

Education Sector Support Programme in Nigeria (ESSPIN)

Institutional Development (*ESSPIN Output 2*)

Kwara State Final Self-Assessment Report:

Report Number: ESSPIN – KW 405

Lynton Gray

September, 2016



www.esspin.org

Report Distribution and Revision Sheet

Project Name: Education Sector Support Programme in Nigeria

Code: 337662

Report No.: ESSPIN – KW 405

Report Title: Kwara State Final Self-Assessment Report – September, 2016

Rev No	Date of issue	Originator	Checker	Approver	Scope of checking
01	September 2016	Lynton Gray	Pius Elumeze	Kayode Sanni	Accuracy, completeness, formatting

Scope of Checking

This report has been discussed with the originator and checked in the light of the requirements of the terms of reference. In addition the report has been checked to ensure editorial consistencies, accuracy of data, completeness of scope and responsiveness to client's requirements.

Distribution List

Name	Position
DFID	
Ben Mellor	Head of Office, DFID Nigeria
Nick Hamer	Deputy Head of Office, DFID Nigeria
Kemi Williams	Human Development Team Leader and ESSPIN Senior Responsible Owner, DFID
Karen McGeough	Human Development Deputy Team Leader, DFID
Esohe Eigbike	Education Adviser, DFID
Laura Brannelly	Education Adviser, DFID
Olatunji Ogunbanwo	Deputy Programme Manager, DFID
Robert Watt	Head of DFID Northern Nigeria Office (Kano)
Margaret Fagboyoye	Ag. Head of DFID Lagos Office
David Ukagwu	Designated Head of DFID Lagos Office
Olachi Chuks-Ronnie	Head of DFID Enugu Office
Kabura Zakama	DFID State Representative, Jigawa and Yobe
Ben Nicholson	DFID State Representative, Kaduna and Zamfara
Siaka Alhassan	DFID State Representative, Kano and Katsina
Muyiwa Babatola	Education Programme Officer, DFID
IMEP	
Gregor MacKinnon	Project Manager, IMEP
Emmanuel Adegbe	Deputy Project Manager, IMEP

Name	Position
ESSPIN	
Jake Ross	Project Director
Kayode Sanni	National Programme Manager
Laura McInerney	Deputy Programme Manager
Simeon Ogbonna	Assistant Programme Manager
Andy Campbell	Operations Manager
James Fadokun	State Team Leader, Kwara
Olalekan Saidi	State Team Leader, Kano
Tayo Odekunle	State Team Leader, Kaduna
Christabel Omolade	State Team Leader, Enugu
Hezekiah Odeyale	State Team Leader, Jigawa (Acting)
Oluwafunmilayo Olalusi	State Team Leader, Lagos
John Kay	Lead Specialist, Education Quality
Fatima Aboki	Lead Specialist, Community Engagement and Learner Participation
Sandra Graham	Task Team Leader, Voice and Accountability
Pius Elumeze	Lead Specialist, National Systems and Institutional Development
Bankole Ebisemiju	Communications and Knowledge Management Coordinator
Consortium partners	
Connie Price	Country Director, Nigeria, British Council
Louisa Waddingham	Director Programmes, Nigeria, British Council
Hans Meusen	Director, Education and Society, British Council
Stuart Cameron	Consultant, Education Portfolio, Oxford Policy Management
Ben Foot	Nigeria Country Director, Save the Children
Sue Phillips	Director, Social Development Direct
Federal partners	
Dr Sulleiman Dikko	Executive Secretary, Universal Basic Education Commission
Dr Folashade Yemi-Esan	Permanent Secretary, Federal Ministry of Education
Professor Oladele Akogun	Country Director, Edoren
State partners	Honourable Commissioners and SUBEB Chairs
Programme Partners	
Gboyega Ilusanya	National Programme Manager, DEEPEN
Nguyan Feese	National Programme Manager, TDP

Disclaimer

This document is issued for the party which commissioned it and for specific purposes connected with the captioned project only. It should not be relied upon by any other party or used for any other purpose.

We accept no responsibility for the consequences of this document being relied upon by any other party, or being used for any other purpose, or containing any error or omission which is due to an error or omission in data supplied to us by other parties.

Note on Documentary Series

A series of documents has been produced by Cambridge Education as leader of the ESSPIN consortium in support of their contract with the Department for International Development for the Education Sector Support Programme in Nigeria. All ESSPIN reports are accessible from the ESSPIN website. <http://www.esspin.org/resources/reports>

The documentary series is arranged as follows:

ESSPIN 0--	Programme Reports and Documents
ESSPIN 1--	Support for Federal Level Governance (Reports and Documents for Output 1)
ESSPIN 2--	Support for State Level Governance (Reports and Documents for Output 2)
ESSPIN 3--	Support for Schools and Education Quality Improvement (Reports and Documents for Output 3)
ESSPIN 4--	Support for Communities (Reports and Documents for Output 4)
ESSPIN 5--	Information Management Reports and Documents

Reports and Documents produced for individual ESSPIN focal states follow the same number sequence but are prefixed:

JG	Jigawa
KD	Kaduna
KN	Kano
KW	Kwara
LG	Lagos
EN	Enugu

Contents

Report Distribution and Revision Sheet	ii
Disclaimer	iv
Note on Documentary Series	iv
Introduction	7
Context	7
The Nature of Evidence	8
The Organisational Framework	8
Assessment	10
Analysis	16
Planning & Budgeting	16
Service Delivery	17
Quality Assurance	18
Community Involvement	19
Inclusive Education	19
Conclusions and Recommendations	20
LGEAs	20
Sustainability	22
Pupil Achievement	22
Recommendations	23
Annex 1: Sub-Output Indicators, Dimensions & Score Sheet – Kwara State	24
Annex 2: Criteria to be used in Assessing Dimensions	28
Annex 3: LGEA Self-Assessment Framework and Average LGEA Scores	39
Annex 4: A Vision of a Functioning LGEA	42
Annex 5: Self-Assessment Workshops Evaluation Findings & Comments	44
Sustainability	45
Annex 6: State and LGEA Comparisons of Performance in each Sub-Indicator	47
Annex 7: Converting Scores to Bands	48

Acronyms and Abbreviations

AESPR	Annual Education Sector Performance Review
ASC	Annual school census
CGP	Community-government partnership
CSO	Civil society organisation
DWP	Departmental workplan
EMIS	Education management information system
HRD	Human resource development
HRM	Human resource management
LGEA	Local Government Education Authority
LGA	Local Government Authority
M&E	Monitoring & evaluation
MDAs	Ministries, Departments and Agencies
MoE	Ministry of Education
MTSS	Medium term sector strategy
PRS	Planning, Research & Statistics (department)
QAB	Quality assurance board
SEEDS	State Economic and Empowerment Development Strategy
SIP	School improvement programme
SBMC	School-based management committee
SMO	Social mobilisation officer
SPARC	State Partnership for Accountability Responsiveness and Capacity
SSO	School services officer
SUBEB	State Universal Basic Education Board
SWP	Sectional workplan

Introduction

1. This Report reviews and summarises the work undertaken by Kwara State preparatory to and during a self-assessment workshop held in Abuja on 26th & 27th July 2016 in assessing the state's progress against the indicators specified in ESSPIN's logframe. It incorporates a Report prepared by Kwara & ESSPIN on the self-assessment exercise undertaken with LGEAs on 27th June to 1st July, 2016.
2. 2016 is the fifth year in which self-assessment has been conducted by Kwara. Up to 2014, the assessment measured progress towards agreed targets to be achieved by July 2014, when Kwara State was successful in reaching these targets. In line with the two-year extension to the ESSPIN programme, targets were revised upwards in late 2014 and applied in 2015's self-assessment exercise, which measured progress towards these new targets using more demanding criteria. The 2016 exercise uses the same criteria, assessing changes over the past year.
3. The Self-Assessment Procedures have been designed to allow State and Federal Governments to conduct participatory and integrated assessments of key aspects of performance. They draw on the State Economic and Empowerment Development Strategy (SEEDS) benchmarking process, as developed through the SPARC Self-Assessment Guidelines. Each Output Indicator comprises a number of sub-indicators, each of which are defined in terms of Dimensions and performance criteria against which current practice is assessed (Annexes 1 & 2).
4. Assessment is carried out in a participatory manner by a group of key informants from State or Federal Government and implementation partners such as Civil Society Organisations (CSOs), facilitated with the support of external consultants and informed by evidence. The results of the assessment will then be used by State and Federal partners to identify priorities for forward planning purposes and to provide a baseline against which improvements can be evaluated at a later date.
5. The processes whereby the self-assessment was undertaken are described in the next section, along with a review of the issues involved in examining evidence. An analysis of the results of the self-assessment exercise is followed by findings and recommendations for future action by the State and agencies including IDPs supporting state basic education.
6. This is the last exercise organised by and supported by ESSPIN. It is strongly recommended that, with five years' experience and expertise in this area, the State continues to institutionalise the self-assessment processes as part of their mainstream quality assurance and strategic planning activities.

Context

7. The processes for undertaking the self-assessment involved the following steps
 - A self-assessment instrument was prepared (Annex 1), based initially on the ESSPIN logframe and state planning. The indicators there were developed through to the specification of the activities (Dimensions) required to deliver the logframe and state plans.
 - A set of 'status statements' (performance criteria), to be used in assessing the extent to which states met the logframe specifications, was developed (Annex 2).
 - A core State team was selected, with the expertise and information in at least one of the five Output 2 sub-indicators to be able to conduct the assessments;

- A preparatory meeting was held within each state, where ESSPIN state specialists assisted those selected to attend the workshop to gather the necessary evidence;
- Core team members then gathered the data and evidence for each Sub-Output Indicator and Dimension;
- A two-day workshop was held jointly by three states in Abuja, where the core teams reviewed the evidence and identified a provisional rating that indicated whether the development status was 'Met'; 'Partially Met'; or 'Not Met'. Then the state teams met as a group to review, comment on and validate the findings of the expert sub-groups.
- A scoring system was applied with 2 points for each Dimension agreed as 'met'; 1 point for those 'partially met'; and no points for any rated 'not met'. These were later converted into Bands specified in the ESSPIN log-frame (see Annex 4).
- This draft report is prepared by the lead facilitator for the self-assessment workshop, to be reviewed by the Abuja workshop participants, to determine whether it is a true reflection of their discussions.
- A final report will incorporate the comments and amendments from the post-workshop review, along with findings from a separate review of Inclusive Education (see below).
- This Report should now be used in the development of the state's Annual Education Sector Performance Review (AESPR) and hence will inform the next MTSS and subsequent budget. The procedures are expected to be embedded and budgeted for in the planning and M&E systems of State Ministries of Education, SUBEBs and LGEAs. This is, after all, a remarkably cost-effective element of the annual planning cycle.

The Nature of Evidence

8. A key question in this process has been the validity of the evidence presented. The worksheets used in the self-assessment contain suggestions as to the evidence that might be used to judge progress in each activity. These are only suggestions and other evidence can and should be used wherever relevant. Most importantly, the production of the listed documents does not *per se* mean that criteria have been met: the documents must provide evidence of actions – not just of meetings that might or might not have supported those actions.
9. The requirement to hold the self-assessment workshops in Abuja for security reasons had some impact on the approach to evidence gathering and examination in a management system that is still substantially paper-based. While some documents could be brought to Abuja either as paper records or on laptops, other documentation had to be left back in the State and LGEA offices. The assessment process, therefore, had to accept that these documents are available, accessible and open to scrutiny within the MDA offices if required. In consequence, some evidence will need to be demonstrated at state level to ESSPIN before these draft results can be fully validated. The queries take the form of comments in the body of the text.

The Organisational Framework

10. Output 2 of ESSPIN's logframe covers the areas of institutional and organisational development. The Output statement is
"Capability of State and Local Governments for governance and management of basic education at State and LGEA levels strengthened".

It comprises five sub-output *indicators*:

*2.1 Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level (summarised as **Planning & Budgeting**)*

*2.2 Quality of procurement, infrastructure development/maintenance and supplies management at state and LGEA level (summarised as **Service Delivery**)*

*2.3 Quality of school support and quality assurance services at state and LGEA level (summarised as **Quality Assurance**)*

*2.4 Capability of education agencies to engage and collaborate with local communities and CSOs at state and LGEA level (summarised as **Community Involvement**).*

*2.5 Quality of inclusive policies at State and LGEA Level (summarised as **Inclusive Education**)*

Table 1 describes the terminology used throughout the report.

Table 1: Guide to the Jargon

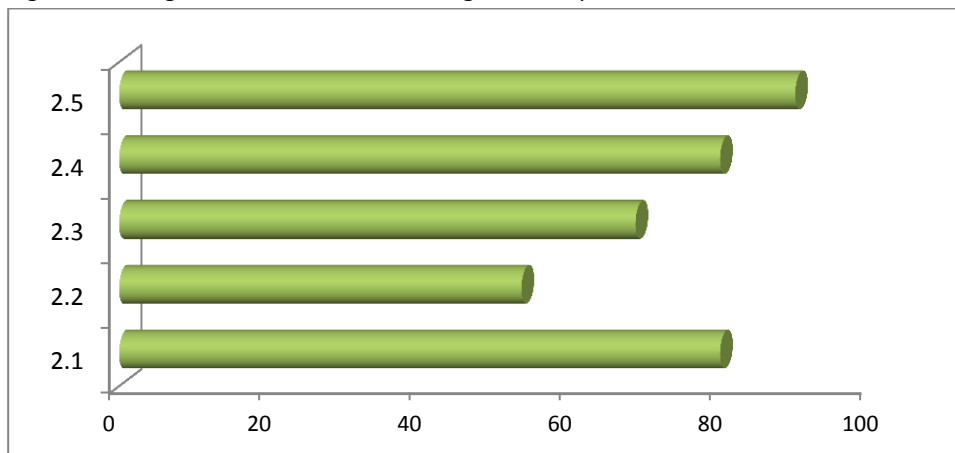
Level	Code (example)	Description
Output Statement	2	The underpinning purpose of this area of ESSPIN support: “Capability of State and Local Governments for governance and management of basic education at State and LGEA levels strengthened”.
Indicator	2.1	The five areas in which ESSPIN provides support.
Sub-Output Indicator	2.1.1	Broad sub-divisions of each Indicator, built around work areas.
Dimension	2.1.1.1	The activities delivered by States & LGEAs and supported by ESSPIN

11. While this work primarily is undertaken by the SUBEB and its LGEAs, there is also substantial involvement of State Ministry of Education. The self-assessment workshop included, therefore, representatives of the SUBEB, Ministry and the LGEAs and well as CSOs. ESSPIN has provided support for Kwara State since 2008 in each of these areas. This self-assessment provides a final opportunity to assess the impact of that support and the changes since the first self-assessment exercise last year.

Assessment

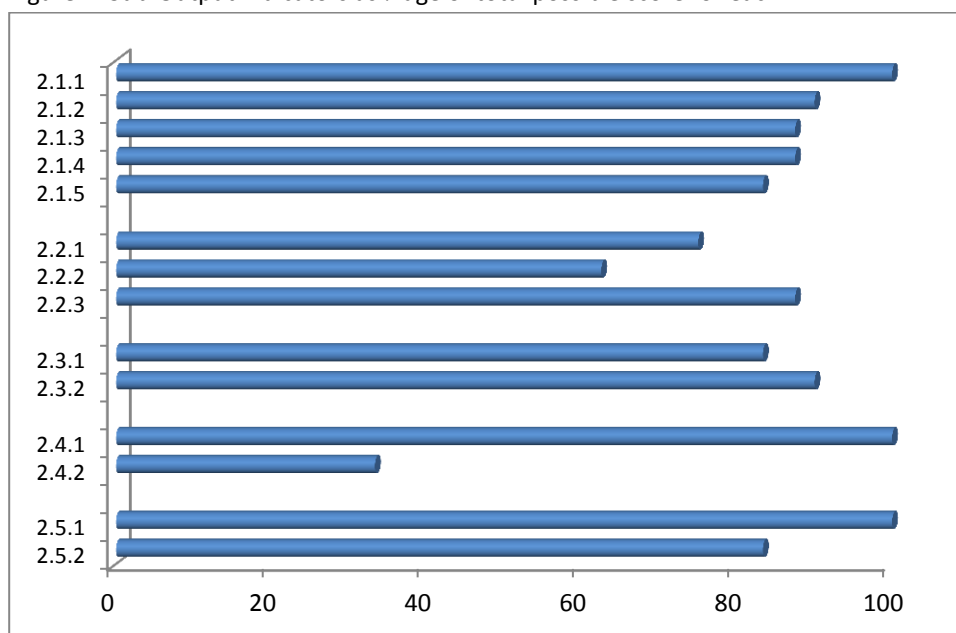
12. The overall performance of the five Indicators by Kwara is summarised in Figure 1. This shows not the raw scores achieved but the percentage of the maximum possible score, so that areas comprising different numbers of activities can be directly compared. The diagram shows that, Kwara achieved maximum scores in Inclusive Education (2.5). Figure 2 focuses on the Sub-Output Indicators. There are 14 and the Figure shows that three of them achieved maximum (100%) ratings. More detailed scores are available throughout this report. The diagrams also pinpoint those areas where improvements are needed, and the report reviews these and examines the reasons for the ratings obtained.

Figure 1: Ratings for each indicators as %age of total possible score



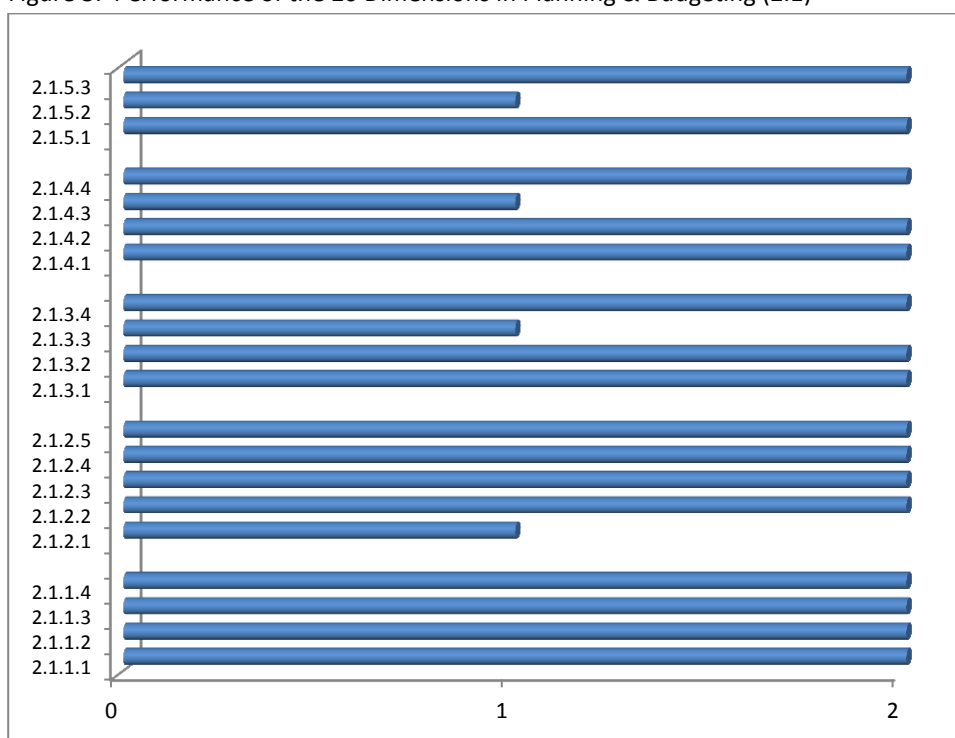
13. Each of the five sub-Indicators is described in turn, before each is then analysed as to the factors accounting for the ratings.

Figure 2: Sub-Output Indicators as %age of total possible score for each



14. The **Planning & Budgeting Output Indicator** seeks to assess the extent to which the management and governance of basic education at state and local government levels has been strengthened by seven years of ESSPIN involvement with the state. The overall ratings of 36 out of a possible 40 points place Kwara in the A Band, the target Band in the ESSPIN logframe. 16 of the 20 Dimensions were rated as ‘met’; and the rest ‘partially met’ (Figure 3).

Figure 3: Performance of the 20 Dimensions in Planning & Budgeting (2.1)



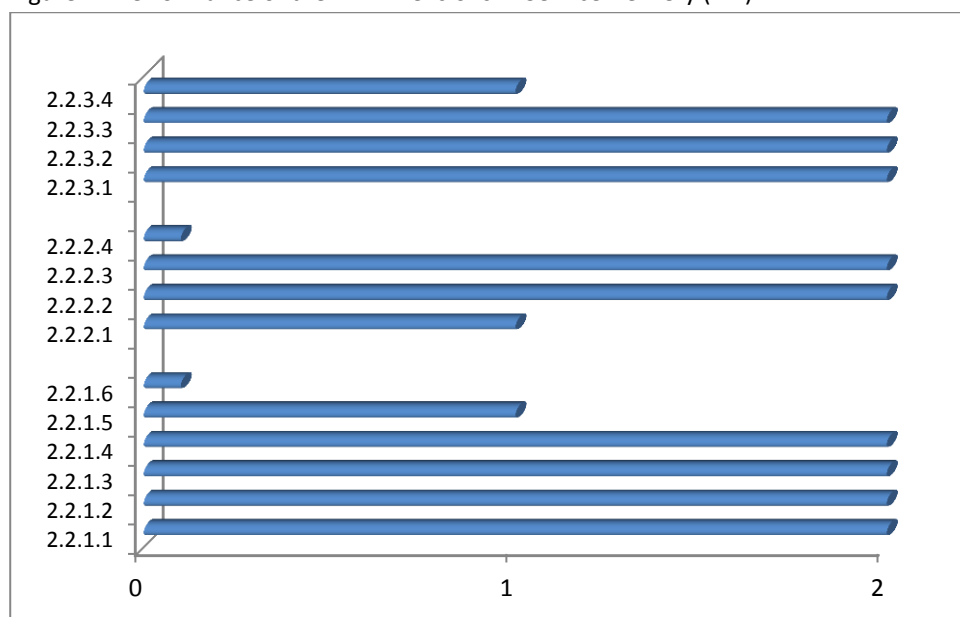
15. Figure 3 shows that the first Planning & Budgeting sub-indicator (2.1.1) was the highest performing, with every Dimension rated as ‘met’. The evidence from the Kwara team that “*Evidence-based plans have been developed and integrated between state, LGEA & school*” was strong, with a close relationship between MTSS and budget allocations (2.1.1.1), well-developed LGEA action plans (2.1.1.2) and training for LGEA officers to aggregate school development plans (SDPs) in their planning (2.1.1.3). However, the workshop also identified areas for improvement and these are reviewed in the Analysis section below.
16. In 2.1.2, (“*Appropriate budget management systems... in place*”) four of the five Dimensions were rated as ‘met’ with the other (2.1.2.1) rated ‘partially met’. The evidence was supplied in the form of budgets, Quarterly Monitoring Reports (QMRs) and functioning Departmental Workplans (DWPs). The ‘partially met’ rating was because the 2016 budget had not been published on the State Government website, so was insufficiently transparent. There was evidence that DWPs are now used to trigger budget releases, although funding problems mean that such releases cannot be guaranteed. Insufficient funding has also delayed the extension of DWPs to LGEAs (sectional workplans or SWPs) but the plans exist, earning a ‘met’ rating for 2.1.2.5.
17. Three of the four Dimensions of Sub-Indicator 2.1.3 “*Monitoring and evaluation units and systems*

established” are rated ‘met’. The M&E Units are now operative and adequately funded in both SUBEB and LGEAs (2.1.3.1), with trained staff (2.1.3.2) and the Units are now able to contribute to AESPR preparation and other forms of sector reporting.(2.1.3.4). The ‘partially met’ dimension is 2.1.3.3, because the capacity of M&E Units to lead on such preparation is limited and they still require technical support – and issue discussed in the Analysis section.

18. Three out of the four Dimensions relating to EMIS (2.1.4 -“*Functional EMIS and Annual School Census cycle established*”) are rated ‘met’. The ‘partially met’ exception is 2.1.4.3 (*Support the conduct of Annual School Census, data processing and production and dissemination of ASC and ISD and other reports*) because the ASC hasn’t been prepared on time in 2015 and 2016. The consequences of this are discussed in the Analysis section. The other Dimensions are all rated ‘met’ but with qualifications about lack of funding and negative attitudes to data collection. There is now some (though limited) evidence that a train-the-trainer system is in place (2.1.4.5 – ‘met’) but this now needs to be extended to head teachers.
19. Sub-Indicator 2.1.5 (“*Strengthen organisations (MoE, SUBEB, LGEAs) to manage service delivery more effectively*”) has two of the three Dimensions rated as ‘met’. There is strong evidence that systems for monitoring the implementation of state, LGEA and school plans are in place (2.1.5.1, rated ‘met’); and that vision and mission statements are prepared by each LGEA, posted and disseminated. 2.1.5.3 is rated ‘partially met’. Kwara has been a pioneer in developing service charters but they were reported as not extending to LGEAs, with no Service Desk there.
20. **The Service Delivery Sub-Output Indicator** assesses the extent to which human resource management, financial management and procurement, and political engagement ensure quality service delivery in basic education. The overall score for the 14 activities (with a maximum of 28 possible points) is 21 points, a small improvement on 2015. Nine of the 14 Dimensions were rated ‘met’, two were ‘not met’ and three ‘partially met’ (Figure 4).
21. Four of the six Dimensions of Sub-Indicator 2.2.1 (“*Strengthen human resource development and management systems*”) were rated as ‘met’. These human resource management reforms are sequential, so it is not surprising that the earlier stages (2.2.1.1 through to 2.2.1.4) are rated as ‘met’, and the final two stages rated ‘partially met’ (2.2.1.5) and ‘not met’ (2.2.1.6). Functional reviews have been completed and their reports published (2.2.1.1), followed by the implementation of HR systems (2.2.1.2), establishment planning (2.2.1.3) and workforce planning (2.2.1.4 – ‘partially met’), and with evidence that all but the last of these are now operative. Workforce planning is work in progress.
22. The final step in this sequential reform is the development of performance management mechanisms (2.2.1.6). This was rated as ‘not met’ as there was no evidence that Kwara has reached this stage as yet.
23. Two of the four Dimensions for 2.2.2, “*Strengthening financial management systems and procurement processes*” are rated ‘met’. Budget tracking and financial reporting (2.2.2.1) is rated ‘partially met’ because CSOs are not involved in budget tracking and the evidence of financial reporting seems very slight. Internal audit and related control systems are in place (2.2.2.2) and infrastructural developments and models adhere to standard procedures (2.2.2.3) so both are rated as ‘met’. The Dimension on standard procurement rules at LGEA level (2.2.2.4) is rated ‘not met’

because in Kwara LGEAs do not procure, rather SUBEB procures and distribute to LGEAs. This ‘not met’ rating is discussed in the Analysis section below.

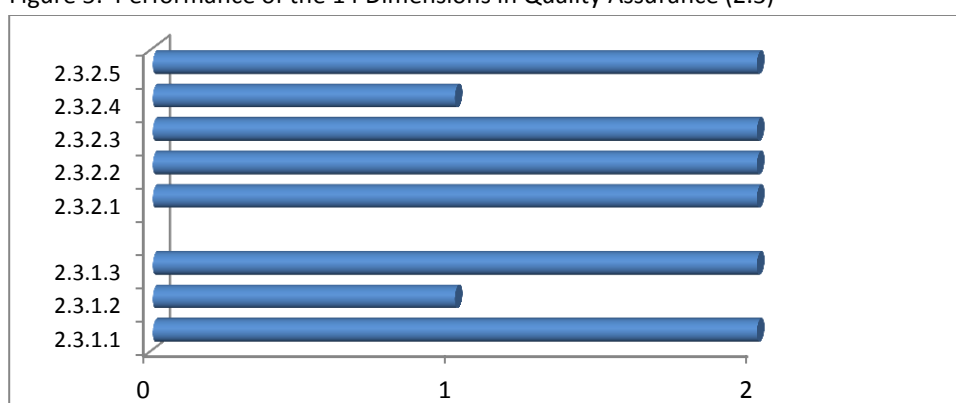
Figure 4: Performance of the 14 Dimensions in Service Delivery (2.2)



24. Sub-indicator 2.2.3 focuses on political engagement. Evidence was presented of the minutes of regular meetings organised by the Hon. Commissioner for all Chief Executives and their Directors. It remains unclear whether meetings organised by the SUBEB Chair and by or for LGEA Education Secretaries are regular meetings or one-off meetings for ceremonial events or crisis management, and the ‘met’ ratings for 2.2.3.2 and 2.2.3.3 are generous.

25. **The Quality Assurance Sub-Output Indicator** assesses the quality of school support and quality assurance services at state and LGEA level. Figure 5 shows that six of the eight Dimensions are rated ‘met’: the rest are ‘partially met’. In 2016 this Indicator achieved 75% of the total possible points – 12 out of possible 16 points.

Figure 5: Performance of the 14 Dimensions in Quality Assurance (2.3)

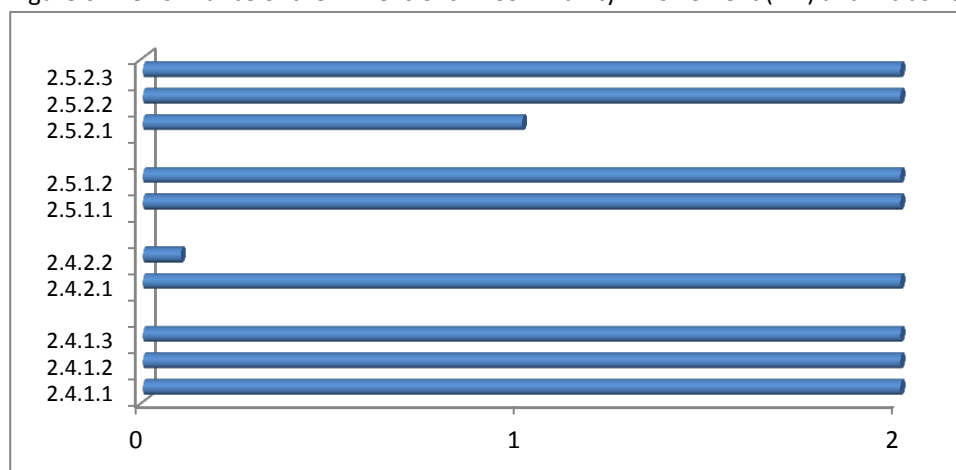


26. Two of the three Dimensions of 2.3.1 (“*Build capacity to plan and budget for school improvement programmes*”) are rated as ‘met’, Evidence was presented of clear targets for school improvement and an approved budget (2.3.1.1) and for the aggregation and analysis of school development plans

(2.3.1.3), with LGEAs now producing summaries of the SDPs, so both are rated as ‘met’.

27. The evidence at the workshop that state working groups focus on incorporating school improvement targets in the MTSS (2.3.1.2) was slight. This was rated as ‘met’ in 2015 and post-workshop confirmation was provided to indicate that the state working groups incorporated the activities from SUBEB’s QA department and the Ministry’s School Services department.
28. Four of the five Dimensions for 2.3.2 (“*Quality Assurance programme for schools established and maintained*”) were ‘met’, with evidence for institutional support and prompt release of funds for an effective QA system (2.3.2.1), implementation of the state QA policy (2.1.3.2) and good links between the QA system and the school improvement programme (SIP) – 2.3.2.3 – were cited to justify ‘met’ ratings. Post-workshop evidence demonstrated that each LGEA’s Database contains the QA Reports from the Quality Assurance Board (QAB).
29. Links between QA and EMIS (2.3.2.4) are not supported with much evidence even to justify the ‘partially met’ rating but post-workshop evidence showed that evaluation reports were posted on the LGEA Database and printed, providing long-awaited links between QA and EMIS. The final Dimension on capacity building for QA evaluators (2.3.2.5) is rated as ‘met’ with evidence of the training programme and training manual.
30. The **Community Involvement Sub-Output Indicator** assesses the capability of education agencies to engage and collaborate with local communities and CSOs at state and LGEA level. All five dimensions were rated as ‘met’ (Figure 6), with an overall score of 10 points out of a possible 10.

Figure 6: Performance of the Dimensions in Community Involvement (2.4) and Inclusive Education (2.5)



31. In 2.4.1 (“*Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools*”), communications functions have been developed in LGEAs through SMOs and SSOs to interact with schools and communities (2.4.1.1) and reports provided evidence that external resources for schools are mobilised and monitored (2.2.1.3). The ‘met’ rating for 2.4.1.2 is more problematic. Attendance sheets and photographs were augmented with post-workshop evidence that school development plans are accessible by stakeholders, with reports on their implementation, to encourage stakeholder participation in LGEA and school level planning.
32. The second Sub-indicator (2.4.2) concerns the capacity of CSOs to hold duty-bearers accountable. The

evidence for 2.4.2.1 (*Duty-bearers respond to political engagement by civil society on priority areas for increased accountability in basic education service deliver*) is sufficient to justify a 'met' rating here, but the other Dimension (2.4.2.2) on the capacity of CSOs to undertake budget tracking has neither evidence or any information provided, leading to a 'not met' rating.

33. **The Inclusive Education Sub-indicator** (2.5) measures the quality of inclusive policies at State and LGEA Level. Four of the five Dimensions are rated as 'met', with 9 points out of a possible 10. Figure 6 shows the scores for each Dimension.
34. The two Dimensions in 2.5.1 are both rated as 'met', with evidence of the State Inclusive Education policy and case studies with photographs of particular events. Dimension 2.5.2.1 (*Data on out-of-school children collected and made available at State & LGEA levels*) is rated as 'partially met' but no reason was given and no evidence cited. Post-workshop evidence stated that there is data on drop-out at LGEA Level but not at State level. SMO reports also show data on drop-outs as seen at the EMIS of Ilorin West along with evidence of radio advocacy programmes and publications.
35. The **overall scores for Output 2** in Kwara State are summarised below, where they are translated into the Bands employed in ESSPIN's logframe. Conversion tables can be found in Annex 7. The ESSPIN logframe and State Forward Plan have targets that in 2016 Kwara State would achieve Band A in all five Indicators. As the table shows, it achieves this in three Indicators but with B Bands for Service Delivery and Community Involvement. Annex 6 enables Kwara's results in each Indicator to be compared with the other five ESSPIN-focus states.

Table 2: Scores, Bands and Targets for each Sub-Output Indicator, 2015 and 2016

SUB-INDICATOR	Scores			Bands		
	2015	2016	Max. possible	2015	2016	Target
2.1 Planning/Budgeting	28	36	40	B	A	A
2.2 Service Delivery	19	21	28	B	B	A
2.3 Quality Assurance	12	14	16	B	A	A
2.4 Community	7	8	10	C	B	A
2.5 Inclusive Education	8	9	10	B	A	A
Total	74	88	104			

Analysis

36. The post-workshop analysis of these assessments focuses on responses to key questions raised in the workshop:
- What are the key achievements over the past year?
 - What have been the main challenges?
 - What are the main differences from last year?
 - What steps are needed to progress further in these areas?
37. This year's analysis benefits from the availability of the LGEA self-assessment exercises conducted in July this year. The results of those exercises are summarised in Annex 3. A separate report has been prepared summarising and analysing the LGEA self-assessment findings, and that report inputs into the analysis here. The analysis also considers the consistency of participant statements and other issues raised in the workshop. Account has also been taken of comparisons with the 2015 results of both State and LGEA self-assessments. In a few cases, inconsistencies between State and LGEA findings, statements about the availability of evidence, the uses of documents or the efficacy of initiatives are challenged by later evidence that necessary pre-conditions do not exist or are inadequately developed.

Planning & Budgeting

38. Analysis of the quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level shows that Kwara state achieved the target A Band in 2016, with 36 points out of a possible 40, compared with 32 points and a B Band last year.
39. Although the evidence for 2.1.1 (*"Evidence-based plans have been developed and integrated between state, LGEA & school"*) pointed to a wide variety of plans, reports and meetings, they do not indicate the effectiveness of those activities. The 'Notes/Issues' record from the workshop identified funding problems in implementing agreed plans, delays in preparing plans by the required deadlines and the need to strengthen officer capacity, especially at the LGEA level. A particular need is to build stronger links between LGEA action plans and the SSIT, SSO and SMO reports (2.1.1.3) and to make more effective use of SDPs (2.1.1.4).
40. The framework for preparing SDPs is now established in Kwara, with LGEAs aggregating and analysing them. It is encouraging, from the LGEA self-assessment report, that only 4 LGEAs were reported as not doing this. The next step after SDPs have been aggregated, analysed and summarised, is to build them into the MTSS and budget, so that resources are targeted on the priorities identified in the plans at all three levels. LGEA capacity may need to be further strengthened to achieve this.
41. Sub-indicator 2.2.1 focuses on the use of QMRs and DWPs as budget management instruments. Departmental workplans (DWPs) have become important planning and management tools and they have now been extended to LGEAs as sectional workplans (SWPs). Their effective uses have been handicapped by late preparation but evidence in 2016 indicates that they are now being used as

vehicles for triggering budget releases, at least at state level. DWPs are required to initiate budget releases for SUBEB, so delays in their preparation can have serious resource consequences. This problem of timeliness affects not only budget releases but also the preparation of quarterly monitoring reports (QMRs) and the key ASC and AESPR reports that provide the basis for MTSS preparation – an issue reported in last year’s self-assessment report. The LGEA report states that Section Heads are still struggling with SWPs as planning tools and some further capacity building is needed here.

42. M&E Units are now established at state and LGEA levels - 2.1.3 *“Monitoring and evaluation units and systems established”*. The evidence indicates that they are now staffed with trained officers, some newly recruited and that they are capable of collecting and utilising evidence from a wide variety of sources, including community-based C-EMIS. There is still some dependency on external technical support, particularly with the annual school census and AESPR. M&E Units need to develop the capacity to take on full responsibilities internally – but to do that they need more support from the other sections of their organisations, particularly at LGEA level.
43. Sub-Indicator 2.1.4 focuses on EMIS and the annual school census. The organisation and funding of the annual school census (ASC) has been a long-running problem in Kwara state. In 2015 it was reported that the funding problems have been resolved but this year non-release of funds for the ASC has been compounded by conflict with the State Bureau of Statistics over who should be responsible for the ASC. The attitudinal problems encountered under M&E (above) also apply to EMIS, with negative attitudes reported about data collection. Despite these problems, the LGEA report noted that LGEAs have collected the data for the 2016 ASC, and have undertaken data entry and reporting, with enumerators coming from the LGAs, under the supervision of the LGEA’s PRS team.
44. Sub-Indicator 2.1.5 focuses on the management of service delivery. It was reported in 2015 that Kwara’s pioneer work in developing the central service charter ‘Every Child Counts’ seems to have stalled, as there was no evidence that the service charter culture has permeated to local government and school levels. Similarly, the vision and mission statements that are well-established at state level still need to be more widely disseminated and employed at LGEA level, although the LGEA report was positive about LGEA progress in adopting corporate vision and mission statements.
45. The strongest component in this area is 2.1.5.1, both at state and LGEA levels, where LGEAs have demonstrated their progression in strategic planning development by their contributions to the review of the 2013-2015 strategic plan and the preparation of the 2016-2020 LGEA strategic plan.

Service Delivery

46. The assessment of the service delivery sub-indicators for human resource management, financial management and procurement, and political engagement place Kwara in B Band –the same Band as in 2015 and just short of the target A Band.
47. The sequential progress of Kwara’s HR reforms has been steady, if rather slow and heavily dependent on ESSPIN inputs. SUBEB and the LGEAs have moved from functional reviews through to systems and

process reviews and establishment planning with job descriptions, now established across the LGEAs. The next stage is to undertake workforce planning, leading to the implementation of an effective performance management scheme to complement the existing state-wide APER (2.2.1.6)

48. The reform of financial management systems (2.2.2) is progressing, with evidence of the main components of a functioning and semi-transparent system in place – budget tracking, internal auditing, payroll management, financial reporting and capital project planning. However, the evidence suggests that the elements could operate a lot more transparently and more effectively. The Dimension on standard procurement rules (2.2.2.4) is a problem because in most states the rules are not applicable at LGEA level, whose procurement is managed by their SUBEBs. This, in common with the other states, is rated as ‘not met’ to ensure comparability.
49. The structures for regular political engagement (2.2.3) are now largely operative but this report raises questions about whether they have been systematised. New systems come into play with changes in senior officers and leaders. The LGEA report noted substantial variations in LGEA experiences of political engagement. Further information has been sought about the political engagement processes before this report can be finalised.

Quality Assurance

50. Ratings for the Quality Assurance Indicator have achieved an A Band, the target for 2016, with 14 points out of a possible 16. This compares with last year’s B Band. However, there are some evidence gaps to be filled in before this rating can be finalised.
51. The capacity to plan and budget for school improvement programmes has been strengthened over the past year. School development plans are now aggregated and analysed (2.3.1.3) and LGEA working groups incorporate school improvement targets in the MTSS. The LGEA report noted that more work is needed on those initial school improvement targets, in advance of MTSS preparation but the ratings for 2.3.1 are strong at both state and LGEA levels (see Annexes 2 & 3).
52. Analysis of Sub-Indicator 2.3.2 over the years has drawn attention to the long-standing problem of separate school improvement teams and QA systems and evaluators. This not yet resolved, although more evidence is sought as to the current situation before this report can be finalised. The indication from the LGEA self-assessment report is that some LGEAs are more successful in integrating QA and SIOP functions and staff than others. A framework is set out in the QA policy document of clear targets and benchmarks for school improvement and a system of SSIT and SSOs to support the achievement of these targets – but this is not yet being fully implemented.
53. There is insufficient evidence as yet to consider whether QA and EMIS are working together more effectively than in previous years. Evidence of school improvement through the new LGEA Database does not yet seem to be captured. QA reports need to be analysed and aggregated, and then fed into the EMIS through the Database. However, the LGEA self-assessment report found no evidence of dissemination of QA reports except through the SS-e reports for schools.

Community Involvement

54. The Community Involvement Indicator only achieved a C Band in 2015, but in 2016 it has achieved a B Band, only one point short of the target A Band.
55. Sub-indicator 2.5.1 (*“Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools”*) demonstrates that communication and monitoring functions are now in place and well-established at state and LGEA levels, where SMOs are interacting well with communities, and the LGEAs are approaching the tasks systematically. As a result, there is evidence of proper feedback, follow-up and documentation for sustainability. There is, however, need for improved collaboration with the CSOs on monitoring & evaluation, information exchange and advocacy, The SUBEB Communications/Public Relations Unit communicates with schools and communities, but this does not as yet extend to effective consultation on planning and budgeting.
56. The LGEA report finds that most LGEAs are taking full advantage of community involvement to improve their finances. Engagement with CSOs for accountability has been strengthened, but more needs to be done, particularly by strengthening the capacity of CSOs to undertake budget tracking (2.4.2.2). The overall impression from the two self-assessment exercises is that it is time for a further drive to go beyond communication and involve CSOs more directly in those more sensitive areas of planning, monitoring and budgeting.

Inclusive Education

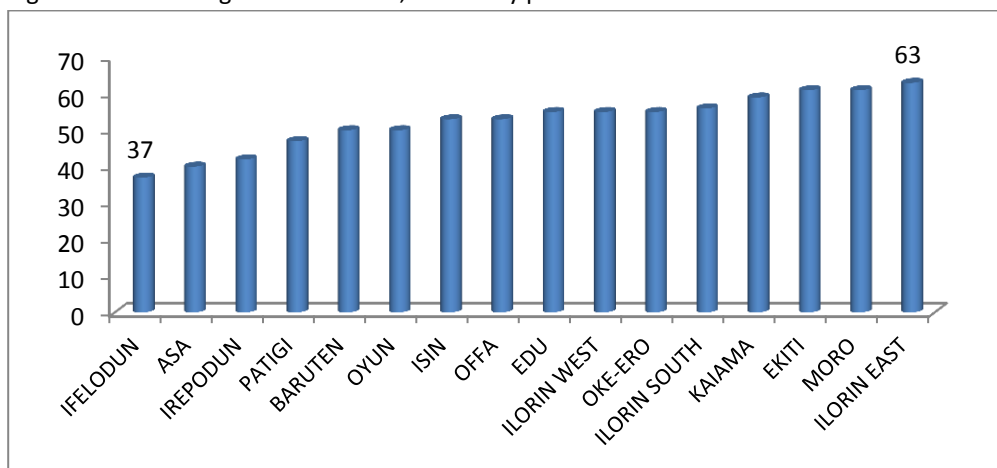
57. The Inclusive Education Indicator has achieved 9 points out of a possible 10 and an A Band – the target for 2016. However, the evidence provided from the state self-assessment report is minimal and the LGEA self-assessment exercise did not report on Inclusive Education. In consequence, the ratings for Inclusive Education are less reliable than those from the other Outputs.

Conclusions and Recommendations

58. This Report identifies the perceptions, backed by evidence, of senior state officers and others as to the impact of the basic education reforms and school improvement programme supported by ESSPIN since 2009. It points to the progress that has been made in the areas of planning and budgeting, quality assurance, service delivery systems, community involvement and inclusive education. It also locates crucial issues about the sustainability of those reforms after ESSPIN's work is completed in a few months' time.
59. Three issues are outstanding. The first is the extent to which the progress made at state level can be replicated or cascaded down to LGEAs and thence to schools. The second is the necessity to sustain and build upon the improvements made in recent years when ESSPIN support is withdrawn. And the third – and most important - is the extent to which all these reforms impact on pupil achievement in Kwara schools.

LGEAs

60. This is the first self-assessment report to draw upon both state and LGEA self-assessment exercises. It is abundantly clear from the Kwara LGEA report that LGEAs have not as yet developed to the extent that state-level MDAs have. However, substantial progress has been made by LGEAs and it is encouraging that the LGEAs collectively have achieved ratings in the self-assessment uniformly higher than the targets set. Figure 7 shows the performance of each LGEA in terms of its relative success, measured by the total scores in each Indicator.
61. Figure 7: 2016 ratings for each LGEA, ranked by performance.



Note: total possible score is 72

62. Figure 7 points to the considerable variations in LGEA performance. The highest scoring LGEAs scored almost twice as many points as the lowest performing. Without data for individual LGEAs in the 2015 LGEA self-assessment exercise it is not possible to identify whether this inequality is worsening or being addressed. But evidence is needed to pinpoint the reasons why some LGEAs perform a lot worse than others and then strategies are needed to raise standards in the weakest LGEAs and schools, and improve the education of the children in those LGEAs.

63. The evidence from the LGEA and State self-assessments is that much progress has been made at State level and the processes of cascading that progress to LGEAs are working. Systems are now largely in place, but they need to become operative. And stronger vertical integration between state, LGEA and school levels needs to be matched by stronger horizontal integration. Units at both state and LGEA levels still operate in 'silos', with limited contact with other units with whom they need to share approaches, information and materials. Departments and LGEA Sections should work together more closely in collecting, using and sharing evidence and in developing common initiatives for improving schools that cut across the Departments and Sections.
64. School improvement is the responsibility of all the agencies involved in basic education in the state. However, the impression from the self-assessment workshop is that there is still insufficient coordination & synergy between the various components and no obvious focus on a central drive for school improvement. Central to this is the improvement in the capacity of the LGEAs to deliver. This report has recorded some of the steps being taken to achieve this. However, not only must LGEA capacity be enhanced. LGEAs also need more resources, and at a time of economic contraction, imaginative solutions are needed to improve the quality of state schools and the achievement of State pupils.
65. One significant aspect of this has been referred to in earlier self-assessment reports. It is the problem of converting evidence into action. Large amounts of report forms and other documents are now being produced. Their impact will remain small until they can be analysed and then summarised into action-focused short reports that can be shared across departments/ sections and digested by policy-makers, planners and decision-makers. This is now a priority if the efforts being made to prepare such a large volume of documentation are not to be wasted. Staff capabilities in the necessary aggregation, analysis and report-writing skills need to be enhanced. And it is all the more important that political leaders and senior decision-makers are informed clearly and concisely as to basic education's main needs and top priorities in Kwara State.
66. The need to give priority to building LGEA capacity runs throughout this report. A particular priority is the area of those HR reforms discussed under Service Delivery, so that LGEAs become 'fit for purpose' organisations. Within these organisations, the staff need to develop new skills in planning & budgeting, quality assurance and community involvement, but just as importantly, the attitudes of those working in LGEAs need to focus more centrally on their school improvement responsibilities.
67. The state and LGEA self-assessment performance criteria assume that LGEAs are progressing towards a standard defined by the 'fully met' criteria. **In Annex 4 these standards are spelled out, in the form of a model LGEA that would meet all the 'fully met' criteria and beyond. That vision should be studied by those reading this report.** You may not agree with parts of it, but by proposing an alternative vision of a fully functional LGEA you are taking the necessary steps to define what needs to be done to bridge the gap between where LGEAs are now and where you want them to be.

Sustainability

68. As indicated in Annex 5, there was general enthusiasm in the two self-assessment workshops for initiatives that will maintain the self-assessment procedures in 2017 and beyond. The dual approach at state and LGEA levels generates a volume of evidence in a short space of time and relatively low cost that can feed into decision- and policy-making at both levels. The procedures are themselves flexible and can be adapted to a variety of circumstances. Indeed, the high ratings achieved by Kwara this year indicate the need to develop tougher criteria against which performance can be measured. Otherwise the procedures could become little more than an exercise in self-congratulation leading to complacency.
69. ESSPIN could, were the resources available, broker a state-led initiative to review the self-assessment procedures, prepare more stringent criteria against which developments of particular relevance to the state (or states) could be measured. A Self-Assessment Toolkit was mentioned at the two workshops as a self-help strategy for states to conduct their own procedures in 2017. And several participants referred to possible sponsors and forms of cross-state cooperation. The examination of the model LGEA in Annex 4 will be a significant step in taking the self-assessment procedures to a sustainable level.

Pupil Achievement

70. Central to the findings of this year's two self-assessment exercises in Kwara is the recognition that LGEA capacity must be strengthened so that the LGEAs can provide the necessary support for their schools. Schools are now supported (or at least visited) by SSOs, SMOs and QA evaluators. Their efforts do not as yet seem to impact on providing the necessary resources (human, material and financial) that schools need. And this can in part be explained by the inability of LGEAs to capture the reports from school visitors in ways that enable them to digest the main issues and identify key priorities.
71. Underpinning all of these reforms is the need to identify exactly what initiatives are most effective in enhancing pupil achievement across a wide range of schools and age ranges. ESSPIN has done much to identify the problems and initiate some strategies to address them. ESSPIN-supported schools have more effective headteachers, are better at school development planning, have better teachers, show more evidence of being inclusive, and have more functional and inclusive SBMCs. The surveys commissioned by ESSPIN state that children are learning more in ESSPIN-supported schools. States and LGEAs can contribute to all these improvements but they need to understand the circumstances and the combination of improvements that impact most on pupil learning. Future self-assessment exercises would usefully focus in more detail on the evidence needed to determine which strategies are most (and less) successful in making a difference to pupil achievement.

Recommendations

72. Despite the strong results at State level and improvements at LGEA level, there is no place for complacency, as other findings concerning the quality of teaching and learning in state schools demonstrate. The targets proposed in last year's self-assessment report are still valid and are repeated in rather more detail below.

- i. More effective LGEA planning and a greater focus on horizontal and vertical integration, including the closer integration of the school improvement programme, EMIS and quality assurance.
- ii. The provision of timely evidence at each stage of the planning cycle
- iii. The closer integration of EMIS and quality assurance
- iv. Current reforms in the areas of human resource management to continue
- v. The need for more solid evidence for best practices and high priority needs in the school improvement programme, to identify more precisely the needs of schools and communities so that they can feed into LGEA and SUBEB planning and generate the necessary resources
- vi. Strengthening school development planning with mechanisms for more accurately identifying the needs of schools and communities so that they can feed into LGEA and SUBEB planning and generate the necessary resources.

73. In 2016 they can be updated to recommend, in addition,

- vii. Action to review ways of sustaining ESSPIN-initiated reforms including the self-assessment exercises.

Annex 1: Sub-Output Indicators, Dimensions & Score Sheet – Kwara State

PLANNING & BUDGETING		
2.1 Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level		
2.1.1 Evidence-based plans developed and integrated between state, LGEA & school	2.1.1.1 Support development & linkages of Medium Term Sector Strategies (MTSS) to budget	2
	2.1.1.2 Support development of LGEA action plans that impact on MTSS	2
	2.1.1.3 Develop capacity of SUBEBs and LGEAs to use evidence from lower-level plans in their planning & budgeting	2
	2.1.1.4 Support development of SDPs using ISD and other reports	2
	TOTAL	8
2.1.2 Appropriate budget management systems for efficient service delivery in place	2.1.2.1 Support implementation of transparent budget presentation systems	1
	2.1.2.2 Support use of Departmental Work Plans (DWP) for domesticating budgets and presenting budgets transparently	2
	2.1.2.3 Support MDA personnel to use the DWP	2
	2.1.2.4 Support institutional initiatives for preparing & implementing phased MDA implementation plans based on DWPs	2
	2.1.2.5 Support the preparation and implementation of LGEA DWPs	2
	TOTAL	9
2.1.3 Monitoring & Evaluation systems strengthened	2.1.3.1 Support M&E Units and functions in SUBEBs and LGEAs	2
	2.1.3.2 Provide training for deployed M&E personnel	2
	2.1.3.3 Develop the capacity of M&E units to lead on annual sector reviews and produce annual review reports.	1
	2.1.3.4 Support sector reporting including AESPR	2
	TOTAL	7
2.1.4 Functional EMIS integrating ASC, SMO, SSO & QA reports established & provides data for planning/ M&E	2.1.4.1 Support the strengthening of the bodies responsible for the ASC so that accurate and timely evidence can be available for through the planning cycle	2
	2.1.4.2 Provide training for data management personnel at MoE LGEA & SUBEB levels	2
	2.1.4.3 Support the conduct of Annual School Census, data processing and production and dissemination of ASC and ISD and other reports	1
	2.1.4.4 Establish a train- the-trainer system for data management personnel	2
	TOTAL	7
2.1.5 Strengthen organisations (MoE, SUBEB, LGEAs) to manage service delivery more effectively	2.1.5.1 Support development of systems for monitoring the implementation of SUBEB, LGEA & school plans	2
	2.1.5.2 Support implementation of service charters for SUBEB, LGEAs & schools	1
	2.1.5.3 Support development of corporate vision and mission for LGEAs	2
	TOTAL	5
TOTAL 2.1		36

SERVICE DELIVERY (HR, financial management, procurement and political engagement)		
2.2 Quality of service delivery systems and processes at state and LGEA levels		
2.2.1 Strengthen human resource development & management systems at state and LGEA levels	2.2.1.1 Support LGEAs in undertaking functional reviews and alignment	2
	2.2.1.2 Support SUBEBs in implementing HR systems & process review recommendations	2
	2.2.1.3 Support LGEAs in undertaking HR systems and process reviews	2
	2.2.1.4 Facilitate establishment planning on basis of strategic plans and functional reviews for SUBEB & LGEAs	2
	2.2.1.5 Support SUBEBs and LGEAs in workforce planning to implement establishment plans	1
	2.2.1.6 Support SUBEBs, LGEAs & schools to initiate and manage internal performance management mechanisms	0
	TOTAL	9
2.2.2 Strengthen financial management systems and procurement processes for efficiency & effectiveness	2.2.2.1 Support budget tracking and financial reporting	1
	2.2.2.2 Support strengthening of internal control systems including audit	2
	2.2.2.3 Support infrastructural developments and models that facilitate school improvement and inclusion	2
	2.2.2.4 Facilitate adherence to standard procurement rules at the LGEA level	0
	TOTAL	5
2.2.3 Undertake political engagement to sustain support for institutional reforms and school improvement programme	2.2.3.1 Engage with Commissioners to provide leadership and mobilise resources and related support for school improvement	2
	2.2.3.2 Engage with SUBEB Chairs for commitment to support institutional reforms and implementation of school improvement programme	2
	2.2.3.3 Work with Education Secretaries to promote school improvement in LGEAs	2
	2.2.3.4 Engage with LG chairmen to provide resources and other support for school improvement programme	1
	TOTAL	7
TOTAL 2.2		21

QUALITY ASSURANCE		
2.3 Quality of school support and quality assurance services at state and LGEA level		
2.3.1 Build capacity to plan and budget for school improvement programmes	2.3.1.1 School improvement targets (with budgets) established	2
	2.3.1.2 Support relevant State working groups to incorporate school improvement targets in the MTSS	1
	2.3.1.3 School development plans (SDPs) aggregated and analysed	2
	TOTAL	5
2.3.2 Quality Assurance (QA) programme for schools established and maintained	2.3.2.1 Facilitate institutional support for an effective QA system	2
	2.3.2.2 Support states in developing & implementing QA policies	2
	2.3.2.3 Sustain & strengthen linkages of QA system with school improvement programme (SIP)	2
	2.3.2.4 Link QA system to state and LGEA planning, budgeting & M&E through EMIS	1
	2.3.2.5 Build capacity of QA evaluators in evidence collection, analysis, reporting and dissemination of QA reports	2
	TOTAL	9
TOTAL 2.3		14

COMMUNITY INVOLVEMENT		
2.4 Level and quality of State/LGEA engagement with local communities on school improvement		
2.4.1 Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools	2.4.1.1 Support communications functions at LGEAs to interact with communities and schools	2
	2.4.1.2 Encourage mechanisms for stakeholder participation in LGEA and school level planning	2
	2.4.1.3 Facilitate mobilising & monitoring of external resources for school infrastructure & facilities	2
	TOTAL	6
2.4.2 Strengthen capacity of CSOs to hold duty-bearers accountable	2.4.2.1 Duty-bearers respond to political engagement by civil society on priority areas for increased accountability in basic education service delivery	2
	2.4.2.2 Strengthen the capacity of CSOs to undertake budget tracking	0
	TOTAL	2
TOTAL 2.4		8

INCLUSIVE EDUCATION		
2.5 Quality of inclusive policies at State and LGEA Level		
2.5.1	2.5.1.1 State has clear policy on inclusive education that outlaws all forms of discrimination and promotes learning friendly education	2
	2.5.1.2 Support civil society to give voice to excluded groups in the planning & budgeting processes	2
	TOTAL	4
2.5.2	2.5.2.1 Data on out-of-school children collected and made available at State & LGEA levels	1
	2.5.2.2 Expenditure on access and equity activities in schools is predictable and based on the MTSS	2
	2.5.2.3 LGEA Desk Officers receive information and respond to community access and equity issues	2
	TOTAL	5
TOTAL 2.5		9

Annex 2: Criteria to be used in Assessing Dimensions

PLANNING & BUDGETING

2.1 Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level

2.1.1 Evidence-based plans developed and integrated between state, LGEA & school

2.1.1.1 Support development & linkages of Medium Term Sector Strategies (MTSS) to budget

MET	PARTIALLY MET	NOT MET
Evidence-based MTSS prepared on time and substantially influences budget (70%+ of budget from MTSS)	Evidence-based MTSS prepared on time but only partially influences budget (50-70%+ of budget from MTSS)	Evidence-based MTSS not prepared on time and has only minor influence on budget (less than 50%+ of budget from MTSS)

2.1.1 Evidence-based plans developed and integrated between state, LGEA & school

2.1.1.2 Support development of LGEA action plans that impact on MTSS

MET	PARTIALLY MET	NOT MET
LGEA plans prepared, incorporated into SUBEB MTSS, substantially funded and fully operational	LGEA plans prepared, incorporated into SUBEB MTSS, but not substantially funded or operational	LGEA plans prepared but not incorporated into SUBEB MTSS

2.1.1 Evidence-based plans developed and integrated between state, LGEA & school

2.1.1.3 Develop capacity of SUBEBs and LGEAs to use evidence from lower-level plans in their planning & budgeting

MET	PARTIALLY MET	NOT MET
SUBEB manages an integrated planning and budgeting system in which LGEA plans based on school level information are extensively used	SUBEB engages with its LGEAs in the planning process, but the process is not comprehensive	Low ability of SUBEB and LGEAs to utilise lower level inputs into their planning

2.1.1 Evidence-based plans developed and integrated between state, LGEA & school

2.1.1.4 Support development of SDPs using ISD and other reports

MET	PARTIALLY MET	NOT MET
SDPs are prepared, based on evidence, identify school priorities and are operational	SDPs are prepared, based on evidence, but are not operational	SDPs are prepared, but are not evidence-based and fail to identify school priorities

2.1.2 Appropriate budget management systems for efficient service delivery in place

2.1.2.1 Support implementation of transparent budget presentation systems

MET	PARTIALLY MET	NOT MET
-----	---------------	---------

Detailed information on both planned and actual expenditure is widely available on both the recurrent and the capital budgets of MoE and SUBEB

Information is available either from the State Budget or from the DWPs in publicly available form on planned spending, but little information is available on actual expenditure

State Budget does not provide information for the public to know what funds are to be spent on, especially in respect of the recurrent budget and there is little or no publication of actual expenditure on activities (capital and recurrent) during or soon after the completion of each budget year

2.1.2 Appropriate budget management systems for efficient service delivery in place

2.1.2.2 Support use of Departmental Work Plans (DWPs) for domesticating budgets and presenting budgets transparently

MET	PARTIALLY MET	NOT MET
High quality DWPs are prepared soon after the annual budget is finalised and are the basis for release of funds and expenditure	DWPs are prepared (covering both the capital and the recurrent activities) but have little or no bearing on actual budget releases and expenditure by activity	Departmental Work Plans are either not prepared or are not used for determining the release of funds or the actual use of budgets

2.1.2 Appropriate budget management systems for efficient service delivery in place

2.1.2.3 Support MDA personnel to use the DWP

MET	PARTIALLY MET	NOT MET
Department Heads use their DWPs as a major management tool and report regularly through the Quarterly Monitoring system to their managers and to the M&E Unit	Department heads understand the purposes of preparing DWPs but do not use them substantially in determining requests for release of funds	Department heads and other senior staff have little or no understanding of how to use DWPs

2.1.2 Appropriate budget management systems for efficient service delivery in place

2.1.2.4 Support institutional initiatives for preparing & implementing phased MDA implementation plans based on DWPs

MET	PARTIALLY MET	NOT MET
PRS Department prepares implementation plans based on phased DWPs and uses them as the principal basis for scheduling and prioritising spending during the year	DWPs are prepared with phased within-year expenditure, but these have little influence on the actual requests for release of funds and subsequent expenditure	DWPs, if prepared at all, do not provide effective profiling of planned annual expenditure

2.1.2 Appropriate budget management systems for efficient service delivery in place

2.1.2.5 Support the preparation and implementation of LGEA DWPs

MET	PARTIALLY MET	NOT MET
LGEA section heads prepare DWPs and use them as a major management tool	LGEA section heads prepare DWPs but do not use them as a major management tool	LGEA section heads do not prepare DWPs

2.1.3 Monitoring & Evaluation systems strengthened

2.1.3.1 Support M&E Units and functions in SUBEBs and LGEAs

MET	PARTIALLY MET	NOT MET
<i>M&E Units and functions in SUBEB and LGEAs are functioning, appropriately staffed and performing their key functions effectively</i>	<i>M&E Units have been established in SUBEB but are not able to perform their functions effectively at LGEA levels</i>	<i>M&E Units have been established in SUBEB but no M&E in LGEAs</i>

2.1.3 Monitoring & Evaluation systems strengthened**2.1.3.2 Provide training for deployed M&E personnel**

MET	PARTIALLY MET	NOT MET
<i>Staff in M&E Units have been trained in both monitoring and in the assembly and utilisation of information from "bottom-up" and non-formal sources</i>	<i>Staff of M&E Units have been trained in concepts of M&E but not in the assembly and utilisation of information from "bottom-up" and non-formal sources</i>	<i>Staff in M&E Units have not been appropriately trained</i>

2.1.3 Monitoring & Evaluation systems strengthened**2.1.3.3 Develop the capacity of M&E units to lead on annual sector reviews and produce annual review reports.**

MET	PARTIALLY MET	NOT MET
<i>AESPR preparation process is led and undertaken by the M&E Units with no technical support (from ESSPIN) and reports are produced in time to shape MTSS planning</i>	<i>M&E Units are involved in the preparation of the AESPR but do not produce timely reports</i>	<i>M&E Units assemble information for the AESPR but do not prepare reports</i>

2.1.3 Monitoring & Evaluation systems strengthened**2.1.3.4 Support sector reporting including AESPR**

MET	PARTIALLY MET	NOT MET
<i>A wide variety of organisations, both public and private, provide information on the sector to the M&E Unit in the lead up to the AESPR and the MTSS</i>	<i>Some MDAs and non-governmental organisations report to the M&E Units, but this is not systematic or comprehensive</i>	<i>There is little or no reporting to the M&E Units (where they exist) either from within their MDA or from other sources</i>

2.1.4 Functional EMIS integrating ASC, SMO, SSO & QA reports established & provides data for planning/ M&E**2.1.4.1 Support the strengthening of the bodies responsible for the ASC so that accurate and timely evidence can be available for through the planning cycle**

MET	PARTIALLY MET	NOT MET
<i>ASC & other reports feed into the planning and the development of the MTSS and other steps within the planning cycle</i>	<i>ASC conducted but report not available in time for use in the next step within the planning cycle</i>	<i>ASC not conducted</i>

2.1.4 Functional EMIS integrating ASC, SMO, SSO & QA reports established & provides data for planning/ M&E**2.1.4.2 Provide training for data management personnel at MoE LGEA & SUBEB levels**

MET	PARTIALLY MET	NOT MET
------------	----------------------	----------------

EMIS staff at MoE, SUBEB & LGEAs are appropriately trained on relevant software (SQL, MS Excel, Access) & data interpretation techniques and are able to utilise this knowledge with limited external support

EMIS staff at MoE, SUBEB & LGEAs trained but cannot apply the skills effectively

EMIS technical and management staff poorly trained and with inadequate experience

2.1.4 Functional EMIS integrating ASC, SMO, SSO & QA reports established & provides data for planning/ M&E

2.1.4.3 Support the conduct of Annual School Census, data processing and production and dissemination of ASC and ISD and other reports

MET

EMIS Unit conducts the ASC effectively and on time and is pro-active in the production and dissemination of ASC, ISD and other reports

PARTIALLY MET

EMIS Unit conducts the ASC effectively and on time and is pro-active in preparation of reports but not in their dissemination

NOT MET

ASC conducted but data not processed

2.1.4 Functional EMIS integrating ASC, SMO, SSO & QA reports established & provides data for planning/ M&E

2.1.4.4 Establish a train- the-trainer system for data management personnel

MET

Train-the-trainers system for data personnel established, functional and institutionalised

PARTIALLY MET

Train-the-trainers system established but inadequate plans for training new staff to cope with expected turnover

NOT MET

Train-the-trainers system not yet established

2.1.5 Strengthen organisations (MoE, SUBEB, LGEAs) to manage service delivery more effectively

2.1.5.1 Support development of systems for monitoring the implementation of SUBEB, LGEA & school plans

MET

SUBEB, LGEA and school-level plans prepared and monitored to ensure consistency between levels and congruence with MTSS and budget

PARTIALLY MET

SUBEB, LGEA and school-level plans prepared and monitored to ensure consistency between levels but not for congruence with MTSS and budget

NOT MET

SUBEB, LGEA and school-level plans prepared but not monitored to ensure consistency between levels and congruence with MTSS and budget

2.1.5 Strengthen organisations (MoE, SUBEB, LGEAs) to manage service delivery more effectively

2.1.5.2 Support implementation of service charters for SUBEB, LGEAs & schools

MET

Service charters for SUBEB, LGEAs and schools developed based on organisation mandate and disseminated

PARTIALLY MET

Service charters at each level developed but not disseminated

NOT MET

Service charters not developed at each level

2.1.5 Strengthen organisations (MoE, SUBEB, LGEAs) to manage service delivery more effectively

2.1.5.3 Support development of corporate vision and mission for LGEAs

MET

PARTIALLY MET

NOT MET

SUBEB & LGEAs have widely publicised corporate vision and mission statements that inform their strategic plan

LGEAs have agreed corporate vision and mission but these not widely recognised

No LGEA corporate vision & mission statements

SERVICE DELIVERY (HR, financial management, procurement and political engagement)

2.2 Quality of service delivery systems and processes at state and LGEA levels

2.2.1 Strengthen human resource development & management systems at state and LGEA levels

2.2.1.1 Support LGEAs in undertaking functional reviews and alignment

MET

The functional review process is complete and has been wholly or largely implemented by the LGEAs

PARTIALLY MET

Functional review of LGEAs has been completed or well advanced but little implementation of recommendations yet

NOT MET

LGEA functional reviews are yet to be undertaken

2.2.1 Strengthen human resource development & management systems at state and LGEA levels

2.2.1.2 Support SUBEBs in implementing HR systems & process review recommendations

MET

70% of the systems & process review recommendations have been reviewed and implemented

PARTIALLY MET

HRM&D systems & process review recommendations have been reviewed but not largely implemented

NOT MET

HRM&D systems have neither been reviewed nor implemented

2.2.1 Strengthen human resource development & management systems at state and LGEA levels

2.2.1.3 Support LGEAs in undertaking HR systems and process reviews

MET

Human resources management and development systems and processes have been completed and the recommendations have been wholly or largely implemented

PARTIALLY MET

HRM&D systems and processes reviews have been undertaken or are well advanced by recommendations have not yet been implemented

NOT MET

HRM&D systems and processes reviews have not yet been undertaken

2.2.1 Strengthen human resource development & management systems at state and LGEA levels

2.2.1.4 Facilitate establishment planning on basis of strategic plans and functional reviews for SUBEB & LGEAs

MET

The establishments in SUBEB & LGEAs have been reviewed, planned and revised using formal concepts of establishment planning

PARTIALLY MET

Concepts of establishment planning have been introduced, but a well-managed process has not been implemented

NOT MET

Establishment planning is not based on a defined or formal process

2.2.1 Strengthen human resource development & management systems at state and LGEA levels

2.2.1.5 Support SUBEBs and LGEAs in workforce planning to implement establishment plans

MET	PARTIALLY MET	NOT MET
<i>An effective system of workforce planning has been developed and applied in SUBEB and the LGEAs based on the functional reviews and establishment plan recommendations</i>	<i>The department responsible for HR in SUBEB and the LGEAs have been exposed to workforce planning but new systems have not been implemented</i>	<i>No effective system of workforce planning is in place or has been applied</i>
2.2.1	Strengthen human resource development & management systems at state and LGEA levels	
2.2.1.6	Support SUBEBs, LGEAs & schools to initiate and manage internal performance management mechanisms	
MET	PARTIALLY MET	NOT MET
<i>An effective internal system of monitoring and assessing set individual performance targets have been developed and applied in SUBEB and the LGEAs</i>	<i>The departments responsible for HR at SUBEB and LGEA levels have been exposed to the principles of setting and monitoring individual performance targets</i>	<i>There is no formal system in place for setting and monitoring individual performance targets</i>
2.2.2	Strengthen financial management systems and procurement processes for efficiency & effectiveness	
2.2.2.1	Support budget tracking and financial reporting	
MET	PARTIALLY MET	NOT MET
<i>Budgets of SUBEB & LGEA are tracked both internally and by external observers using information provided by those organisations and beneficiaries, and the results are available to the public</i>	<i>Budget execution is tracked internally by SUBEB and LGEAs but the results are not available for external observers</i>	<i>There is no system for tracking budget executions either by MoE /SUBEB or by external agencies</i>
2.2.2	Strengthen financial management systems and procurement processes for efficiency & effectiveness	
2.2.2.2	Support strengthening of internal control systems including audit	
MET	PARTIALLY MET	NOT MET
<i>SUBEB and LGEAs have effective system of internal audit</i>	<i>SUBEB audited internally but no evidence of impact and/or LGEAs not audited</i>	<i>No effective audit system for SUBEB and LGEAs</i>
2.2.2	Strengthen financial management systems and procurement processes for efficiency & effectiveness	
2.2.2.3	Support infrastructural developments and models that facilitate school improvement and inclusion	
MET	PARTIALLY MET	NOT MET
2.2.2	Strengthen financial management systems and procurement processes for efficiency & effectiveness	
2.2.2.4	Facilitate adherence to standard procurement rules at the LGEA level	
MET	PARTIALLY MET	NOT MET

There are effective controls in LGEAs to ensure compliance with procurement guidelines *A strengthened system of compliance control on procurement has been developed but not effectively applied* *There is no system in place to ensure effective compliance with procurement rules in LGEAs*

2.2.3 Undertake political engagement to sustain support for institutional reforms and school improvement programme

2.2.3.1 Engage with Commissioners to provide leadership and mobilise resources and related support for school improvement

MET

PARTIALLY MET

NOT MET

There are systems in place for regular and effective engagement with the Commissioner

Engagement with the Commissioner occurs but is neither regular nor systematic

There are no systems for routine engagement of the Commissioner in resource mobilisation

2.2.3 Undertake political engagement to sustain support for institutional reforms and school improvement programme

2.2.3.2 Engage with SUBEB Chairs for commitment to support institutional reforms and implementation of school improvement programme

MET

PARTIALLY MET

NOT MET

There are systems in place for regular and effective engagement with the SUBEB Executive Chairman

Engagement with the SUBEB Executive Chairman occurs but is not regular

There are no systems for routine engagement of the SUBEB Executive Chairman on school improvement reforms

2.2.3 Undertake political engagement to sustain support for institutional reforms and school improvement programme

2.2.3.3 Work with Education Secretaries to promote school improvement in LGEAs

MET

PARTIALLY MET

NOT MET

There are systems in place for regular and effective engagement with Education Secretaries

Engagement with Education Secretaries occurs but is not regular

There are no systems for routine engagement with the Education Secretaries on school improvement reforms

2.2.3 Undertake political engagement to sustain support for institutional reforms and school improvement programme

2.2.3.4 Engage with LG chairmen to provide resources and other support for school improvement programme

MET

PARTIALLY MET

NOT MET

There are systems in place for regular and effective engagement with the LG chairmen

Engagement with the LGA Chairmen occurs but is not regular

There are no systems for routine engagement of the LG chairmen on school improvement reforms

QUALITY ASSURANCE

2.3 Quality of school support and quality assurance services at state and LGEA level

2.3.1 Build capacity to plan and budget for school improvement programmes

2.3.1.1 School improvement targets (with budgets) established

MET	PARTIALLY MET	NOT MET
<i>Targets for school improvement have been set, officially adopted & implemented</i>	<i>Targets for school improvement have been discussed but have not implemented</i>	<i>There are no targets for school improvement</i>

2.3.1 Build capacity to plan and budget for school improvement programmes**2.3.1.2 Support relevant State working groups to incorporate school improvement targets in the MTSS**

MET	PARTIALLY MET	NOT MET
<i>Working groups are actively engaged in the application of established and approved targets for school improvement</i>	<i>A process for engagement on school improvement targets with working groups is in place but not effective</i>	<i>There is no engagement with state working groups on establishment of school improvement targets</i>

2.3.1 Build capacity to plan and budget for school improvement programmes**2.3.1.3 School development plans (SDPs) aggregated and analysed**

MET	PARTIALLY MET	NOT MET
<i>SDPs systematically aggregated, analysed and the results used as basic elements of design of school improvement programmes</i>	<i>SDPs are analysed aggregated and available for use in planning but not used</i>	<i>SDPs, if they exist are not aggregated and the results are not analysed</i>

2.3.2 Quality Assurance (QA) programme for schools established and maintained**2.3.2.1 Facilitate institutional support for an effective QA system**

MET	PARTIALLY MET	NOT MET
<i>Each element of an effective QA system is in place and operative</i>	<i>Most elements of the QA system are in place but some are not operative</i>	<i>Few or no components of the QA system are in place</i>

2.3.2 Quality Assurance (QA) programme for schools established and maintained**2.3.2.2 Support states in developing & implementing QA policies**

MET	PARTIALLY MET	NOT MET
<i>QA policies and legislative frameworks are developed and effective in ensuring an effective QA system</i>	<i>Some QA policies and legislation are in place but they do not impact sufficiently on QA activities</i>	<i>QA policies and legislation are either on-existent or ineffective</i>

2.3.2 Quality Assurance (QA) programme for schools established and maintained**2.3.2.3 Sustain & strengthen linkages of QA system with school improvement programme (SIP)**

MET	PARTIALLY MET	NOT MET
<i>SIP heavily dependent on systematic inputs from QA</i>	<i>Some elements of the SIP use QA outputs but there are no regular or systematic linkages</i>	<i>There are few or no links between school improvement and QA</i>

2.3.2 Quality Assurance (QA) programme for schools established and maintained**2.3.2.4 Link QA system to state and LGEA planning, budgeting & M&E through EMIS**

MET	PARTIALLY MET	NOT MET
<i>The QA system outputs are an integral part of the EMIS, so that they help to shape state & LGEA planning, budgeting and M&E</i>	<i>Some parts of the QA system are captured in the EMIS but do not sufficiently influence state & LGEA planning, budgeting and M&E</i>	<i>There are few or no operational links between QA and EMIS</i>

2.3.2 Quality Assurance (QA) programme for schools established and maintained

2.3.2.5 Build capacity of QA evaluators in evidence collection, analysis, reporting and dissemination of QA reports

MET	PARTIALLY MET	NOT MET
<i>MoE and SUBEB staff with QA responsibilities have the skills necessary for evidence collection, analysis and distribution</i>	<i>Some staff with QA responsibilities have acquired some evidence collection, analysis and distribution skills but they are not applied systematically</i>	<i>Staff with QA responsibilities do not have the skills necessary for evidence collection, analysis and distribution</i>

COMMUNITY INVOLVEMENT

2.4 Level and quality of State/LGEA engagement with local communities on school improvement

2.4.1 Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools

2.4.1.1 Support communications functions at LGEAs to interact with communities and schools

MET	PARTIALLY MET	NOT MET
<i>SUBEB & LGEAS have updated strategic plans and functional reviews that include operational & budgeted communications functions for interaction with communities & schools</i>	<i>SUBEB & LGEAS have updated strategic plans and functional reviews that include communications functions but no evidence that they are operational or funded</i>	<i>SUBEB & LGEAS do not have updated strategic plans and functional reviews that include communications functions</i>

2.4.1 Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools

2.4.1.2 Encourage mechanisms for stakeholder participation in LGEA and school level planning

MET	PARTIALLY MET	NOT MET
<i>CSOs and SBMCs participate in the development and implementation of SDPs and the integration of SDPs into LGEA & SUBEB planning</i>	<i>CSOs and SBMCs participate in the development and implementation of SDPs but not involved in LGEA & SUBEB planning</i>	<i>CSOs and SBMCs do not participate in the development and implementation of SDPs</i>

2.4.1 Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools

2.4.1.3 Facilitate mobilising & monitoring of external resources for school infrastructure & facilities.

MET	PARTIALLY MET	NOT MET
------------	----------------------	----------------

Mechanisms in place to source funds, mobilise resources and monitor external interventions to benefit school infrastructure and facilities

Mechanisms in place to source funds and mobilise resources but no evidence that external interventions benefit school infrastructure and facilities

No mechanisms in place to source funds, mobilise resources and monitor external interventions to benefit school infrastructure and facilities

2.4.2 Strengthen capacity of CSOs to hold duty-bearers accountable

2.4.2.1 Duty-bearers respond to political engagement by civil society on priority areas for increased accountability in basic education service delivery

MET	PARTIALLY MET	NOT MET
<i>Government duty-bearers engage strategically with CSOs and respond to issues of school improvement raised by civil society</i>	<i>Government engagement with CSOs is not well coordinated</i>	<i>Government does not create space for CSO engagement and does not respond</i>

2.4.2 Strengthen capacity of CSOs to hold duty-bearers accountable

2.4.2.2 Strengthen the capacity of CSOs to undertake budget tracking

MET	PARTIALLY MET	NOT MET
<i>CSOs trained in PFM & are competent to and active in tracking budgets, monitoring implementation and producing reports</i>	<i>CSOs trained in PFM & are competent to track budgets but not actively involved in monitoring implementation or producing reports</i>	<i>CSOs not trained in PFM & budget tracking</i>

INCLUSIVE EDUCATION

2.5 Quality of inclusive policies at State and LGEA Level

2.5.1.1 State has clear policy on inclusive education that outlaws all forms of discrimination and promotes learning friendly education

MET	PARTIALLY MET	NOT MET
<i>Clear policy in place at state level and followed by LGEAs</i>	<i>Policy under development or in place in SUBEB but not followed by LGEAs</i>	<i>No articulated policy on inclusive education in schools</i>

2.5.1.2 Support civil society to give voice to excluded groups in the planning & budgeting processes

MET	PARTIALLY MET	NOT MET
<i>Representatives of excluded groups actively participate in planning and budgeting to voice their needs and expectations, that are included in plans and budgets</i>	<i>Representatives of excluded groups participate in planning and budgeting but their needs and expectations not included in plans and budgets</i>	<i>Representatives of excluded groups do not participate in planning and budgeting to voice their needs and expectations</i>

2.5.2.1 Data on out-of school children collected and made available at State & LGEA levels

MET	PARTIALLY MET	NOT MET
<i>Data at State & LGEA levels has been collected and is in database, available for sharing/use</i>	<i>Data has been collected at State level but is fragmented and incomplete and/or unavailable at LGEA level</i>	<i>Data has not been collected or is not available</i>

2.5.2.2 Expenditure on access and equity activities in schools is predictable and based on the MTSS

MET	PARTIALLY MET	NOT MET
<i>The MTSS reflects costs associated with access and equity and support for out of school children</i>	<i>Access and equity targets are included in the MTSS but expenditure is not predictable</i>	<i>There is no targeted expenditure on or plans for access and equity in schools</i>

2.5.2.3 LGEA Desk Officers receive information and respond to community access and equity issues

MET	PARTIALLY MET	NOT MET
<i>Mechanisms in place for LGEA to receive and respond to access and equity issues at community/school level (SDPs, C-EMIS data)</i>	<i>LGEA officers mobilise SBMCs and communities on access and equity, but there is no mechanism in place to report and respond to them</i>	<i>LGEA officers do nothing around access and equity and no mechanisms in place</i>

Annex 3: LGEA Self-Assessment Framework and Average LGEA Scores

LGEA SELF ASSESSMENT SCORE SHEET		
Scores: Met = 2, Partly Met = 1, Not Met = 0		
PLANNING & BUDGETING		
2.1 Quality of strategic and operational planning and budgeting, budget execution, performance monitoring and reporting at state and LGEA level		Ave. score*
2.1.1 Evidence-based plans developed and integrated between state, LGEA & school	2.1.1.1 Develop capacity of LGEAs to use evidence from school plans (SDP) in their planning & budgeting	1.8
	2.1.1.2 Support development of SDPs using ISD and other reports	1.6
	TOTAL	3.4
2.1.2 Appropriate budget management systems for efficient service delivery in place	2.1.2.1 Support implementation of transparent budget presentation systems	1.7
	2.1.2.2 Support use of Departmental/ Section Work Plans (DWPs) for domesticating budgets and presenting budgets transparently	1.8
	2.1.2.3 Support LGEA officers to prepare & use DWPs/ SWPs	1.1
	TOTAL	4.6
2.1.3 Monitoring & Evaluation systems strengthened	2.1.3.1 Support M&E Units and functions in SUBEBs and LGEAs	1.5
	2.1.3.2 Provide training for deployed M&E personnel	1.5
	2.1.3.3 Develop the capacity of M&E units to lead on sector reporting and produce annual reports.	1.3
	TOTAL	4.3
2.1.4 Functional EMIS integrating ASC, SMO, SSO & QA reports established & provides data for planning/ M&E	2.1.4.1 Support the strengthening of the bodies responsible for the ASC so that accurate and timely evidence can be available for through the planning cycle	1.4
	2.1.4.2 Provide training for data management personnel at LGEA levels	1.1
	TOTAL	2.5
2.1.5 Strengthen organisations (MoE, SUBEB, LGEAs) to manage service delivery more effectively	2.1.5.1 Support development of systems for monitoring the implementation of LGEA & school plan	1.6
	2.1.5.2 Support implementation of service charters for LGEAs & schools	0
	2.1.5.3 Support development of corporate vision and mission for LGEAs	1.9
	TOTAL	3.5
TOTAL 2.1		18.3

SERVICE DELIVERY (HR, financial management, procurement and political engagement)		
2.2 Quality of service delivery systems and processes at state and LGEA levels		Ave.
2.2.1 Strengthen human resource development & management systems at state and LGEA levels	2.2.1.1 LGEAs supported in undertaking functional reviews and alignment	2
	2.2.1.2 Facilitate establishment planning on basis of strategic plans and functional reviews for LGEAs	2
	2.2.1.3 Support SUBEBs and LGEAs in workforce planning to implement establishment plans	1.55
	TOTAL	5.5
2.2.2 Strengthen financial management systems and procurement processes for efficiency & effectiveness	2.2.2.1 Support budget tracking and financial reporting	1.1
	TOTAL	1.1
2.2.3 Undertake political engagement to sustain support for institutional reforms and school improvement programme	2.2.3.1 Engage with SUBEB Chairs for commitment to support institutional reforms and implementation of school improvement programme	1.1
	2.2.3.2 Encourage Education Secretaries to work together to promote school improvement	1.7
	2.2.3.3 Engage with LG chairmen to provide resources and other support for school improvement programme	1.3
	TOTAL	4.1
TOTAL 2.2		10.7

QUALITY ASSURANCE		
2.3 Quality of school support and quality assurance services at state and LGEA level		Ave. score
2.3.1 Build capacity to plan and budget for school improvement programmes	2.3.1.1 School improvement targets (with budgets) established	1.8
	2.3.1.2 Support relevant LGEA working groups to incorporate school improvement targets in the MTSS	1.8
	2.3.1.3 School development plans (SDPs) aggregated and analysed and used as basis for planning	1.5
	TOTAL	5.1
2.3.2 Quality Assurance (QA) programme for schools established and maintained	2.3.2.1 Facilitate institutional support for an effective QA system	1.5
	2.3.2.2 Sustain & strengthen linkages of QA system with school improvement programme	1.9
	2.3.2.3 Link QA system to state and LGEA planning, budgeting & M&E through EMIS	1.3
	2.3.2.4 Build capacity of QA evaluators in evidence collection, analysis, reporting and dissemination of QA reports	1.7
	TOTAL	6.4
TOTAL 2.3		11.5

COMMUNITY INVOLVEMENT		
2.4 Level and quality of State/LGEA engagement with local communities on school improvement		Ave. score
2.4.1 Strengthen capacity of SUBEBs & LGEAs to harness and utilise community and other external resources to schools	2.4.1.1 Support communications functions at LGEAs to interact with communities and schools	
	2.4.1.2 Encourage mechanisms for stakeholder participation in LGEA and school level planning	
	2.4.1.3 Facilitate mobilising & monitoring of external resources for school infrastructure & facilities	
	TOTAL	
2.4.2 Strengthen capacity of CSOs to hold duty-bearers accountable	2.4.2.1 Promote engagement with civil society on priority areas for political engagement at state and local government levels for increased accountability	
	2.4.2.2 Strengthen the capacity of CSOs to undertake budget tracking	
	TOTAL	
TOTAL 2.4		

INCLUSIVE EDUCATION		
2.5 Quality of inclusive policies at State and LGEA Level		Ave. score
2.5.1 Planning on access and equity is comprehensive and available	2.5.1.1 Data collected and made available at LGEA level	1.6
	2.5.1.2 Support civil society to give voice to excluded groups in the planning & budgeting processes	1.3
	TOTAL	2.9
2.5.2 Clear anti-discrimination policies	2.5.2.1 LGEA follows State policy on inclusive education that outlaws all forms of discrimination and promotes learning friendly education	1.5
	2.5.2.2 Support civil society to give voice to excluded groups in the planning & budgeting processes	1.0
	TOTAL	2.5
TOTAL 2.5		5.4

Annex 4: A Vision of a Functioning LGEA

While there are numerous models and visions of what an effective primary school should look like, it is rare to find one of a functioning educational administrative unit. This report has drawn particular attention to the problems faced by LGEAs. The State and LGEA self-assessments both are based on ideas about how an LGEA should operate. The model below is based on the ‘fully met’ performance criteria in the State and LGEA self-assessment procedures. It brings these elements together in order to focus on the LGEA as the central delivery point for school improvement in each state.

The basic notion is that an effective LGEA is a starting point, from which the drivers of the school improvement programme are managed and coordinated. This vision of a functioning LGEA is a long way from current realities and presents a major challenge to all those seeking to improve basic education in Nigeria. If this model does not match the reader’s ideas of what an LGEA should do and be, then it provides a stimulus to develop alternative visions of effectiveness.

The LGEA office will be staffed with competent, trained specialists and managers and equipped with sufficient computers, a generator, internet access and transport for visiting schools. In the Social Mobilisation and School Services sections, SMOs and SSOs will regularly visit schools on an agreed visits cycle, using available transport, and will undertake the support, training and monitoring tasks for which they have been trained. They will employ the instruments and techniques developed by their SSIT and relevant SUBEB department. Staff from the Quality Assurance (QA) section will visit schools to review and report on the effectiveness of the school improvement programme according to an agreed visits cycle, using available transport. The QA team will also review the effectiveness of the LGEA itself, with the support of SUBEB QA staff and report of ways in which the LGEA can operate more efficiently and effectively.

SSO, SMO and QA reports will be completed on time and in the specified format and passed to their section heads and the PRS Section. These will comprise reports on individual school and SBMC visits and regular school cluster reports. The ASU and PRS section will examine those reports, enter them into the LGEA database, look for trends and aggregate the findings according to a prescribed system, using the database. At the appropriate time of year, the SSOs and SMOs will support SBMCs and head teachers in preparing their school development plans. Those plans, as well as indicating the main internal school activities for the next year, will highlight three or four key needs to be met by the LGEA – they will constitute a bid for resources and support.

In line with the annual planning cycle, the Education Secretary (ES) with her section heads will prepare the annual LGEA action plan, using the M&E analyses of the database and related information including QA reports. These will have been prepared by the M&E Unit. The plan will draw upon the annual census data specific to the LGEA, the SUBEB comparative analysis of LGEAs and the annual, institutionalised LGEA and SUBEB self-assessment processes, so that distinctive features and specific needs of each specific LGEA can be identified. The plan will also make use of the M&E Unit’s aggregation of school development plans from every school and will be informed by the requirements of the SUBEB and the forthcoming year’s priorities as specified in the SUBEB strategic plan and the MTSS. The plan will also include the LGEA’s own human resource development needs including training and mentoring, along with the support activities needed to help schools implement their own development plans. The Finance section will cost the action plan and submit the costings to SUBEB.

After the state budget has been published and the SUBEB informs each LGEA about its budget allocations for the new financial year, the ES and section heads will prepare sectional work plans. These will specify the activities by month or quarter for each section and the resources required to deliver the work plans. Regular meetings between ES and section heads will monitor the progress of the sectional work plans and report as necessary to SUBEB on progress and requirements. Section heads will hold regular meetings (at least monthly) with their staff to receive reports from section staff and review the extent to which the work plan is being delivered. The section work plans will include the acquisition (normally from SUBEB) and distribution of materials & equipment to all schools for which the LGEA is responsible, a process to be monitored by the QA section.

The ES will meet regularly with the other LGEA ES's and the SUBEB Executive Chairman. These meetings will help to identify issues affecting all LGEAs and those specific to single or a small number of LGEAs, requiring remedial action by SUBEB. The ES will also meet regularly with the Local Government Chairman and Council members. The LGEA plan will be shared with the LGC and the LGC invited to contribute to achieving the plan, through specific grants and/ or a regular stipend. The LGEA will have identified potential philanthropists, NGOs and CSOs, with whom the ES and section heads will meet to identify priority activities within the LGEA plan that these individuals and organisations might wish to support. The LGEA will also report regularly to donors on progress in delivering the plan and specifically on the areas supported by those donors. Transparent budget tracking activities, undertaken with the help of trained CSOs, will inform the public on the resources available to the LGEA and the uses made of them.

Throughout the year, all LGEA staff will benefit from training and other forms of professional development according to personal PDPs agreed at the annual performance review and appraisal. The training will focus on the contributions that individuals make towards school improvement but will include office management, report writing, IT and communication skills as necessary. The LGEA HR section will have responsibility for managing the professional development programme, along with the recruitment, promotion, disciplinary and redundancy procedures according to merit and as specified within the LGEA mandate. SUBEB will exercise its personnel management responsibilities transparently and appoint teachers, officers and Education Secretaries according to clear criteria. The LGEA will take on full responsibilities from SUBEB for all mandated activities stated in the State Universal Basic Education Act. This will include the provision of housing and related allowances as incentives where the recruitment of high quality staff presents major problems.

Annex 5: Self-Assessment Workshops Evaluation Findings & Comments

1. The end-of-workshop evaluation provides an immediate snapshot of participant responses to the workshop. The value of such instant 'happy sheets' is limited but they do provide some evidence that can be of assistance in preparing future self-evaluation exercises. The evaluation results were sorted by workshop but not by state, because in previous years there was little if any difference between the six states. Results of the two workshop evaluations are very similar and combined in this report, but differentiated in the graphics.
2. The evaluation sheet invited responses to 10 statements (below), both as a score - 'strongly agree' response = 4 points; agree = 3, slightly agree = 2; disagree = 1 – and as write-in comments. Table 1 indicates the statements and the percentage agreement levels with each statement out of a maximum 100% strong agreement. Note that Statement 3 is the only 'negative' statement. Otherwise, both groups indicated strong agreement with the statements, mainly at 90%+ levels.

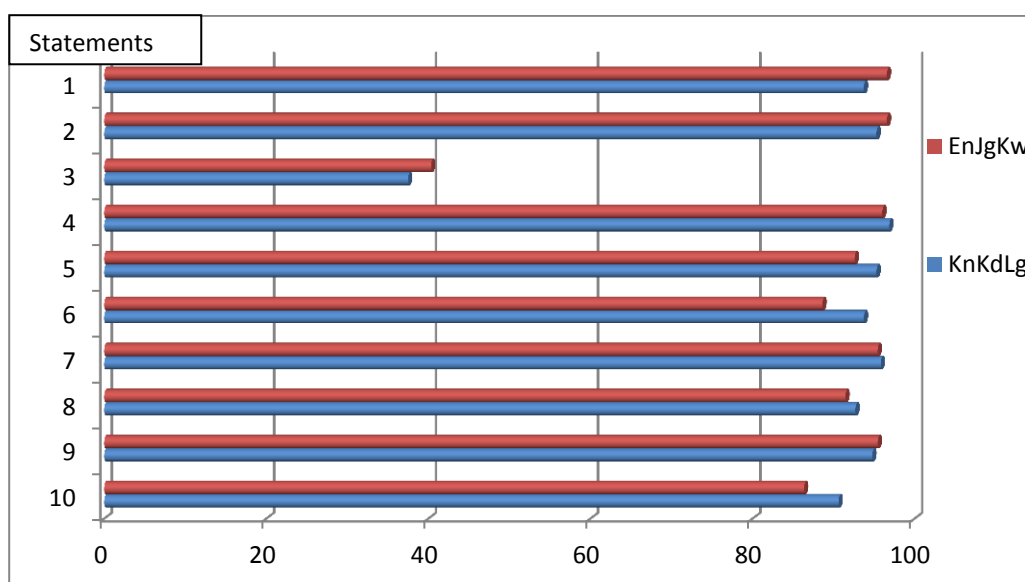
Table 1: Workshop evaluation statements and %age agreement levels by workshop

WORKSHOP EVALUATION STATEMENTS	KdKnLg	EnJgKw
1. I had some idea about the reasons for coming to Abuja for this workshop beforehand	93.8	96.6
2. The overall goals of the workshop was clear	95.3	96.6
3. The workshop did not allow enough time to complete the work satisfactorily	37.5	40.3
4. The workshop materials were clear and useful	96.9	96.0
5. The facilitator presented the content and explained the exercises clearly, using relevant and comprehensible language clearly	95.3	92.6
6. The facilitator allowed sufficient time to complete the exercises	93.8	88.6
7. The activities were relevant to my work over the next year	95.8	95.5
8. The workshop has provided clear directions for the State Government to focus on when supporting schools and LGEAs over the next two or three years	92.7	91.5
9. I think that this exercise will help LGEAs and State Government to develop initiatives that will improve teaching and learning to tackle issues revealed in this process	94.8	95.5
10. I am clear as to the next steps in establishing self-assessment procedures in 2017 after ESSPIN	90.6	86.4

3. Analysis of the evaluation results indicates very little difference between the two workshops, as Table 1 and Figure 1 demonstrate, with almost identical overall satisfaction levels in each workshop, when measured as percentages of the highest maximum possible satisfaction level.
4. Table 1 and Figure 1 also indicate the responses to each statement in the questionnaire. The highest agreement levels were with Statement 4: *The workshop materials were clear and useful* ; Statement 2: *The overall goals of the workshop was clear*; and Statement 7: *The activities were relevant to my work over the next year* . The lowest level of agreement (apart from the negative statement), albeit at almost 90% overall, was with Statement 10: *I am clear as to the next steps in establishing self-assessment procedures in 2017 after ESSPIN*, a point that was reinforced with write-in comments. Virtually all write-in comments

were very positive, from “satisfactory” to “excellent”. The overall percentage ratings were slightly higher than in 2015 but some of the questions were different this year.

Figure 1: Participant satisfaction levels, by workshop and statement of the two state workshops:
n=48 (KdKnLg); n=44 (EnJgKw)



Note: Each ‘strongly agree’ response = 4 points; agree = 3, slightly agree = 2; disagree = 1, converted to %ages of possible total if all responses are ‘strongly agree’.

Sustainability

- It is noticeable that the highest rating statements all refer not to the facilitators, although their work was rated highly at the 90%+ levels (Statements 5 & 6), but to the self-assessment process. The goals were clear, the materials were useful and the process relevant. But the Statement that participants were more uncertain about (Statement 10) concerned what happens next. This is borne out by the write-in comments – and also in discussions at the end of each workshop.
- Participants felt strongly that the processes of LGEA and State self-assessment should continue in 2017 and thereafter. The comment that *“This process should be sustained to maintain progress in the sector”* was echoed by many of the other write-ins. In part this is part of a more general concern about ESSPIN’s demise, but much of the commentary was specific to self-assessment. Some hoped that *“DFID should monitor and supervise 2017 self-assessment to ensure sustainability”*. Others were more practical, stating that *“self-assessment should now be done by the states and Federal Government”*.
- End-of-workshop discussions took this theme further, with views expressed that individual IDPs or IDPs collectively should support the process. However, there was strong support for the notion that the states should get together and organise the 2017 procedures themselves. The second workshop was informed that JCC and UBEC were to be approached to support this and other post-ESSPIN initiatives, and the general view was that it is now the responsibility of states – and specifically their

Planning, Resources and Statistics Directorates - to manage self-assessment themselves, with whatever external support they can generate. This was countered by the pessimists – *“this is a beautiful exercise but sustainability is doubtful”*.

8. Other write-in comments (other than the usual plaudits) referred to the effects of the workshop personally *“It exposed me to assess my own job & responsibilities”* was echoed by several, including *“Thank you indeed for removing the cloak from our face”*. Some were somewhat critical of the preparatory procedures, even though over 95% agreed that they *“had some idea about the reasons for coming to Abuja for this workshop beforehand”*. Some asked for the report to be quickly returned to the states for action and others identified LGEAs as the highest priority for further self-assessment, while a couple of other comments asked that the process *“should be steepd (sic) down to non-participants at SUBEB & LGEAs”*.
9. There was only one suggestion that the materials should be simplified – but that may well be one way of meeting the clamour for sustainability. The fact that nearly 40% of participants agreed with the negative statement that *“The workshop did not allow enough time to complete the work satisfactorily”* indicates that if the workshop is to be completed in two days – not least for cost purposes – some simplification may be helpful. This is reinforced by the likelihood that future self-assessments, if they occur at all, will probably not have the levels of professional facilitation provided so successfully by ESSPIN’s Output 2 specialists in this and previous years.
10. The notion that ESSPIN might leave as a legacy some documentation to support the 2017 self-assessment exercises at State and LGEA levels was strongly supported – and this might form a suitable and cost-effective response to the strongly expressed requests from the two workshops.

Annex 6: State and LGEA Comparisons of Performance in each Sub-Indicator

Figures 1 & 2 compare the State and LGEA performance levels across the six states. They are shown as a percentage of the total possible score if all activities were fully met. The charts enable identification of the highest performing states in each Indicator, and the gaps between State and LGEA performance for each indicator in each state. Figure 2 also enables total performance levels between States and LGEAs to be compared.

Figure 1: State and LGEA ratings as %age of total possible ratings for each Indicator.

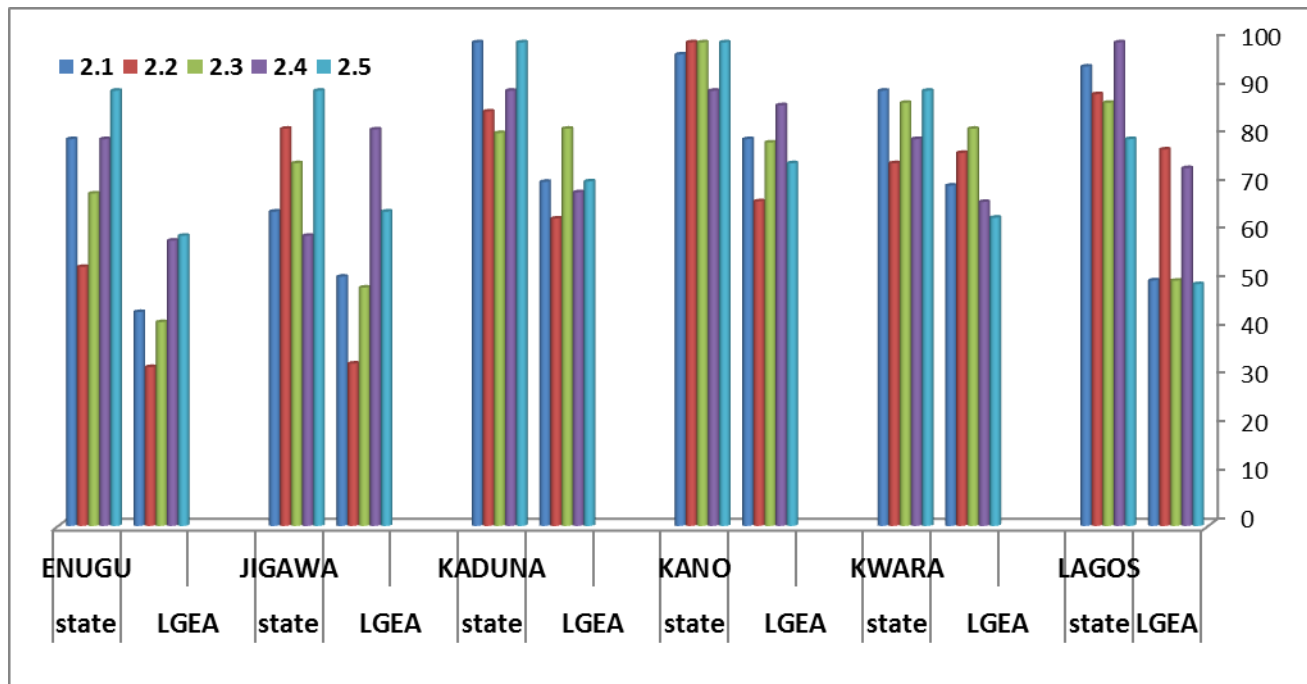
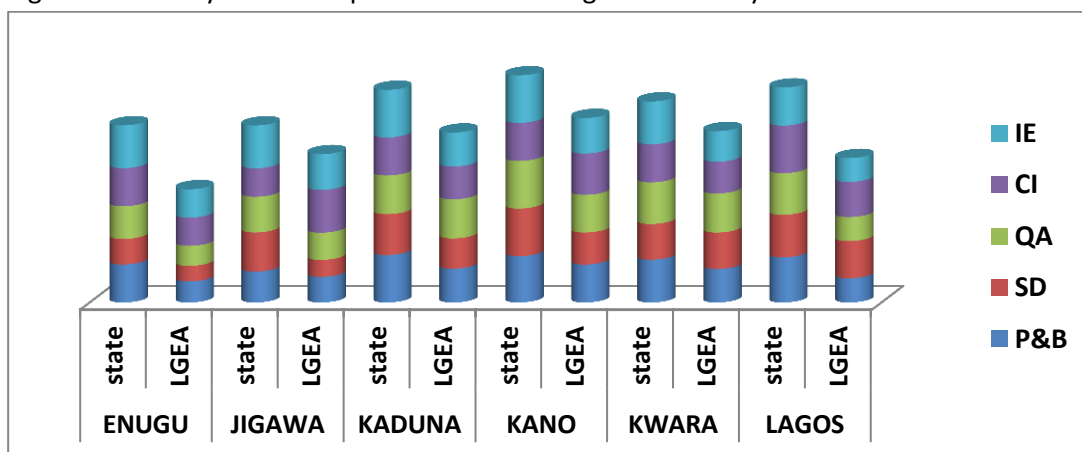


Figure 2: State-by-State Comparison of Percentage Achieved by State and LGEAs in each Sub-Indicator



Annex 7: Converting Scores to Bands

2.1 Planning & Budgeting

Indicator Total	
Band A	33-40
Band B	25-32
Band C	13-14
Band D	0-12

2.2 Service Delivery

Indicator Total	
Band A	23-28
Band B	16-22
Band C	9-15
Band D	0-8

2.3 Quality Assurance

Indicator Total	
Band A	14-16
Band B	10-13
Band C	6-9
Band D	0-5

2.4 Community Involvement

Indicator Total	
Band A	9-10
Band B	6-8
Band C	3-5
Band D	0-2

2.5 Inclusive Education

Indicator Total	
Band A	9-10
Band B	6-8
Band C	3-5
Band D	0-2

