGEA, and integrated planning mechanisms will ensure that the needs schools identify are addressed and properly resourced. School management teams will communicate their school's resourcing needs to the LGEA through their school development plan. In turn, the LGEA will develop its annual plans based on school development plans. Partnerships will also underpin the cycles of quality improvement as LGEAs deliver effective services to schools, and regularly monitor their performance.

82. At State level, stronger partnerships between LGEAs and States will support stronger state-level planning, budgeting and financing of education. LGEA plans, informed by school SDPs will feed into State level budgets and plans. Reports based on data collected by SSOs and SMOs on changes in school quality will inform states' understanding of the learning development needs of schools. Monitoring data will inform planning cycles, so that states' governance systems lead to improved quality. Evidence of the impact of the school improvement model on school quality and children's learning will encourage greater investments by states, and reflected in the State funds leveraged for SIP roll out.

83. Partnerships will also work to support improvements in learning in schools. As state and local government actors become clearer in their understanding of quality issues, and become more confident in their ability to influence learning outcomes, they will begin to take and demand action from their own officers, from school staff, and from ESSPIN.

84. Confident in their management systems, and able to respond constructively to issues raised by Civil Society partners, states will begin to form strong and

collaborative partnerships with civil society organisations. CSOs will be valued for the contribution they make to strengthening education, and bringing key issues to the attention of decision-makers.

85. Strong partnerships will also be evident between Federal and State levels. The Federal Ministry will lead reform through coherent national policies and legislation that are implemented by States. It will work collaboratively with UBEC, ensuring that financial resources are available to education and are disbursed and utilised promptly, so that schools have resources they need, when they need them.

86. Strengthened technical capacity at each level of the education system to build evidence, learn, and communicate will ensure that quality improvement cycles that are set up within education management systems, are sustainable in the longer term.

Outcomes

87. Better quality teaching should lead to an increase in learning for children in classrooms. The increased likelihood of learning, and the increased inclusivity of schools should begin to attract more children to school, leading to an increase in enrolment rates. This should result in children who were previously excluded now gaining access, and more children staying in school. If more children attend school, and simultaneously the quality of teaching increases, learning outcomes for children, including those from the most marginalised backgrounds will improve. Children from hard-to-reach communities will also be accessing a broader basic education through strategies that are appropriate to their social and geographic context. Whilst ESSPIN has provided a model for change, school improvements will move towards becoming sustainable as a result of improved government spend on school improvement. This will be supported by increasing level of capacity in schools, LGEAs, States and the Federal agencies. CSOs will have built sufficient expertise to keep growing the capacity of communities to engage in education, beyond the end of ESSPIN. All of this can only happen if funding levels are sustained or increase, and if resources are targeted successfully at key areas of learning need.

Impact

88. The long term goal to which ESSPIN intends to contribute is improved learning outcomes for all children, and more children reaching national standards in literacy and numeracy.

Super Impact

89. Improved learning outcomes for children will lead to broader benefits for the Nigerian economy, society and environment. These benefits may include reduced

fertility rates associated with girls' education, greater democratic participation, and potentially, increased incomes (and therefore poverty mitigating potential).

90. Higher incomes will contribute to reducing household poverty. As local economies grow, employment rates can also be expected to rise, and employment to population ratios will improve.

91. Longer periods of basic education have been shown to be associated with higher age of child marriage, particularly for girls. This has benefits for girls' health and well-being and that of their children.

Examining the evidence for ESSPIN's key assumptions

92. ESSPIN is a complex programme. Each transition in the results chain and each component of the programme depends on several assumptions holding true, as illustrated in Figure 4 . This section briefly reviews the evidence base that ESSPIN has developed to date, concerning each assumption[9].

Table 1: Mapping the evidence base to support core assumptions underpinning ESSPIN's ToC

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
		Activities to Outputs		
1	A whole school approach to improvement is necessary for delivering school effectiveness and learning outcomes	Head teacher effectiveness, teacher effectiveness[10], inclusive school practices, improved school planning, functional SBMC are all necessary for strengthened capacity of schools to deliver improved learning outcomes	Composite Survey 1 and 2 have demonstrated significantly better levels of school quality in ESSPIN schools (where whole school approach is delivered) compared to non-ESSPIN schools. SSO reports have demonstrated significant growth in key areas, which is directly mappable to specific training and support delivered to schools. CS 2 did not find a significant positive change	The relative contribution of each SIP component cannot be tested from CS data. The lack of examples of 'part school' approach in CS means that we cannot test how essential 'whole' school is. Points along the ToC will be explored. Composite Survey results will be analysed to identify the most critical parts of the SIP for driving school effectiveness

[9] Broader research evidence from Nigeria and other contexts are not considered in this table, as the purpose of this strategy is to map out ESSPIN's own evidence-building activities.

[10] ESSPIN's direct (teacher training; teacher materials; encouraging use of low cost materials)

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
			between CS1 and CS2. ESSPIN schools showed positive change or slower decline than non-ESSPIN schools. It also found greater change in schools that had more ESSPIN intervention.	and LO. The optimum time period between training and effectiveness (school/teachers) is not clear from CS1-2 yet. CS2 analysis assumes one academic year between intervention and measurable impact on school quality (p.6_) . Composite Survey 2 did not find differences in how fast teachers improved over time. Intensity of intervention made more significant difference
2	The SIP activities are sufficient for delivering school effectiveness and learning outcomes	School improvements in quality, and learning outcomes can still take place even without other important elements of education reform being addressed directly by ESSPIN (e.g. learning materials; teachers terms and conditions). Indirect support to these areas is sufficient[11].	Composite Survey 1 and 2 have demonstrated significantly better levels of school quality in ESSPIN schools compared to non-ESSPIN schools. This suggests that the model is *sufficient* to drive some improvement. SSO reports have demonstrated significant and mostly consistent growth in quality of	

[11] Indirect activities include enabling access to children's learning materials e.g. through SUBEBs;

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
			teachers and head teachers, which is directly mappable to the training and support delivered to schools. For instance, in Kwara from December 2014 - April 2015 state funded teacher training delivered by SSIT took place at the same time as reports based on lesson observations show an increase from 70% to 83% of teachers across the state able to deliver an effective lesson.	
3	Developing a strong, state-owned team of high quality educational practitioners can lead change in teaching and learning by sharing skills with SSOs and working through LGEAs.	It is worthwhile heavily resourcing key teams of SSIT in each state, because their expertise and example will result in an increase in quality throughout the system, and will act as a resource base for the key agents of change at LGEA and school level.	Capacity development reports?	The State Capacity Research project will consider this question.
4	Developing teachers', and head teachers' knowledge, skills and attitudes changes teaching and management practices.	Teachers' and head teachers' skills and knowledge are a core constraint to school quality. If this is addressed, teaching and learning practices will change. Other barriers to effective practices (e.g. lack of resources; poor pay and conditions) are less significant.	Composite survey 1 and 2 demonstrate that in-service training for teachers and head teachers makes an impact on teacher competence and school quality. SSO reports have demonstrated significant growth in the quality of teachers and head teachers, which is directly mappable to specific training and support delivered to schools. EDOREN research on	Proposal to do more analysis of CS 2 so that relative contribution of SIP components / points on theory of change can be examined in data

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
			teacher supply/demand and teacher management	
5	Support at all four institutional levels (Federal; State; LGEA; School) and to civil society partnerships are required, simultaneously	Support to schools alone is not sufficient to ensure sustainable quality improvements in schools. Improvements in governance and management of education are required at all three institutional levels – Federal, State, and LGEA, as well as school.	Termly State reports measuring school quality (teacher competence, head-teacher leadership, school planning, and inclusion) demonstrate impact of institutional capacity development Annual Self-Assessment of State performance in basic education; using M&E data collected through the States' systems. Demonstrate improved performance of education system. IMEP Citizen Perception Survey measure citizens' perceptions of service delivery in key sectors, including education. For example, Lagos, Jigawa and Enugu were 3 of 4 states with the highest satisfaction ratings on quality of school education.	This assumption is under evaluated. This will be explored by the qualitative research into state capacity
6	CSOs can play an important intermediary role in building and sustaining communities to participate in school governance	Civil society plays a critical advocacy role in education, through challenging political, social and cultural practices that contribute to exclusion and giving voice to citizens with little power.	ESSPIN *Self-Assessment of CS mobilisation, advocacy and partnership with government*; has found improvements in CSO performance Alliances with CSOs have been valuable for political engagement with states, for improved delivery of education	Will be included in the state capacity study
7	Community mobilisation changes	Communities tend to see school as belonging to	*SBMC Impact study* provided evidence of	

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
	community attitudes to their role in school governance	government. Community attitudes to schools, and sense of ownership can be built through community mobilisation, with the support of CSOs.	changed community attitudes to school governance. *Communication Impact Survey* (2011, Report ESSPIN 531 demonstrates that ESSPIN communication activities have changed community perceptions of their roles in school governance. A further communication impact study is planned during the extension phase.	
8	Community engagement through SBMC has a positive impact on quality and inclusion	Effective SBMC provide an effective mechanism for communities to become involved in managing their schools. SBMC members can address quality issues in the school, and raise their concerns with LGEAs and local CSOs. Communities also know which children are out of school and why. SBMCs can work with communities to bring children into school and deal with the barriers	SBMC impact study Composite Survey 2 demonstrates effectiveness of SBMC on school quality and inclusion.	
9	Being trained to produce and use data leads to reliable data and to using data for planning	The core barrier to improved data quality, management and use is skills – which can be developed through training	Self-assessment reports by states (improvement in data quality and reliability; Improved use of data for planning etc). EMIS Validation Survey 2011 and 2013 indicate good quality ASC being	State qualitative study Which training interventions have been most effective, and why? Evidence that school and education sector performance data is

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
			delivered by State personnel.	being used for policy formulation.
10	Using state data for programme reporting creates a genuine demand for improving system performance.	Instead of setting up parallel data systems for programme monitoring, using national systems for data will create political will to strengthen systems	Quarterly Monitoring Reports (QMRs) presented by State Commissioners quarterly provide snapshots of public expenditure on school improvement activities.	This may be under-evaluated and could be considered in the state qualitative study. It may be considered in the qualitative research project
11	Political engagement is essential for catalysing reform within the state	ESSPIN invests significant time in political engagement activities. This includes bringing evidence of the SIP to the attention of political leaders at Federal and State levels.	Accounts provided within the Business Case document indicate that political engagement by ESSPIN, working with DFID State Representatives, and by DFID Nigeria management team with State Governors and Commissioners has helped ensure financial commitments from States are realised. Alliances with key civil society have also aided this engagement. ESSPIN Annual Review Reports ESSPIN Quarterly Progress Reports Political engagement reports	This assumption is under evaluated. It needs to be a key research question in the qualitative research project
12	Working with States to develop their own State-led SIP will build sustainable capacity for implementation	State system capacity will only be institutionalised if capacity development processes are state-led.		This assumption is under evaluated. To be considered in the qualitative research project.
13	Political stability within the state including in relation	Increased capacity of the state for governance and		To be considered in the qualitative

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
	to personnel deployment and capacity	management of basic education depends on stability of personnel trained through ESSPIN		research project.
		Outputs to Intermediate Steps		
14	Teachers are sufficiently skilled to assess individual pupil's needs and to deliver the curriculum content to higher grades		SSO reports have demonstrated significant growth in assessment and understanding of children's expected levels. When given the opportunity to set their own criteria for advanced teacher status, for use in SSO monitoring of teachers, all states chose to focus some attention on assessment, tracking, and increasing understanding of individual pupils' levels and needs.(See Logframe Handbook, 2015 – advanced criteria)	This may be under evaluated and could be considered for further study.
15	Communities are more willing to send their children to improving schools		CS 2 SBMC Impact study	
16	Community action targets marginalised children		CS 2 SBMC Impact study	
17	States are prepared to work through their LGEAs		SSO and SMO reporting systems are supported and listened to as sources of useful data on school quality.	Currently under evaluated Qualitative research will explore how States begin to work through LGEAs and processes that support this and build capacity for partnerships
18	Demonstrating the effectiveness of the SIP model will	Piloting an effective school improvement	ESSPIN Quarterly reports of funds leveraged.	Qualitative research will explore how and

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
	encourage States to invest their own resources in SIP.	model with demonstrable results will secure state government buy-in and convince States to utilise their own considerable resources to expand the positive impact of the model to all children. To ensure that Scale Up is realistic, targets for State roll out are based on an analysis of existing commitments and predicted trends.	ESSPIN support to Federal level has led to improved uptake of the SIP model (e.g. SBMC) SUBEB utilisation of annual Teacher Professional Development funds from UBEC on SIP rollout	why this leverage happens.
Intermediate steps to Outcomes				
19	Children attend frequently and regularly enough for learning to happen		NEDS Composite survey SMS Student Attendance Monitoring Pilot study	The link to learning under evaluated at present;
20	Children are less likely to drop out of good quality education		NEDS Composite survey	
21	Schools have sufficient capacity and resources to enrol all children without compromising quality		CS 2 found that children's learning outcomes have worsened over time, although are changing more positively in ESSPIN schools. Their analysis found no evidence to support the hypothesis that decreasing quality is associated with rapid increases in enrolment. however their analysed	
22	Evidence of the effectiveness of the SIP will change attitudes and behaviours of stakeholders		*Communication Impact Survey* demonstrates that ESSPIN communication activities have changed attitudes to education at	

	Core Assumption	Description of the assumption	ESSPIN Evidence	Evidence Gaps
	throughout the system		local levels. SBMC Impact evaluation demonstrates that ESSPIN activities have changed community attitudes to education governance.	
23	Capacity built at state and LGEA level is sufficiently robust to be sustainable			This is under-evaluated. To be considered in qualitative research on states.
Outcomes to impact				
24	Better quality provision leads to better learning for pupils		Composite Survey 1 and 2	
25	Curricula are well-designed to meet benchmark learning standards			This is under evaluated in terms of learning outcomes

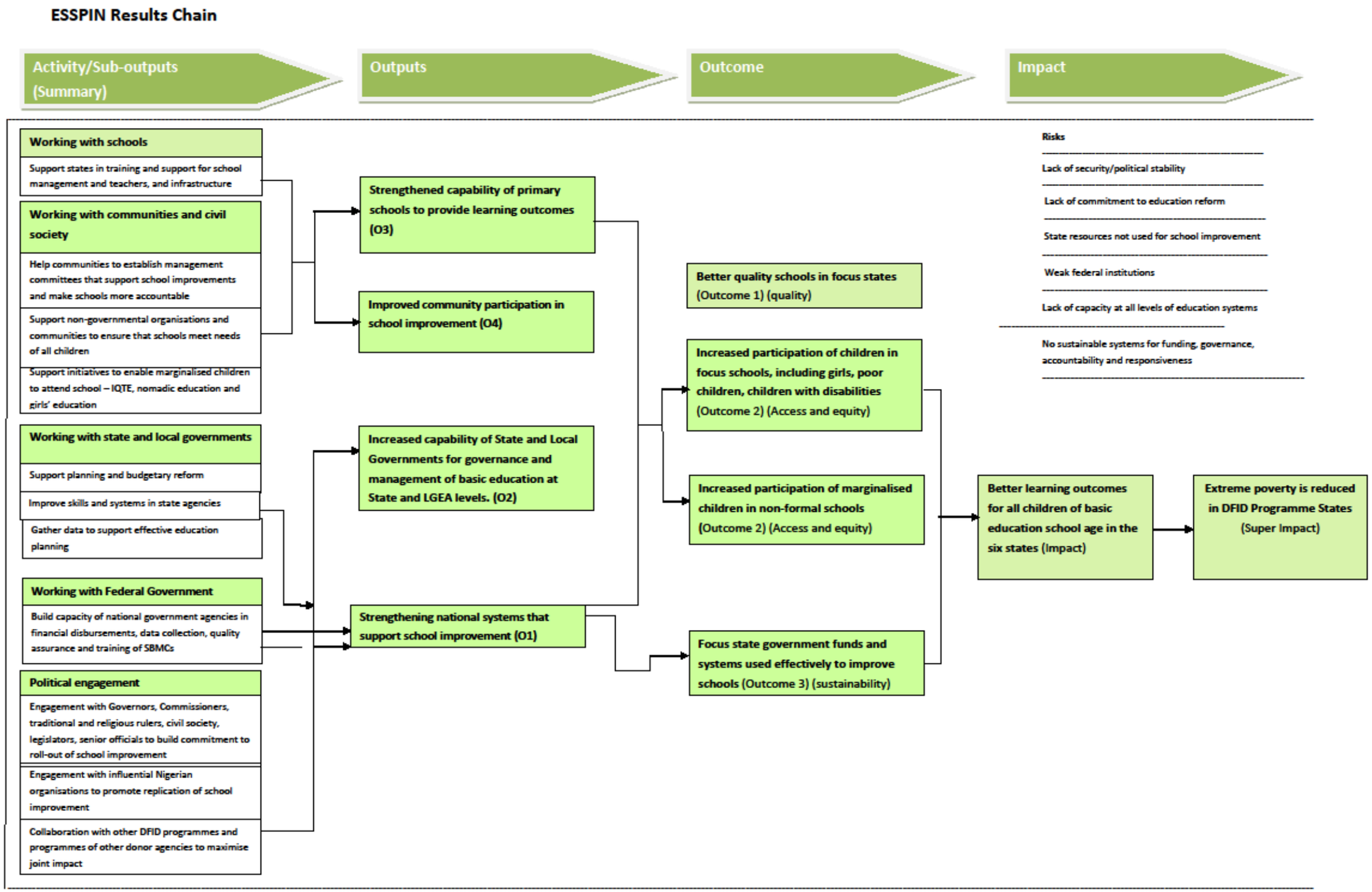
The assumptions underpinning the programme's Theory of Change were identified by programme staff during a review of the ToC for the ESSPIN extension. Conditions under which these are likely to break down can be clustered into five main risks to be monitored particularly closely.

Table 2: Conditions under which key assumptions in the theory of change may not hold

Conditions	Assumptions that could break down	
There are key drivers of educational quality that have not been identified as critical and are missing from the SIP (e.g. teachers pay; performance management; text books; curriculum review)	1	A whole school approach to improvement is necessary for delivering school effectiveness and learning outcomes
	2	The SIP activities are sufficient for delivering school effectiveness and learning outcomes
	4	Developing teachers', and head teachers' knowledge, skills and attitudes changes teaching and management practices.
Political will is not conducive to reform; incentives within institutions are insufficient to support change, or act against it	3	Developing a strong, state-owned team of high quality educational practitioners can lead change in teaching and learning by sharing skills with SSOs and working through LGEAs.
	4	Developing teachers', and head teachers' knowledge, skills and attitudes changes teaching and management practices.

Conditions	Assumptions that could break down	
	5	Support at all four institutional levels (Federal; State; LGEA; School) and to civil society partnerships are required, simultaneously
	10	Using state data for programme reporting creates a genuine demand for improving system performance.
	11	Political engagement is essential for catalysing reform within the state
	18	Demonstrating the effectiveness of the SIP model will encourage States to invest their own resources in SIP.
	13	Political stability within the state including in relation to personnel deployment and capacity
	17	States are prepared to work through their LGEAs
Lack of credible leadership in the state	12	Working with States to develop their own State-led SIP will build sustainable capacity for implementation
	13	Political stability within the state including in relation to personnel deployment and capacity
	17	States are prepared to work through their LGEAs
CSOs are not sufficiently independent of state interests	6	CSOs can play an important intermediary role in building and sustaining communities to participate in school governance
Socio-cultural practices are robust and entrench exclusive practices	7	Community mobilisation changes community attitudes to their role in school governance
	8	Community engagement through SBMC has a positive impact on quality and inclusion
Political instability and civil unrest	5	Support at all four institutional levels (Federal; State; LGEA; School) and to civil society partnerships are required, simultaneously
	6	CSOs can play an important intermediary role in building and sustaining communities to participate in school governance
	7	Community mobilisation changes community attitudes to their role in school governance
	8	Community engagement through SBMC has a positive impact on quality and inclusion
	19	Children attend frequently and regularly enough for learning to happen

Figure 5: Evidence supporting the key transitions in ESSPIN's Results Chain



	Results Chain Transition Point	Evidence	Evidence Gaps
1	*Evidence of Outcome to Impact*	*Composite Surveys 1 and 2* found measurable improvements in quality of schools supported by the SIP, and evidence that children in ESSPIN schools were learning more Differential impact on most marginalised children – least wealthy;	Children are still only achieving at low levels. Do we know why? Current explanations are: a) improvements in learning outcomes will require more time and resources. b) factors beyond SIP continue to have an impact on children's learning achievements. c) critical gaps have not been addressed d) national curriculum standards are too high
2	*Evidence of Outputs to Outcomes:* *Support to Schools is associated with better quality schools, access, inclusion and sustainability*	*Composite Surveys 1 and 2.* Evidence that building the capacity of teachers, head teachers, and communities leads to higher levels of quality in schools has been provided by These found that a higher proportion of ESSPIN schools were found to meet the quality standard, compared to control schools. Annual School Census data provides evidence that ESSPIN focus schools enrolled primary age children at a higher rate than the state average. [Potentially, states could use the SSO / SMO reports to evaluate this through stronger integration of reporting processes at LGEA level, and use of the LGEA reporting database.]	Do we need qualitative research to explore the mechanisms through which SIP leads to improved schools? Developing inclusive schools is under-evaluated. Study on inclusive education, lessons learned etc.
	Evidence of Outputs to	*Composite survey 2* examines	

	Results Chain Transition Point	Evidence	Evidence Gaps
	Outcomes: Communities	impact of SMBC on school quality and inclusion *CSO synthesis report 2011-2014.* The reports provide evidence of change in practice at school and LGEA level as a result of CGPs developing SBMC capacity – providing evidence for the causal chain: CSOs build community capacity and SBMC capacity to govern schools and build their quality and inclusiveness. SMO /SUBEB Summary data analysis report and ESSPIN Research Report ''*Women's participation in SBMC within …Nigeria'' (Oct 2012*) provide evidence of positive impact on community ownership of governance role; of changed attitudes to inclusion of girls and disabled learners	
	Evidence of Outputs to Outcomes: LGEAs	*Annual School Census* shows primary net enrolments in ESSPIN focus LGEAs that are higher than State-wide averages	This transition is under evaluated The qualitative research would explore this
	Evidence of Outputs to Outcomes: States	Girls' enrolment demonstrated clear improvements in northern states supported by ESSPIN. ESSPIN states accessing UBEC-IF funds at higher rates than Non-ESSPIN states	This transition is under evaluated The qualitative research would explore this
	Evidence of Outputs to Outcomes: Federal		This transition is under-evaluated

Monitoring

93. Monitoring activities under ESSPIN are based on the Results Chain at the centre of ESSPIN's Theory of Change. This is presented in figure 5.

94. Monitoring activities under ESSPIN have two objectives:

    - In terms of '**input and output monitoring**', monitoring activities assess whether *work plans* 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 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;
    - enable actors at local and school level, including Education Secretaries, Heads of Section, SSOs, and head teachers, to take actions to address issues identified;
    - provide information that will inform national 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.

95. The ESSPIN Results Chain, described in the Theory of Change, and presented in diagram 5 above below is the foundation of the ESSPIN logframe and Activity Log. The Results Chain presents the planned impact, outcomes and outputs of the Programme and describe how inputs will be translated into results. The logframe defines how each level in the results chain will be monitored.

96. The ESSPIN logframe milestones and targets set out the projected results from state government school improvement programmes, funded mainly from Nigerian government sources. The SFP targets are incorporated into the MTSS. Monitoring of performance against MTSS targets is conducted by State M&E Units, with contributions from State EMIS Units and key spending MDAs, both supported by ESSPIN. Reporting against performance is 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".

Monitoring indicators

97. 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 and Results Monitoring Table.
    - School resource (ISD) indicators, analysing ASC data to identify the physical and human resource levels in individual schools

98. The logframe indicators are set out in Table 3 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 ESSPIN Annual Reports.

99. Definitions of logframe indicators, rationale for calculating values, and comments on data sources are compiled in the *Logframe Handbook*.

100. Some logframe indicators have been revised in the logframe for the ESSPIN extension to reflect modifications of the programme as it enters the extension phase, and lessons learned through implementing the M&E Framework (2011-2014). The revisions to indicators include:

    - greater focus on measuring quality of basic education in the extension phase, reflected for example in the measurement of impact on learning outcomes for children (benchmark and improvements), and in the use of the Net Enrolment Rate indicator;
    - removal of indicators where the quality of underpinning national data is poor, making indicators are unreliable (e.g. Net Attendance Rate has been removed due to problems with population data);
    - indicators to measure improvements in learning outcomes, even when these are not yet achieved to benchmark standards. At the outcome level, the indicator is constructed to measure the difference between schools that historically were 'ESSPIN' and 'non-ESSPIN' schools, and still denote difference in intensity and duration of support;
    - indicators disaggregated by gender and by disability at outcome level to improve monitoring of those aspects of inclusion;
    - indicators no longer disaggregated by school phase (primary and JSS) or by public/private status due to difficulties with these classifications in national data, and the preference of State governments to prioritise public primary schools as the main foci of their SIP investments. ESSPIN will focus on public schools.

- a new indicator to monitor increased number of children accessing basic education through non-formal provision to ensure that improvements outside the formal State sector are tracked;
- increased attention to quantitative measures of impact (for example numbers of children in school benefiting from the SIP) drawn directly from DFID's Country Operational Plan for consistent reporting;
- a greater attention to building LGEA capacity reflected in the expanded scope of indicators for Output 2;
- removal of infrastructure indicator as this part of the programme has been successfully completed (although infrastructure service delivery will remain part of underlying criteria for measuring quality of services and additional results leveraged through ESSPIN's initial investments will continue to be tracked at sub-output level).
- greater focus on inclusive policies and practices, and inclusive schools, and the extent to which this approach to inclusion is built at state, school and community level (indicators now spread across Outputs 2, 3 and 4, based on a 2014 AR recommendation, to capture the crosscutting nature of inclusion work).
- greater emphasis on quantitative indicators of inclusion and equity;
- the addition of a ''super impact'' indicator that reflects broader contribution of ESSPIN to social and economic development, a new approach that DFID is interested in.

Table 3: ESSPIN's logframe indicators (2015-2017)

Super Impact Extreme poverty is reduced in DFID programme states	
1	Proportion of Households living below the national poverty line/ ($1 PPP per day) *Information source: Household survey 2016*
2	Percentage of women aged 20-24 who were married or in a union before age 18 (SDG Indicator 43)
	Information source: Household surveys; UNICEF
Impact Better learning outcomes for all children of basic education school age in the programmes six states.	
1	Number and proportion of Primary 4 and Primary 2 pupils in public primary schools in focus states who: a. demonstrate ability to read with comprehension b. demonstrate ability to do basic arithmetic calculations
	Information source: Composite Survey 2012, 2014 and 2016
2	a. Public primary attendance rates, disaggregated by gender b. Number of children to benefit from school improvement programme (SIP) in public primary schools, disaggregated by gender
	Information source: *2a. NEDS 2015; 2b. Annual School Census Reports (by July each year)*
3	a. Public primary completion rates (%) b. Number of children per annum completing primary school, in DFID supported states disaggregated by gender
	Information source: Annual School Census Reports (by July each year)
Outcome Quality of, and access to, basic education improved equitably and sustainably	
1	a. Number (and percentage) of public primary schools that meet the benchmarks for a good quality school
	Information source: Composite Survey 2012, 2014 and 2016
	b. Number (and proportion) of Primary 4 and Primary 2 pupils in public primary schools in focus States demonstrating improved learning outcomes, disaggregated by gender, and intensity of intervention at the school.
	Information source: Composite Survey 2012, 2014 and 2016
	c. Number (and proportion) of lowest performing children in Primary 4 and Primary 2 in public primary schools in focus states demonstrating improved learning outcomes in literacy and numeracy, disaggregated by gender and intensity of intervention at the school.
	Information source: Composite Survey 2014 and 2016

	d. Number (and proportion) of poorest children in Primary 4 in public primary schools demonstrating improved learning outcomes in literacy and numeracy, disaggregated by gender and intensity of intervention at the school.
	Information source: Composite Survey 2014 and 2016
2	a. Number of additional children in public primary schools disaggregated by gender and disability[12]
	Information source: Annual School Census Reports (by June each year)
	b. Cumulative number of marginalised children with improved access to basic education through IQTE, and nomadic community schools disaggregated by gender[13]
	Information source: ESSPIN and SUBEB Project Reports (Annual)
3	Level of financial resources available for school improvement measured by annual State budget release rate [14]
	Information source: State Ministries of Education State Quarterly Monitoring Reports (unpublished every quarter)
Output 1 Strengthened Federal Government systems supporting States' implementation of school improvement	
O1.1	Disbursement rate of UBE Intervention Funds for basic education (3-year rolling) for programme states compared to non-programme states
	Information source: Universal Basic Education Commission (UBEC) quarterly disbursement records
O1.2	Quality of national systems established for: a. Monitoring learning achievement (MLA) b. Quality assurance (QA) c. SBMC implementation
	Information source: Annual Self-Assessment Report
Output 2 Increased capability of State and Local Governments for governance and management of basic education at State and LGEA levels	
O2.1	Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at State and LGEA level (LGEA targets in brackets)
	Information source: Annual State Self-Assessment Reports
O2.2	Quality of service delivery systems and processes at state and LGEA level (LGEA targets in brackets)
	Information source: Annual State Self-Assessment Reports
O2.3	Quality of school support and quality assurance services at state and LGEA level

[12] Elaboration of indicator to address AR comment on tracking Equity at Outcome level

[13] New: former Output 4.1, to strengthen Outcome level focus on Equity in response to 2014 AR

[14] PFM indicator made more specific to serve as proxy indicator of sustainability, in response to AR recommendation to track sustainability at Outcome level

	(LGEA targets in brackets)
	Information source: Annual State Self-Assessment Reports
O2.4	Level and quality of State[15]/LGEA engagement with local communities on school improvement
	Information source: Annual State Self-Assessment Reports
O2.5	Quality of inclusive policies[16] at State and LGEA level
	Information source: Annual State Self-Assessment Reports
Output 3 Strengthened capability of primary schools to provide improved learning outcomes	
O3.1	Number (and percentage) of public primary schools using school development planning for improvement
	Information source: Reports of School Support Officers (2014 and 2016 results validated through Composite Survey 2014 & 2016)
O3.2	Number (and percentage) of head teachers in public primary schools operating effectively
	Information source: Reports of School Support Officers (2014 and 2016 results validated through Composite Survey 2012 & 2014)
O3.3	Number (and percentage) of teachers in public primary schools who can deliver competent lessons in literacy and numeracy
	Information source: Reports of School Support Officers (2014 and 2016 results validated through Composite Survey 2012 & 2014)
O3.4	Number of inclusive schools[17]
	Information source: Reports of School Support Officers (2014 and 2016 results validated through Composite Survey 2012 & 2014)
Output 4 Improved community participation in school improvement[18]	
O4.1	Number of public primary schools with functioning SBMCs[19]
	Information source: SMO Reports (2014 and 2016 results validated through Composite Survey in 2014 and 2016)
O4.2	No of SBMCs in public primary schools with women and children participating in school improvement [20]
	Information source: SMO Reports (2014 and 2016 results validated through Composite Survey in 2014 and 2016)

[15] Addition from 2014 AR narrative report

[16] Former Output 4 indicator

[17] Former Output 4 indicator

[18] The 2014 AR also recommends reorientation of Output 4 away from Inclusion which is a cross-cutting result. In line with this, Inclusive Policies (former O4.2) will be built into performance criteria for O2.2/2.4 (Inclusive Policies is now an explicit O2 indicator – O2.5); Inclusive Schools (former O4.3) will form part of criteria for assessing SDPs, head teacher effectiveness and teacher competency (Inclusive Schools is now an explicit O3 indicator – O3.4); Inclusive Communities (former O4.4) will be realised through criteria for functioning SBMCs (now an explicit O4 indicator).

[19] The 2014 AR report recommends disaggregating this by IQTE and nomadic schools. This would be problematic as establishment and training of SBMCs is not a cost neutral activity. Funding of SIP rollout is still challenged by the question of sustainable funding of SBMCs in public schools.

[20] Replacement indicator for SBMCs reflecting concerns of women and children

O4.3	Quality of CSO action for quality and inclusive education[21]
	Information source: Annual Self-Assessment Reports
O4.4	Number of SBMCs supporting Inclusive Education[22]
	Information source: SMO Reports (2014 and 2016 results validated through Composite Survey in 2014 and 2016)

101. Work plan indicators are set out in the Results Monitoring Table (RMT) and 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 2. Reports on progress are made to a quarterly forum of State Education Commissioners and SUBEB Chairs and to ESSPIN's Programme Management Committee chaired by DFID.

102. The school resource indicators are set out in Annex 3. 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

103. The following sources of information are being used to monitor the ESSPIN logframe indicators, and to jointly monitor the work plan with state and Federal governments:

- **Administrative and regular monitoring sources**
- Annual School Census
- School Support Officer Reports (SUBEB – School Services or Quality Assurance Department)
- Social Mobilisation Officer Reports (SUBEB – Social Mobilisation Departments; SMO reports)
- SUBEB records (Works and PRS Departments)
- UBEC disbursement records (online portal)
- Annual FME Report on Four-Year Strategy (now One-Year Strategy)
- State Ministries of Education, Quarterly Monitoring Reports
- Annual ESSPIN Report

- **Surveys and studies**
- Household Surveys (including NEDS)
- State Annual Self-Assessment Exercises

[21] Rewording recommended in 2014 AR narrative report

[22] Recommended by AR report; disadvantage status based on types of information SMOs are currently being trained to collect. Student background variables will be part of the Performance Criteria (not the indicator) to mitigate risks of data reliability.

- 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
- TSP Baseline Assessment Report
- SBMC Impact Study
- State Capacity Study
- Survey of Out-of-School Children (Enugu and Jigawa)

- 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 SMO reports validated by Composite Survey

Expenditure tracking framework implemented by SPARC programme

104. Annual reports from State Self-Assessment exercises are the main source for monitoring achievement of 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. ESSSPIN 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.

105. 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. The introduction of 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 have been 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. In the extension phase, greater attention will be paid to building State

capacity and making greater use of State Annual Sector Reviews to analyse data generated from integrated reporting systems, to report on quality of basic education.

106. During its extension phase, ESSPIN is introducing a school attendance monitoring project to enable the capture and reporting of student attendance data in real time using mobile telephony. Initial pilots are in Lagos and Kaduna States. In addition and as part of strengthening LGEA institutional capacity, an integrated database for educational planning will be deployed in all States, initially on a pilot basis then rolled out after assessment. The database pulls together important planning data from multiple sources and is LGEA based.

Table 4: 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)	Annual State Sector Review (Annual)	Expenditure Studies (2012, 2014)	Composite survey (2014, 2016)	EMIS verification study (
Impact 1	X												√	
Impact 2	X			√					√					√
Impact 3	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 2.5		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					√							√	
Output 4.3		X								√				
Output 4.4	X					√							√	

Risk Monitoring

107. The ESSPIN Theory of Change and logframe sets out a number of risks to achievement of programme targets. A Risk Register (Annex 5) 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 and the 2015 General Elections.

108. All risks rated High or Medium are reviewed every month through State Business Risk meetings. 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 the All-Nigeria Risk Assessment. Risks to finances, facilities and HR are monitored through monthly meetings. An Elections Scenario Planning document will be created to provide guidance over the coming Elections period.

109. Monitoring risk is not only essential as part of the M&E system for programme performance. It is also critical for ensuring the performance of the M&E system itself. As the M&E system is dependent on data generated by States, risks – such as conflict and instability - that impact on the States' capacity to perform will impact on ESSPIN's capability to monitor performance.

Value for Money

110. This paper sets out ESSPIN's value for money (VFM) strategy. The primary aim of the paper is to show how ESSPIN is adopting VFM principles in accordance to DFID guidelines. As a secondary objective, the ESSPIN VFM strategy aims at contributing to the wider discussion on VFM across aid programmes in Nigeria (specifically SLPs), the DFID education portfolio and also, more generally to other aid programmes in related contexts.

111. This strategy will form the basis of the annual VFM self-assessment[23]. The self-assessment will be conducted in line with current DFID requirements (and recommendations from the 2014 ESSPIN Annual Review). ESSPIN will use an independent consultant to conduct the self-assessment, and this will comprise of an in country visit for consultation with the ESSPIN SMT, DFID and the STLs. The self-assessment will collate ESSPIN's VFM results as assessed against each of the indicators presented in this paper with the primary aim of answering the overall VFM question: "is ESSPIN providing VFM?"

[23] Scheduled to be completed before ESSPIN Annual Reviews.

Key Principles of VFM

112. DFID's VFM policy underlines that VFM is about *maximising the impact of each pound spent to improve poor people's lives.*[24] Invariably, for programmes working within Nigerian States, VFM would apply to the direct costs and results of the DFID programme (ESSPIN) but also more generally to the system in context – which is the national education system and six state systems. ESSPIN's VFM strategy recognises this, and to the extent possible, will measure VFM not just for the programme but also for the education system.

113. To achieve VFM, DFID programmes are required to:

- Articulate the assumptions in the theory of change (results chain) backed by evidence of what works (at design stage and in-programme)
- Be very clear about costs and results (the three Es) to provide evidence for policy based choices.
- Seek to achieve the desired quality at the lowest price (this doesn't mean always taking the cheapest option)
- Analyse and manage risks and deploy resources flexibly
- Be able to measure the impact of the programme (demonstrate attribution, i.e. that results would not have been achieved anyway)

114. DFID's thinking around VFM is underpinned by the three Es approach (economy, efficiency and effectiveness). Figure 1 below presents this framework.

115. The framework presents a generic programme lifecycle, from inputs to impact, through the logical processes, outputs and outcomes. The overarching purpose of adopting and reporting VFM is that programmes become more accountable and are set up to achieve the greatest impact within cost constraints, or, a given impact at the lowest cost. The framework, through the results chain, therefore (highlights) that a poorly designed programme will not be cost effective and does not provide VFM even though all the programme activities may be completed.

24 *https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67479/DFID-approach-value-money.pdf*

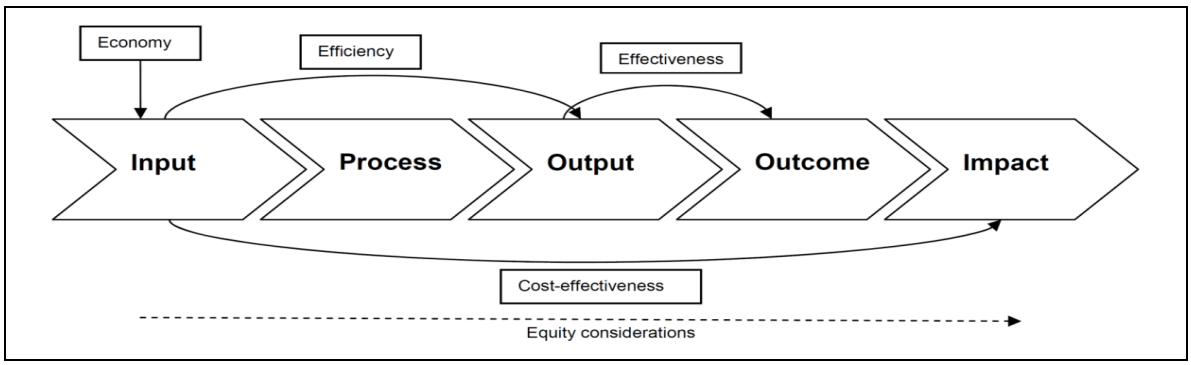


Figure 6: DFID VFM Approach

116. ESSPIN's VFM evaluation will thus be based on the programme's ability to achieve the intended impact i.e. demonstrate cost effectiveness through completing activities that translate well into outcomes (effectiveness) using the least amount of resources to achieve this (economy) and in the shortest space of time (efficiency). These dimensions of the ESSPIN evaluation are clarified below:

- Economy – Are we buying inputs of the appropriate quality at the right price?
- This often has been misinterpreted as 'are we buying the cheapest inputs' which has duly been described as a "race to the bottom". Instead, there is a dual focus, one on quality (appropriate as prescribed by what would be suitable to achieve the intended goals) and another on price.
- Efficiency – how well are inputs converting to outputs
- Effectiveness – how well outputs contribute to outcomes

117. The conclusion on whether a programme provides VFM will fundamentally be based on the fulfilment of the three E's. Each of these three dimensions of VFM has varying significance along a programme's results chain and some literature, to this effect, talks of 'internal' and 'external' VFM. Internal VFM looks at the core logic behind an intervention and, broadly, seeks to ask the question 'is the programme appropriately designed to meet the objectives'. External VFM on the other hand attempts to ask the general question 'compared to other programmes doing the same, how well is this programme doing?' A programme with a good VFM strategy therefore, is one that exhibits internal and external VFM, i.e. is well designed (there is a plausible evidence base linking proposed inputs and activities to the outcome) and the delivery of the programme conducted at the lowest **possible**[25] cost and as timely as possible.

[25] Bearing in mind minimum quality standards acceptable

ESSPIN's Approach

Theory of Change and Evidence of What Works

118. The starting point in evaluating ESSPIN's VFM approach is ESSPIN's intended impact as outlined in the 2013 business case extension:

- Better learning outcomes for children of basic education age in 6 States
- Quality of, and access to, basic education improved equitably and sustainably

119. ESSPIN's most important goal is to improve the learning achievement of students. To achieve this improvement, the core proposition is that single-issue reform efforts such as teacher training, head teacher training, improved materials, direct school funding or community/parental involvement taken in isolation will have minimal impact on learning outcomes. Therefore, most or all of these factors need to be delivered and supported by state/local government over a period, if sustained improvement in learning outcomes is to be achieved.

120. This proposition is based on well-established school improvement/effectiveness research in developed countries. Prior to the ESSPIN intervention, there was limited evidence that this approach would work in developing countries such as Nigeria. However, from the results of the programme to date, there is ample evidence that this model of integrated school improvement can lead to better learning outcomes in primary schools. ESSPIN believes that better learning achievement is primarily brought about by better quality schools and improving the numbers of children that can be in these improved schools. Within this drive towards the single most important goal of improving learning outcomes, inclusiveness is prioritised.

Box 1: What is inclusiveness?

Inclusiveness is about meeting the needs of *all* children, including groups that are often marginalised such as girls (in northern Nigeria), children with disabilities and children from poor families or certain ethnic groups. Nigeria has one of the highest out-of-school children rates in the world – an estimated 8 – 10 million. Tackling problems of exclusion is therefore fundamental to addressing Nigeria's education problems.

An inclusiveness strategy has to work at several levels. Firstly, state governments need to have clear policies on inclusive education and the will to implement these policies and monitor effectiveness. Secondly, schools must adopt practices that ensure a welcoming classroom environment for all kinds of learners. This includes having a better understanding of the needs of, for example, children with specific types of disability and the teaching skills to be able to meet individual needs in classes of 50 students or more.

Thirdly, SBMCs have a crucial role in getting out-of-school children into school in the first place, by for example talking to mothers of out-of-school children or tackling the practical

121. Emphasis is placed on the improvements in learning outcomes becoming systemic to the Nigerian education system, i.e. that they are sustainable and will continue to be a part of the system beyond ESSPIN.

A primer on VFM metrics

122. There is a wide range of metrics that can be used to measure VFM. ITAD posits that there are three types of VFM indicators: monetary, quantitative and qualitative.

Monetary Indicators	Quantitative Indicators	Qualitative Indicators
Report the monetary value of a point along the programme's results chain (e.g. output or an outcome) – in relation to the associated cost.	Report how much (in numbers) a programme has achieved in relation to the associated cost	Report the kind of change, or result, in descriptive terms that a programme has achieved, in relation to an associated cost.

123. Using these three types of indicators, VFM can then be measured in three ways: benchmarked measurement, comparative measurement and standalone measurement:

- Benchmarked measurement – compares programme achievements with similar achievements outside the programme (within country or outside country). They are thus external.

- Trend (Comparative) measurement – shows progress over time (e.g. years) or space (e.g. Districts), demonstrating cumulative effect or showing comparative improvement between "cases". They are internal, relative indicators.

- Stand-alone measurement – shows what has been achieved within a reporting period. These are standalone and absolute indicators, and may be thought of as 'one-off' realisations of value. They can be compared against the planned target for that period, in which case, the value in VFM terms depends on the credibility of the original plan as both realistic and stretching

124. ESSPIN will incorporate benchmark, comparative and standalone indicators in the assessment of VFM. The choice of whether to use benchmarked indicators, trend indicators or standalone indicators will depend primarily on the availability of data meaningfulness of indicator. As an example, where data is available from Nigerian programmes, and it is meaningful to compare across programmes, benchmarked indicators will been used. Where possible, standalone indicators will be avoided, although this may not always be possible e.g. in cases where once-off savings are achieved.

125. The following sections outline the primary indicators used to assess ESSPIN's VFM.

Economy

126. ESSPIN's VFM approach at the level of economy is to procure inputs of the appropriate quality at the right price. ESSPIN's focus on economy is the key cost drivers, as recommended by DFID's guidance on VFM. The key cost drivers, by definition, are factors that significantly affect the cost of delivering the intervention. The following is a list of ESSPIN's key cost drivers and some reflection on why ESSPIN spends a significant amount of money on these.

Head teacher and teacher training

127. The overarching challenge facing Nigeria's education system is to raise the desperately low levels of pupil achievement. Baseline results show that achievement was poor in basic literacy and numeracy areas in all States, but particularly in the north. Shockingly, students at the end of Primary 4 had difficulty in coping with the

Primary 1 and 2 national curricula. Clearly, little meaningful learning can be happening in Primary 3 upwards. Further studies pointed to the reasons for this.

128. The importance of head teacher leadership on the quality of education is well-established in international research. However, school leadership in Nigeria was found to be desperately inadequate. A study of head teachers showed that they spent less than a third of their time on relevant tasks such as ensuring pupils are being properly taught. Teacher capacity was very weak. Over 90% of teachers in some States scored less than 30% on tests based on the grade 4 maths curriculum, i.e. what a 10 year old should be able to achieve.

129. Raising the competence of teachers and head teachers from such low starting points requires intensive support. As an example, highly skilled State School Improvement Teams were set up and given a 50-day professional development programme, plus further mentoring. These teams in turn are responsible for the training (30 days) and on the job mentoring of local authority advisors who work closely with a small number of schools. They deliver training and school based support to Head Teachers (9 days training annually with three termly support visits). This focuses on school development planning and professional leadership, whilst work for Class Teachers focuses on improving both generic teaching skills (9 professional development meetings per year for all teachers in participating schools) and specific skills for teaching literacy and numeracy (6 days per year for teachers of lower primary).

SBMC training

130. International research shows that schools are more effective with strong parental and community participation. One benefit is that the community holds schools accountable and takes action for example to tackle teacher absenteeism. The community starts to understand the value of education and provides resources to schools in kind e.g. through voluntary labour or lobbies government, businesses and philanthropists for support. The SBMCs thus provide a means of community voice being heard both within the school and by government. These committees also help to give women and children (traditionally often excluded from discussions of what goes on in school) a voice.

131. Although it is national policy in Nigeria for all schools to have SBMCs, ESSPIN's initial research found that SBMCs were moribund or non-existent. A considerable investment was required to help state governments develop clear policies that had the support of schools and communities. This initial stage involved a lot of time, because without real grass roots understanding and support, the initiative would have failed. The next stage was to provide both training and ongoing mentoring for the new SBMCs. The scale of the task was so great that ESSPIN enlisted the support of civil society organisations (CSOs). The first major activity therefore was to train

these CSOs and then support them while they helped establish functional SBMCs, including effective representation of women and children.

132. The early impact of SBMC developments has been impressive. The kinds of actions now being taken by SBMC/communities include:

- Monitoring of teacher's attendance resulting in reduced absenteeism
- Provision of some school furniture, learning materials, school uniforms, or food
- Support for minor repairs and school maintenance and security
- Organising open days for parents to visit schools and interact with teaching staff on pupil's learning achievements
- SBMC/community members rotating responsibility for making sure children cross busy roads safely at the end of the school day
- Negotiating reductions in transport fares and reductions
- Setting up welfare committees to support vulnerable children

School infrastructure improvement (construction/renovation of water points, toilets and classrooms[26])

133. There is international evidence school attendance is affected by home and school based factors. One of the school based factors that affect attendance is physical environment[27], and this dimension includes school infrastructure. Schools that create an attractive and stimulating physical environment that support and encourage learning are more likely to improve school attendance than those that do not. In the Nigerian context, limited provision of essential school facilities, such as toilets, have played a part in reduced attendance and sometimes disproportionately among girls.

Delivering better equity through IQTE and nomadic education

Generating evidence of impact through the Composite Surveys

134. It is not possible to gather all evidence of the programme impact through existing data and like many other programmes, ESSPIN has to gather its own evidence of impact results through purposeful surveys conducted every two years.

135. This group of activities together accounts for at least 60% of total programme costs and thus, serves as an appropriate yardstick to assess economy.

[26] The infrastructure component ended in July 2014 and the current focus is on sustainable maintenance of facilities

[27] E.g. https://www.acer.edu.au/files/NSIT.pdf

Evaluating Quality and Price

136. Gathering and presenting the data are important first steps to evaluating quality and price. However, interpretation of the data presents challenges, mainly because of the absence of both similar data from other programmes in developing countries let alone Nigeria or West Africa, and of counterfactual data. Without benchmarking references, judgements of economy (and indeed efficiency or cost-effectiveness) may be subjective. More on this is presented below.

137. The table below presents ESSPIN's economy indicators

Table 5: Economy Indicators

Indicator	Comparison Method	Tracking Interval	Source of DATA
1. Unit cost per school trained to use a development plan	Trend	Annual	ESSPIN Quarterly Reports
2. Unit cost per head teacher trained to operate effectively	Benchmark, Trend	Annual	ESSPIN Quarterly Reports
3. Unit cost per teacher trained to deliver competent lessons	Benchmark, Trend	Annual	ESSPIN Quarterly Reports
4. Unit cost per community trained to set up SBMCs	Trend	Annual	ESSPIN Quarterly Reports
5. Unit cost per IQTE student supported	Trend	Annual	ESSPIN Progress Reports
6. Unit cost per Nomadic Education Student supported	Trend	Annual	ESSPIN Progress Reports
7. Unit cost per composite survey	Benchmark, Trend	Bi-Annual	ESSPIN Financials/OPM
8. Unit cost per learner with access to toilets	Trend	Annual	ESSPIN and SUBEB Infrastructure Progress Reports
9. Unit cost per learner with access to clean water	Trend	Annual	ESSPIN and SUBEB Infrastructure Progress Reports
10. Unit cost per learner benefitting from new/renovated classrooms	Trend	Annual	ESSPIN and SUBEB Infrastructure Progress Reports

Efficiency

138. ESSPIN's VFM approach at the level of efficiency is measuring how well inputs are converted into outputs with a view to improving the conversion rate of input to outputs (and inherently the cost per output result). DFID highlights[28] that an efficient education system is one where schools are open when they should be, students and teachers turn up regularly, textbooks are available and used, pupils and teachers are in class, pupils progress, time in school is spent on teaching and learning and students complete the relevant cycle of school. Many of these are relevant to the ESSPIN intervention, as ESSPIN adopts an integrated approach to school improvement, as discussed earlier.

139. It is critical to emphasize the importance of leveraging additional resources from State governments to deliver programme outputs. ESSPIN's goal is to achieve systemic learning improvements in the Nigerian education system. To ensure that the interventions brought about by ESSPIN are systemic, there is need for the interventions to be scaled up using State funding. What can be realistically achieved with ESSPIN's budget and resources, in the greater context is limited – much more can be achieved by the State governments if they support, both ESSPIN and non-ESSPIN States ESSPIN and ESSPIN-type activities. Leveraging funds from the State government is thus one of the priority VFM measures for the programme.

140. It is also noteworthy that ESSPIN has found it challenging to collect benchmark information on a number of efficiency indicators[29]. Part of the reason for this is to do with costs per outcome relating specifically to ESSPIN's outcome design. While there may be a number of DFID programmes similar to ESSPIN[30] these programmes do not necessarily aim to have a similar sets of outcomes to ESSPIN, as they are in different contexts. Therefore, while it is useful to report costs per outcome, for comparability and insightful information for management on VFM (meaningfulness), it may be more useful to report costs per activity and benchmark these against a wider range of comparators, then; and then separately track the conversion rates for those same indicators.

141. In 2014 for example, ESSPIN measured efficiency largely through costs per outcome, and for illustrative purposes, tracked the cost per head teacher trained who was operating effectively (which was £758). This, as opposed to cost per head

[28] h*ttps://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209114/Review_of_efficiency_in_the_schools_system.pdf*

[29] As raised in the previous section on economy, without benchmarks, some information may be difficult to analyse; e.g. does a cost of $xyz per effective head teacher trained represent good efficiency?

[30] E.g. INSTEP (Kenya), SSRP (Nepal) & Improving the Quality of Education (Ethiopia)

teacher trained, captured the cost for training head teachers only if the head teacher were assessed to have been performing effectively (i.e. total cost of head teacher training divided by number of head teachers adjudged to be effective post training) This is useful information, but difficult to contextualise. Does a cost of £758 per head teacher operating effectively translate to good efficiency? Without benchmarked data to contextualise this, it is difficult to make any judgements on the figure.[31] To benchmark this cost appropriately however, would require comparisons against a programme (in Nigeria or in a related context) that has the same outcome, measures an "effective teacher" in a comparable way and is placed in an education system with more or less the same cost structure as Nigeria[32] - again, also difficult. The strategy proposes reverting back to reporting cost per activity under economy, and for efficiency, in such cases, report the pure conversion rate.

142. Using the illustration above, ESSPIN will track cost per head teacher trained under economy and then track the proportion of trained head teachers operating effectively after training as an efficiency indicator. This way the conversion rate can also be compared to similar or related programmes that may training head teachers, but in settings with different cost structures.[33] Should costs per outcome indicators are required, these can easily be computed (by dividing the cost per unit of activity by the conversion rate[34]). As programmes elsewhere begin to report costs per outcome more regularly, then costs per outcome(s) will be included for benchmarks in the ESSPIN VFM strategy.

[31] It is possible to track this year on year, an conduct a trend (comparative) assessment, but again, this will provide limited information on the absolute performance on the indicator (costs per outcome could fall, for example, but to a figure that is relatively too high)

[32] Comparable in that either the cost structures are the same, or that the difference in the costs can be quantified and is known, so that relative adjustments can be made.

[33] This conversion rate can also be loosely compared to any available conversion rates involving head teacher training that may or may not include the same training outcomes, but are to do with training head teachers with an aim of changing their behaviour in a systemic way

[34] If the cost per trained teacher is £100, and $^1/_2$ of all trained teachers are effective, then the cost of training per effective teacher is 100/0.5 = £200/effective teacher

Box 2: Measuring efficiency for school improvement indicators

ESSPIN's output two work involves the increasing the States' capability to govern and management schools, specifically through improving:

i) the quality of strategic and operational planning, budgeting, budget execution, performance and monitoring and reporting at state level,

ii) the quality of service delivery systems and processes at State and LGEA levels,

iii) the quality of school support and QA services, and

iv) the quality of State/LGEA engagement with local communities.

Each of the six intervention States measures these four output indicators (self-assessment) using a qualitative method to rank achievement, with final scores recorded as A, B, C or D, in order of achievement. To answer the question 'has the ESSPIN work under output 2 efficient' would thus require teasing efficiency from qualitative measures and often, this is straightforward, as it is difficult to 'quantify' a change in a qualitative score.

To circumvent this problem, efficiency measures for improvements above will be proxied by the percentage of targets State and LGEA school outputs met over the year, viz; the percentage of the 24 (6 States x 4 indicators per State) State level targets on State governance and management. The usefulness of this indicator lies in its ability to complement the AR process to bring out the overall

143. Efficiency indicators (presented below) are based on the areas of ESSPIN's intervention that are in-line with DFID's guideline on efficient schools above. In addition to the operational efficiency indicators, ESSPIN will also measure 'technical efficiency' indicators. These relate to the project management aspect of delivery of the intervention, to do with how smooth and well-functioning ESSPIN is in its delivery of the programme. These technical efficiency indicators will more readily and easily be benchmarked against other programmes.

Table 6: Efficiency Indicators

Indicator	Comparison Method	Reporting Period	Source of Data
Percentage increase in disbursement rate of UBE-IF funds for basic education in focus states vs. non-focus states	Trend	Annual	UBEC quarterly disbursement report
Percentage of State level quality improvements targets met during the year	Trend	Annual	State Self-Assessment reports
Proportion of head teachers in public primary schools operating effectively	Trend	Annual	State SSO reports
Proportion of public primary schools undertaking development planning	Trend	Annual	State SSO reports
Proportion of teachers who can deliver competent lessons in literacy (English) and numeracy in public primary schools	Trend	Annual	State SSO reports
Proportion of public primary schools with functioning SBMCs	Trend	Annual	State SMO Reports
Proportion of schools where SBMCs reflect women and children's concerns	Trend	Annual	State SMO Reports
Percentage overhead spend of total programme expenditure	Benchmark	Yearly	ESSPIN & international benchmarks
Budget burn rate (% activity implementation vs % of budget spent)	Trend	Yearly	ESSPIN financials and activity completion as per work plan

144. The paucity of benchmarked indicators on efficiency is acknowledged. This is due to the lack of information on any relevant indicators that ESSPIN can access.

Effectiveness

145. Effectiveness relates to how well outputs are being converted to outcomes. The ESSPIN results chain articulates that for ESSPIN to be effective, the programme

outputs should translate to increased participation of children in school, including girls, poor children and children with disabilities, increased participation of marginalised schools in non-formal education and effective use of government funds to improve schools in a sustainable (systemic) manner. The business case makes a strong point that unless better learning outcomes are achieved, then there is no VFM. ESSPIN has just revised the logframe to reflect evidence in learning across the implementation States and the revised effectiveness indicators reflect these new indicators.

Table 7: Effectiveness Indicators

Indicator	Comparison Type	Frequency	Source of Data
Number (and percentage) of public primary schools that meet the benchmarks for a good quality school	Trend (2012, 2014, 2016)	Bi- Annual	Composite Surveys
Number (and proportion) of Primary 4 and Primary 2 pupils in public primary schools in focus States demonstrating improved learning outcomes, disaggregated by gender, and intensity of intervention at the school	Trend (of change between the difference of CS2 and CS1 results, and difference in CS3 and CS2 results	Bi- Annual	Composite Surveys
Public primary attendance rates, disaggregated by gender	Trend and Benchmark	Quaternary	NEDS 2010 and 2015
Public primary completion rates (%)	Trend	Annual	Annual School Census Reports
Percentage increase in number of children per annum completing primary school, in DFID supported states disaggregated by gender	Trend	Annual	Annual School Census Reports
Quality of schools Composite Index	Trend	Annual	Integrated School Development Index based on Annual School Census Reports
% increase in additional children in primary	Trend	Annual	Annual School Census

schools			Reports

Cost Effectiveness

146. ESSPIN's approach at the level of cost[35] effectiveness is assessing the overall costs of achieving programme impact through a set of cost effectiveness measures. The business case proposes two headline cost effectiveness measures: The cost per additional student reaching proficiency and numeracy in P2 and P4 and; the cost per additional student achieving improved learning outcomes. These are rather difficult indicators to measure (and interpret). An alternative indicator is proposed below.

Table 8: Cost Effectiveness Indicators

Indicator	Comparison Type	Frequency	Source of Data
Number of children in primary schools that pass the quality standard	Trend		

Equity

147. The DFID value for money guidance for education programmes recommends monitoring equity through disaggregating logframe results by factors such as gender, wealth quintile, regional and marginalised and vulnerable groups.

Table 9: Equity Indicators

Indicator	Comparison Type	Frequency	Source of Data
Change over time in the ratio of average quality of rural ESSPIN schools to average quality of urban ESSPIN schools *(poverty dimension)*	Trend	Bi-annual	Composite surveys
The change over time in the ratio of average scores for girls to average score for boys, across schools with low, medium and high ESSPIN exposure *(gender dimension)*	Trend	Bi-annual	Composite surveys
Difference in test score improvements between the poorest and wealthiest students (measured by regression analysis – estimating the effect of	Trend (regression results	Bi-annual	Composite surveys

[35] Cost per child benefitting from school improvement is based on allocation of total spend on Outputs 3 and 4 (the service delivery outputs) to the total number of children enrolled in focus schools. The cost per child is expected to reduce as the number of focus schools (and the number of children) increases with state funding. Not clear that this would be a legitimate calculation.

moving from the poorest to richest wealth quintile within one's state regressed on grade 4 learning outcomes. This is then tabulated this within ESSPIN and non-ESSPIN schools, and over time *(poverty dimension)*	tabulated by State		

Sustainability

148. Sustainability for ESSPIN is the capability of the education system in Nigeria, to be systemically improved so that beyond ESSPIN the gains made in delivering a better education continue to be experienced. ESSPIN's intervention intends to foster improvements in the education system that are deeply entrenched to the extent that it is more costly/inconvenient for their implementation to be discontinued beyond ESSPIN. As mentioned earlier, a significant proportion of work in relation to this is improving the States' and LGEAs' governance and management of basic education (and this is already being measured by the programme). One key factor that could reverse these gains is the availability of funding from the State Annual budget.

149. The following indicator will measure sustainability.

Table 10: Sustainability Indicators

Indicator	Comparison Type	Frequency	Source of Data
State annual budget release rate (as a proportion of year allocation	Trend	Annual	State Quarterly Monitoring Reports

150. In using this indicator, ESSPIN is treating this a proxy, or catchall variable that measures the State governments' prioritisation off education costs. This is to say, the higher the proportion of released budget, the higher the sum of all immeasurable factors within the States governments that they perceive spending on education as a priority. The higher this is, the greater the likelihood that the State's not only will continue to spend on education, but will continue with any ESSPIN type interventions that they are going through with, in the presence of ESSPIN.

Other VFM Considerations

Ability to plan and take decisions to improve VFM

151. The DFID VFM guidance notes emphasises that the VFM approach should be considered through the lifecycle of the programme. This involves utilising VFM information to inform management decisions and further improve VFM. ESSPIN management will use the indicators above (and other management information at their disposal) to further optimise the implementation of the programme and improve any of the three E's and equity and sustainability where possible.

How will VFM information be used to inform decision making

152. There is no blanket way to use 'VFM information'. Information will be utilised according to the type of VFM information and the extent possible to enhance or improve VFM.

153. Economy & Efficiency – ESSPIN will review any programme elements (or indicators) that have been adjudged not to show good VFM, and for each of these, present by way of document prepared after the AR, detailed challenges why VFM could not be shown and the remedial steps to be taken going forward. ESSPIN will invite DFID to sign of the proposed remedial actions

154. Negative Effectiveness VFM results are more challenging to deal with – owing to the timing gap (generally) between education interventions and results. One way is to accept and implement any recommendations with respect to these from the Review Team. This is perhaps not straightforward, but draws from the difficulty in proposing solutions an, as yet, unclear problem.

155. A qualitative assessment of how VFM information is used in decision making will also be reported as the last VFM indicator. ESSPIN where the programme will detail some qualitative evidence of how VFM results have been used to inform management decisions, including:

- Any results based changes to the programme (either components that were fast tracked or delayed
- Any tweaks to the "usual" way of doing things brought about by VFM considerations
- Once off achievements brought about by considerations of VFM

Reporting of monitoring information

156. Monitoring will be conducted throughout the year. The table below shows the monitoring mechanisms that will aid the use of VFM information to aid decision making

Economy indicators	Quarterly Reports
Programme output level indicators	Annual Report
Comprehensive VfM Assessment	Annual Self-Assessment Review preceding AR

Education system costs

157. As noted earlier, VFM is intended to be applied not only to DFID programmes but to the education and health systems these programmes support. Thus, DFID would wish to monitor key education system unit costs, particularly: teacher salaries; teacher training; textbooks; classroom construction; and girls education stipends; cost of supporting a child to complete primary school; cost of supporting a child to complete junior secondary school; cost to complete primary school; and cost of completing primary school with at least minimum learning achievement. Appendix 3 presents the indicators available for measuring education system costs. There are not reliable sources of routine data for these indicators, and ESSPIN proposes to measure them subsequent to the publication of a national school census.

Box 3: Why are State Level Costs Important?

Schools and communities can do a lot for themselves but without the support of state and local governments, real change would be much harder to achieve and unlikely to be sustainable. We found that there were serious problems in the governance of education in Nigeria that simply had to be addressed.

Funding allocated in education budgets was often not spent for the purposes intended. State agencies did not understand what needed to be done to improve schools and lacked the planning and organisational skills to implement programmes of school improvement.

Procurement practices and supervision of school building programmes were weak, resulting in work being shoddy or simply not carried out. Millions of pounds were being wasted. Classrooms that should have lasted 20 years started showing defects after only one or two years.

Agencies that were nominally responsible for providing support to schools or quality assuring them through school inspections lacked the funding, organisational capacity or skills to carry out these

158. Unfortunately, much of this data is unavailable on a national basis because of the failure of the majority of Nigerian states to complete an annual school census and because of the absence of reliable data on state expenditure.

159. ESSPIN supports states to institutionalise an annual education sector performance review process. At the end of the process each year, an Annual Education Sector Performance Review (AESPR) report is produced. It is within this process that demand for education sector costs will be most meaningful. ESSPIN will continue to support the capacity of states to generate, manage, report and utilise data more effectively and will, by so doing, improve demand for reliable and timely education system performance metrics.

Attribution

160. There are a number of studies (including the Composite Surveys) ESSPIN is conducting to gather data to provide evidence of achievement of Output and Outcome indicators. Some of these studies will also seek to provide counterfactual data, both from focus state LGEAs in which ESSPIN is not active and from non-focus states. This is not methodologically straightforward, firstly because of the risk of 'contamination' arising from non-focus LGEAs or states starting ESSPIN-style reforms on their own initiative (something that from another perspective, the programme would very much want to encourage). A second issue is establishing a fair basis of comparison with non-focus states that may have very different socio-economic, political and educational conditions. However, it is essential to try to establish some basis for comparison.

Evaluation

161. ESSPIN's evaluation strategy (Annex 4) has been strengthened to prepare the programme for the following evaluation events:

- DFID Final Evaluation of the five State Led Programmes.
- DFID Annual Review of ESSPIN
- DFID Project Completion Review for ESSPIN

162. Preparations for DFID's Final Evaluation of the five State Led Programmes are scheduled to commence during 2015 with the evaluation itself taking place in 2016. It will be implemented by IMEP and the SLP evaluation activities are included within ESSPIN's evaluation work plan (see Annex 4). One of the main evaluation activities is a programme Self-Assessment, scheduled to take place in October 2015. IMEP will share the self-assessment requirements with ESSPIN .

163. DFID's Annual Review of ESSPIN will take place in October 2015. DFID, IMEP and ESSPIN have agreed that annual review activities will be aligned with the SLP Self-Evaluation, to avoid over-burdening the programme with multiple evaluation activities.

164. ESSPIN will work with the provider contracted to implement the DFID Programme Completion Review . ESSPIN's evaluation strategy ensures that evidence required will be available for the Programme Completion Review.

165. **Evaluation users** will be involved in the design and implementation of evaluation activities, particularly DFID, ESSPIN and State partners. All other stakeholders will be closely involved in dissemination of evaluation findings.

166. ESSPIN's evaluation strategy is based on the **DAC evaluation criteria**. The strategy will enable the effectiveness, efficiency, sustainability, impact, and relevance of the ESSPIN programme as a whole, and of particular interventions, to be judged.

167. **Evaluation questions:** Particular areas for evaluation and qualitative research have been identified from several sources, including from ESSPIN's Theory of Change; Composite Surveys; Annual Reviews, and during the implementation of activities. Potential studies are included in the work plan.

168. **Evaluation methods:** The main study for evaluating the impact of the programme and effectiveness of the interventions is the **Composite Survey (2014, 2016).** The Composite Survey design is driven by the ESSPIN's Theory of Change. The first Survey was implemented in 2012, a second survey was implemented in 2014 and a third is planned for 2016. The Composite Survey measures changes in the overall quality of schools and gains in learning achievement in each of the six states. In order to explore 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. A summary concept paper provides details on the purpose, research questions, sample and baselines.

169. The Composite Surveys provide longitudinal data on the impact of ESSPIN. Through analysing differences between Survey results (2012; 2014; and 2016) and between schools with different levels of ESSPIN intervention, the Composite Surveys provide evidence of improvements that can be attributed to ESSPIN.

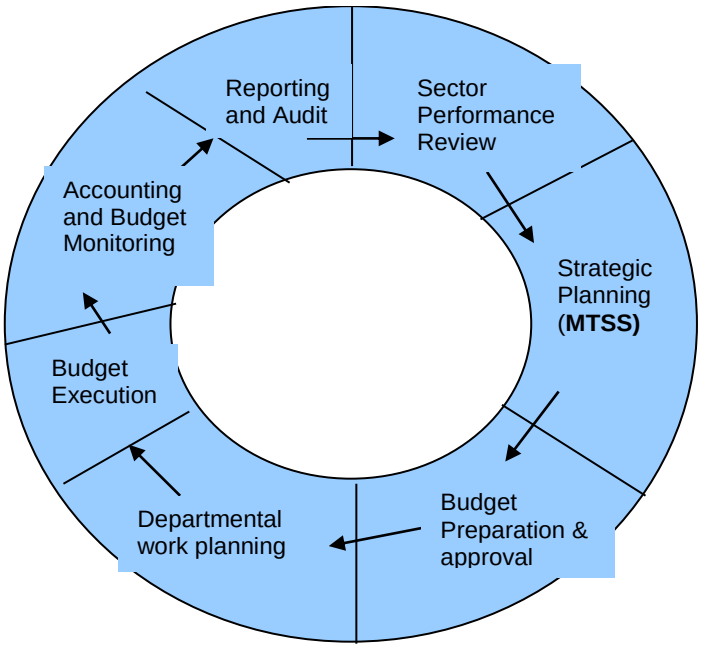
170. **Principles**: Evaluation activities will be conducted according to a number of principles which give external audiences confidence in the results, these include: (i) transparent methodology; (ii) properly documented evidence; (iii) use of specialist consultants who have not been integral to the delivery of ESSPIN; and (iv) capacity building.

171. **Ethics:** Large scale surveys in schools present particular challenges for managing quality and ensuring ethical practice. The Composite Surveys have been implemented in compliance with OPM's research standards and ethics guidelines.

Capacity Development

172. In implementing the Learning and Evidence Framework ESSPIN will support capacity development in monitoring, research and evaluation within State structures, schools and communities. In the extension phase, the scope of capacity development in M&E will be increased.

173. 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.



174. 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 rational planning cannot occur without it. 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.

175. 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.

176. 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.

177. In the extension phase, M&E capacity development activities will include increased focus on the Annual Education Sector Performance Review, and supporting States to analyse data annually from integrated reporting systems.

178. The emphasis of M&E capacity development in the extension phase will centre on the 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

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

Table 11: Reporting mechanisms

M&E framework	Reporting instrument	Frequency/timing	Audience
Monitoring			
Logframe indicators	ESSPIN Annual Report	Annual	Forum of Education Commissioners and SUBEB Chairs; Programme Management Committee
	State AESPRs[1]	Annual	All education stakeholders
Work plan indicators	Results monitoring table	Quarterly	ESSPIN programme management
	ESSPIN quarterly reports including summary results table	Quarterly	Forum of Education Commissioners and SUBEB Chairs; Programme Management Committee; DFID and DFID State Reps
School resource indicators	State AESPRs	Annual	All education stakeholders
Evaluation			
Evaluation and research studies	Evaluation/Research Reports	As detailed in the Evaluation Work Plan	All education stakeholders
	State AESPRs	In relevant annual report	All education stakeholders
Composite Survey	Reports	Bi-annual	All education stakeholders
Qualitative study on state capacity	Report	End of programme	All education stakeholders
DFID Programme Completion Review	Report of Programme Completion Review	End of programme	Forum of Education Commissioners and SUBEB Chairs; State Education Steering Committee; Programme Management Committee

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

Communications and Knowledge Management

180. During the extension, ESSPIN's Communication and Knowledge Management strategy will focus more strongly on disseminating evidence generated by the programme. The revised CKM Strategy is included in Annex 6.

181. A core assumption underpinning ESSPIN's Theory of Change, is that education change can be driven through ''seeing is believing''- the process of piloting an integrated approach to school improvement, demonstrating its results, and communicating these to key stakeholders – at Federal, State, LGEA, School and community levels. Our Communication and Knowledge Management Strategy and activities are therefore central to how we believe ESSPIN supports change in education in Nigeria.

182. It is therefore imperative that the management of information in ESSPIN during the extension period consolidates on mobilising the increased number of stakeholders across the states to continually act to improve basic education, and also proactively seeks to capture and present evidence of the difference we have made and are still making.

183. ESSPIN remains committed to the management of knowledge and learning derived from the programme itself. The mainstay of the KM strategy remains the availability of all Programme-generated documentation on the ESSPIN website and archived on the ESSPIN intranet. The dissemination of key documents and summaries, and reader friendly versions, through various media will continue. We also understand the need to tap in to the store of tacit knowledge held by Programme colleagues and partners.

184. ESSPIN evaluation and research studies will continue to be disseminated in a variety of forms, including as Evidence of Impact Papers; Experience Papers; and 'ESSPIN Best Practices' papers. The 'Best Practices' document lessons learned about 'what works' in delivering effective basic education in Nigeria. To be included in the series, the ESSPIN practices must have been *demonstrated* to lead to desired outputs and outcomes, and will therefore often be used to disseminate evaluation findings.

185. In the interests of long-term sustainability of programme outputs, ESSPIN continues to embed KM activities within government and civil society organisations. This is achieved through KM experts within ESSPIN state teams. The Social Mobilisation Departments of the State Universal Basic Education Boards have been identified as key partners to capture and disseminate information relevant to promote quality basic education and community involvement.

186. The KMS will therefore lead ESSPIN's support for capacity building for KM in SUBEB and seek to link ESSPIN KM to this as appropriate. There is also the potential for similar engagement with CSOs with the prospect of brokering positive relationships between government and CSOs around information gathering and sharing.

187. There is also distinct state level KM work plan managed by state Knowledge Management Specialists (KMS) with support from C&KM Coordinator working with state colleagues and partners, especially SMDs. The messaging will be cognisant of the current and planned ESSPIN interventions in the context of each state progress and the general status of the programme as it moves through the extension period.

188. Following the General Election in April 2015, the programme developed an early political engagement strategy with new state administrations, particularly Governors, Commissioners and SUBEB Chairs. This strategy will be further developed to include a communication plan. Observing relevant political sensitivities within this period, the communication plan will outline an approach for disseminating the findings of Composite Survey 2.

189. KM will have a monitoring role paying special attention to the objective of documenting the success, or otherwise, of ESSPIN supported interventions and so providing evidence of impact and demonstrating good value for public money. This is also essential for the roll-out of the programme's achievements, best practice and sharing of lessons learnt within the six states, other states and other programmes. The information must be presented in appropriate and accessible formats for a wide audience.

190. A wide range of communication methods are used to communicate evidence and lessons learned, including brochures and leaflets, website, social media, film, radio and community theatre. Communication strategies will build on proven successful approaches, and will introduce new methods.

191. Case studies and impact stories (and new ones) will now be collated in a booklet form and CD. This will be similar to a collection of poems, short stories, plays, songs, drawings, paints, etc. by an author or group of authors. In this case it will be a collection and publication of case studies, quotes, voices, one-liners, etc. of ESSPIN impacts and outcomes in a compact single form that can be easily shared and accessed.

192. To expand the knowledge and provide opportunity for better understanding of what is happening in the education sector, ESSPIN's KM will tease out policy issues from its research reports and produce policy briefs to inform policy, practice and service delivery by government and other relevant stakeholders.

193. ESSPIN KM will utilise government platforms like the JCCE and NCE and other education and development seminars, roundtables, conferences and many other intermittent and informal seminars and workshops to share and to showcase impact and knowledge of its works.

194. International platforms will be used to disseminate findings with a broader international audience including peer-reviewed journals, international conferences (e.g. CIES, UKFIET), joint workshops (e.g. with Development Partners), seminar presentations etc.

195. ESSPIN will continue to build national capacity in the fields of communication and knowledge management. In the last two years, ESSPIN has strengthened the Communications and Knowledge Management function of SMD in the six states. With improved work with UBEC in Abuja which has resulted in more funding going to SUBEBs to implement education reform components like SBMC and SSIT using the ESSPIN Model, the C&KM team will be working with Social Mobilisation department of UBEC to strengthen its KM core function.

196. KMSs will work with SMD at SUBEB and LGEA level to sensitise communities on developments within the education sector. Key activities will be drawn from SMD Communication Strategy and work plan to mobilise communities to demand for accountability up to the policy level.

197. ESSPIN will provide further training for journalists and continue to support to the CSO/Media Forum.

198. Also situated within the C&KM work plan is the Communication Impact Survey. The first exercise was undertaken in 2010 and will be repeated in 2015.

Annex 1: Monitoring Action Plan

	2014-15			2015-16			2016-17			
	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
State capacity building in M&E										
Budget monitoring										
Results monitoring										
Sector performance review										
Need-driven skills development										
Programme monitoring										
logframe monitoring (outputs, outcomes, impact)										
Workplan monitoring (activities, suboutputs)										

See Annex 4 for evaluation work plan

Annex 2: DFID Quarterly Reporting Format[36]

	PERIOD ACTUAL (Jan 2015 - Mar 2015)							CUMULATIVE ACTUAL TO DATE Jul 12 - Mar 2015						
Key results by state	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**
Number of target schools (public)														
Primary	15,639	1,223	1,955	4,225	5,732	1,497	1,007	15,639	1,223	1,955	4,225	5,732	1,497	1,007
JSS (and SSS Kano only)	589	-	49	100	33	407	-	589	-	49	100	33	407	-
Total	16,228	1,223	2,004	4,325	5,765	1,904	1,007	16,228	1,223	2,004	4,325	5,765	1,904	1,007
Number of learners in target schools (public)								-						
Male	2,869,439	132,102	308,060	642,615	1,396,997	158,825	230,840	2,869,439	132,102	308,060	642,615	1,396,997	158,825	230,840
Female	2,640,357	129,639	231,769	550,354	1,346,650	143,830	238,115	2,640,356	129,638	231,769	550,354	1,346,650	143,830	238,115
Total	5,509,796	261,741	539,829	1,192,969	2,743,647	302,655	468,955	5,509,795	261,740	539,829	1,192,969	2,743,647	302,655	468,955
Number of target schools (non-state)	753	31	180	222	320	-	-	908	186	180	222	320	-	-
Number of learners in target schools (non-state)								-						
Male	25,219	3,348	12,166	9,238	467	-	-	54,202	23,436	12,166	9,238	9,362	-	-
Female	17,892	3,286	9,960	4,353	293	-	-	45,974	23,002	9,960	4,353	8,659	-	-
Total	43,111	6,634	22,126	13,591	760			100,176	46,438	22,126	13,591	18,021		
Children accessing water from new units								-						
Male	-	-	-	-	-		-	94,214	2,346	14,593	17,388	45,155	12,806	1,926
Female	-	-	-	-	-		-	86,501	2,129	9,890	14,812	46,659	10,995	2,016
Total	-							180,715	4,475	24,483	32,200	91,814	23,801	3,942

[36]The main source of information for data in the table is training information and other project records kept by ESSPIN state teams.

	PERIOD ACTUAL (Jan 2015 - Mar 2015)							CUMULATIVE ACTUAL TO DATE Jul 12 - Mar 2015						
Key results by state	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**
Communities (at 300 Households [avg.] per unit) in Kaduna only	-	-	-	-	-		-	27,600	-	-	27,600	-	-	-
Girls with access to separate toilets	-	-	-					76,473	6,540	10,128	11,360	41,007	5,832	1,606
Learners benefiting from new/renovated classrooms								-						
Male	-	-	-	-	-		-	64,883	10,715	1,776	734	32,478	13,505	5,675
Female	-	-	-	-	-		-	58,976	9,685	1,184	626	30,232	11,000	6,249
Total	-							123,859	20,400	2,960	1,360	62,710	24,505	11,924
Learners benefiting from direct school funding								-						
Male	-	-	-	-	-		-	639,722	132,084	102,124	28,313	334,385	17,747	25,069
Female	-	-	-	-	-		-	577,013	129,638	77,040	24,119	304,083	16,289	25,844
Total	-							1,216,735	261,722	179,164	52,432	638,468	34,036	50,913
Community sensitised/trained and supported to support school improvement - Persons Training Day(PTDs)								-						
Male	74,113	15	5,382	28,442	36,040	2,023	2,211	1,020,196	16,498	57,028	171,992	232,414	91,479	450,785
Female	26,931	66	2,598	12,337	9,010	1,802	1,118	636,423	15,465	18,246	85,089	133,961	75,393	308,269
Total	101,044	81	7,980	40,779	45,050	3,825	3,329	1,656,619	31,963	75,274	257,081	366,375	166,872	759,054
Community sensitised/trained and supported to support school improvement - Actual Numbers								-						
Male	54,590	15	3,879	28,442	18,020	2,023	2,211	149,113	4,425	26,850	28,442	40,342	38,884	10,170
Female	21,424	66	1,596	12,337	4,505	1,802	1,118	93,632	4,623	7,965	12,337	28,892	32,238	7,577
Total	76,014	81	5,475	40,779	22,525	3,825	3,329	242,745	9,048	34,815	40,779	69,234	71,122	17,747
CSO members trained to support school improvements - Person Training Days (PTDs)								-						
Male	630	35	82	194	180	106	33	7,625	646	1,169	1,812	2,819	688	491

	PERIOD ACTUAL (Jan 2015 - Mar 2015)							CUMULATIVE ACTUAL TO DATE Jul 12 - Mar 2015						
Key results by state	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**
Female	397	85	74	86	40	78	34	4,206	784	664	750	653	931	424
Total	1,027	120	156	280	220	184	67	11,831	1,430	1,833	2,562	3,472	1,619	915
CSO members trained to support school improvements - Actual numbers								-						
Male	248	7	26	97	36	64	18	893	95	100	97	402	153	46
Female	351	17	222	43	8	42	19	735	97	244	43	94	197	60
Total	599	24	248	140	44	106	37	1,628	192	344	140	496	350	106
Safe spaces for women and children	16,853	242	594	2,087	10,162	1,760	2,008	16,853	242	594	2,087	10,162	1,760	2,008
Female learners benefiting from cash conditional transfer (Kano)	-	-	-	-	-	-	-	11,050	-	-	-	11,050	-	-
Additional girls in school (girl education project - Jigawa & Kaduna)	2,929	-	-	2,929	-	-	-	12,647	-	9,718	2,929	-	-	-
Teachers trained and supported (Public Schools) - Person Training Days (PTDs)								-						
Male	92,290	2,435	7,687	11,680	42,048	28,440	-	821,224	10,112	172,592	83,395	287,620	224,179	43,326
Female	80,210	19,745	1,275	10,320	6,210	42,660	-	673,881	83,236	32,250	78,969	84,545	294,993	99,888
Total	172,500	22,180	8,962	22,000	48,258	71,100		1,495,105	93,348	204,842	162,364	372,165	519,172	143,214
Teachers trained and supported (Public Schools) - Actual number								-						
Male	34,642	487	3,051	5,840	14,016	11,248	-	79,005	487	12,882	14,461	38,031	11,248	1,896
Female	20,260	3,949	427	5,160	2,070	8,654	-	40,112	3,949	2,429	13,441	5,134	8,654	6,505
Total	54,902	4,436	3,478	11,000	16,086	19,902		119,117	4,436	15,311	27,902	43,165	19,902	8,401
Teachers trained and supported (non-state Schools) - Person Training Days (PTDs)								-						

	PERIOD ACTUAL (Jan 2015 - Mar 2015)							CUMULATIVE ACTUAL TO DATE Jul 12 - Mar 2015						
Key results by state	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**
Male	534	12	-	522	-	-	-	34,909	1,356	5,143	10,077	18,333	-	-
Female	636	270	-	366	-	-	-	32,308	16,199	1,100	5,555	9,454	-	-
Total	1,170	282		888				67,217	17,555	6,243	15,632	27,787		
Teachers trained and supported (non-state schools) - Actual number								-						
Male	178	4	-	174	-	-	-	1,492	98	362	174	858	-	-
Female	212	90	-	122	-	-	-	1,830	1,440	65	122	203	-	-
Total	390	94		296				3,322	1,538	427	296	1,061		
Head teachers trained and supported (public schools) - Person training days (PTDs)								-						
Male	68,167	4,816	6,345	29,209	26,860	762	175	371,504	12,202	37,880	66,032	216,122	30,029	9,239
Female	18,016	4,968	59	9,216	1,800	1,142	831	119,314	15,264	1,078	20,892	12,602	42,185	27,293
Total	86,183	9,784	6,404	38,425	28,660	1,904	1,006	490,818	27,466	38,958	86,924	228,724	72,214	36,532
Head teachers trained and supported (public schools) - Actual numbers								-						
Male	6,391	602	1,573	3,281	-	762	173	15,800	602	4,915	3,281	5,657	1,153	192
Female	3,650	621	14	1,044	-	1,142	829	3,509	621	86	1,044	75	775	908
Total	10,041	1,223	1,587	4,325		1,904	1,002	19,309	1,223	5,001	4,325	5,732	1,928	1,100
Head teachers trained and supported (non-state, Enugu only) - Person training days (PTDs)								-						
Male	-	-	-	-	-	-	-	1,606	1,606	-	-	-	-	-
Female	217	217	-	-	-	-	-	5,702	5,702	-	-	-	-	-
Total	217	217						7,215	7,215					
Head teachers trained and supported (non-state, Enugu only) - Actual Number								-						
Male	-	-	-	-	-	-	-	40	40	-	-	-	-	-
Female	31	31	-	-	-	-	-	144	144	-	-	-	-	-

	PERIOD ACTUAL (Jan 2015 - Mar 2015)							CUMULATIVE ACTUAL TO DATE Jul 12 - Mar 2015						
Key results by state	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**	**TOTAL**	**EN**	**JG**	**KD**	**KN**	**KW**	**LG**
Total	31	31						184	184					
State/LGEA officials trained to support school improvement - Persons Training Days (PTDs)								-						
Male	33,437	1,281	586	12,700	14,125	3,811	934	210,989	10,222	20,021	57,852	103,703	13,212	5,979
Female	18,565	2,144	198	10,821	2,357	2,369	676	82,199	12,777	3,980	28,725	20,469	8,244	8,004
Total	52,002	3,425	784	23,521	16,482	6,180	1,610	293,188	22,999	24,001	86,577	124,172	21,456	13,983
State/LGEA officials trained to support school improvement - Actual Number								-						
Male	4,992	508	341	805	1,908	798	632	24,054	508	4,288	4,519	12,040	2,067	632
Female	2,276	522	59	392	349	466	488	7,643	522	1,217	1,808	2,563	1,045	488
Total	7,268	1,030	400	1,197	2,257	1,264	1,120	31,697	1,030	5,505	6,327	14,603	3,112	1,120
Schools inspected using QA methodology	569	40	22	121	215	80	91	5,209	131	161	1,039	2,416	679	783

Annex 3: School Resource Indicators

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

		>0.4	0		
	7. School has water source	Yes No	3 0	BY	3
	8. Health facility	Clinic First aid No	2 1 0	BZ	2
	9. Use of outside classrooms	No Yes	2 0	CA	2
	10. Source of electricity	Yes No	2 0	CB	2
	11. Fence	Yes Needs repair No	2 1 0	CD	2
				CE	47

B. Adequacy of Staffing (Maximum Score =47)	1. Pupil/teacher ratio	<=40 41-50 51-70 >=71	8 6 4 0	CF	8
	2. Pupil/Non-teaching staff ratio	<50 50-100 <100	3 2 1	CG	3
	3. Average academic teacher qualification	4 3-3.99	6 4	CH	6

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

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

Annex 4: Evaluation Strategy

Introduction

199. ESSPIN's evaluation strategy has been strengthened to prepare the programme for the following evaluation events:

- DFID Final Evaluation of the five State Led Programmes.
- DFID Annual Review of ESSPIN (2015)
- DFID end of programme evaluation of ESSPIN

200. Preparations for DFID's Final Evaluation of the five State Led Programmes are scheduled to commence during 2015 with the Evaluation itself taking place in 2016. It will be implemented by IMEP and the SLP evaluation activities are included within ESSPIN's evaluation work plan (provided below). The SLP Final Evaluation will include programme Self-Assessments. ESSPIN's self-assessment is scheduled to take place in September 2015. The evaluation strategy will enable ESSPIN to prepare for this event.

201. DFID's Annual Review of ESSPIN will take place in October 2015. DFID, IMEP and ESSPIN have agreed that annual review activities will be aligned with the SLP Self-Evaluation, to avoid over-burdening the programme with multiple evaluation activities.

202. ESSPIN will work with the provider contracted by DFID to implement the DFID Programme Completion Review. ESSPIN's evaluation strategy ensures that evidence required will be available for the Programme Completion Review.

Background

203. An appropriate evaluation strategy for ESSPIN must respond to the complex nature and history of the programme.

204. ESSPIN is based on a complex Theory of Change (presented in the Learning and Evidence Strategy). The programme is comprised of a number of individual components, and the Theory of Change emphasises the importance of the inter-relations between components in bringing about improved quality of schooling and learning outcomes for children.

205. The key question for the evaluation of ESSPIN is whether, and how, ESSPIN's capacity development model has improved school quality and learning outcomes of pupils in schools in Nigeria.

206. Secondly, the programme has evolved, and changed, in response to State priorities. 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. 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.

207. In the rollout phase delivered through state government funding there is more flexibility about which of the elements of the ESSPIN SIP are included in a State package. The evaluation will examine how effective this strategy has been in particular, its implications for school improvement and children's learning.

208. 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. 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.

209. The extension phase, July 2014 to January 2017 will focus on consolidating the ESSPIN's support in the 6 focal states, supporting state rollout to even more schools, and focusing on further improving the quality of basic education and children's achievement of learning outcomes.

Purposes of evaluation

210. Evaluation will judge whether ESSPIN has achieved the outcomes and impact proposed by the Theory of Change, and the extent to which these achievements can be attributed to ESSPIN activities. This supports ESSPIN's accountability to DFID, the Government of Nigeria and other stakeholders.

211. Evaluation activities are already used within ESSPIN to provide formative information to help with programme design and management.

212. Evaluation activities will continue to help ESSPIN and stakeholders learn about what works in Nigeria, and why. The evidence generated will be used to keep improving programme interventions, and their effectiveness. It will also help strengthen international evidence base about how to improve children's learning outcomes in developing contexts.

213. Evidence generated through evaluation is used to inform political engagement with stakeholders at all levels, and to encourage the take up of 'best practices' that are supported by evidence, including take up of the SIP by States.

214. Consultations with DFID and ESSPIN identified a range of areas of interest for evaluation. Out of these, two have been prioritised for further research: a) to evaluate how ESSPIN has built state capacity; b), to examine the relative contribution of the SIP components. In addition, areas for the development of best practice papers, documenting lessons learned through ESSPIN will continue.

Evaluation Users

215. Many stakeholders share an interest in the evaluation of ESSPIN. The primary users of evaluations are DFID Nigeria and ESSPIN. Evaluation activities will be designed to address their needs and questions. Primary users will be involved in the design of evaluation and will be informed throughout implementation.

216. Secondary users include Government of Nigeria, Federal Ministry of Education, UBEC, SUBEBs in the DFID focal states and LGEAs. These groups are very important as they should apply results of the evaluation directly in their governance activities. Evaluations must be structured to incorporate the needs of these users.

217. Stakeholders that will need to be closely involved in dissemination activities include head teachers and teachers, CSOs engaged in education advocacy at Federal, State and local levels; SBMCs and all those with an interest in improving children's learning outcomes in Nigeria, including SUBEBS of other Nigerian states; teacher training colleges; research community in Nigeria. Communication activities will be designed specifically for these audiences.

218. The key stakeholders and users of the evaluation will be consulted on the evaluation design and key questions. ESSPIN will maximise the involvement of programme stakeholders in the development and implementation of evaluation activities.

Evaluation questions

219. Evaluation activities will ensure that the following questions are addressed:

Table: Key Evaluation Questions

OECD DAC Evaluation Criteria	Key Questions	Studies
Relevance	How appropriate is ESSPIN's SIP to the needs, priorities and constraints in schools in Nigeria? How well has the SIP aligned with the interests of key stakeholders?	Composite Surveys EDOREN Qualitative Research on State Capacity Evaluation of support to SBMC
Relevance	Does ESSPIN's support address needs, priorities and constraints of education administration at the State level in Nigeria? How well has the SIP aligned with the interests of key stakeholders?	EDOREN Qualitative Research on State Capacity
Effectiveness	Has ESSPIN led to changes in the sustainable quality and inclusiveness of schools in DFID supported states in Nigeria?	Composite Survey Study on the components of the SIP EDOREN Qualitative Research on State Capacity
Effectiveness	Has ESSPIN led to changes in the effectiveness of the support that Federal Government systems provided to States in implementing school improvement	EDOREN Qualitative Research on State Capacity
Effectiveness	Has ESSPIN led to changes in the effectiveness of states' management of education in Nigeria?	EDOREN Qualitative Research on State Capacity Self-Assessment Reports
Effectiveness	Has ESSPIN led to changes in the effectiveness of schools in delivering quality basic education?	Composite Surveys SSO reports
Effectiveness	Has ESSPIN led to changes in the effectiveness of community participation in school improvements?	Composite Surveys SMBC Impact Study SMO Reports

OECD DAC Evaluation Criteria	Key Questions	Studies
Impact	Has ESSPIN led to improved achievement of national standards at Primary 2 and Primary 4 in literacy and numeracy? Can these be attributed to the SIP?	Composite Survey
Efficiency	Does ESSPIN offer value for money in terms of the costs of impacts, were results achieved on time and to plan? How does ESSPIN ensure equity, efficiency and economy?	Quarterly Reports Programme Completion Review
Efficiency	Is the SIP model cost effective for states?	Quarterly reports?
Sustainability	Are the improvements in education management, finance and school quality sustainable without further DFID support?	Qualitative Research on states

Note: a detailed breakdown of sub-questions is provided in Annex

220. Evaluation activities will also test the Theory of Change and build evidence to review each transition in the Results Chain. Tables X and Y in the Learning and Evidence Framework present an analysis of the Theory of Change to inform the evaluation questions. The review of the evidence base suggests that evaluation of the causal chain from activities to outputs, and from outputs to outcomes is required, particularly with respect to building state capacity.

The SIP implemented during scale up varies between each State, and from the original model piloted by ESSPIN. We therefore need to evaluate the effectiveness of the SIP roll out, and impact of different variations of the SIP.

Principles:

221. 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.

222. **Ethics:** Large scale surveys in schools present particular challenges for managing quality and ensuring ethical practice. Oxford Policy Management (OPM)'s ethics code and standards will be implemented throughout survey work. This will ensure the research is conducted in such a way that it meets certain ethical principles, and to ensure that it is subject to proper professional and institutional oversight in terms of research governance.

223. All staff working on the Composite Survey will be required to adhere to the OPM Guidelines on Research Ethics and Quality. They will receive training in how to implement the guidelines in the course of their work on the survey.

Evaluation Work Plan

224. Several studies that provide evidence for evaluations have already been implemented by ESSPIN.

225. Additional studies will be implemented during the extension phase. The work plan for these studies is provided below.

226. The Composite Survey is the main method for evaluating the project's Theory of Change and the impact of ESSPIN's School Improvement Programme (SIP). Building from the results of the Composite Survey in 2012, the Survey was implemented in 2014 and a final round will be implemented in 2016. It covers the activities and effectiveness of headteachers, classroom observation of teaching-learning practices and the functioning of SBMCs, together with an assessment of learning achievement. 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. The final Composite Survey will also be significant for evaluating the effectiveness and impact of the SIP when it is implemented to scale. A survey concept paper is available which describes the rationale, proposed methodology and approach to the survey. Further details of methodology are presented in the reports of the Composite Survey 2012 and 2014.

227. Key evidence gaps identified through the analysis of the Theory of Change will be addressed through a proposed qualitative study that will focus on evaluating how ESSPIN has helped to build the capacity of the states.

228. Certain studies that were carried out by ESSPIN will be repeated during the extension. These include:

Annual School Census Validation Survey

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 two Validation Surveys undertaken by ESSPIN for the 2009/10 and 2012/13 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. To maintain trust in the results of the ASC, a further validation survey will be undertaken in 2015 to review the 2014/15 ASC data.

Study of state governments' level and composition of expenditure on ESSPIN influenced school improvement activities.

Studies on expenditure were carried out in 2012 and 2014. During the extension, ESSPIN is proposing a further PFM study. In order to identify the nature of the study, ESSPIN is developing a concept note to examine: existing studies in PFM; review the availability and quality of available data; and review existing support to PFM and strengthening budget transparency. The concept paper will identify a relevant research study.

229. The end of programme evaluation of ESSPIN will be externally led. Although the DFID Programme Completion Review of ESSPIN is currently under the mandate of IMEP, the extension of ESSPIN's closure to 2017 means that it will not be possible for IMEP to perform the evaluation. It is proposed that EDOREN carries out the ESSPIN Programme Completion Review. ESSPIN's set of planned studies will not only form the basis of internal self-evaluation but will also inform the Programme Completion Review. The **Programme Completion Review** of ESSPIN will need to go beyond the log frame indicators and investigate how 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 qualitative research on state capacity will therefore provide an important evidence source for the DFID Programme Completion Review for ESSPIN, as well as the Final Evaluation of the SLPs. The final Composite Survey will also be significant for evaluating the effectiveness and impact of the SIP when it is implemented to scale.

230. ESSPIN evaluation and research studies will be disseminated through Evidence of Impact Papers; Experience Papers; and 'ESSPIN Practice Papers'. The 'Practice Papers' document lessons learned about 'what works' in delivering effective basic education in Nigeria. To be included in the series, ESSPIN practices must have been *demonstrated* to lead to desired outputs and outcomes. Findings from evaluations about 'what works, and how it works' will be disseminated through the Practice Papers series.

Capacity building:

231. Bearing in mind the purpose of the state M&E systems strengthening work, evaluation affords opportunities 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 studies. An appropriate balance between using parts of an evaluation as a practical training exercise, and more full involvement in the analytical work may vary across states, partly dependent on the success of on-going M&E capacity development in the states.

232. Evaluation and research may also be implemented using specific methodologies that build research capacity within education communities for example research partnerships etc. Evaluations will be implemented in partnership with relevant structures including PRS, SSO, SMO, SSIT. This will strengthen capacity evaluation in relevant institutions and ensure that findings are generated within the structures where they are of most value.

ESSPIN Evaluation Work Plan (as at 10 February 2015)

	Evaluation activities	Aug-Oct 2014	Nov 2014 - Jan 2015	Feb - April 2015	May – July 2015	Aug-Oct 2015	Nov 2015 -Jan 2016	Feb - April 2015	May – July 2016	Aug-Oct 2016	Nov 2016 - Jan 2017
	Composite Survey										
	Implement CS 2										
	Report CS 2										
	Implement CS 3										
	Report CS 3										
	EDOREN Qualitative Research on State Capacity										
	Develop TOR										
	Contract Research Provider										
	Design research and prepare research team										
	Implement Research					Oct					
	Report Delivered										
	Study on effectiveness of SIP components										
	Agree resources for development of ToR										
	Develop ToR for further analysis of CS2										
	Interrogate data on SIP										
	Identify potential qualitative research on SIP components										
	SBMC Impact Study										
	SMBC Impact Study 3										
	PFM Study										

	Evaluation activities	Aug-Oct 2014	Nov 2014 - Jan 2015	Feb - April 2015	May – July 2015	Aug-Oct 2015	Nov 2015 -Jan 2016	Feb - April 2015	May – July 2016	Aug-Oct 2016	Nov 2016 - Jan 2017
	Develop ToR for study and contract provider										
	Implement study										
	Validation Surveys										
	ASC validation survey										
	Expenditure survey										
	Conflict Study										
	Study of impact of violence on education										
	IMEP Annual Review of ESSPIN										
	IMEP provide self-assessment formats /request for evidence			Mar/ Apr							
	ESSPIN completes self-assessment for IMEP					Sept					
	IMEP Team implement review					Oct					
	Annual Review report delivered										
	IMEP Final Evaluation of SLPs										
	Provide inputs to the SLP design and plan			Mar/ Apr							
	Approach paper			Apr							
	Inputs to comparative study of service delivery units					Oct	Nov-Dec				
	SLP review mission								June		
	Final Report of SLP evaluation										

	Evaluation activities	Aug-Oct 2014	Nov 2014 - Jan 2015	Feb - April 2015	May – July 2015	Aug-Oct 2015	Nov 2015 -Jan 2016	Feb - April 2015	May – July 2016	Aug-Oct 2016	Nov 2016 - Jan 2017
	Final Annual Review (not IMEP)										
	DFID contract reviewer										
	Review team inform ESSPIN of evidence required										
	ESSPIN collect evidence									Aug	
	Review team visit									Oct	
	Annual Review Report									Oct	
	DFID Programme Completion Review										
	DFID Develop TOR for DFID Programme Completion Review										
	DFID Contract Service Provider										
	Reviewers agree evidence required with ESSPIN										
	Programme Completion Review implemented										
	Programme Completion Review reported										

POSSIBLE QUESTIONS FOR THE DFID PROGRAMME COMPLETION REVIEW OF ESSPIN

Possible evaluation questions are proposed below. These will need to be revisited during the development of the Terms of Reference for the ESSPIN Programme Completion Review, and after the EDOREN Qualitative Research Study on State Capacity has been completed. The review questions will focus on questions that the Programme Partners agree have not been sufficiently addressed by evidence built during the programme, including the Composite Survey and Qualitative Research Study. Some questions that may remain open for review include:

Relevance

233. Were the interventions at the Federal level the most appropriate ones for influencing national systems supporting school improvement in states?

234. On what basis were the specific interventions at school level aimed at improving pupil learning achievement chosen? Why were other possible interventions not included?

235. How relevant were the choices made regarding the level of additional efforts for specific groups of children (e.g. girls, children in Koranic schools etc.)?

Impact (using a broader definition than in the logframe)

236. Have the scores of children enrolled in ESSPIN first phase schools improved in numeracy and literacy assessments, and more so than in other schools?

237. 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?

Effectiveness

238. Have the physical infrastructures provided by the programme been of higher quality as a result of different procurement practices, designs and community oversight?

239. What has been the effect of the programme's direct grants to schools (and possibly the self-help grants from UBEC) on school improvement?

240. Has the conditional cash transfer scheme in Kano been effective in increasing attendance?

Efficiency

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

242. How have costs of training per head teacher and per teacher changed over the programme period?

243. How have management/overhead costs as % of total project cost changed over the programme period?

244. What was the unit cost of the ESSPIN school improvement package for first phase schools, and for the rollover?

Sustainability

245. Are systems in place to improve the quality/relevance/effectiveness of new physical infrastructure through improved procurement practices and designs, and SBMC oversight?

246. 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?

247. To what extent have state government staff taken over the activities of ESSPIN staff and consultants over the programme period?

248. Will the state school improvement teams remain operative and be funded by the state government?

Annex 5: ESSPIN Risk Register

Risk	Current rating	Possible Consequences	Key mitigation strategies
Security risk – attack on staff or offices (northern States)	Medium probability, High impact	• Death or injury to someone working on ESSPIN • Kidnapping • Damage to CE/DFID reputation • Inability to meet results targets and deliver against DFID objectives	• Review of working hours • Travel restrictions • Convoy travel for inter-LGA and inter-state trips • Identification of safe havens • Safety audit of meeting venues • Active information networks • Security clearance protocols for all travelers • Business continuity plans, including evacuation plans, in place • Up-to-date communications equipment, including satellite phones
Security risk –staff safety compromised due to transition-related violence	Medium probability, High impact	• Security meltdown in certain areas of Nigeria • Military intervention • Areas of Nigeria becoming no-go areas • Inability to meet results targets and deliver against DFID objectives	• See security management actions above • Elections passed peacefully, staff to be alert during transition on 29 May.
Implementation risk- FME lacks vision and commitment to national systems	High probability, medium impact	• Important policy reforms are not initiated • Delays in approval of national policies • Lack of funding for operationalising national systems, e.g. on MLA	• Engagement with the HME's Office (in conjunction with DFID) to support national strategy • Engagement with wider definition of education sector leaders (particularly UBEC leadership)

Risk	Current rating	Possible Consequences	Key mitigation strategies
Financial risk –states do not utilize or disburse funds as intended	High probability, High impact	• Reduced budget will lead to reduced activity • Reduced activity will impact on reaching agreed results and targets • Implications on current staff levels and staff profile • Possible impact on ability to deliver in 6 states in Nigeria	• Diversify SIP funding base through engagement with budget process, ExCo subventions, etc. • Maintain the partnership by providing TA to UBEC in its drive to establish functioning SBMCs and effective QA system in all Nigerian schools • Support UBEC's efforts in other intervention areas, e.g. Inclusive education, IQTE and QA. • Support eligible states to explore other sources of school improvement funding, e.g. GPE, EAC
Sustainability risk – State's commitment to school improvement expansion reduces	High probability (linked to change of government), High impact	• The changes ESSPIN introduces to states are not continued after the programme finishes	• Ongoing political engagement, including quarterly meetings of principal State officials • Collaboration with DFID in high level engagements with State executives • Support of alternative funding partnerships, e.g. UBEC, GPE • Capacity building for State technical cadres, CSOs and local communities • Development of Sustainability Strategy
Sustainability risk – reduced federal allocations to states due to drop in oil revenue	High probability, High impact	• State budget allocations insufficient to continue SIP • The changes ESSPIN introduces to states are not continued after the programme finishes	• Ongoing political engagement to influence favourable allocations to education • Clear prioritisation of programmes in MTSS and DWPs • Close monitoring of allocation and expenditure trends through QMRs • Reinforcement of positive evidence of impact of the SIP • Support to CSOs to carry out issues based advocacy • Proactive exploration of alternative funding sources, e.g. donor opportunities, EAC in Kano

Risk	Current rating	Possible Consequences	Key mitigation strategies
Implementation risk – diversion of SIP resources, including UBEC-IF; lack of budget discipline in education MDAs	High probability, High impact	• Expected funds not leveraged. Programme does not reach targets	• Ongoing political engagement • Quarterly Monitoring Reports by HCs to promote transparency and accountability • Robust data management and reporting systems, including access to school performance data by communities • Involvement of CSOs in strategic planning and monitoring, e.g. MTSS, budget tracking
Implementation risk- Failure of states to respond to severe school quality problems, including using the SIP approach to raise standards. Failure of Mission Schools to commit and release funds for MSIT (Enugu specific).	Medium probability, High impact	• Standards do not improve as expected or decline	• Continue to demonstrate effectiveness of the school improvement model through consolidation work in phase 1 schools and roll out to new schools • Support States to incorporate Composite Survey findings in their Annual Sector Performance Review reports.
Implementation risk – shortage of teachers in rural areas	High probability, Medium impact	• Lessons do not take place and children do not meet basic learning outcomes in literacy and numeracy	• Encourage State implementation of teacher recruitment & deployment policies • Engage LGAs in provision of rural infrastructure for teachers • Improve teacher attendance monitoring systems
Implementation risk- Failure to recognise the role of women and children in school governance	Medium probability, Medium impact	• Programme is gender-blind or does not take account of needs of women and children • Women and children have no voice in school improvement activities	• Safe Spaces (women and children's committees) created in SBMCs • Ongoing mentoring of SBMCs by CSOs • Documentation and dissemination of examples of women contributing effectively to school improvement as a good advocacy tool • CSOs undertake advocacy campaigns on behalf of women and children

Risk	Current rating	Possible Consequences	Key mitigation strategies
Implementation risk- Marginalised groups in states continue to be side-lined due to overriding cultural factors	Medium probability, Medium impact	• Programme does not ~~been~~ meet our objectives of working with ~~the~~ vulnerable children and is not inclusive. • Lack of equity in state expenditure on basic education as only 'visible' children will benefit	• Progress on enabling policy environment for inclusive education in ESSPIN States as evidenced in State self-assessments. • Every State now has an inclusive education programme with a clear policy basis • Selected States conducting surveys of out-of-school children with ESSPIN technical assistance. • Ongoing CSO advocacy work including regular interaction with traditional / religious leaders. • Policies and practice on posting of rural, local language and female teachers.
Implementation risk- Teacher (re-)postings dissipate impact of training and critical mass of change agents at school level	Medium probability, High impact	• Teacher (re-) postings dissipate impact of training and critical mass of change agents at school level • Teacher competency targets are not achieved and school quality does not improve	• Re-assess theory of change. • Re-assess intervention model. • Work with TDP on sustainable teacher deployment models • Ongoing engagement with SUBEBs to encourage retention of trained teachers
Implementation risk- Climate change drives conflict between herdsmen and crop farmers	Low probability, High impact	• Violent conflict disrupts school attendance and leads to possession of school buildings/shelters for displaced persons • Children drop out of school as school routes become unsafe	• Climate change resilience and sustainability consultations with stakeholders, analysis, recommendations • Review and implementation of findings from conflict and education study

Risk	Current rating	Possible Consequences	Key mitigation strategies
Sustainability risk- lack of state government recognition of CSOs	Medium probability, medium impact	• SBMC support decreases and has impact on school governance • LGEA officials become complacent in their community support role • Lack of CSO involvement in strategic planning processes limits government accountability • Community level data collection processes are undermined	• ESSPIN consistently encourages states to engage CSOs directly to help train, mentor and monitor SBMCs. • ESSPIN's SBMC model now includes the concept of Civil Society/Government Partnerships (CGPs) that brings CSOs and LGEA Desk Officers together as SBMC training and support teams. • Evidence gathering on the impact that CSOs are helping to achieve with regards to voice and accountability. • New challenges to CSOs and States to forge sustainable service delivery partnerships through a proposal and grant funding mechanism.
Sustainability risk – Slow institutional uptake of reform programmes	Medium probability, Medium impact	• The states are not institutionally ready to continue with SIP once ESSPIN finishes • States may be willing but lack the institutional capacity to consolidate SIP activities • Impact of SIP dissipates after a few years and reversal occurs	• Ongoing political engagement • Sustained capacity building through the Extension phase of ESSPIN • Deepening of LGEA engagement strategy
Sustainability risk – State Cabinet reshuffles result in new appointees with low commitment to education	Medium probability, Medium impact	• Programme activities get delayed with effects on learning outcomes of children • New officials reject the SIP due to lack of understanding or low priority • SIP funding is diverted to other objectives	• Political engagement strategy with incoming administrations • Orientation exercise for newly appointed principal officials • Ongoing capacity building for technical cadre

Risk	Current rating	Possible Consequences	Key mitigation strategies
Sustainability risk – failure of communities and governments to safeguard school facilities provided by DFID-ESSPIN	Medium probability, Medium impact	• School infrastructure and resources deteriorate. Schools become unsafe for pupils and unconducive for learning • DFID's investment in school infrastructure is lost	• Social Mobilisation Officers mobilising communities to take ownership • Monitoring tools transferred to state actors from consultants • Community asset management introduced into infrastructure maintenance workstream • Political engagement with governments on provision of measures for school security and safety • Climate change, adaptation, sustainability and resilience component launched

Annex 6: Knowledge Management Strategy 2014-2017

Section 1. Introduction

Why Communication and Knowledge Management are important in ESSPIN

1. The ESSPIN Knowledge Management Strategy was developed in 2009 and updated in 2011 and 2013. The strategy is now being updated based on present realities to cover the extension period 2015-2017.

2. The nature of C&KM work within ESSPIN has changed with a shift to a broader knowledge management (KM) agenda and more emphasis on evidence gathering and sharing. This is reflective of the six-year existence of the programme with initiatives in the four output areas now combining to show very positive results.

3. A core assumption underpinning ESSPIN's Theory of Change, is that education change can be driven through ''seeing is believing''- the process of piloting an integrated approach to school improvement, demonstrating its results, and communicating these to key stakeholders – at Federal, State, LGEA, School and community levels. Our Communication and Knowledge Management Strategy and activities are therefore central to how we believe ESSPIN supports change in education in Nigeria.

4. This is increasingly notable at school and community levels where the impact of ESSPIN support has been evident. Planned roll-out of ESSPIN pilot initiatives to more LGEAs in the six states is also proving successful. The main priority of ESSPIN's KM efforts is in and around schools. The knowledge, further learning and advocacy around school improvement are especially relevant to those working in schools.

5. It is therefore imperative that the management of information in ESSPIN during the extension period consolidates on mobilising the increased number of stakeholders across the states to continually act to improve basic education, and also proactively seeks to capture and present evidence of the difference we have made and are still making.

6. ESSPIN remains committed to the management of knowledge and learning derived from the programme itself. The mainstay of the KM strategy remains the availability of all Programme-generated documentation on the ESSPIN website and archived on the ESSPIN intranet. The dissemination of key documents and summaries, and reader friendly versions, through various media will continue. We also understand the need to tap in to the store of tacit knowledge held by Programme colleagues and partners.

What we will do

7. To achieve this, ESSPIN Knowledge Management will continue to:

- Communicate information on results for dissemination within their own project management roles.
- Provide qualitative data to corroborate quantitative data produced across the programme.
- Support the delivery of the ESSPIN outputs and the achievement of the higher level programme outcomes by gathering and disseminating relevant information to influence decision making by education sector stakeholders at all levels, and by promoting best practice for sustaining the reform of basic education.
- Facilitate the flow of information for widespread public awareness-raising and sensitisation of the diverse issues and challenges of the reform agenda, leading to greater mobilisation to action for change. This advocacy will include the development of greater understanding of the rights, responsibilities and roles of community, civil society and government actors and will encourage greater collaboration among them.
- Support the formulation and dissemination of education policy and (improved) practice which is responsive to public demands.
- Facilitate the flow of data from communities and schools to inform education policy makers and practitioners of progress made and the priority areas / issues of the sector which still require further attention and investment of resources by government and International Development Partners.
- Engage communities with duty bearers, either directly or indirectly, and ensuring a responsive audience for "voice" as essential for strong accountability relations. It is also essential for ESSPIN's own accountability to DFID, government partners and the international community to have a comprehensive record of achievement of improvements in schools and the quality of basic education as a result of ESSPIN interventions.
- Deliver key messages to diverse audiences through selected media– notably video, radio, the press, public viewing of the film versions of the community theatre performances and printed materials (including graphics and photographs). The messaging will be cognisant of current and planned ESSPIN interventions and the general status of the programme during the extension period.

How we will implement the strategy – embedded expertise and partnerships

8. In the interests of long-term sustainability of programme outputs, ESSPIN continues to embed KM activities within government and civil society organisations. This is achieved through KM experts within ESSPIN state teams. The Social Mobilisation Departments of the State Universal Basic Education Boards have been identified as key partners to capture and disseminate information relevant to promote quality basic education and community involvement.

9. The KMS will therefore lead ESSPIN's support for capacity building for KM in SUBEB and seek to link ESSPIN KM to this as appropriate. There is also the potential for similar engagement with CSOs with the prospect of brokering positive relationships between government and CSOs around information gathering and sharing.

10. There is also distinct state level KM work plan managed by state Knowledge Management Specialists (KMS) with support from C&KM Coordinator working with state colleagues and partners, especially SMDs. The messaging will be cognisant of the current and planned ESSPIN interventions in the context of each state progress and the general status of the programme as it moves through the extension period.

11. KM will have a monitoring role paying special attention to the objective of documenting the success, or otherwise, of ESSPIN supported interventions and so providing evidence of impact and demonstrating good value for public money. This is also essential for the roll-out of the programme's achievements, best practice and sharing of lessons learnt within the six states, other states and other programmes. The information must be presented in appropriate and accessible formats for a wide audience.

How we will implement the strategy - a key evidence, learning and communication tool

12. Through the *Evidence of Impact* report, produced every six months, KMS and State Specialists document programme progress and results in schools and communities. This largely qualitative data combined with the more quantitative data from the M&E and state teams is processed, mainly in Abuja, for onward communication. The cycle of publication of *Evidence of Impact* encourages State teams to regularly reflect on changes, collect data to evidence these changes, and to communicate these both within ESSPIN and more broadly. There is plan to expand the scope of documenting evidence of impact.

How we will implement the strategy – media tools

13. Internet and other Electronic Media: The use of the internet, notably the ESSPIN website, is an integral component of the KM strategy. It will carry all other media outputs. One feature to be developed is the use of web analytic to gather feedback on other communication / media activities.

14. In addition, we seek to improve the utilisation of two common ICT platforms – email and mobile phone text messaging in addition to social media platforms like Facebook and Twitter, to disseminate information and provide feedback. SMS has the potential to allow for the conduct of simple and quick opinion surveys on key topics or products.

15. KM continue to deliver key messages to diverse audiences within Nigeria through selected media– notably film, radio, the press, community theatre and printed materials (including graphics, photographs and of recent multimedia). These are managed at programme level and rolled out across the states.

Evaluating the impact of our Communication and Knowledge Management strategy

16. Also situated within the C&KM work plan is the Communication Impact Survey. The first exercise was undertaken in 2010 and will be repeated in 2015.

17. Given the importance of Communication and Knowledge Management to ESSPIN's Theory of Change, we will include evaluation of CKM activities and their impact (at different levels of the programme, and on different actors) within ESSPIN's evaluation strategy. This will help us build evidence on the role of communication and knowledge management in educations change and check if our assumption of its importance has held true.

Section 2: Future plans

KM Team:

18. The team continues to provide the process function for ESSPIN's KM producing a range of quality VFM Information-Education-Communication (IEC) materials for advocacy and to promote lessons learnt, replication of best practice and evidence of impact for stakeholders.

19. To strengthen our effectiveness in sharing evidence of what works with key stakeholders, there will be greater devolution of KM roles to the state based specialists and state partners, especially within the Social Mobilisation Department of the State Universal Basic Education Boards in the six states.

Strengthening our communication of evidence

20. ESSPIN's Knowledge Management strategy for the extension period 2014-2017 aims to promote results of the intervention, to convey how improved learning has been achieved and the evidence that shows that learning benchmarks can and are being achieved in better quality schools. Particular attention will be given to conveying evidence and results to policy makers and decision makers at the State and Federal levels.

21. To promote the findings of the Composite Survey 2, the communications team intends to use a broad suite of media channels and platforms to create awareness among top government officials and critical stakeholders on the results. The different channels to be used for dissemination are meant to ensure that the findings reach a wider audience to promote the results of ESSPIN works in the last six years as well as generate and sustain advocacy on appropriate changes that are needed to ensure sustainability.

22. Since the inception of ESSPIN till date, several case studies, voices, one-liners, snippets, news, brief articles, etc. have been written, produced and published about the outcomes and impact of the programme in the basic education sector. These materials have been used in different ESSPIN publications like ESSPIN newsletters, EOI documents, reports, experience papers, etc.

23. These case studies and impact stories (and new ones) will now be collated in a booklet form and CD. This will be similar to a collection of poems, short stories, plays, songs, drawings, paints, etc. by an author or group of authors. In this case it will be a collection and publication of case studies, quotes, voices, one-liners, etc. of ESSPIN impacts and outcomes in a compact single form that can be easily shared and accessed.

24. To expand the knowledge and provide opportunity for better understanding of what is happening in the education sector, ESSPIN's KM will tease out policy issues from its research reports and produce policy briefs to inform policy, practice and service delivery by government and other relevant stakeholders.

25. ESSPIN KM will utilise government platforms like the JCCE and NCE and other education and development seminars, roundtables, conferences and many other intermittent and informal seminars and workshops to share and to showcase impact and knowledge of its works.

26. International platforms will be used to disseminate findings with a broader international audience including peer-reviewed journals, international conferences (e.g. CIES, UKFIET), joint workshops and conferences within Nigeria (e.g. with Development Partners, research organisations and universities), seminar presentations etc.

Building on existing communication tools

27. In the last six years, audio-visual materials were produced to support the programme. These are Better School, Better Nigeria and Nigerian Futures film documentaries and TV spots; Gbagan Gbagan (The Bell is Calling You), the national, educated themed radio drama; Learning Outcomes Benchmark radio discussion programme and the film version of the Community Theatre in Pidgin, Hausa, Yoruba and Igbo.

28. Creative use of already produced audio-visual materials will be blend with new initiatives that promote the results achieved in the first phase to generate continued improvement of the quality of basic education in the six focal states as well as buy-in at the federal level and other non-ESSPIN states.

29. KM intends to increase usage of the social media platform like Twitter, Youtube and Facebook among others in promoting results to continually generate the appropriate responses of relevant stakeholder and for knowledge sharing.

30. KM information products will be used for online audience as new and engaging contents are generated for ESSPIN website. The website will be optimised to enhance performance that satisfies users' needs.

Building national capacity to communicate effectively about education

31. Two cycles of press awareness raising and skills development (Journalism Development Programme) for journalists drawn from national and state based media organisations were implemented over the last six years. This training sensitised the journalists on contemporary issues in the education sector in Nigeria. During the extension period, ESSPIN KM will engage with the graduates of JDP 1 and 2 at national and state level with senior media executive will be implemented. The objective is to consolidate on the improved reporting of education issues in the Nigerian media. This engagement with senior editors will further enhance the promotion of quality reporting of the education sector. State KMS will support and enhance this relationship with the press locally.

32. Consolidation of work with CSOs through the CSO/Media Forum will continue and will underscore the SBMC and SSIT roll-out in the states.

33. ESSPIN's KM will also launch a cycle of experience sharing fora in order to provide opportunities to share its wide range of knowledge assets.

Strengthening capacity of States to manage and communicate and to use their own evidence /knowledge

34. In the last two years, ESSPIN has strengthened the Communications and Knowledge Management function of SMD in the six states. With improved work with UBEC in Abuja which has resulted in more funding going to SUBEBs to implement education reform components like SBMC and SSIT using the ESSPIN Model, the C&KM team will be working with Social Mobilisation department of UBEC to strengthen its KM core function.

35. KMSs will work with SMD at SUBEB and LGEA level to sensitise communities on developments within the education sector. Key activities will be drawn from SMD Communication Strategy and work plan to mobilise communities to demand for accountability up to the policy level.

Supporting DFID's Communication of Evidence to UK audiences

36. ESSPIN's KM will continue to support DFID's communications teams in Abuja and London with a stream of materials suitable for dissemination to UK audiences. Impact stories will also be shared in other related development programme publications.