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Evaluation 2016/1

Evaluation of SDC's Performance in Basic Education 2007 – 2014



Evaluation of

SDC's Performance in Basic Education 2007 – 2014

Commissioned by the Evaluation and Corporate Controlling Division
of the Swiss Agency for Development and Cooperation (SDC)

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Annexes and Case Studies can be downloaded at
<https://www.admin.ch/gov/en/start/documentation/studies.html>

Bern, March 2016

Evaluation Process

Evaluations commissioned by SDC's Board of Directors were introduced in SDC in 2002 with the aim of providing a more critical and independent assessment of SDC activities. These Evaluations are conducted according to the OECD DAC Evaluation Standards and are part of SDC's concept for implementing Article 170 of the Swiss Constitution which requires Swiss Federal Offices to analyse the effectiveness of their activities. SDC's **Senior Management** (consisting of the Director General and the heads of SDC's departments) approves the Evaluation Program. The **Evaluation and Corporate Controlling Division**, which is outside of line management and reports directly to the Director General, commissions the evaluation, taking care to recruit evaluators with a critical distance from SDC.

The Evaluation and Corporate Controlling Division identified the primary intended users of the evaluation and invites them to participate in a **Core Learning Partnership (CLP)**. The CLP actively accompanies the evaluation process. It commented on the evaluation design (Approach Paper). It provided feedback to the evaluation team on their preliminary findings and on the draft report. During a Synthesis Workshop, the CLP validated the evaluation findings, conclusions and recommendations. The focal point of the Education Network supported the evaluation process, in order to ensure the dissemination of evaluation results within SDC domains.

The evaluation was carried out according to the evaluation standards specified in the Terms of Reference.

Based on the **Final Evaluator's Report**, one member of SDC's Senior Management assumed the responsibility of drafting a **Senior Management Response (SMR)**. The SMR was subsequently approved by SDC's Board of Directors and signed by SDC Director-General.

The SMR is published together with the Final Evaluators' Report. For further details regarding the evaluation process see the Terms of Reference (Annex 1)

Timetable

Step	When
Approach Paper finalized	January 2015
Implementation of the evaluation	January - August 2015
Senior Management Response in SDC	March 2016

I Executive Summary

Donor	SDC – Swiss Agency for Development and Cooperation
Report title	Independent Evaluation of SDC's Performance in Basic Education 2007 – 2014
Geographic area	Global, Burkina Faso, West Balkan, Romania, Serbia, Kosovo, and Albania, Afghanistan, Haiti, Mongolia, Niger
Sector	Basic Education
Language	English
Date	September 2015
Author	Columbia University in the City of New York: Gita Steiner-Khamsi, Fenot Aklog, Arushi Terway

Subject Description

This report summarizes the findings and conclusions of an independent evaluation of SDC's Performance in Basic Education (BE) 2007 – 2014. It addresses the following four key evaluation areas:

- Alignment with strategic objectives of SDC in education
- Relevance and effectiveness of the BE projects and programs
- Appropriateness and efficiency of SDC's implementation modalities
- Correspondence with international agendas, standards and “best practices”

The overall purpose of this evaluation is to render accountability, generate knowledge, learning and improve SDC's performance in BE. In particular, the purpose of the independent evaluation is to provide SDC with a valid, accurate, useful, and differentiated assessment of the performance of its BE projects.

Evaluation Methodology

In line with the methodological approach of Michael Q. Patton,¹ the evaluation was utilization-focused. The Evaluation and Corporate Controlling (E+C) Division and the Core Learning Partnership (CLP) ensured that the evaluation team focused on key evaluation questions that are useful for SDC's strategic decisions and further operational planning in Basic Education.

The evaluation produced a portfolio analysis of SDC's BE programs and used it as a foundation for drawing a representative sample of nine cases or programs for in-depth evaluation.

Two field-based case studies took place in Burkina Faso and on the Roma Education Programs in the West Balkans with visits to Romania, Serbia, Kosovo, and Albania. Additionally, document analysis with selected interviews was conducted for following cases:

- BE in country programs: Afghanistan, Haiti, Mongolia, Niger
- SDC's collaboration with key international organizations in education
- United Nations Relief and Work Agency for Palestine Refugees (UNRWA)
- Water Supply and Sanitation Collaborative Council (WSSCC).

¹ See, in particular, Michael Q. Patton (2011). *Developmental Evaluation. Applying Complexity Concepts to Enhance Innovation and Use*. New York: Guilford. In addition, see Michael Q. Patton (1997). *Utilization-Focused Evaluation*. Thousand Oaks: Sage, 3rd edition.

The data collection was comprehensive: the evaluation is based on a total of 108 interviews and meetings.

Major Findings and Conclusions

The **portfolio analysis** shows that SDC disburses annually more than CHF 100 million for programs in BE. It estimates that SDC spent CHF 112.5 million in 2014 for BE programs, using the three main funding modalities:

- Bilateral aid: CHF 57.7 million
- Multi/bilateral aid to key partners in education (“multi-bi”): CHF 13.7 million
- Multilateral aid through global partners: CHF 41.1 million for education (estimate).

Basic education in West Africa is a priority followed by Europe as well as Asia and Oceania; Latin America is semi-orphaned.

The comparison over the period 2007 to 2014 yields a few interesting trends on SDC's priorities and aid selectivity:

- There is a discrepancy between perception and actual allocation in education. In documents of SDC, there is more talk of non-formal education and vocational skills-development than of formal basic education. SDC actual disbursement over the period 2007 to 2014, however, has moved towards formal basic education and support for education policy, that is, towards systemic educational reform. Almost half of SDC spending in education is for formal basic education (23%) and education policy (23%).
- SDC's BE bilateral contribution in fragile and conflict-affected areas increased considerably from 2007-2014. The evaluation estimates that BE support to fragile states and regions increased from CHF 7.4 million in 2007 to CHF 13.5 million in 2014, with a peak of CHF 18.8 million in 2012. Clearly, the decision of the Swiss Government in 2012 to increase aid to fragile and conflict-affected states is reflected in this visible increase of BE spending.
- SDC's contribution to multi/bilateral aid to key partners that specifically work in education is with an annual disbursement of CHF 13.7 million relatively small. More than half of these funds were assigned to the most important global player in education: the Global Partnership for Education.

Main **best practices** identified by SDC staff and partners are as follows

- Bilingual education, community participation, and/or education for sustainable development are comparative advantages of Switzerland in BE. The commonality between these three areas of Swiss expertise is its salutary effects on the inclusion of the hard to reach and most excluded.
- SDC has successfully increased its impact and voice by participating in governance structures of SDC partners, by coalition-building with like-minded donors as well as multilateral organizations, and by supporting advocacy work in regional and international organizations.
- SDC's preferred contractual arrangements (notably institutional partners that contract local partners for program implementation) works well for diffusion of innovation - but might prevent scaling up of innovation at large scale.

The report also discusses **five areas in need of improvement**:

- Educational programming is currently not systematically driven by SDC's comparative advantages, but essentially determined by consideration of the funding source (frame credit) or by political considerations that are reflected in Cooperation strategies.

- There is widespread data skepticism at all levels and manifest itself in disbelief that the collected data is reliable and valid and that data analysis could possibly yield meaningful and useful findings.
- The evaluation identifies a lack of professional expertise in international educational development. This has a negative impact in at least two regards: low recognition and profile of SDC and low quality of education components in non-education programs.
- Like others SDC is experiencing one of the greatest challenges of development and cooperation: innovation and pilot project are rarely scaled-up or institutionalized, and often discontinued after project funding dried up.
- There is a risk that SDC does inadvertently become the sole or largest donor in programs or organizations that other donors left behind.

Main recommendations

A total of **twenty recommendations** are presented in the report. They were reduced to **eight key recommendations** and grouped into two categories:

- ***Strategic Level***
 1. Design a SDC education sector strategy that is (a) unified, (b) comprehensive and (c) lifelong, that is, a strategy that
 - a) addresses all levels of education (pre-primary, primary, secondary, vocational-technical education, higher education)
 - b) considers all types of contributions (bilateral aid, multi-bilateral aid to key international partners in education, multilateral aid) and specifies the various contexts (developing countries, fragile states, migration countries, EU enlargement and other countries)
 - c) adheres to SDC's unique conception of lifelong learning and relevant skill development. The evaluation recommends in particular to avoid using the outdated and ambiguous term "non-formal education" and to replace it with a contemporary terminology that best captures SDC's vision of education, such as, for example "education in and out the classroom and across the lifespan."
 - d) continues building alliances with like-minded partners, invest in coalition-building and communicate these partnerships more clearly.
 2. Prioritize areas of intervention and clearly and widely communicate the Swiss comparative advantage in bilingual education, community participation, education for sustainable development, and in general in inclusive education for the most excluded.
 3. Enhance inter-sectoral collaboration in SDC to improve the effectiveness and quality of programs, in particular in areas that are proven to benefit from an integrated approach (e.g., adult literacy, education for sustainable development) and in non-education programs that contain educational components.
 4. Determine which innovations in basic education should be systematically scaled up and which ones should be phased out, respectively.
 5. Enhance expertise in SDC's education programs by cooperating with (Swiss) universities and institutions in the field of international educational development. Eventually, define technical expertise as one of the key qualifications for new recruitments.

6. Require that all entry proposals include a detailed institutionalization and handover plan. This will increase the chances that the innovations or pilot projects are sustained beyond the duration of SDC funding

- ***Operational Level***

7. Correct the glitches in the SAP system and make it more user-friendly so that the staff uses it for planning, monitoring, and evaluation as well as for strategic steering
8. Share knowledge and experiences on effective models of policy support to enhance government ownership (both at local and national level) in SDC-funded programs and projects

II Senior Management Response

Senior Management Response of SDC's Directorate (strategic level)

Bern, March 2016

Signature: Manuel Sager, Director SDC



Introduction

The Independent Evaluation of SDC's Performance in Basic Education was conducted on the basis of the Approach Paper approved by the Board of Directors on February 2, 2015. Ms. Gita Steiner-Khamisi from the Teachers College, Columbia University in the City of New York was the evaluation team leader. The main evaluation report identified five best practices and five areas of improvement for SDC's basic education program. The separate document of the report (Annex) summarizes the results of the two field-based cases (Burkina Faso and Roma Education Programs in the West Balkans) and the seven case studies consisting of document analysis complemented with interviews.

The evaluation team proposed 20 recommendations. The recommendations were discussed at the 4th and last CLP (Core Learning Partnership with representatives of all departments) meeting. Of the twenty recommendations, eight key recommendations were formulated - grouped into the two categories (i) strategic, (ii) operational recommendations.

Management response to strategic recommendations: The Board of Directors is requested to respond to **six key recommendations at strategic level**. SDC senior management declares if it agrees (fully or partially) or not with the recommendation and justifies its position. Measures to be taken, including responsibility and time horizon for their implementation are elaborated for each of the recommendation and should be integrated, if needed, in an action plan. The management response to strategic recommendations is approved by the Board of Directors and signed by SDC's Director.

Management response to operational recommendations: The management response at strategic level is completed and followed by a **management response at the operational level**. This includes position and measures on 2 additional recommendations. The management response to operational recommendations is approved and signed by the Head of the Regional Cooperation.

Appreciation of the Evaluation by the Evaluation and Corporate Controlling Division (E+C)

The *overall assessment* of the evaluation process is very satisfactory. The implementation process ran smoothly on the basis of a detailed inception report. The deadlines of the evaluation process were extended due to the complexity of the evaluation. The report is of high quality and its "5+5" format (5 best practices, 5 areas to improve) proved to be innovative and attractive. The work deployed for elaborating volume 2 (300 pages) of the evaluation report was impressive. This part of the report provides useful and detailed information on the nine case studies.

Credibility of the evaluation team: The lead evaluator is highly credible and dedicated. She has an excellent understanding of the topic and the contexts and proved to be an

experienced evaluator. The other 6 evaluation team members provided the skills mix necessary for conducting this evaluation.

Implementation: The consultants prepared well and communicated efficiently with the E+C evaluation manager. The consultants proved to be very responsive, dedicated and flexible.

The various SDC desk officers concerned substantially supported the evaluation process (e.g., providing key documents, logistical support). Communication and collaboration between E+C and the involved SCOs was in general very satisfactory.

Four CLP meetings were held during the evaluation process. The CLP members participated actively in the evaluation and the meetings. They provided helpful feedbacks on the inception report, the draft and final reports and they discussed in detail the formulation of the recommendations.

Appreciation by the SDC's Domains on the Evaluation

General Considerations

- Some recommendations of the evaluation on Basic Education involve both SDC sub-thematic: Basic education and Vocational skills development, even if the present evaluation was limited to the SDC's basic education portfolio. SDC's vocational skills development activities have themselves been object of an independent evaluation in 2011.

Most Important Findings

- SDC's expenses in basic education have been evolving considerably, **shifting from alternative basic education programs towards basic education systems, covering both formal schools and alternative education and including lifelong learning activities**. This evolution shows that SDC is now more aligned to both national and global education policies, in supporting the education system and not only innovative basic education projects. This systemic approach also recalls the relevance and the necessity of linking basic education to vocational skills development support in certain contexts.
- The evaluation highlights that **there is far greater number of educational programs at SDC than meets the eye**. During the period 2007-2014, SDC's cooperation to basic education, both in development and in humanitarian aid, **is not restricted to West African countries** and region but covers also Eastern Europe countries and region (Serbia, Roma Education Fund), South Asia (Bangladesh, Afghanistan), Middle East (Jordan, Palestine) and, in a smaller proportion, Latin America (Haiti).
- According to the evaluators, **the most visible increase in expenses during the period 2007-2014 was for education as a medium for empowerment and awareness building in non-education sector** such as agriculture, food security, civil participation and local governance and water. Basic education as a priority focus of SDC initiatives is further revealed in the steady growth of the agency's expenditures on initiatives in which basic education is classified as a second and/or third priority within the non-education sectors (e.g. health, agriculture). This situation is also visible in humanitarian aid (Jordan, Lebanon, and Haiti). Yet, expertise and knowledge sharing within SDC around these expenses are lacking.

Management Response by the SDC Board of Directors (strategic level)

The Board of Directors is requested to respond to **five key recommendations at strategic level**. SDC senior management declares if it agrees (fully or partially) or not with the recommendation and justifies its position. Measures to be taken, including responsibility and time horizon for their implementation are elaborated for each of the recommendation and should be integrated, if needed, in an action plan.

Recommendation 1		
<i>Design a SDC education sector strategy that is (a) unified, (b) comprehensive and (c) lifelong, that is, a strategy that</i>		
e)	addresses all levels of education (pre-primary, primary, secondary, vocational-technical education, higher education)	
f)	considers all types of contributions (bilateral aid, multi-bilateral aid to key international partners in education, multilateral aid) and specifies the various contexts (developing countries, fragile states, migration countries, EU enlargement and other countries)	
g)	adheres to SDC's unique conception of lifelong learning and relevant skill development. The evaluation recommends in particular to avoid using the outdated and ambiguous term "non-formal education" and to replace it with a contemporary terminology that best captures SDC's vision of education, such as, for example "education in and out the classroom and across the lifespan."	
h)	continues building alliances with like-minded partners, invest in coalition-building and communicate these partnerships more clearly.	
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
<p>The Board of Directors welcomes the formulation of a new Education strategy. It recognizes the need for a strategy which sets clear goals, provides thematic orientations and attributes human and financial resources. The Education strategy will clarify how SDC is going to spend the additional resources (+ 50%) for education, focusing on both basic education and vocational skills development, which have been agreed upon by the Board of Directors in the Message 2017-2020. A tool will be developed that allows monitoring the progress towards the goals defined in the strategy and keeping track of the use of financial resources in SDC's activities in the Education sector. Yet, the Board of Directors partially agrees with this recommendation as the Education strategy should not address all levels of education as stated above, such as higher education, but should focus on both basic education and vocational skills development in order to ensure the coherence and the continuity of SDC's support in this area. The education strategy should reflect SDC's modular way of providing support which is context specific.</p> <p>SDC Education strategy shall serve as a reference document for the Cooperation offices which are supporting education (basic education and/or VSD) projects and/or programs. But not only. It shall also serve as a reference for specific education interventions and for "non-education" programs which include education as a second or third priority sector especially within global programs and Humanitarian aid. Therefore, the concerned operational SDC units need to be involved in the drafting and validation process of the new strategy.</p> <p>Following a sectoral approach, SDC Education strategy will be aligned to the recently adopted global education goal (SDG n° 4 and SDG n 8) and to the related Education Agenda 2030 which includes basic education and vocational skills development. For VSD, alignment with relevant international debate on vocational education and training such as the Shanghai consensus is key. Being aligned to the global agenda, SDC Education strategy will enhance Swiss visibility and profile and its recognition at the international</p>		

level. By encompassing basic education and vocational skills development, SDC Education strategy will better respond to the national education policies of SDC's partner countries which cover the entire education system.

SDC education strategy shall help SDC to better communicate and create new alliances at national, regional and international levels. Like-minded partners can differ from one context to another and from one education sub-sector to the other. Therefore, it is important to communicate clearly about SDC strategic orientations, priorities and goals, in order to create and widen like-minded partnerships in different contexts. These alliances are crucial with regard to scaling up of SDC's programs and in order to initiate systemic changes.

In order to improve and formalize close collaboration between the Education network and the e+i sub-network on Vocational Skills Development (VSD), regular bilateral meetings between the Education Focal Point and the VSD Focal Point will be put in place. These meetings will aim at agreeing on common planned activities involving both E network and VSD sub-network throughout the year and on defining common positions.

Finally, the Board of Directors expects the new Education strategy to take into account the following points:

- The strategy will consider Vocational skill development (VSD) in its different forms across education system and not as a specific level of education as stated in the present recommendation. VSD can be part of post-primary, post-secondary and can also be part of literacy programs or second-chance education programs for youth.
- The role and responsibilities of the private sector in the Education sector and the link to private sector development will be part of the Education strategy. As SDC's vocational skills development activities aim at improving the employability of trainees and enhancing access to gainful (self-)employment, its close relationship with the private sector, employment and labor market interventions and policies needs to be reflected in the Education strategy. Furthermore, the embeddedness of VSD in the thematic field of employment and income at large as well as the role of the private sector in education will be considered.
- Like-minded partners and coalition-building should be enhanced taking into consideration SDC's comparative advantages (see below). This will give SDC and Switzerland more voice and impact.
- The role of multi-stakeholder partnerships, such as the Global Partnership for Education, has to be considered and highlighted in the new strategy. Potential multi-stakeholder partnerships for education, including vocational skills development, within the multilateral system, such as the ECOSOC Partnership Forum and the UN Global compact, should be identified. The role and responsibilities as well as the incentives and disincentives of these potential new multi-stakeholder partnerships should be analyzed. Besides, education should be actively included in the priorities of the Swiss policy dialogue with priority multilateral organizations such as UNICEF and UNRWA.

Measures / Responsibility / Time horizon

- 1.1. Design a new SDC Education strategy involving SDC's intern Division and some external offices/ Under the lead and coordination of the West African Division responsible for Education in close collaboration with Latin America Division responsible for Vocational Skills Development² / End of 2016
- 1.2. Adopt SDC new Education Strategy / Board of Directors / End of 2016
- 1.3. Define common positions on Education (BE + VSD) and common planned activities involving both Education network and sub-network on VSD / West African and Latin America Divisions and Focal Points for Education and VSD/ 2016 ongoing

² The management response of the external evaluation on Vocational skills development activities approved in 2011 shall be duly considered

Recommendation 2		
<i>Prioritize areas of intervention and clearly and widely communicate the Swiss comparative advantage in bilingual education, community participation, education for sustainable development, and in general in inclusive education for the most excluded</i>		
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
<p>The Board of Directors agrees with this recommendation. SDC has a long-lasting experience and well-recognized expertise in education. So far, SDC has been supporting basic education projects, programs and systems that address the needs of the poorest populations. Doing so, it has been focusing on innovative education programs which provide access to basic education to the excluded (out-of-school children and youth and illiterate adults), on bilingual education which particularly matches the demand of the local communities and on decentralized education systems which promote community participation. Yet, SDC's experiences in international cooperation have never been directly referring to the Swiss expertise on basic education systems.</p> <p>The Board of Directors welcomes the idea of referring more systematically, as it does for the Swiss dual model on VSD, to the Swiss basic education system and its comparative advantages such as inclusiveness, multilingual, decentralized governance, and bridges ("passerelles") in order to ensure access to basic education, vocational training and higher education in a lifelong learning perspective. These best practices and Swiss comparative advantages in basic education shall help prioritizing SDC's activities in this sector and therefore enhance its visibility and recognition towards SDC's main strategic partners like the Global partnership for Education.</p>		
Measures / Responsibility / Time horizon		
<ol style="list-style-type: none"> 2.1. The Education strategy prioritizes areas of interventions based on SDC's best practices and Swiss expertise in the domain of basic education / West African Division / ongoing 2.2. New continuing education programs in this field of expertise are developed and supported/ West African Division / ongoing 2.3. Communication based on Swiss comparative advantages in basic education is strengthened / Board of Directors, West African Division responsible for Education, Education network members / ongoing. 		

Recommendation 3		
<i>Enhance inter-sectoral collaboration in SDC to improve the effectiveness and quality of programs, in particular in areas that are proven to benefit from an integrated approach (e.g., adult literacy, education for sustainable development) and in non-education programs that contain educational components</i>		
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
<p>Non-education programs that contain educational components are usually not supported by thematic expertise in SDC. This situation has negative impact on the quality and the sustainability of these programs. Inter-sectoral collaboration using SDC's thematic expertise in education should be enhanced.</p> <p>This can be done in two ways: 1) by involving the Education focal point and education team and/or the Vocational skills development Focal point or network in strategic moments (design/evaluation of programs, design of cooperation strategy, policy dialogue</p>		

for multilateral cooperation (UNRWA, UNICEF) 2) by participating as a member to the education and e+i networks.

Measures / Responsibility / Time horizon

- 3.1. Involve SDC's Departments who do support programs with educational components (priority 2 and 3 in SAP) in the formulation of the new Education strategy/ West African Division responsible for Education on close collaboration with Latin America Division responsible for Vocational skills development
- 3.2. Identify possible actions and support, upon demand, on how educational components including basic education and /or vocational skills development (priority 2 and 3) could be better designed in non-education projects or programs / West African Division responsible for Education, Education network & Latin America Division, e+i network on VSD/ ongoing

Recommendation 4

Determine which innovations in basic education should be systematically scaled up and which ones should be phased out, respectively

Management Response

Fully agree	Partially agree	Not agree
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Justification:

A successful scaling-up of innovations in basic education needs time and depends on various factors. A crucial one however is the implication of the government/concerned ministries at an early stage of the innovation. This means that policy dialogue should be at the core of each innovative project. In order to do so, SDC needs strong thematic expertise and needs also to have a shared understanding of the importance of policy dialogue in this sector since basic education is a common public good.

In order to promote scaling-up processes on the field, policy dialogue needs to be done not only at national level, but also at regional and international levels.

Senior management partially agrees with this recommendation as SDC's PCM tool does not differentiate innovations which should be scaled-up from those which shouldn't. For each project, an exit strategy, which contains a scaling-up process, is designed. Now, a better and more systematic monitoring of the exit strategy should be put in place regarding innovations projects which last too long. Moreover, SDC's support in the field of basic education, including innovative projects, should be done, whenever it is possible, within the education system.

Measures / Responsibility / Time horizon

- 4.1. Improve monitoring systems (project, program and Cooperation strategy) on the basis of practical guidelines which have been elaborated by the Education network/ BUCOs and SDC Departments/ ongoing
- 4.2. Conduct reviews covering both Basic Education and - where applicable - Vocational skills Development programs in selected countries. Conduct impact evaluation to better understand which interventions in Basic Education work, which don't – and why / Cooperation offices & Integrated embassies + Evaluation and Corporate Controlling Division/ ongoing

Recommendation 5		
Enhance expertise in SDC's education programs by cooperating with (Swiss) universities and institutions in the field of international educational development. Eventually, define technical expertise as one of the key qualifications for new recruitments		
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
<p>The Board of Directors recognizes the importance to strengthen expertise in SDC's education programs. In order to do so, SDC shall strengthen its thematic networks and focal points, Education network and e+i sub-network on Vocational Skills Development.</p> <p>The Board of Directors agrees that technical expertise in education shall be required for new recruitments but not only. This thematic expertise should also be promoted and recognized within SDC's careers.</p> <p>The Board of Directors supports the recommendation to better collaborate with other relevant institutions, especially universities. Yet, Swiss academies and institutions basically lack of professional expertise in international educational development, especially in basic education. This should be taken into consideration in SDC's policy dialogue with these institutions, in prioritizing research in education within SDC's program to support research called "Research for development" (R4D).</p>		
Measures / Responsibility / Time horizon		
5.1. Develop new partnerships and cooperation with universities and other institutions which might offer BE and/or VSD training programs/ West African Division responsible for Education and Latin America Division responsible for Vocational skills development / Mid – 2017		

Recommendation 6		
<p><i>Require that all entry proposals include a detailed institutionalization and handover plan.</i></p> <p>This will increase the chances that the innovations or pilot projects are sustained beyond the duration of SDC funding</p>		
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
<p>This recommendation has also been acknowledged by the previous independent evaluation on VSD (2011). The management response highlighted that a detailed institutionalization at the stage of an entry proposal is in fact difficult to do.</p> <p>The Board of Directors recognizes though the importance of defining roughly the handover plan right at the beginning of the project, so at the stage of the Entry proposal. The handover plan shall contain a scaling-up strategy including a cost-benefit analysis when possible.</p>		
Measures / Responsibility / Time horizon		
6.1. Ensure that a handover plan is defined in the entry proposal / Direction of Regional Cooperation and of Eastern Europe / ongoing		

Senior Management Response by SDC's Head of the Regional Cooperation (operational level)

Bern, March 2016

Signature: Thomas Greminger, Direction Regional Cooperation



Introduction

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The evaluation team proposed 20 recommendations. The recommendations were discussed at the 4th and last CLP (Core Learning Partnership with representatives of all departments) meeting. Of the twenty recommendations, height key recommendations were formulated - grouped into the two categories (i) strategic, (ii) operational recommendations.

Management response to strategic recommendations: The Board of Directors is requested to respond to **six key recommendations at strategic level**. SDC senior management declares if it agrees (fully or partially) or not with the recommendation and justifies its position. Measures to be taken, including responsibility and time horizon for their implementation are elaborated for each of the recommendation and should be integrated, if needed, in an action plan. The management response to strategic recommendations is approved by the Board of Directors and signed by SDC's Director.

Management response to operational recommendations: The management response at strategic level is completed and followed by a **management response at the operational level**. This includes position and measures on 2 additional recommendations. The management response to operational recommendations is approved and signed by the Head of the Regional Cooperation.

Appreciation of the Evaluation by the Evaluation and Corporate Controlling Division (E+C)

The *overall assessment* of the evaluation process is very satisfactory. The implementation process ran smoothly on the basis of a detailed inception report. The deadlines of the evaluation process were extended due to the complexity of the evaluation. The report is of high quality and its "5+5" format (5 best practices, 5 areas to improve) proved to be innovative and attractive. The work deployed for elaborating volume 2 (300 pages) of the evaluation report was impressive. This part of the report provides useful and detailed information on the nine case studies.

Credibility of the evaluation team: The lead evaluator is highly credible and dedicated. She has an excellent understanding of the topic and the contexts and proved to be an experienced evaluator. The other 6 evaluation team members provided the skills mix necessary for conducting this evaluation.

Implementation: The consultants prepared well and communicated efficiently with the E+C evaluation manager. The consultants proved to be very responsive, dedicated and flexible.

The various SDC desk officers concerned substantially supported the evaluation process (e.g., providing key documents, logistical support). Communication and collaboration between E+C and the involved SCOs was in general very satisfactory.

Four CLP meetings were held during the evaluation process. The CLP members participated actively in the evaluation and the meetings. They provided helpful feedbacks on the inception report, the draft and final reports and they discussed in detail the formulation of the recommendations.

Appreciation by the SDC's Domains on the Evaluation

General Considerations

- Some recommendations of the evaluation on Basic Education involve both SDC sub-thematic: Basic education and Vocational skills development, even if the present evaluation was limited to the SDC's basic education portfolio. SDC's vocational skills development activities have themselves been object of an independent evaluation in 2011.

Most Important Findings

- SDC's expenses in basic education have been evolving considerably, **shifting from alternative basic education programs towards basic education systems, covering both formal schools and alternative education and including lifelong learning activities**. This evolution shows that SDC is now more aligned to both national and global education policies, in supporting the education system and not only innovative basic education projects. This systemic approach also recalls the relevance and the necessity of linking basic education to vocational skills development support in certain contexts.
- The evaluation highlights that **there is far greater number of educational programs at SDC than meets the eye**. During the period 2007-2014, SDC's cooperation to basic education, both in development and in humanitarian aid, **is not restricted to West African countries** and region but covers also Eastern Europe countries and region (Serbia, Roma Education Fund), South Asia (Bangladesh, Afghanistan), Middle East (Jordan, Palestine) and, in a smaller proportion, Latin America (Haiti).
- According to the evaluators, **the most visible increase in expenses during the period 2007-2014 was for education as a medium for empowerment and awareness building in non-education sector** such as agriculture, food security, civil participation and local governance and water. Basic education as a priority focus of SDC initiatives is further revealed in the steady growth of the agency's expenditures on initiatives in which basic education is classified as a second and/or third priority within the non-education sectors (e.g. health, agriculture). This situation is also visible in humanitarian aid (Jordan, Lebanon, and Haiti). Yet, expertise and knowledge sharing within SDC around these expenses are lacking.

Management Response by the Head of the Regional Cooperation (operational level)

Recommendation 7		
<i>Correct the glitches in the SAP system and make it more user-friendly so that the staff uses it for planning, monitoring, and evaluation as well as for strategic steering</i>		
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
The Direction of Regional cooperation fully endorses this recommendation. The recommendation is valid for both Basic Education and Vocational Skills Development data (as stated in the independent evaluation of VSD, 2011). These corrections should be based on the new Message 2017-2020 with reference to the new Education strategy which will define the strategic orientations and the coverage of the two thematic within SDC's programs.		
Measures / Responsibility / Time horizon		
7.1. Education and Vocational Skills Development Focal points work with the Evaluation and Controlling division in order to make the necessary corrections / Evaluation and Controlling division in collaboration with BE and VSD focal points / Q1, 2017		

Recommendation 8		
<i>Share knowledge and experiences on effective models of policy support to enhance government ownership (both at local and national level) in SDC-funded programs and projects</i>		
Management Response		
Fully agree	Partially agree	Not agree
Justification:		
Knowledge sharing is the main responsibility of SDC's thematic networks. Yet, the current Basic Education network is relatively small and has therefore limited capacities. Common activities involving networks, the education network and the sub-network on VSD will be organized.		
Measures / Responsibility / Time horizon		
8.1. Define common positions on Education (BE + VSD) and common planned activities involving both Education network and sub-network on VSD / West African and Latin America Divisions and Focal Points for Education and VSD/ 2016 ongoing		

III Evaluators' Final Report

Independent Evaluation of SDC's Performance in Basic Education 2007 – 2014

Commissioned by the Evaluation and Corporate Controlling Division
of the Swiss Agency for Development and Cooperation (SDC)

Columbia University in the City of New York

Gita Steiner-Khamsi (gs174@tc.columbia.edu)
Teamleader

Fenot Aklog (aklog@tc.edu)

Arushi Terway (at2743@tc.columbia.edu)

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List of Abbreviations and Acronyms

ADB	Asian Development Bank
AEPO	Afghan Education Project Organization
AfDB	African Development Bank
AKF	Aga Khan Foundation
APENF	Association pour la Promotion de L'Éducation Non-Formelle
APESS	Association pour la Promotion de l'Élevage au Sahel et en Savanne
BACK-UP	Building Alliances, Creating Knowledge and Updating Partners
BE	Basic Education
BEPA	Basic Education Program Afghanistan
BMZ	Bundesamt für wirtschaftliche Zusammenarbeit
CAST	Compte d'Affectation Spéciale du Trésor
CCM	Core-Contribution Management
CCR	Centre de Compétences à la Reconstruction
CHF	Swiss Franc
CIDA	Canadian International Development Agency
CIS	Commonwealth of Independent States
CLP	Core Learning Partnership
CONFEMEN	Conférence des Ministres de l'Education des États et Gouvernements de la Francophonie
CS	Case Study
CSO	Civil Society Organization
DAC	Development Assistance Committee
DCEM	Direction du Continuum d'Éducation Multilingue
DDC	Direction du Développement et de la Coopération
DFID	UK Department of International Development
EC	European Commission
E+C	Evaluation and Corporate Controlling
EHO	Ecumenical Humanitarian Organization
ERIO	European Roma Information Office
ESD	Education for Sustainable Development
EU	European Union
FONAENF	Fonds National pour l'Éducation Non-Formelle
GIZ	German Agency for International Cooperation
GPE	Global Partnership for Education
GMR	Global Monitoring Report
GNI	Gross National Income
GSSP	Government School Support Program
HEKS	Hilfswerk der Evangelischen Kirchen Schweiz
IBE	International Bureau of Education
ICAE	International Council for Adult Education
IDA	International Development Association
ICREST	International Center for Restructuring Education, Schools, and Teaching

IIEP	International Institute for Educational Planning
MENA	Ministère de l'Éducation et de l'Alphabétisation
MOOC	Massive Open Online Course
NFE	Nonformal Education
NGO	Non-governmental Organization
NORRAG	Network for International Policies and Cooperation in Education and Training
NRC	Norwegian Refugee Council
NZAID	New Zealand Agency for International Development
OECD	Organisation for Economic Co-operation and Development
ODA	Official Development Assistance
OSEO	L'Oeuvre Suisse d'Entraide Ouvrière
PARIS	Program d'Appui à la Reconstruction des Infrastructures Scolaires
PDSEB	Programme de Développement Stratégique de l'Éducation de Base
PdT	Pédagogie du Texte
REF	Roma Education Fund
SAP	Systems, Applications and Products in Data Processing
SCO	Swiss Cooperation Office, Swiss Contribution Office
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
SHA	Swiss Humanitarian Aid Unit
SIDA	Swedish International Development Cooperation Agency
SIPRU	Social Inclusion and Poverty Reduction Unit
RECI	Réseau Suisse pour l'Education et la Coopération Internationale
TdH	Terre des Hommes
UIL	UNESCO Institute for Lifelong Learning
UNESCO	United Nations Educational, Scientific, and Cultural Organization
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNRWA	United Nations Relief and Work Agency for Palestine Refugees
USAID	United States Agency for International Development
YEP	Youth Education Program
VET	Vocational Education and Training
VoRAE	Voice of Roma, Ashkali and Egyptian
VSD	Vocational Skills Development
WSSCC	Water Supply and Sanitation Collaborative Council

1 Evaluation Methodology and Portfolio Analysis

Basic Education (BE) is one of the nine priority areas of the *Parliamentary Message on International Cooperation 2013-2016* and complements vocational skills development (VSD). The timing of this evaluation—January to August 2015—matters: the evaluation was carried out during the second half of Switzerland's international cooperation strategy 2013-2016 and shortly before the international agreement on the post-2015 Sustainable Development Goals. Thus, it is an opportune moment to reflect on past achievements and shortcomings in light of the Swiss Federal Government's forthcoming Message on International Cooperation (2017-2020) and its contribution to the post-2015 sustainable development goals.

The evaluation is carried out by the International Center for Restructuring Education, Schools, and Teaching (ICREST), affiliated with Columbia University's graduate school of education (Teachers College) based in New York.¹ The team leader is Gita Steiner-Khamisi, Professor of Comparative and International Education at Columbia University (dual citizen of Switzerland and USA). The team members were selected based on the need for a triple expertise in basic education, aid effectiveness, and/or the geographic regions of the selected case and desk studies. This evaluation report is supplemented by a document (annex) which contains the Inception Report as well as all the reports of the nine case studies. This section of the evaluation report presents indicative key questions, design and methodology used for the independent evaluation.

1.1 Evaluation Methodology

In line with the methodological approach of Michael Q. Patton,² the evaluation is utilization-focused. The Evaluation and Corporate Controlling (E+C) Division and the Core Learning Partnership (CLP) ensured that the evaluation team focused on key evaluation questions that are useful for SDC's strategic decisions and further operational planning in BE.³ They also provided input to the evaluation team as to whether the findings were interpreted in context, the conclusions were useful, and the recommendations concrete and feasible. The purpose is to document and learn from lessons on how BE projects were designed, funded, and implemented over the period 2007–2014 for future strategies and operations.

The key questions were discussed and finalized at the first meeting of CLP on January 15, 2015 and are listed in the Inception Report. They address the following evaluation areas:

- Alignment with strategic objectives of SDC in education
- Relevance and effectiveness of the BE projects and programs
- Appropriateness and efficiency of SDC's implementation modalities
- Correspondence with international agendas, standards and “best practices”

During the first and second CLP meeting, sampling criteria and case selection were discussed and determined. The objective was to draw a sample of cases (countries/regions/type of projects) that represent the larger universe of SDC BE programs. Table 1 presents the five sampling criteria and lists how they were measured. The last column shows the conclusions that were drawn and used for the case selection.

¹ The biographical notes of the team members are listed at the end of the report.

² See, in particular, Michael Q. Patton (2011). *Developmental Evaluation. Applying Complexity Concepts to Enhance Innovation and Use*. New York: Guilford. In addition, see Michael Q. Patton (1997). *Utilization-Focused Evaluation*. Thousand Oaks: Sage, 3rd edition.

³ Annex 2 lists the members of the E+C Division and the Core Learning Partnership group (CLP) that accompanied the evaluation.

Table 1: Sampling Criteria, Indicators, and Selection of Cases

Criterion	Indicator	Conclusions for Selection
Scope	Location of project within the organizational unit of SDC	Projects from all 4 domains of SDC: <ul style="list-style-type: none">• Global Cooperation• Regional Cooperation• Cooperation with Eastern Europe/CIS• Humanitarian Aid and SHA
Size	Financial volume of the project ("actuals")	Large projects are main target
Relevance	Focus on basic education	<ul style="list-style-type: none">• Mainly projects with BE as first priority (according to SAP)• A few projects with BE as second or third component (according to SAP)
Diversity	Representing different types of BE projects, different types of support, funding modalities	To be determined at project/case level
Access	Data availability	Projects/cases for which documentation exist and/or informants are available for field-visits

Based on the sampling criteria, presented in Table 1, and based on discussions with the CLP and other SDC staff, the cases listed in Table 2 were selected. It is important to point out that the case study reports of the two field-based evaluations (Burkina Faso, Roma Education) also included sections on the regional programs.

On purpose, the four organizational domains of SDC are each represented either with a field-based case or a desk study:

- Global Cooperation Domain: Global Institutions Division (SDC's collaboration with global partners)
- Regional Cooperation Domain: West Africa Division (Burkina Faso)
- Cooperation with Eastern Europe Domain: Western Balkans Division (Roma Education Programs)
- Humanitarian Aid and SHA Domain: Europe and Mediterranean Division (Education for Palestine Refugees).

Table 2: List of Selected Cases by Evaluation Type

Type	Cases	
Field-Based Case Study	1. Burkina Faso (March 11 – 26, 2015)	
	2. Roma Education Programs in the West Balkans in Romania, Serbia, Kosovo, Albania (April 26 – May 16)	
Desk-Study Plus	3. SDC's Collaboration with Key International Partners in BE	
	4. UNRWA	7. Afghanistan
Desk Study	5. Niger	8. Mongolia
	6. Haiti	9. WSSCC (water project with education as 2 nd /3 rd component)

1.1.1 Information Sources, Data Collection and Analyses Methods

Table 3 shows the data sources, collection and analyses methods utilized for the three evaluation types.

For the two **field-based case studies** (Burkina Faso and Roma Education programs) the following methods were used:

- A. Review of relevant credit proposals, project documentation, evaluations, annual reports, etc. and content analysis in terms of select key evaluation questions
- B. Portfolio analysis of all BE projects (with BE as first, second, and third priority) over the period 2007 – 2014 by funding level, type of support, and implementation modality (see template in Annex 5) based on the SAP database
- C. Communication with SDC staff and partners for clarifying questions on project documentation and portfolio analysis
- D. Semi-structured interviews with SDC staff in Bern and in the Swiss Cooperation Offices as well as with SDC's institutional, regional and global partners
- E. Site visits and in-depth analysis of 2-3 select projects (that reflect different types of support or implementation modalities); interviews with project partners, implementers, international development community including institutional partners, regional partners, global partners, and local NGOs/civil society leaders
- F. If possible, other methods (e.g., short surveys/fact sheets, social network analysis) that enable to understand SDC's comparative advantage (as perceived by SDC and by others) and SDC's intervention modality as compared to other international donors.

The **desk study +** (key international organizations in basic education) drew on the first three types of information (i.e. review of documents, portfolio analysis, meetings with staff/partners for clarification). Individual phone interviews were carried out with the senior management of the following multilateral partners of SDC: Global Partnership for Education (GPE), UNESCO Global Monitoring Report (GMR), UNESCO Institute for Lifelong Learning (UIL), UNESCO International Institute for Educational Planning (IIEP), and Network for International Policies and Cooperation in Education and Training (NORRAG). In addition, the evaluation team reviewed available evaluations carried out by others on these multilateral partners of SDC.

The **six regular desk reviews**, utilized methods A, B, and C from Table 3: review of relevant documents, portfolio analysis, and email/phone communication with SDC staff and partners for clarifying questions on project documentation and portfolio analysis. Initially, it included the analysis of one “typical” project in the context, identified as such by the SDC staff in the SCO office and in the headquarters in Bern. However, ultimately more than one project had to be reviewed because there was a hesitation to point out only one

Table 3: Information Sources, Data Collection and Analyses Methods, by Evaluation Type

	Field	Desk+	Desk
A. Review of relevant documents	✓	✓	✓
B. Portfolio analysis using SAP database and credit proposals	✓	✓	✓
C. Communication with SDC staff/partners for clarification	✓	✓	✓
D. Semi-structured interviews in person or over phone	✓	✓	
E. In-depth analysis of the largest projects with site-visits	✓		
F. Social network analysis	✓		
G. Analysis of a sample of partner organizations (without visit)		✓	
H. Portfolio analysis of projects (without site-visit)			✓

project for evaluation. In the Afghanistan case study (CS), 9 projects were reviewed, in the Haiti CS the PARIS and CCR programs, in the Mongolia CS the VET, VSD, Eco-Schools, and ESD programs, and in Niger two sector-wide programs in BE and VSD.

A copy of the semi-structured interview guide is in Annex 2 of the Inception Report. In addition to general program and organizational questions, the evaluation focused on the following criteria:

- Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD DAC) evaluation criteria: Relevance, Effectiveness, Efficiency, Impact, Sustainability
- Aid effectiveness criteria: ownership, alignment, harmonization, results, and mutual accountability
- Network analysis criteria: collaboration with other organizations (three closest collaboration) and reputation of organizations in terms of reliability, innovation, efficiency, sustainable impact, responsive to local needs, gender sensitivity, good governance.

It is important to bear in mind the strategy orientation of this evaluation. For this reason, the effectiveness and the impact of projects were only indirectly assessed by reviewing project-level evaluations, whenever they were available.

The data collection was comprehensive: the evaluation is based on a total of 108 interviews and meetings (see section 11 of annex), numerous visits of SDC-funded BE projects in Albania, Burkina Faso, Kosovo, Serbia, and Romania, a review of 113 SDC documents such as credit proposals, annual reports (country and regional level), entry proposals, CCM data sheets, CCM reports, cooperation or contribution strategies (country and regional level), project documentation and other relevant SDC texts, as well as an analysis of information collected from the relevant SDC partners, such as, for example, annual reports of SDC partners, evaluations on the SDC partners, or education sector strategies of recipient governments

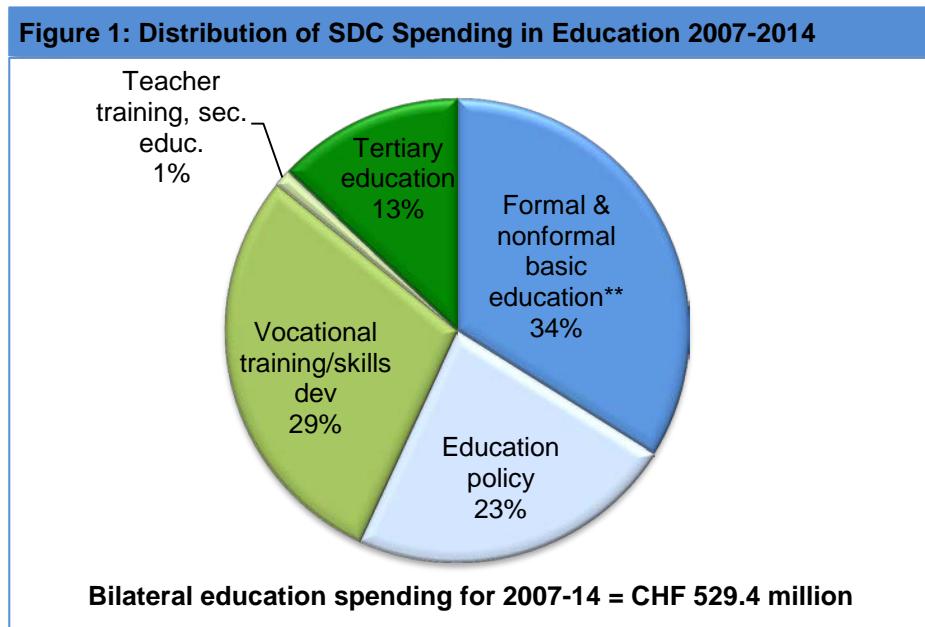
1.2 Portfolio Analysis

During the Inception Report phase a portfolio analysis of SDC's spending (actual disbursement) during the period 2007-2014 was conducted. The analysis was carried out using the SAP database, which is SDC's main available source of data on the financial, thematic and geographic characteristics of SDC's portfolio. The portfolio analysis helps to identify priorities and trends in the agency's basic education initiatives as revealed through its actual expenditures. For the purposes of this evaluation, BE is considered to be all of SDC's initiatives that are classified as focusing on the following three subsectors in education: (1) formal basic education; (2) nonformal education; and (3) education policy. Detailed methodology and findings of the portfolio analysis can be found in Section 4 of the Inception Report. The following sections present a summary of the findings.

1.2.1 General Trends in SDC Bilateral Contribution to Basic Education, 2007-2014

In the definition of SDC, basic education comprises all programs that cater to the basic learning needs of persons regardless of age – child, youth or adult. BE thus encompasses more than just primary schooling. Although the scope of BE varies with individuals and countries, it usually covers the levels of formal pre-primary, primary and, increasingly, the first level of secondary education. It also includes various forms of “nonformal” education, such as adult literacy, “second-chance” education for children and youth who have never attended school or who dropped out early, education for working children, etc. These education programs frequently include aspects of Vocational Skills Development – VSD (SDC 2010: 5).

From 2007-2014 SDC's total education bilateral spending was CHF 529.4 million, of which CHF 302.5 million (57%) comprised the agency's expenditures in basic education (identified as the three education subsectors formal basic education, nonformal education and education policy). Figure 1 shows the distribution of SDC's bilateral spending in education from 2007 to 2014 by education subthemes. Spending in formal and non-formal BE comprised 34% of education expenditures and education policy- initiatives comprised 23% of spending. The following are summaries of general trends in SDC expenditures in basic education.



**Prior to 2012 these categories were "primary and secondary education."

Source: SDC SAP Database

- SDC basic education bilateral contributions to Africa was the highest (CHF 122.6 million). Burkina Faso, Chad, Niger and Benin were the top four recipients of SDC bilateral aid for basic education. SDC disbursements to regional basic education initiatives totaled CHF 18.3 million during this period, and saw an increase in spending from CHF 0.7 million to 5.1 million in 2014.
- Asia and Oceania received CHF 58.7 million in SDC bilateral aid for basic education during the 2007-2014 period. Bangladesh, the Occupied Palestine Territories, Afghanistan and Myanmar were the top four individual recipient countries/territories. Regional aid to basic education totaled CHF 2.3 million for 2007-2014.
- SDC bilateral basic education contributions to Latin America totaled CHF 11.1 million from 2007 to 2014. The individual countries that received the largest amount of BE support were Haiti (CHF 7 million), Colombia, Bolivia, and Ecuador during this period.

1.2.2 Estimated SDC BE Spending in Fragile and Conflict-Affected States

Following the 2012 approval of the *Parliamentary Message on International Cooperation 2013–2016*, Switzerland's overall aid for fragile and conflict-affected states was increased by 15 to 20 percent.⁴ SDC estimates that about half of the countries and regions in which it is active are considered fragile and conflict-affected.⁵ To estimate SDC's bilateral BE contribution to fragile and conflict-affected states, for the period 2007-2014, the evaluation analyzed expenditures in basic education (initiatives classified as having basic education

⁴ Source: SDC website: <https://www.eda.admin.ch/deza/en/home/themes-sdc/fragile-contexts-and-prevention/engagement-fragile-contexts.html>

⁵ Source: SDC website: <https://www.eda.admin.ch/deza/en/home/themes-sdc/fragile-contexts-and-prevention/sdc-work-fragile-contexts.html>

as first, second and/or third priority focus) that operate under SDC's Humanitarian Aid organizational domain for key fragile and conflict affected states and regions, as well as basic education initiatives across other organizational domains, such as SDC's Regional Cooperation and Global Cooperation Domains for those states and regions.⁶

As detailed in Section 4 of the Inception Report, bilateral BE spending in fragile and conflict affected states and regions for 2007-2014 totaled CHF 89.0 million. Furthermore, BE spending in fragile and conflict affected states and regions increased from CHF 7.4 million in 2007 to CHF 13.5 million in 2014, with a high of CHF 18.8 million in 2012.

1.2.3 Estimated SDC Education Contributions to Key Multi-Sector Multilaterals

Multilateral cooperation is an important element of SDC's aid assistance in BE. SDC works primarily with 18 multilateral organizations, 13 of which are multilateral development organizations and 5 of which are multilateral humanitarian aid organizations. About 37% of all SDC funds are disbursed to multilateral organizations in the form of core contributions. Bilateral cooperation accounts for 63% of SDC funds, of which 20% are used for projects and programs implemented directly by multilateral organizations.⁷

Table 4 shows SDC's total core contribution to 8 of the 13 key multilateral organizations that engaged in education sector activities as identified by the OECD Development Assistance Committee (DAC).⁸ SDC's total contribution from 2007 to 2014 to these multilaterals totaled CHF 3.3 billion, with the World Bank's International Development Association and the African Development Bank receiving the largest share of SDC's core multilateral contributions (CHF 1.9 billion and 560 million, respectively).

Table 4 also shows the eight key multilateral organization's allocations *to education* as a percentage of their total spending. UNRWA has the highest share of allocated spending (58.6%) to education, followed by Asian Development Bank (9.7%). The evaluation estimated SDC's education contributions over the seven-year period to be CHF 253.3 million, with the highest estimated contribution to IDA (CHF 184.8 million) and UNRWA (CHF 52.3 million).

A central aim of Switzerland's/SDC's partnerships with multilateral organizations (as well as other partners such as Swiss and international NGOs that receive non-earmarked contributions) is to strengthen their operational systems by assessing the results and effectiveness of these institutional partnerships against the strategic goals and objectives defined for Swiss humanitarian and development aid in the *Parliamentary Message on International Cooperation 2013-16*. Towards this end, the Core Contribution Management (CCM) is an instrument to support and strengthen SDC's (1) results-oriented management and dialogue with partner organisations and to increase their organizational and development effectiveness; (2) results-based project cycle management; (3) evidence-based decision-making; (4) profile and predictability vis-à-vis the partner organization; (5) harmonization of results-orientated communication/dialogue within the concerned offices in the Federal Administration.

⁶ We also included expenditures classified under SDC's now defunct "E-Department" in order to accurately capture actual disbursements to basic education fragile states during the years 2007 and 2008.

⁷ Source: SDC website:

<https://www.eda.admin.ch/deza/en/home/activities-projects/activities/multilateral-cooperation.html>

⁸ The Global Partnership for Education (GPE) was not included in this analysis because SCD contributions to GPE are considered by the agency, state accounting and OECD/DAC to be bilateral support.

Table 4: SDC Total and Estimated Education Contribution to Key Multilaterals, 2007-14

Multilateral Organization	Total SDC Contribution (CHF million)	Multilateral Education Spending as % of Total Spending	Estimated SDC Education Contribution, (CHF million)
African Development Bank Fund (AfDB-Fund)	559.9	3.9%	21.9
Asian Development Bank Fund (AsDB-Fund)	101.7	9.7%	9.8
World Bank, International Development Association (IDA)	1,916.3	9.6%	184.8
Inter-American Development Bank Fund for Special Operations (IDB-FSO)	2.6	4.6%	0.1
International Fund for Agricultural Development (IFAD)	75.1	0.8%	0.6
UN Development Programme (UNDP)	442.0	0.6%	2.6
UN Children's Fund (UNICEF)	161.0	6.6%	10.6
UN Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)	89.3	58.6%	52.3
Total	3,347.9		282.7

Source: SDC SAP Database

SDC conducted analyses of the 18 key multilaterals' 2014 CCM reports for this evaluation. Two questions guided the analysis: (1) What is basic education in the general theme of "education"? and (2) How broadly do we understand the holistic view of education?

The results of the CCM report analyses revealed that four multilaterals had focus areas (and in some instance concrete achievements) that were directly linked to the focus of this BE evaluation. These institutions were: UNRWA, UNICEF, Asia Development Bank, and IDA. The detailed analyses are in the Inception Report (see annex, section 1).

An additional analysis of SDC's education contribution to key international partners was conducted as part of the evaluation's desk study using data from credit information (rather than SAP). As Table 5 shows, SDC disbursed CHF 13.7 million in 2014 to ten key international partners in education of which over half (53%) was allocated to the Global Partnership for Education and one-third to UNESCO-affiliated institutions. The remaining funds were assigned to civil society organizations based in Switzerland and abroad as well as to two intergovernmental organizations that support activities in Francophone countries. It is important to bear in mind that the list also includes the organization RECI which strictly speaking does not constitute an international civil society but rather is a Swiss CSO. However, the moderate amount with which RECI is supported (CHF 108,774 in year 2014) does not significantly affect the findings on SDC's funding pattern. For this reason, RECI is kept in the list of SDC's key international partners in basic education.

Table 5: SDC's International Partners in Basic Education, 2014

Group	Organization	SDC Contribution (in CHF)	% Total Contribution	Group Total (in CHF)	% of Total
UNESCO	EFA GMR - Global Monitoring Report	600,000	4.4		
	IIEP - International Institute for Educational Planning	1,674,418	12.1	4,514,635	32.7
	UIL – Institute for Lifelong Learning	1,565,217	11.4		
	IBE – International Bureau of Education	675,000	4.9		
Civil Society	NORRAG – Network for policy research, review and advice on education and training	800,000	5.8		
	ICAE – International Council for Adult Education	337,500	2.5	1,246,274	9.0
	RECI – Réseau Suisse Education Coopération Internationale	108,774	0.8		
Fund	GPE – Global Partnership for Education	7,312,500	53.1	7,312,500	53.1
Intergovernmental (Francophonie)	CONFEMEN- Conférence des Ministres de l'Education des États et Gouvernements de la Francophonie	225,000	1.6	698,684	5.1
	MOOCs- Massive Open Online Course	473,684	3.4		
	Total	13,772,093	100.0	13,772,093	

Source: SDC, July 2015

1.2.4 Conclusions

The analysis of the SDC portfolio in BE over the period 2007 to 2014 yields a few interesting findings on SDC's priorities and aid selectivity.⁹

There has been a steady growth in SDC's annual contribution to basic education over the period 2007 to 2014. The majority of SDC education sector funding (57%) is allocated to BE projects, that is, to education projects that address formal basic education, nonformal basic education, and education policy.

There is a discrepancy between perception and actual allocation in education. In documents of the government and SDC, there is more talk of nonformal education and vocational skills-development project than of formal basic education. SDC's actual disbursements over the period 2007 to 2014, however, have moved towards formal basic education and support for education policy, that is, towards systemic educational reform. Almost half of SDC spending in education is for formal basic education (23%) and

⁹ See studies by Alberto Alesina (Harvard, Department of Economics) and David Dollar (World Bank, now Brookings Institution) who established the research field on aid selectivity; for example, A. Alesina & D. Dollar (2000). Who Gives Foreign Aid to Whom and Why? *Journal of Economic Growth*, 5, 33-63; D. Dollar & V. Levin (2006). The Increasing Selectivity of Foreign Aid, 1984-2003, *World Development*, 34 (12), 2034-2046. See also William Easterly & Tobias Pfeuffer (2008). Where does the money go? Best and worst practices in foreign aid. *Journal of Economic Perspectives*, 22 (2), 29-52.

education policy (23%). This too may positively comply with the international agreement, as formulated in the 2005 Paris Declaration, and confirmed in subsequent high-level international meetings, of aligning aid with countries' education sector strategies. Typically, these education sector strategies are developed—or to be more precise signed—by Ministries of Education alone (rather than in conjunction with Ministries of Labor, Social Affairs, or others) and therefore, for the better or worse, focus on formal education.

Education has remained a medium-range priority for SDC but basic education as medium for training and awareness building in non-education sectors increased visibly. The main funding priorities for SDC are agriculture and food security, civil participation and local governance, and water.¹⁰ Nevertheless, education as a medium for training and awareness building has significantly increased. Starting in 2007, the classification system of SAP enabled projects to be listed in several sectors. Thus, a project could be entered exclusively in one of the six sub-sectors of education, or it could be entered, for example, as a health project with one of the educational sub-sectors as a second or third priority focus. Clearly, there is an increase of projects in non-education sectors in which basic education is used merely as a second or third priority focus (see Inception Report in the annex).

Basic education in West Africa is a priority followed by Europe as well as Asia and Oceania; Latin America is semi-orphaned. Most of SDC's bilateral aid is channeled to projects in West Africa (Burkina Faso, Chad, Niger, Benin). A distant second are countries in Europe, in particular Serbia, followed by Asia and Oceania, notably Bangladesh, Palestine (Occupied Territories), and Afghanistan. Even though Latin America is second in terms of overall bilateral Official Development Assistance (ODA), the countries in Latin America and the Caribbean receive, with the exception of Haiti, much lower funding levels from SDC for their BE programs. The aid selectivity in BE reflects a dual commitment to fund low-income and lower-middle income countries in Africa, Asia and the Middle East as well as countries that have close social ties to Switzerland due to migration. It is noticeable that in West Africa is prioritized and, in contrast, the continent of Latin America is a semi-orphan in terms of overall SDC contribution for BE to this part of the world.

SDC's core contribution to multilateral partners, in particular IDA increased significantly, and the contribution to the African Development Bank Fund has remained constant after a peak in 2009 and 2010. SDC's core contribution to multilateral aid in education has increased considerably, in particular to IDA. Over the period 2007-2014, close to 60% of total core contributions were allocated to IDA. The third-largest recipient, the African Development Bank experienced a decline in SDC funding since 2011. Switzerland is, despite its relatively small population size and its medium-range aid ratio (0.47% of the Gross National Income (GNI) as opposed to the UN target of 0.7%), an important international partner due to its actual aid volume.

SDC's BE bilateral contribution in fragile and conflict-affected areas increased considerably from 2007-2014. We estimated, BE support to fragile states and regions increased from CHF 7.4 million in 2007 to CHF 13.5 million in 2014, with a peak of CHF 18.8 million in 2012. Clearly, the Swiss Federal Government's decision in 2012 to increase aid to fragile and conflict-affected states is reflected in this visible increase of BE spending.

SDC's contribution to international organizations that specifically work in education is with an annual disbursement of CHF 13.7 million relatively small. More than half of these funds were assigned to the most important multilateral actor in education: the Global Partnership for Education. One-third of the funds were spent for four UNESCO affiliated institutions: Global Monitoring Report, IIEP, IBE, and UIL.

¹⁰ Source: Direktion für Entwicklung und Zusammenarbeit und Staatssekretariat für Wirtschaft (2014). *Statistik 2013. Internationale Zusammenarbeit der Schweiz*. Bern: DEZA und SECO; see Grafik 8 on page 23.

1.3 Limitations of the Evaluation

There are four limitations that the evaluation study is facing.

1. **Sampling related biases.** The nine cases were chosen using purposive sampling criteria, which were discussed and agreed upon during the first CLP meeting, rather than at random.
2. **Over-reporting of more recent projects, under-reporting of older projects.** Inevitably, the current SDC staff and SDC's partners had more to say about ongoing projects than on projects that had already been completed. It was difficult to accurately reconstruct details of past projects given the periodical turnover of Swiss staff and changes in the local staff at the SCO. Nevertheless, the portfolio analysis covers the period 2007 to 2014 and the qualitative analyses address as much as possible also projects that have been completed.
3. **Limited access to country and contextual knowledge.** In the case of the field-based case studies, the evaluation team consisted of international evaluators as well as one local researcher. Local researchers ensured that the data were collected in a culture-sensitive manner and that the findings were interpreted contextually. In the absence of local counterparts for the regular and desk plus studies, the evaluation team relied on SDC program officers and CLP members for assistance with interpretation of findings.
4. **Interpreting SAP data accurately.** SDC works with a comprehensive data management system that is continuously being adjusted and is detailed to the extent that it often requires insider knowledge to accurately interpret the data. There are, however, glitches in the system that are addressed later in the report (see section 3.2 of this report).

1.4 Organization of the Evaluation Report

The evaluation team presented the preliminary findings at the third meeting of the CLP. It was agreed that the evaluation report should focus on lessons learned and recommendations rather than on a detailed presentations of findings related to the indicative key questions. The next section presents *existing best practices* within SDC that could be shared better within SDC (section 2). Section 3 consists of general recommendations that apply to programs, referred to as *proposed areas of improvement*.

2 Five Best Practices

This section presents a few practices that SDC staff and partners have unequivocally identified as good practices that are implemented in some but not in all of SDC's BE programs. The report lists five such "best practices" in detail because they represent areas where SDC is able to learn from positive experiences that already have been made within the organization.



2.1 The Triple Comparative Advantage of Switzerland in Basic Education

What the Swiss dual vocational training system *currently is* for SDC's VET programs, bilingual education, community participation, and Education for Sustainable Development (ESD) *could be* for SDC's BE programs: a Swiss comparative advantage that comes with Swiss know-how, institutional capacity, and shared understanding. The commonality between these three areas of Swiss expertise is its salutary effects on the inclusion of the hard to reach and most excluded. In several countries, SDC already is the lead donor in these areas where Switzerland has a great deal to offer.

2.1.1 Bilingual Education in Burkina Faso

For more than two decades, SDC successfully supported bilingual education in francophone West Africa; first in alphabetization courses for adults and then for adolescents (9 – 15 year olds) who either never enrolled or dropped out of school. Study after study confirm that, regardless of age, students learn more effectively if they *first* acquire literacy and numeracy in their mother tongue and then at a later stage immerse themselves into the second language. In fact, the studies carried out in West Africa show that adolescents in the SDC supported bilingual programs achieve the learning goals in a much shorter time period than those who were exclusively taught in French. Especially in rural areas, there is neither an interest of parents nor a supply of teachers for French monolingual schooling. Without any doubt, bilingual education accounts not only for more effective learning, but also increases access to education in rural areas and is one of the best dropout prevention measures.

Given the promising results in alphabetization programs for adults and adolescents, SDC also increased its support for bilingual education in regular government schools. In Burkina Faso, for example, the first attempt to introduce bilingual education was with the education reform of 1979-1984 but it was interrupted in 1983. In 1994, a joint cooperation between l'Œuvre Suisse d'Entraide Ouvrière (OSEO; renamed SOLIDAR) and the Ministry of Education, experimented a new formula of accelerated bilingual education for primary students (using the country's three most spoken languages, Mooré, Dioula, and Fulfulde) inspired by the methods first used in adult alphabetization centers.¹¹ Legally, parents are given the right to choose the language of instruction for their children, but in practice there is a scarcity of bilingual primary schools in Burkina Faso. For this reason, SDC and its institutional partner SOLIDAR have actively supported the establishment and expansion of bilingual primary schools.

As Table 6 shows, the number of students enrolled in bilingual primary schools increased exponentially since the beginning of the millennium. In 2001, there were nationwide only 3,278 students (of which 1,492 girls) enrolled in such schools. There were ten times as many students enrolled in such schools twelve years later: in 2013, a total of 30,524 primary students (of which 15,111 girls) benefited from having their mother tongue as language of instruction. SDC and its partner SOLIDAR helped establish a special department within MENA, Direction du Continuum d'Education Multilingue (DCEM), that oversees bilingual and multilingual schools. In most cases, these schools used to be monolingual (referred to in Burkina Faso as “classique”) and chose, driven by community demand, to transform into bilingual or multilingual schools using innovative pedagogical approaches. The bilingual primary schools are funded from the government budget and are thus financially sustainable.

Table 6: Bilingual Primary Schools in Burkina Faso, 2001 - 2013

Year	Schools	Classes	Enrollments		
			Boys	Girls	TOTAL
2001	40	78	1,786	1,492	3,278
2006	114	374	7,578	6,684	14,262
2010	118	N/A	11,560	10,748	22,308
2013	167	677	15,413	15,111	30,524

Source: SOLIDAR (19 May, 2015).

¹¹ Kaboré, A.(2012). *Disparités de l'enseignement primaire et innovation pédagogique au Burkina Faso*. Revue International d'éducation de Sévres. Avril 2012. P 71-82

Internationally, the territorial principle of multilingualism in Switzerland is the rule rather than the exception. The only difference is, however, that many educational systems in other parts of the world cannot rely on the political will, the financial resources, or the capacity to actually offer education in the languages of its population.

2.1.2 Community Participation in Roma Inclusion Programs in the Western Balkans Region

“Proximity” is a term that is frequently used at SDC. Indeed, it is a key feature of the basic education programs observed in this independent evaluation. Each and every basic education program was culturally sensitive or “close” to the community and had put measures in place to enhance community participation. Two examples from the Roma inclusion programs in the Western Balkans region illustrate how SDC defines proximity and community participation: the housing component in Serbia and the employment of community liaison staff in Serbia and Albania.¹²

First, within the housing component of the migration program in Serbia, the HEKS/EHO consortium utilizes a “Dweller-Driven” approach to upgrading houses in Roma settlements. The project promotes active participation from the Roma families in the decision-making process for rehabilitating the housing structures in place of being passive receivers of development funding. Families work with project staff to plan renovation and building of new housing structures and are encouraged to mobilize their own resources to supplement funds provided by the project for further upgrading. In many cases after reaching initial planning agreement families receive funding and specifications on building standards from the program, but manage the actual construction process on their own. Between 2008-2012, HEKS/EHO successfully improved living conditions of approximately 3,000 Roma in 13 settlements. HEKS/EHO have also mobilized Roma communities to elect community leaders to participate in advocacy for social service provision with the local government institutions. This has supported the linkages between the needs of the Roma communities and relevant service provision by government agencies.

The second example deals with the employment of pedagogue assistants that are from the minority community. Most Roma inclusion programs in the Western Balkans region work very closely with the Roma community to help them address relevant issues of discrimination and exclusion. The education components in all programs work with Roma staff members to liaise between government services and Roma families. For example, in Serbia, pedagogue assistants, typically individuals belonging to the Roma community, are placed within the school to work with school directors and teachers to help them understand the needs of the Roma children and best support the educational activities of the students. These pedagogue assistants also work with the families of the Roma children to problem solve any issues that hinder their school attendance or mitigate their learning outcome. Social workers in Albania play a similar role working with both the school authorities and the families of the Roma and Egyptian students. Social workers in Albania provide additional support to the Roma and Egyptian families to improve income generation opportunities and their economic conditions. They facilitate access to Vocational Education Training for the youth in the Roma and Egyptian families so they can break the poverty cycle and increase their future income generating opportunities. For families that face exceptional economic hardship, the social workers support the families with economic initiatives for income generation. For example, families are provided with sewing machine and kit to start their own small-scale income generating activity. Over the period 2013-14, 96 women and men started small economic activity with support from the program. Their number is still low, but great importance is given in SDC to such vocational skill development programs. Therefore, it is expected that the number of beneficiaries will increase over the next few years.

¹² Referred to as “pedagogue assistants” in Serbia and Albania.

Overall, the Swiss education system has extensive experience with community participation in schools.¹³ The members of the school boards are elected representatives of the community. Such a system of “social accountability,” in which school directors and teachers are accountable towards the school community is considered a best practice in international educational development. It ensures ownership by the community, strengthens school-based management, enhances fiscal transparency, reduces financial leakage, and overall leads to a more efficient and effective governance of schools. Therefore, different donors support community participation for different reasons: for example, the Nordic donors advocate for multi-year school development plans, the development banks for grant-for-schools programs, and USAID for school-based management; all programs that require in one way or the other community participation or, more specifically, well-functioning school boards.

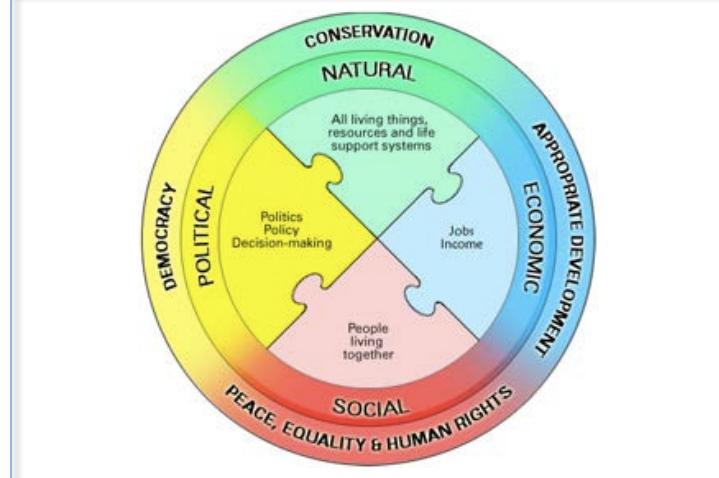
2.1.3 Education for Sustainable Development in Mongolia

Another comparative advantage of SDC is Education for Sustainable Development (ESD). SDC Mongolia has launched a CHF 13.3 million ESD program (2014 – 2020) that draws on schools and communities as catalysts for change. In line with UNESCO's conception of sustainable development, the program in Mongolia takes into account natural (environmental), political, economic, and social dimensions for teaching students skills and knowledge that are relevant for a sustainable development. The program is co-funded by two ministries—Ministry of Education, Science and Culture as well as the Ministry of Environment, Green Development and Tourism—and is implemented with the support of civil society organizations in Mongolia. Figure 2 shows the UNESCO definition of the ESD, utilized in the SDC Education for Sustainable Development program in Mongolia.

Strikingly, the UNESCO definition of ESD that SDC uses is remarkably similar to the notion of Education for Sustainable Development utilized in the curriculum reform “Lehrplan 21” (English: Curriculum 21) implemented in German speaking Cantons of Switzerland. The latter lists five thematic entry points (German: Zugangsbereiche) for teaching the common core of sustainable development (marked in yellow): global learning, environmental education, political education including the learning of human rights, health, and economics.

A comment on how the three areas of comparative advantage relate to the overall goal of SDC—serving the most excluded—may be in order here: It is not coincidental that the BE programs that support bilingual education, community participation, and ESD are particularly geared towards those segments in the population that are most excluded. The evaluation shows that programs with such a focus are particularly important for schools in rural and semi-urban areas where the monolingual focus and the lack of community participation lead to non-enrollment and dropout out students, and where land degradation, deforestation, and other natural disasters are push factors that cause rural flight,

Figure 2: The UNESCO Conception of Education for Sustainable Development Used in the SDC Program in Mongolia (2014 – 2020)



¹³ German: Schulpflege; French: commission scolaire

rapid urbanization, and urban poverty. Thus, it is not a matter of “exporting” Swiss values or experiences, but drawing on shared values, capacities and resources that exist in Switzerland to serve the most excluded in other parts of the world.

The evaluation found that SDC mostly funds bilingual education, community participation, and ESD *outside* the regular curriculum, in afterschool classes, or in donor-funded centers. As will be reiterated in the last section of the report, there is an untapped potential to close the innovation gap between nonformal and formal education and assist governments to institutionalize innovative practices in the regular education system.

Recommendation 1: SDC would be ideally suited to support governments that acknowledge multilingualism as an individual right and a social enrichment but lack financial and human resources to embark on a multilingual future. This is considered one of the comparative advantages of Switzerland’s conceptualization of cooperation and development in education.

Recommendation 2: The Swiss system of school boards corresponds internationally to the much-acclaimed “best practice” of social accountability and community participation. This corresponds to the second comparative advantage of SDC. In education, “good governance” translates not only into the devolution of decision-making authority from the national to the local level but in addition also into community participation, or more specifically into the establishment of school boards. For this reason, community participation should possibly be treated a transversal theme in all education programs.

Recommendation 3: There are two reasons why SDC would be well positioned to advance education for sustainable development. First, the current Swiss curriculum reform, called “Lehrplan 21” has built capacity in Swiss institutions on how to teach students skills and knowledge in sustainable development. Second, SDC’s work in the global South and East entails in great part a commitment to projects that focus on agriculture, food security, water, climate change, environment, and other themes that are directly related to the upcoming global development agenda. The 2015 Sustainable Development Goals will increase the demand for projects that use education as a tool for public awareness and action on topics that are related to sustainable development.

Recommendation 4: The Swiss educational systems is known for its commitment to lifelong learning. Numerous bridge programs (“passerelles”) at critical interfaces of the education system ensure that individuals are able to complete their basic education, vocational training, or academic study regardless of their age and life circumstances. In the development context, such an inclusive approach is ideally suited for reaching marginalized and disenfranchised groups that are left out or drop out from primary or secondary education.

Recommendation 5: Taking into account the Swiss comparative advantage—notably in the areas of bilingual education, community participation, education for sustainable development, inclusion of marginalized groups—entails drawing on capacity, experiences and shared values in Switzerland to draw greater attention to the most excluded. It will enhance the involvement of Swiss experts as well as Swiss institutions.

2.2 Inter-Sectoral Collaboration

From all examined cases, the humanitarian aid programs at SDC and the Roma Education programs in the Western Balkans region apply most rigorously an inter-sectoral approach. The two case studies of humanitarian aid in Afghanistan and Haiti clearly reflect such an international “best practice,” as inscribed in the *INEE Minimum Standards for Education: Preparedness, Response, Recovery* (Inter-Agency Network for Education in Emergencies). In addition, Haiti is a good example of how smoothly the transition from an emergency to a recovery operation and from recovery to development was planned. The program officers in charge were able to sustain the innovations, networks, and resources that were built at the early stage. The SDC-funded masonry program led not only to new and safer schools in the aftermath of the 2010 earthquake but also helped professionalize masonry by establishing qualification standards and subsequently institutionalizing them in training institutions in Haiti.

In the Western Balkans region, SDC followed EU standards on social inclusion by combining education with employment, housing, health care and other social protection services. Through an inter-sectoral approach SDC programs have found synergy between the education sector and other social development sectors to take advantage of coherent and holistic community development. Such an inter-sectoral intervention approach resembles the holistic education approach also found in other SDC-funded programs but moves beyond it. SDC programs in each of the countries either incorporate multiple sectors within one program or within the overall Roma programs portfolio strategic approach. In each context it is acknowledged that social inclusion of disenfranchised communities is a complex process and requires tackling multiple issues and overcoming the lack of access to all public services to achieve full integration of the communities.

In Albania, the SCO approaches all country programs and the SDC regional programs as part of its social protection and inclusion strategy. Two of the three country programs (implemented by UNICEF and UN Country Team) work with various line ministries in the Albanian government to ensure that social services and social protection policy and practice incorporate Roma and Egyptian communities. The third program, Alternated Education and Vocation Training program, primarily focuses on Roma and Egyptian children’s access to mainstream schools, but through a multi-layered approach. Program staff works with the school to support integration of Roma and Egyptian children, and also with families to solve any issues with school attendance. Staff works with individual families to alleviate the burden of poverty through provision of vocational education training and income generating initiatives.

In Romania, three projects are implemented within the Thematic Fund for Roma Inclusion of the EU Enlargement Framework Agreement. All three programs are implemented by consortia composed of Swiss and local Romanian organizations contributing their expertise in multiple sectors – education, health and community development. All three projects utilize their inter-sectoral interventions for further advocacy at the national level to improve social services and inclusion of Roma communities.

In Serbia, two programs include an inter-sectoral approach within the program. The HEKS/EHO program works mostly at the community and local institutional levels to improve the living conditions and government services available to Roma communities. The Social Inclusion and Poverty Reduction Unit (SIPRU) works with all line ministries and their local institutions to improve policy development and implementation for social inclusion. Although, the Joint Program in Serbia works primarily in the education sector at both the local and policy levels, it also includes health sector and employment issues at the local level in order to tackle social exclusion problems at large.

The SCO in Kosovo implements two Roma inclusion programs, both funded through the Migration Partnership. Both programs take an inter-sectoral approach to social inclusion of Roma, Ashkali and Egyptian communities, with education being one of the components.

The program implemented by Caritas operates in one municipality of Kosovo aiming to provide permanent housing for the community along with improving access to public services like education, health and opportunities for employment and economic activity. HEKS, TdH and VoRAE have implemented the second program in nine municipalities with four components focusing on advocacy for access to public services, education, housing and employability.

Recommendation 6: There is room for enhancing inter-sectoral collaboration in the regional programs of SDC: in particular, in adult literacy programs but also in non-education programs where education is merely identified as a secondary or tertiary domain. Examples of effective inter-sectoral collaboration exist in SDC's programs that target European countries and countries of humanitarian aid.

Best
Practice
3

2.3 Voice and Impact

The evaluation estimates that SDC spent CHF 112.5 million for basic education programs in 2014. It uses three channels to finance BE programs:

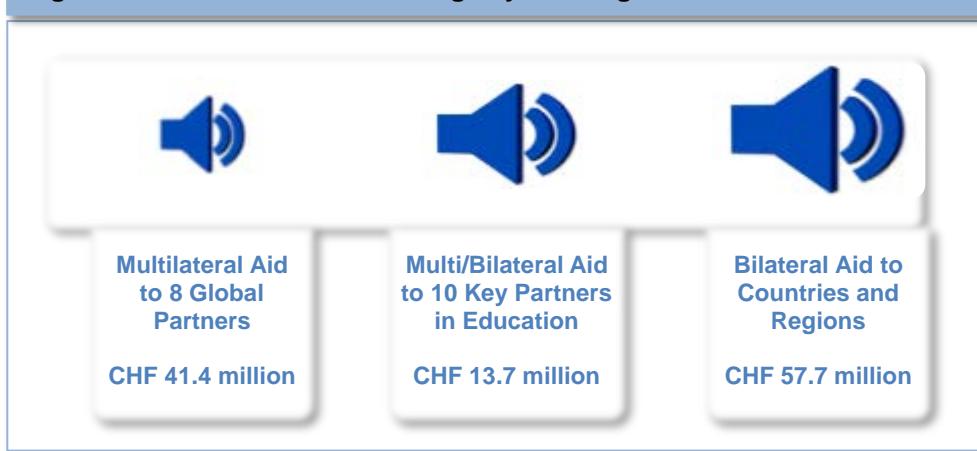
1. **Bilateral aid: CHF 57.7 million.** In 2014, SDC spent CHF 57.7 million to support BE programs, which are closely aligned with Switzerland's vision of development and cooperation, its country as well as its regional cooperation strategies.¹⁴ In most countries and regions, SDC functions as a funder, rather than as an implementer, of bilateral aid. One quarter of the bilateral aid is allocated to the Western Africa region: Of the CHF 57.7 million, CHF 11.9 million was disbursed for national programs in Burkina Faso, Chad, Niger, and Benin, and CHF 3.5 million for regional programs in the Western Africa region. Another priority in BE is fragile and conflict affected states and regions. In 2014, SDC spent CHF 13.5 million of the total amount of CHF 57.7 million in such states and regions.
2. **Multi/bilateral aid to key partners in education ("multi-bi"): CHF 13.7 million.** SDC selected ten international organizations in the field of education that reflect most closely Switzerland's vision of development and cooperation.¹⁵ In 2014, it allocated CHF 13.7 to these ten educational partners, of which slightly over half was allocated to the Global Partnership for Education, one-third was given to four UNESCO affiliated institutes (GMR, IBE, IIEP, UIL), and the rest was used to support civil society organizations (NORRAG, ICAE, RECI) or intergovernmental organizations devoted to programs benefiting francophone countries (CONFEMEN, MOOCs).
3. **Multilateral aid through global partners: CHF 41.1 million for education (estimate).** Switzerland actively supports the international development agenda, previously the Millennium Development Goals (MDGs) and now the Sustainable Development Goals (SDGs), with un-earmarked contributions. In 2014, SDC supported eight key multilateral partners (World Bank/IDA, UNDP, African Development Bank, UNICEF, UNRWA, Asian Development Bank, and International Fund for Agricultural Development) in the amount CHF 450.4 million. The evaluation estimates that these eight multilateral partners spent CH 41.1 on education.¹⁶

¹⁴ See Table 1 in the Inception Report. The figures also includes aid to initiatives in which BE was classified as 3rd and/or 3rd priority in all sectors.

¹⁵ See Table 5 in this report.

¹⁶ See Table 4 in the Inception Report. Note that the figure includes all sub-sectors of education, that is, is not restricted to basic education only.

Figure 3: SDC's Voice and Leverage by Funding Channel



It is important to keep all three funding channels in mind when developing visions, strategies or guidelines in basic education.

In terms of a side comment, there exists a fourth and fifth funding channel that is underexplored and deserves much greater attention within the organization even though channels 4 and 5 typically are not considered core to an education strategy:

- Funding Channel 4: non-education programs at SDC that select education as a 2nd and/or 3rd priority. As shown in the portfolio analysis (see section 1.2.1 as well as the Inception Report in the annex), SDC spent in 2014 CHF 6 million in such programs.
- Funding Channel 5: non-education programs at SDC that use education as a medium for public instruction and awareness building without identifying education as a 1st, 2nd, or 3rd priority. In such programs, SDC funds educational initiatives even though it does not regard education as a priority. The evaluation estimates that educational programs in water, agricultural, food security, and other SDC priority areas exceed by far the financial volume of programs that are explicitly declared as educational programs; yet there is little collaboration with SDC's education network.

Naturally, the three principal funding channels, mentioned above, have their own opportunities and challenges for implementing the Swiss vision of development and cooperation. Figure 3 shows the continuum between the three funding channels in terms of having a voice, that is, in terms of having leverage on the priorities established for basic education programs. SDC has the greatest leverage in bilateral aid, that is, in those programs for which it makes the funding available, and has the least to say when it contributes to global partners.

The evaluation found that SDC pursues three strategies to share its development priorities ("voice") in the larger donor community and to enhance the impact of SDC program at country and regional level. These may be summarized as voice and impact by using (i) governance, (ii) coalition building, and (iii) advocacy. In contrast to larger bilateral donors, notably the US, UK, and Japan, Switzerland exerts caution in applying a fourth approach to being heard and having an impact: (iv) leverage by bilateralization of multilateral aid.

2.3.1 Voice and Impact by Governance

Table 7 lists examples of how SDC successfully manages to exert a leadership role at national, regional, and global level. The three cases listed below merely represent a few examples of SDC's active involvement in governance matters of global partners (example: UNRWA), key international partners in education (example: GPE), and as lead donor at national level (example: Burkina Faso).

Table 7: Leverage by Governance: Examples for the Three Types of Funding Modalities

Type of Funding	Example	Description
Multilateral Aid through 8 Global Partners	UNRWA	Key role in Advisory Commission, Subcommittee; Commissioner General is Swiss national
Multi/Bilateral Aid to 10 Partners in Education	GPE	Board Member, representing constituency 1: Switzerland, Belgium, Luxemburg, Netherlands
Bilateral Aid to Countries and Regions	Burkina Faso	Lead Donor (donor coordination); Chair of Working Group on Nonformal Education

With the exception of GPE where Switzerland is considered a small but active donor (Swiss contributions amount to less than 2% of GPE's budget), SDC tends to be among the top ten donors in agencies or organizations in which it assumes a leadership role. For example, Switzerland is the 8th largest financial contributor to UNRWA's General Fund and has historically been one of its top 10 supporters. In Burkina Faso, Switzerland is the largest donor in nonformal education and a long-term and reliable donor, albeit of moderate size, in the education sector in general.

2.3.2 Voice and Impact by Coalition Building

The alliances and coalitions that SDC builds vary by region, country, and multilateral organization. In almost all BE programs that the evaluation investigates, alliances were generated with like-minded donors; some in a more formalized manner and some more informally. The evaluation found that SDC sees, for example, the UK and USA as like-minded donors for educational programs of UNRWA; Germany, Sweden and Norway as like-minded donors that support international agencies in education; or, in the past, could strongly rely on its alliance with Netherlands for all its bilingual and nonformal education programs in West Africa. Without any doubt, alliances and coalition-building change over time and are strongly context and program specific, yet they are an effective tool for enhancing leverage and impact. SDC's Afghanistan programs serve as a good case in point to show the importance of alliance and coalition building.

In Afghanistan SDC has co-financed all major education programs with other bilateral and multi-lateral donors, with SDC funding either a specific program component or activities in specific provinces/district (see Table 8). All the programs have common overall goals that all donors support and knowledge is shared among them.

The Afghanistan Case Study Report explains in greater detail the various programs, listed in Table 8, in which SDC participates in collaboration with other donors.

2.3.3 Voice and Impact by Advocacy

There are two examples from SDC's immediate past that best demonstrate how SDC successfully supports advocacy work that helps elevate the Swiss development and cooperation vision to an international level: one is the additional credit for ICAE (International Council for Adult Education) to advocate and lobby for adult education and life-long learning in the post-2015 SDG debates and to make these concerns visible during the 2015 World Education Forum, held in Incheon, Korea, in May 2015.¹⁸

¹⁷ Exact disbursement data from other donors is not available. The numbers have been derived from SDC documents.

¹⁸ See 7F-5822.03, SDC: Contribution to the International Council for Adult Education (ICAE), Additional Credit (01.01.2015 – 31.12.2015).

Table 8: SDC Joint Contribution to Multi-Donor Education Programming

Program Title	Additional Donors	SDC Actual Expenditure by 2013 (in CHF)	Approximate total Program Funding Committed ¹⁹
GSSP	AKF, CIDA, Norwegian Embassy, NZAID, USAID	5.2 Million	USD 15 Million
BEPA	German Federal Ministry for Economic Cooperation and Development	1.4 Million	EUR 19.7 Million
AEPO	AKF, Belgian PO, DFID, Dutch Embassy, EC, EU, Norwegian Ministry of Foreign Affairs, NRC, UNICEF, UNHCR, UNIFEM	437,500	USD 6.8 Million
YEP	Norwegian Government, SIDA	500,000	CHF 2.8 Million

Another is the so-called Back-Up Initiative (Building Alliances, Creating Knowledge and Updating Partners) within GPE, in which SDC collaborates with the German Agency for International Cooperation (GIZ). As mentioned in the previous section, Switzerland holds a seat on the board of GPE and is, according to the evaluation, known for being vocal in calling for a more comprehensive notion of education and for advocating for a more participatory approach to establishing reform priorities. The participatory approach, propelled by the delegate from Switzerland, has already yielded first positive results, not least due to the BACK-UP Initiative. BACK-UP was created by BMZ (Bundesamt für wirtschaftliche Zusammenarbeit) and is administered by GIZ. To date, Switzerland is the only other donor who supports the initiative with a contribution of CHF 2 million over the period October 2014 until December 2015. The initiative aims at building the capacity of local, national, and regional partners from African countries, both from governments and civil society organizations, to actively participate in identifying reform priorities and to speak up during GPE board meetings. According to the interviewed GPE representative, the BACK-UP Initiative has had a great impact on board members from developing countries; they now speak up during meetings and actively participate in shaping the agenda of GPE.

2.3.4 Voice and Impact by Bilateralization of Multilateral Aid

Different from other bilateral donors, SDC was up to now reluctant to join the trend to “bilateralize” multilateral aid.¹⁹ It has not favored results-based contracting or earmarked contributions nor has it requested excessive annual reporting by its multilateral partners; all requirements that tend to boost administrative cost and paralyze the work of multilateral agencies, especially smaller ones. The interviewed representatives of the five largest multilateral partners in education had only praise for SDC’s intervention, cooperation and communication approach. Not one negative comment was uttered. They used flattering language such as, “SDC has a relationship of trust with us,” “SDC is involved but not interfering,” “SDC is attentive” and “SDC always provides prompt feedback on our proposals; in fact sometimes in too much detail”; these are all expressions of the high regard for SDC as a reliable, professional and active partner.

The only instances of conditionality for further funding were found in the Core Contribution Management (CCM) tool. By all means they represent “soft,” supportive and effective types of conditionality. In the case of the UNESCO affiliated institutions UIL and IIEP, for example, SDC provided additional funding to help develop solid data-based mid-term strategies for the next few years. In the case of UNRWA, SDC supported a project for

¹⁹ See Piera Totora and Suzanne Steensen (2014). *Making earmarked funding more effective: Current practices and a way forward*. Paris: OECD Development Co-operation Directorate.

resource mobilization. Finally, in the case of UNESCO IBE SDC insisted, along with other bilateral donors, to reform IBE's inefficient government structure and reduce the number of board members from 28 to 12 members. In all these cases, SDC provided additional funds to help remedy the shortcomings in strategic planning, resource mobilization, or management that the multilateral partners were exhibiting.

Recommendation 7: SDC has successfully increased its impact and voice by means of participation in governance structures of relevant partners, coalition building with like-minded donors, and advocacy for Swiss visions of development and cooperation. It is important to continue, and possibly expand, funding for these kinds of collaborative activities and make them better known by means of better public relations and communication strategies at SDC.

Recommendation 8: SDC's impact and voice is greatest in bilateral aid and smallest in multilateral organizations. Similarly, the greater the financial contribution, the more impact and voice. Therefore, SDC may consider reducing the number of international organizations in basic education ("multi-bi") it supports and simultaneously increase the funding level for those it prioritizes.

Best
Practice
4

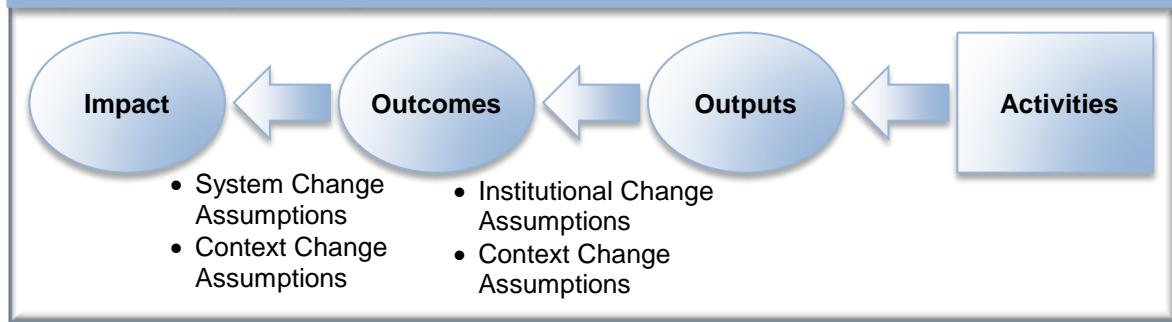
2.4 Impact Orientation and Theory of Change

The *Parliamentary Message on International Cooperation 2013-2016* prioritizes poverty reduction as a major goal of Swiss international cooperation. In line with this goal, all Swiss government funded programs internationally are meant to contribute towards poverty reduction, which is a challenging "result" to measure as it may be realized in the remote future. To measure project contribution to poverty reduction, SDC field handbook recommends the use of Impact Hypothesis or Theory of Change. Theory of Change is meant to be used for Project Cycle Management process - design, monitoring, reflection and impact evaluation.

Theory of Change is a way to define how the expected institutional and system change, like poverty reduction, is supposed to take place through project activities. It should explicitly state the cause-effect relationship between the project activities and project goal. The focus of the reflection in the project therefore becomes the project outcome rather than the outputs of the designed activities. During the project-planning phase, a Theory of Change approach works backwards from expected project impact/goal to outcome to outputs (see Figure 4). During the planning phase stakeholders define the logical change pathway on how the program activity process would lead to the impact i.e. system change. Joint reflection by the stakeholder on the change process or pathway is a way to reach shared consensus and make explicit the values, beliefs and assumptions for the given project. There is an emphasis to explicitly define the change process assumptions that are outside the control of the project. This reflection process raises the discussion and reporting of the project from activity and output level to outcome and impact level.²⁰

²⁰ SDC (2014). How to note on Impact Hypothesis. SDC Field Handbook. Quality Assurance.

Figure 4: Theory of Change Pathway



An explicit Theory of Change should be the basis of a project logframe. However, in most cases logframes become a “stand alone” documentation exercise with a focus on elaborating indicators for project outcomes and outputs, instead of a tool for reflection on the change process. At closer examination, many outcomes are in practice formulated in terms outputs. However, when the focus of project monitoring is outcomes, the specific activities become flexible and can be modified during the project cycle management if they do not yield the expected periodic outcomes. Periodic reflection on the explicit project assumptions also helps evaluate whether the planned project activities are realistic and relevant in reaching project outcomes.

The Social Inclusion and Poverty Reduction (SIPRU) program in Serbia uses Theory of Change approach in place of a logframe exercise. The program staff believe that in a logframe design, activities are assumed to be both *necessary* and *sufficient* to achieve the results, however, this is not realistic in system change context where the environment is dynamic and often out of the control of program staff. The overall goal of SIPRU is “improved social inclusion in Serbia.”²¹ Under this goal, the program outlines thirteen expected outcomes and makes assumptions behind reaching these goals explicit.

The periodic program monitoring report for SIPRU assesses the following aspects:

- the extent to which each of the outcomes have been achieved
- the extent to which the program activities are contributing to these outcomes
- the extent to which other actions are contributing to achieving these outcomes (or preventing their achievement)
- an analysis of the program approach together with any recommendations for new or adjusted activities for the following year

This level of analysis is expected to inform the mid-term evaluation of the program and adjust activities accordingly in order to reach to program outcomes and overall goal.

Recommendation 9: A Theory of Change approach in conjunction with logframe design—currently used in some divisions of SDC but not in others—could be used in most SDC projects to enhance institutionalization of SDC interventions at organizational and institutional level. The Theory of Change enables SDC to think “big” and more long-term and to keep the broader outcomes of a project in mind even if adaptations of the project design may prove to be necessary over the course of the project.

²¹ SIPRU Project Document Annex 1 (see Case Study Report on Roma Education in the Western Balkans Region).

2.5 Diffusion of Innovation

For the purpose of understanding collaboration and diffusion of innovation amongst SDC-funded partners, the evaluation interview protocol included a social network analysis instrument (see Inception Report in the annex). Each responding organization was asked to indicate collaborators in the field as well as organizations with important qualities to policy implementation (reliability, innovation, efficiency, sustainable impact, responsiveness to local needs, gender sensitivity, exhibiting good governance). The evaluation refers to such a networks as “communities of best practice” because the organizations select each other based on positive attributes or best practices in the respective context. Figures 5 and 6 present the findings from the social network analyses in Burkina Faso and in Romania. They show the communities of best practices, as identified by the interviewed SDC partners. Both social network analysis figures demonstrate a successful diffusion of innovation in the SDC BE programs: SDC’s common practice of contracting Swiss institutional, regional, global, or national partners that have in turn established a consortium with, or subcontracted, local implementation partners is effective for a diffusion of innovation.

- Figure 5 shows that SCO Burkina Faso directly collaborates with 40 organizations. However, responding organizations were able to nominate other organizations—that is, to expand the boundaries of their network—in their responses. Indeed, the final list of organizations included in the analysis comprises 81 organizations. The fact that 81 organizations, almost all of them based in Burkina Faso, directly or indirectly (with one degree of separation) collaborate with, and in most cases are financially supported by, SDC is impressive. If collaborators of collaborators (two degrees of separation) would be listed in a complete network analysis, the network would be exponentially larger.
- The same diffusion of innovation applies to the work of the Swiss Contribution Office in Romania. It is especially visible for the consortium built by the institutional partner Terre des Hommes (TdH, see Figure 6). TdH collaborates with organizations that otherwise would not be part of SDC’s wider network. The fact that each contractual partner works with three to five local implementation partners accounts for a wide dissemination of services and best practices.

Two critical comments for further exploration and discussion may be appropriate here: Even though SDC’s partnership models visibly enhance the effective diffusion of innovation, the dependency from SDC funding and the problem of “clique formation” are not resolved:

1. **Donor-Dependent Networks:** Both network analyses, depicted in Figures 5 and 6 also demonstrate that SDC or DDC (or SCO or PMU) are the center of the networks “holding” the wide network together. Most links are established through SDC, SCO or SDC-supported coordination units (e.g., Program Management Unit). The network is therefore not stable and not likely to survive once the center is removed or, more concretely, once SDC program funding has ended.
2. **Competition over Collaboration:** The network analyses also show that there are distinct subgroups and cliques within the network in which the SDC contractors function as a hub for the wider network of peripheral groups. In Burkina Faso, this is clearly discernible in the subgroups held together or funded by APESS (Association pour la Promotion de l’Élevage au Sahel et en Savanne) and APENF (Association pour la Promotion de L’Éducation Non-Formelle), both civil society organizations that receive SDC funding. There is little learning, exchange of best practices, or collaboration going on *between* SDC’s partners. This may be attributed to the fact that SDC’s partners, in particular institutional, local, national and regional partners compete with each other over securing external funding from SDC.

Figure 5: Social Network Analysis in Burkina Faso - Communities of Best Practices

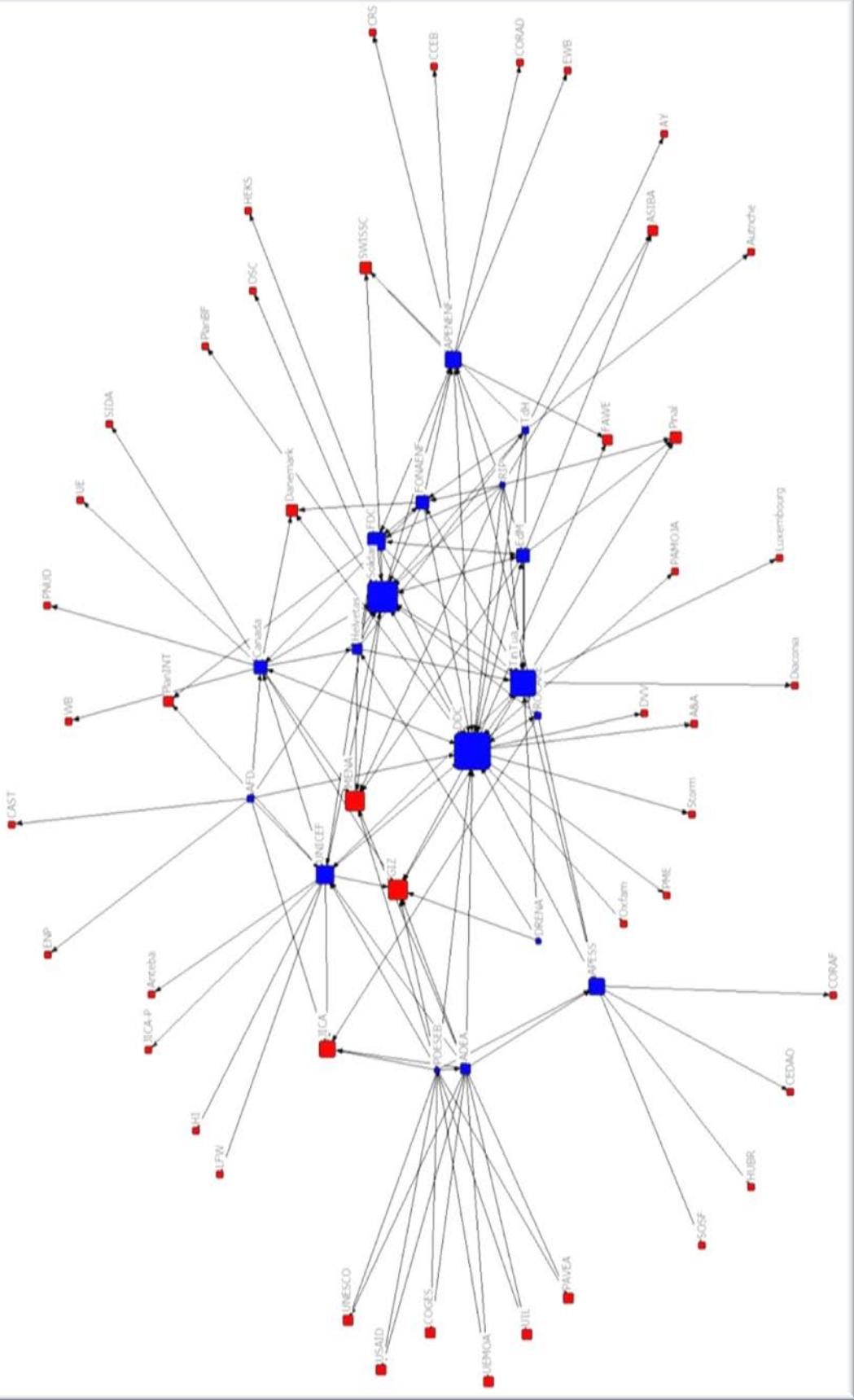
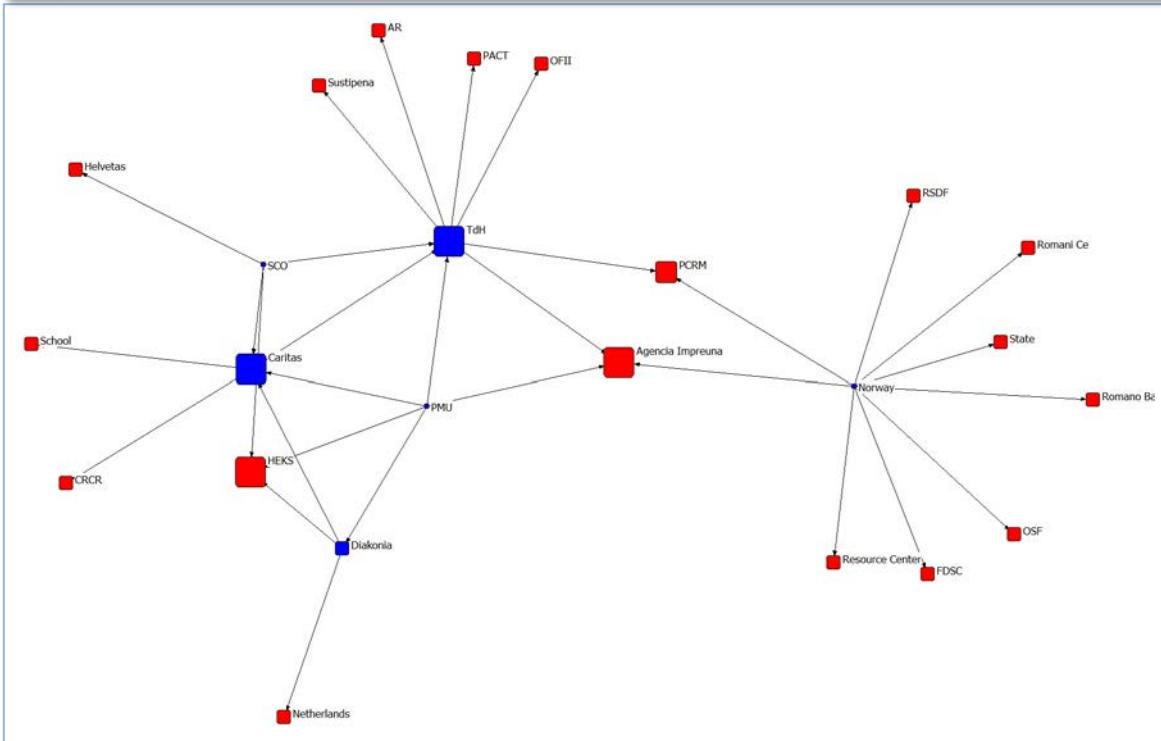


Figure 6: Social Network Analysis in Romania - Communities of Best Practice



Recommendation 10: SDC's preferred collaboration modality—contracting institutional partners who in turn subcontract (or build a consortium with) local organizations for implementing innovation—works well for diffusion of innovation but is of limited use, or in the worse case scenario, prevents the scaling up of innovation. The different contractors or subcontractors, respectively, pull in different directions, compete with each other, and for the sake of their own survival have an interest in indefinitely implementing new pilot projects, thereby preventing a hand-over of effective pilot projects to government structures. It is therefore imperative that (i) the scaling-up of innovation and, if applicable, the institutionalization of innovation, are part of the project cycle, that is, needs to happen *during* the period of SDC-funding, and that (ii) financial support for piloting innovations ends when scaling-up begins.

3 Five Proposed Areas for Improvement

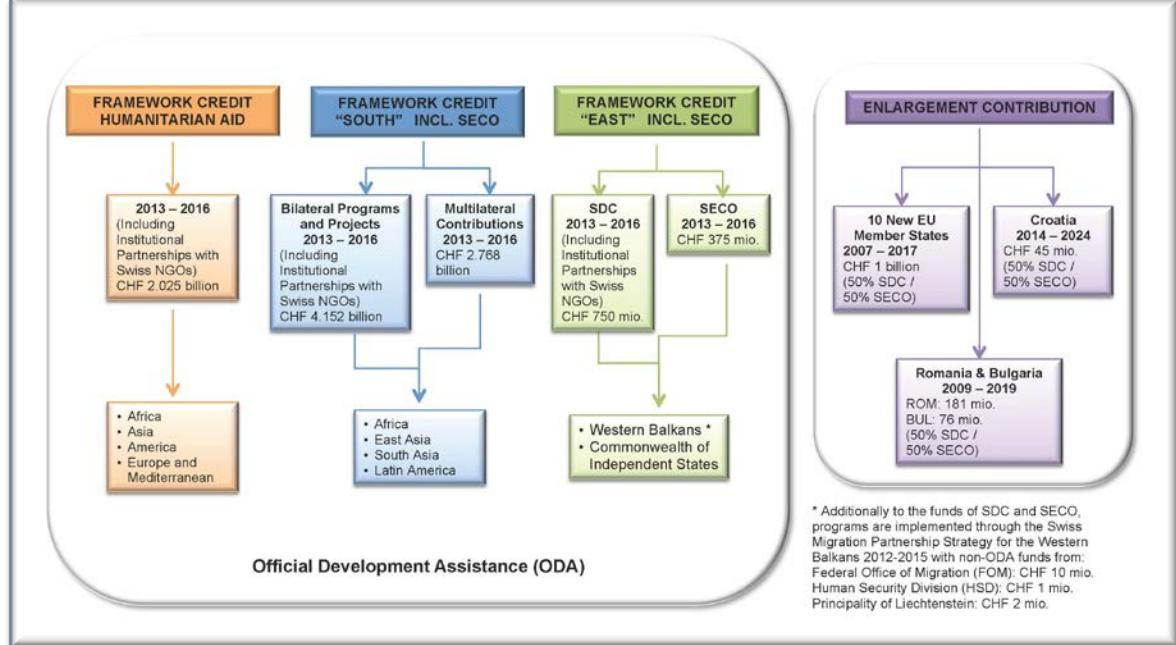
This section presents a few areas that the evaluation has identified as problematic and in need of improvement. In an attempt to further promote reflection and discussion within SDC, the five points are listed in as much detail as possible.

3.1 Inserting the Missing Third Dimension: Frame Credit x Context x Theme

Proposed Area for Improvement
1

Currently, SDC's strategic priorities are literally flat: they are anchored in the funding source (frame credit) and in the country and/or regional cooperation strategy. In education, there only exist guidelines but not a strategy. As a result, educational programming is currently not driven by SDC's comparative

Figure 7: The Frame Credits of the Swiss Government



Sources: Schweizerischer Bundesrat. (2012). *Botschaft über die internationale Zusammenarbeit 2013 – 2016*. Bern: Bundeskanzlei. DEZA und SECO (2015). *Der Schweizer Erweiterungsbeitrag. Zwischenbilanz zum Ende der Verpflichtungsperiode mit Bulgarien und Rumänien 2009 – 2014*. Bern: EDA und WBF.

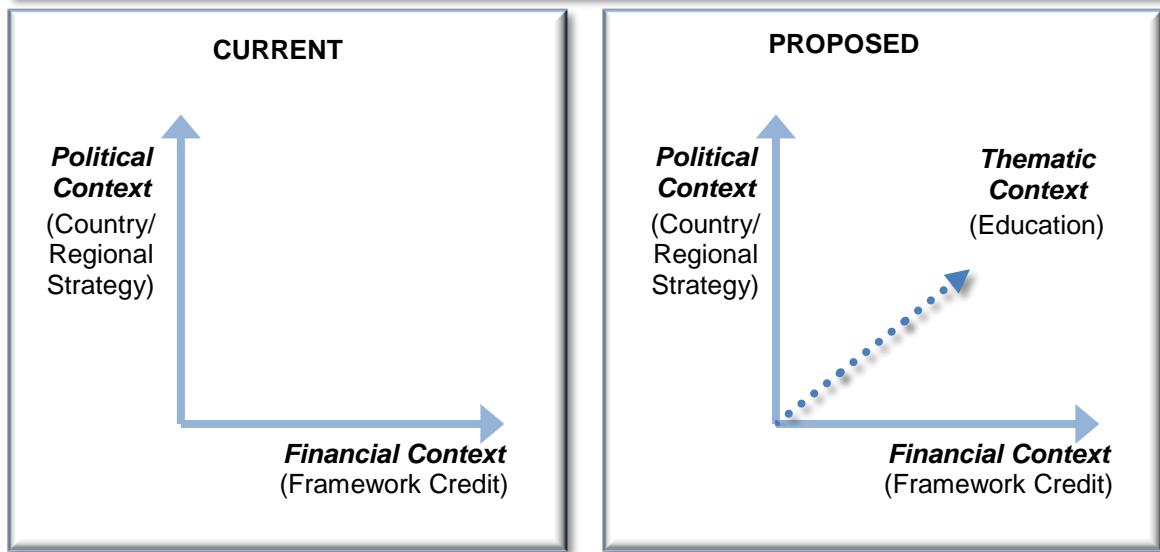
advantage and unique contribution in education; but essentially determined by considerations of the funding source (see Figure 7) or by political considerations that are reflected in the country and regional cooperation and development strategies.

Such a reactive approach, which prioritizes funding source and political context over SDC's global contribution to education, makes it difficult to forge alliances and have a voice in international settings. One of the most effective tools for enhancing impact and leverage on a global scale, but also in the countries and regions in which SDC is operating, is an education strategy that is rigorously enforced and made known to all partners of SDC. It is crucial to point out here that having an education strategy does not preclude a commitment to being context specific and attentive to local/national needs, but it helps to make informed choices given the vast array of needs that require external financial and technical assistance.

In addition, the evaluation identified a few inconsistencies and inefficiencies that would be resolved if a unified education strategy, covering all educational programs at SDC, would be developed and used for prioritizing programs and partnerships while designing effective implementation modalities.

Figure 8 shows the proposed expansion from a flat two-dimensional conceptualization of development and cooperation (left figure) to one that takes into account three dimensions (right figure): the x-axis represents the financial context (reflected in frame credits of the Swiss Government), the y-axis the political context (manifested in SDC's country/regional development and cooperation strategies), and the z-axis is the thematic context (in this case: education).

Figure 8: Moving from a Two-Dimensional to a Three Dimensional Framework



3.1.1 To BE or Not to BE?

There is disagreement within SDC as to when basic education (BE) ends and when technical-vocational education begins. This applies especially to the vast number of vocational-skills development (VSD) programs for adolescents and young adults that SDC offers worldwide. There is a tendency for SDC program officers in the headquarters to insist on a comprehensive notion of BE which includes VSD and that is organizationally hosted in the SDC's West Africa Division. In contrast, SDC program officers at Swiss Cooperation or Contribution Offices in field offices tend to see VSD programs as part of technical-vocational education²² hosted in the Latin America and Caribbean Division as part of the unit Employment and Income. Such a diffusion of responsibility is detrimental for the work of SDC program officers and their partners.

3.1.2 Eliminating Double Standards

Abroad, when SDC interacts with the international donor community—most recently at the 2015 World Education Forum held in Incheon, Korea—it is quite persistent, and in fact spends money to advocate for, a comprehensive notion of education that is lifelong and that encompasses all level of schooling and all types of education (formal and nonformal). The same applies when SDC works with recipient governments: one of the remarkable and forward-looking features of SDC's approach to strategic planning is its insistence on a unified education sector strategy rather than the more common fragmentation into an (basic) education strategy, technical-vocational strategy, and higher education strategy.

²² For example, the SAP database lists the contribution for the vocational skills development programs in Burkina Faso, coordinated by Terre des Hommes Suisse (CHF 0.09 million) under "contribution to Swiss NGOs" in BE. In the database of SCO Burkina Faso, however, the only two institutional/Swiss partners listed as having received funding were Enfants du Monde and OSEO-Solidar; most likely because the SCO Burkina Faso does not count them under BE but rather under vocational-technical education. The opposite also applied: in the draft versions of the UNRWA and Haiti case studies, the evaluation team did not incorporate some of the vocational skills-development programs because they were bordering technical-vocational education, but then the team was asked to include them because the SDC staff at the headquarters considered them being part of BE.

3.1.3 “Nonformal”: An Outdated Term and a License to Disown

The evaluation found that SDC and its funded institutional, local, and regional partners use a term that is outdated and ridiculed in the wider development community: nonformal education.²³ What SDC means to denote with the term is ambiguous, ranging from compensatory after-school programs for Roma and other vulnerable students in the Western Balkans Region, professional development of school teachers in Serbia to literacy courses for adults and adolescents, e.g. in Burkina Faso and Niger, that either never enrolled or dropped out from school/formal education. The common feature between the wide spectrum of so called nonformal education programs, currently supported by SDP, is that they are donor driven and donor funded. However, the very term provokes a wrong association: the expectation that donors such as SDC will indefinitely support such parallel education systems or programs, and thereby alleviate the recipient government from the need to own, institutionalize, and fund reform programs for the most excluded. The fact that some UNESCO publications still differentiate between formal, nonformal, and informal education only reconfirms the loss of stature and expertise of UNESCO institutions in the wider development and cooperation community.

The term “lifelong learning” is narrowly defined but nevertheless lends itself for misinterpretation. The only two commonalities of various forms of lifelong learning are (i) that learning is not reduced to the period of childhood and youth, and (ii) the acknowledgment that schools indeed do not constitute the only site where learning takes place. It is a term that is nowadays widely acknowledged beyond the boundaries of Europe. Nevertheless, the term “lifelong learning”—used in target 4 of the SDGs—is ambiguous to the extent that many experts anticipate that the inclusion of the term in the post-2015 Sustainable Development Goals (goal 4) will very soon be framed as entrepreneurship and vocational skills development at lower secondary school level, an interpretation that is strongly advanced by the World Bank and the private sector.²⁴

This is not to downplay the importance of conveying SDC’s fundamentally different, progressive and holistic notion of education. However, SDC needs to speak the language of the others in order to communicate how its conceptualization differs, or is alike, to current conceptualized used in development.

3.1.4 Building on SDC’s Comparative Advantages

The previous section of this report identified SDC’s commitment to the most excluded—which concretely manifests itself in its support for bilingual education, community participation, and education for sustainable development—as the primary area where SDC indeed has more to offer than most other bilateral donors. There is another area of comparative advantage that sets SDC apart from other donors: the ability to commit long-term support and act as a reliable partner. The mechanisms of multi-year Entry Proposals (for bilateral aid) and multi-year CCM data-sheets (for multilateral aid) ensure a long-term partnership and long-term planning. These mechanisms enable a fundamentally different type of donor-recipient relationship than some larger bilateral donors pursue. Once SDC commits to a multi-year cooperation and development engagement, it does typically not back out if the recipient country happens to experience unforeseen political or economic changes.

²³ BRAC, the internationally acclaimed NGO that greatly advanced adult and youth literacy in Bangladesh since 1985 and later on in other countries, dropped the term “nonformal” in 2003.

²⁴ Goal 4 is formulated as follows: “Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.” Targets 4.1 and 4.2 preserve the focus on formal basic education (including pre-primary and post-primary) and targets 4.3 – 4.7 address issues that are closely related to SDC’s development framework. Goal 4 also proposes three implementation modalities (see World Education Forum 2015).

3.1.5 Harnessing Synergies rather than Duplication

An education strategy would also need to clarify the various functions of SDC's various partners and identify areas of synergy but also address how duplication may be avoided.

For example, SDC has continuously supported Burkina Faso since the late 1970s. From 2007 to 2014, SCO Burkina Faso neither implemented nor coordinated educational projects directly but rather contracted implementation partners—mostly Swiss institutional partners (Enfants du Monde, etc.), large local partners (e.g., Tin Tua, APENF), regional networks (e.g., RIP)—or provided financial support to government affiliated institutions, either by means of sector-wide pooled funding (CAST mechanism for PDSEP) or direct financial support (e.g., FONAENF). It is not entirely clear what type of partners is selected for which type of intervention except for the regional partnerships and global partnership programs.

According to SDC's educational advisor of the regional programs of the West Africa Division, the regional programs pursue three clear objectives that differentiate themselves from national programs:

- “amplification” or strengthening of national programs
- networking, scaling up, sharing of knowledge and best practices in the region
- transnational advocacy work and policy dialogue

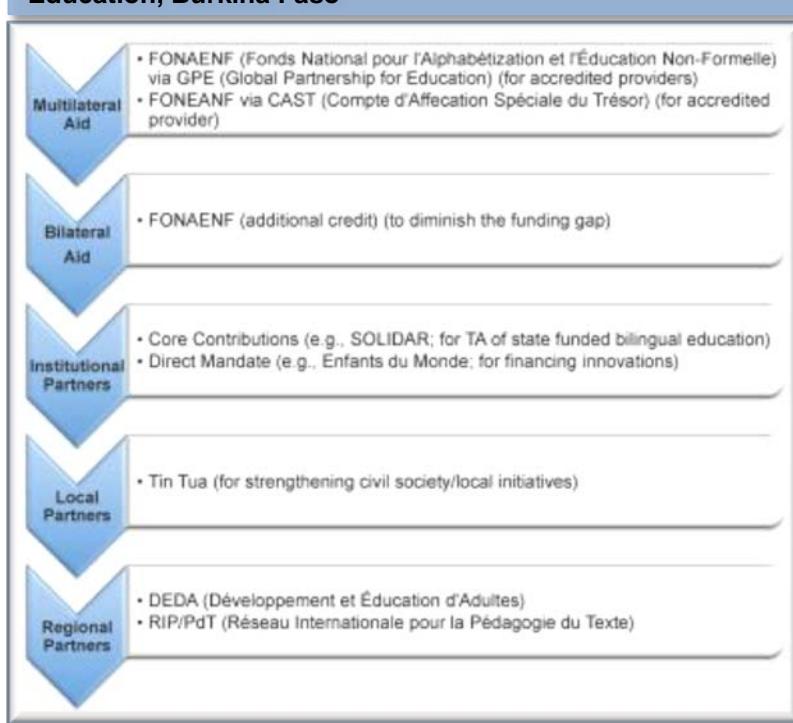
For the national programs, it is not entirely clear what criteria are used to contract the different types of partners. It is, for example, common for SCO Burkina Faso to contract Swiss institutional partners (currently, Enfants du Monde, Helvetas Swiss Intercooperation, Terre des Hommes) who, in turn, build consortia or sub-contract local partners to implement projects. In fact, SDC considers this modality key for strengthening the management capacity of civil-society organizations in light of the decentralization reform that is supposed to be successfully implemented by 2021. However, another “logic” or theory of change also seems to apply in Burkina Faso, making it difficult to understand the rationale for the different funding channels; SCO also contracts local partners directly (e.g., Tin Tua) to scale up their work. It is not clear for which tasks different types of partners are contracted, notably, local, national, and Swiss/institutional partners. It would be useful to carry out periodically a functional analysis as part of internal reviews to avoid duplication.

Using Burkina Faso as an example, Figure 9 lists the five funding channels and presents examples of institutions that receive funding.

Some differentiations are clearer than others.

In principle, the availability of different funding channels and cooperation partners increases the effectiveness of a program, provided that (1) the criteria for selecting one type of partner at the expense of another is

Figure 9: SDC Funding Channels to Support Basic Education, Burkina Faso



clear, (2) there is no overlap in activities between the various partners, and (3) there is no double funding for one and the same activity.

In Burkina Faso, there is potentially a risk of “double-dipping” because three types of partners—regional partners, local partners, institutional partners—with possibly the same individuals working at the local and regional level—benefit from SDC funding. This applies in particular to the network that promotes, provides training for, implements, and helps accredit Pédagogie du Texte.

In the Western Balkans region, the opposite applies: in two of the visited countries (Romania and Serbia) there was very little or no collaboration, let alone overlap, between the national Roma inclusion programs and the three regional programs—Roma Education Fund (REF), UNDP, ERI— that SDC had supported over the evaluation period 2007 – 2014. In the other two visited countries (Kosovo and Albania) the collaboration with the regional programs was better.

One of the underutilized modalities of regional cooperation that the evaluation noticed is triangular cooperation, that is, the practice of hiring regional experts or contracting organizations as technical advisors for cooperation and development projects in the same region. Triangular cooperation would be very much in line with Switzerland’s commitment to East-East and South-South cooperation

3.1.6 Gender Equity: More than Counting, Disaggregating, and Documenting

The evaluation found that the education of girls and women is mentioned in each and every SDC-funded project; mostly by documenting the number of beneficiaries disaggregated by gender.

There are three issues, however, that deserve greater attention:

- **Gender parity at the level of providers and managers.** Today, gender sensitivity is almost exclusively applied to document the gender of end-users (students or learners) and to a smaller extent to the education providers (educators, trainers, or animators) and managers (directors and community leaders).
- **Gender stereotypes.** There is only punctual work done on tackling gender stereotypes. In Burkina Faso, for example, SDC funds two small but interesting projects that Terre des Hommes Suisse oversees for skills development of female teenagers or adolescent women in professions that in Burkina Faso are considered typically male (e.g., mechanic). The local partners of Terre des Hommes that implement these projects are Attousse Yenenga (Ouagadougou, 40,000 CHF per year) and Association Songtaaba (Kombissiri, 30,000 CHF per year).
- **Boys:** an at-risk-group for school dropout among the poor or most excluded. For a variety of reason that needs to be explored further, the so-called opportunity cost at secondary school level may possibly be higher for boys than for girls. That is, poor families prefer to have their sons contribute to the household income rather than having them enrolled at secondary school because they perceive the cost of attending a school that ultimately does not improve the sons’ livelihood and employability as too high as compared to the income that the sons could generate for the household from their (child) labor. The high drop-out rate for boys may be both observed in educational systems, such as in Mongolia, where boys are in general at a disadvantage as compared to girls, as well as in more common situations, where girls’ education lacks drastically behind the educational attainment of boys.

Part of the issue with reducing gender to a transversal theme is the tendency to focus on end-users and equate gender with girls or women. A more nuanced and more targeted approach is nowadays needed to systematically improve gender equity. In most countries and settings girls and women are at a disadvantage. But also the opposite exists and should be taken into account, especially in an organization such as SDC that is sensitive

to context. In Burkina Faso, for example, special measures for boys would be needed to tackle boys' drop out from lower secondary schools. In general, it is recommended to also design special projects benefitting girls/women (or in some cases, as mentioned above, benefitting boys/men) to target deep-rooted gender stereotypes and inequalities in addition to using gender as a transversal theme.

3.1.7 Good Governance: An Implemented but Not an Envisioned Principle

Curiously, the field-based evaluations in Burkina Faso and in the Western Balkan region found the interviewees were at a loss at explaining how governance as a transversal theme is or should be implemented. Different from gender as a transversal theme, there seems to be, within SDC as well as among its partners, little discussion and reflection on what implementing governance as a transversal theme would entail.

In practice, SDC forcefully and systematically supports local governance and community participation in all BE programs. However, the interviewees were not certain whether this counts as implementing (good) governance as a transversal theme. There is a need to specify what this particular transversal theme means in practice and how it can be measured.

3.1.8 Regional Strategies or Transversal Themes

In the evaluation of the Roma Education Programs in the Western Balkans region, the question came up as to whether SDC should develop regional thematic strategies (e.g., a Roma Inclusion Strategy) and/or develop regional transversal themes that would be applied to SDC-supported programs in a given region.²⁵ The recommendations were inconclusive but there was consensus that SDC needs a clearly defined vision on Roma inclusion. The vision would integrate the various Swiss agendas currently pursued in this area of intervention: migration-related, political, economic, and social aspects. Currently, Serbia and Albania have incorporated the Roma inclusion programs within the Swiss Cooperation Strategy, however this is more complicated in Romania and Kosovo. In Romania, the programs are funded from the Thematic Fund of the Framework Agreement and in Kosovo both programs are aligned with the Migration Partnership Strategy. A common Swiss vision for Roma Inclusion would not only help the SCOs harmonize approaches within all their Roma programs but also enable the ambassadors of Switzerland to engage in a more effective policy dialogue at national level. Furthermore, it will also help the Swiss Ambassador participating in the Roma Education Fund board to advocate for approaches that are aligned with other Swiss government programs in Roma inclusion.

²⁵ A frequently referenced example in the region is the policy of Norway to establish social inclusion as a transversal regional theme and to ensure that *all* social programs in the region allocate at least 10% of their funds for social inclusion.

Recommendation 11: The evaluation recommends the development of a unified and comprehensive education sector strategy of SDC, that is, a strategy that addresses all levels of education (pre-primary, primary, secondary, vocational, higher, adult), all forms of education (formal and nonformal), all types of partners (bilateral aid, multi-bilateral aid to key partners in education, multilateral aid), and in all contexts (developing countries, fragile states, migration countries, EU enlargement and other countries). It also proposes to spell out a more nuanced and targeted approach to gender sensitivity and good governance in education.

Recommendation 12: The strategy needs to capitalize on SDC's long-term support of, and engagement in, organizations, countries, and regions. This partnership feature clearly represents a comparative advantage of SDC. At country and regional level, this feature enables SDC, for example, continuous policy dialogue and allows SDC to assist governments in systematically scaling up and institutionalizing innovations. At multilateral level, it creates the opportunity to persistently make SDC's vision of development and cooperation heard and understood.

Proposed Area
for Improvement
2

3.2 Understanding Data Skepticism, Producing Better Data

The evaluation has attempted to understand the widespread data skepticism that is prevalent among the SDC program officers. It analyzed the impact that the data skepticism, ranging from manifestations of data shyness to outright data phobia, has on their work. The culture of data skepticism exists at all levels and manifests itself in a disbelief that the collected data is reliable and valid and that data analysis could possibly yield meaningful and useful findings. Some of the data skepticism is based on real facts and glitches that need to be fixed.

3.2.1 Major Flaws with Reliability and Validity of Data

The evaluation found major flaws in how data is recorded at SDC. The evaluation had to rely therefore on three different databases to assess SDC's portfolio in basic education:

1. SAP database of SDC (actual spending)
2. Credit proposals (projected and planned spending)
3. Financial accounts of the Swiss Cooperation or Contribution Offices

It has to rely on these three sources because the centrally administered but locally entered SAP dataset is neither user-friendly nor yields valid data in a number of areas, notably:

- Definition of “basic education”
- Definition of “multilateral-bilateral” actuals
- Definition “Non-profit organizations of South/East” (code 13072) under “Non-Governmental Organizations – International/Foreign”

The divergent interpretation of “Non-profit organizations of South/East” makes it impossible to accurately assess how much was disbursed by type of partner. The latter is possibly a matter of a divergent interpretation or misunderstanding between the field-based SCO staff who feeds the database and the central level experts, based in Berne, who evaluate the data. It is an interesting misunderstanding that is worth disclosing in full in the next section.

3.2.2 Non-Profit Organizations of the South/East: A Matter of Perspective and Location

The SAP manual (pages 20-21) lists twenty organizations under “Non-Governmental Organizations – International/Foreign” such as, for example, Aga Khan Foundation (code 13003), Handicap International (code 13061), Norwegian Refugee Council (code 13065), Oxfam (code 13066), Non-profit Organizations of South/East (code 13072). The last category is entitled “Non-profit organizations of South/East” (code 13072) and includes organizations in the Global South/Global East (in this case, in Burkina Faso) that receive SDC funding. Therefore the SAP database understandably classified Burkinabé NGOs such as, Tin Tua, APENF, etc. under code 13072, skewing the results in ways that suggest a disproportionate high allocation to international/foreign NGOs. Arguably, these local NGOs are only international/foreign for those SDC staff based at the headquarters in Bern. For those based in Burkina Faso, they clearly are “local partners” and coded as such. Table 9 provides an excerpt from the SAP manual that deals with the misleading variable “type of partner.”

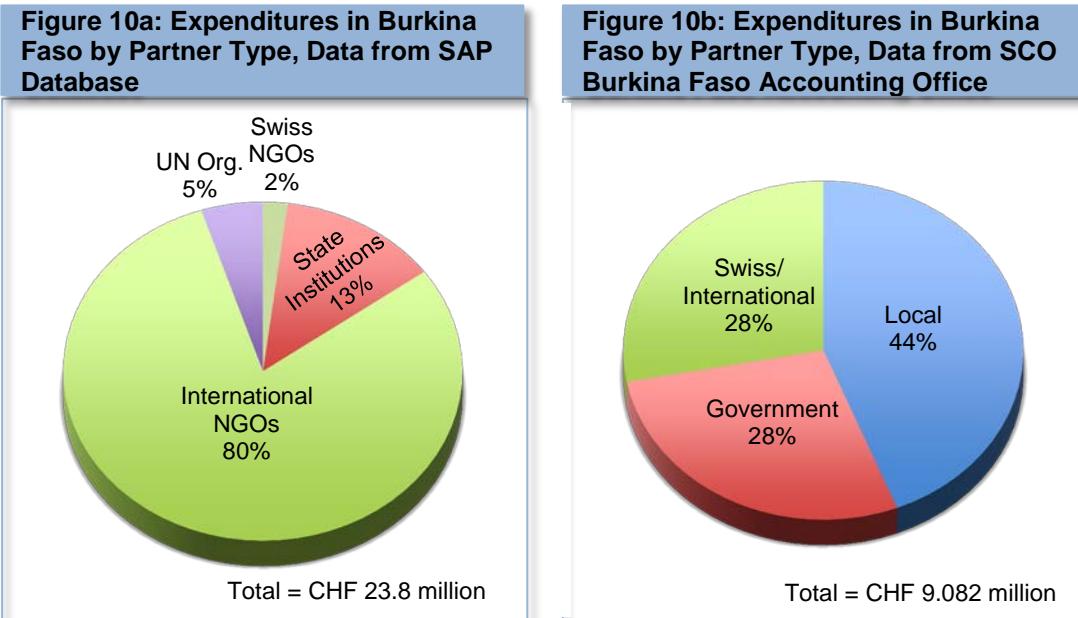
Table 9: Codes for Type of Partner, Excerpt from SAP Manual

Groups (no selection)	Code	Text	Explanations / comments
Non-Governmental Organization International / Foreign	13057	ACF	Action contre la Faim
	13058	ACTED	Agency for Technical Cooperation and Development
	13003	Agha Khan Foundation	AKF Agha Khan Foundation
	13059	CI Care International	Care International
	13201	Collab. Learning Projects Inc.	CDA Collaborative Learning Projects, Cambridge, Massachusetts (USA)
	13080	CONGO	Conference of NGO's in Consultative Relationship with the United Nations
	13061	HI Handicap International	Handicap International
	13062	ICVA	International Council of Voluntary Agencies
	13063	IFRCRCIS	International Federation of the Red Cross and Red Crescent Societies
	13200	Internat. Commission Jurists	International Commission of Jurists, Geneva
	13064	MSF (INT)	Médecins sans Frontières (International)
	13085	NRC	Norwegian Refugee Council
	13085	ODI Overseas Develop Institute	Overseas Development Institute
	13066	OXFAM GB	OXFAM GB
	13067	Première Urgence	PU-AMI, Asnières-sur-Seine (F) - Première Urgence - Aide Médicale Internationale
	13069	SCF	Save the Children Fund
	13070	WILTON PARK	Wilton Park
	13178	WWF International	World Wide Fund for Nature International
	13071	Other NGO Int/Foreign North	Other NGO International / Foreign North
	13072	Non-profit Org. of South/East	Non-profit Org. of South/East

Source: *Manual of SAP Characteristics Version 08.12.2014, pp. 20-21.*

The following two figures (Figure 10a and Figure 10b) juxtapose the divergent results for one and the same evaluation question: what type of partners did SCO Burkina Faso contract? The figure to the left is generated based on information from the SAP database and the Figure to the right is based on data provided by the SCO accounting office. The two data sets use not only different categories but also yield completely different results: the SAP database makes one believe that 80% of SDC funding is spent on international NGOs (CHF 19.0 million over the period 2007 – 2014) and another 5% on Swiss NGOs (CHF 0.4 million) whereas the accounting calculations of SCO Ouagadougou document that 28% of the budget (CHF 2.5 million) was spent on Swiss/international education. There is a huge difference of CHF 16.9 million between the two sources of information, because the SAP dataset reports actuals in the amount of CHF 19.4 million for Swiss and International NGOs, whereas the SCO in Ouagadougou only documents CHF 2.5 million.

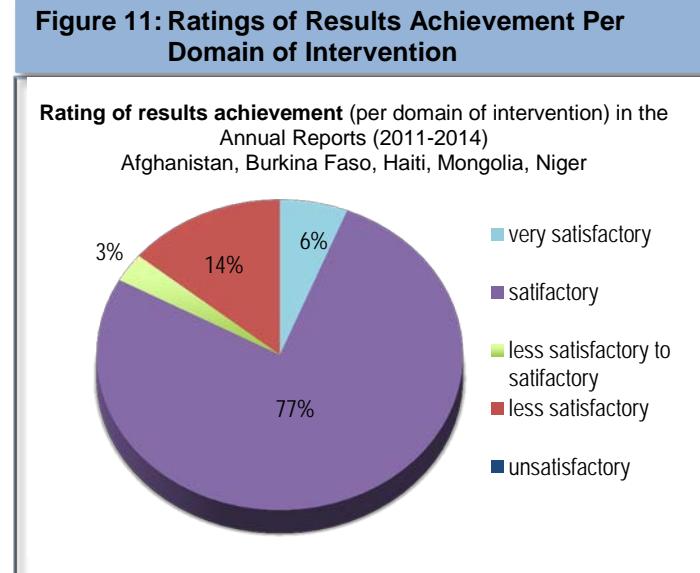
There are too many inconsistencies between the three financial data sources to enumerate here. It is problematic that none of the three data sources alone provide an



accurate picture of SDC spending for a particular sector (in this case education; or more narrowly basic education) in a particular country²⁶ Given the major inconsistencies, it is not surprising that SDC program officers exclusively use SAP for reporting purposes rather than for internal planning, monitoring and evaluation.

3.2.3 Uncritical Internal Reviews

The evaluation examined the internal ratings of results achievement, presented in the Annual Reports 2011 – 2013. The sample consisted of the five country-specific case studies of the evaluation: Afghanistan, Burkina Faso, Haiti, Mongolia, and Niger. Four out of five internal reviews report “satisfactory” (77%) or “very satisfactory” (6%) achievement of results (see Figure 11). The uncritical internal reviews reflect possibly a misunderstanding of what exactly is supposed to be rated: the efficiency of SCO’s work (funder), the effectiveness of SDC’s partners (implementer), or the outcomes for the sector/country? As mentioned before, there is a strongly held belief at SDC, which may be an erroneous assumption, that only implementers but not funders need to be evaluated.



Sources: Annual Reports 2011 – 2014 CSO Afghanistan, Burkina Faso, Haiti, Mongolia, Niger

²⁶ See example referred to in footnote 24 of subsection 3.1.1: To BE or Not to BE?

3.2.4 Lost in Track Changes

There appears to be a tacit division of labor within the organization of SDC: the program officers correct and the senior management provides substantive feedback. The evaluation applied a utilization-focused evaluation that rests on iterative reflection and continuous dialogue to ensure that the evaluators properly understood the context and provide accurate interpretations and feasible recommendations. However, the feedback was at first limited to Track Changes and only over time was there a receptiveness to discuss content and engage in a dialogue. The CLP opened up during its third meeting and provided valuable feedback on the findings of the evaluation.

3.2.5 Toward a Responsible and Sensible Use of Data

There is a scarcity of analytical work, undertaken within and for SDC, compared to the standards currently used in development work. Strikingly, several interviewed SDC program officers and partners view this as a strength, rather than a weakness, of SDC. For them context knowledge, trust, intuition and experience trump over a more pragmatic approach that typically relies on collecting and analyzing facts for informed planning and decisions. However, also the opposite applied and others commented on the apparent lack of accurate situation/context assessment, evidence-based planning and evaluation in SDC programs. One of the interviewed bilateral partners in Burkina Faso, for example, could not understand why Switzerland funds and advocate, for over twenty years, adult literacy programs (referred to as nonformal education) in the Western Africa region without demonstrating the effectiveness and impact of such programs:

Switzerland needs to demonstrate the results of the investment in NFE to the GPE, it needs to produce real figures, if necessary by impact evaluation or a randomized-controlled panel! It needs to work more with data. *Interviewed representative of a bilateral donor in Burkina Faso.*

Also within SDC, there are SCOs that actively promote data-based planning and decision-making. For example, the Swiss Cooperation Office Serbia and the Swiss Contribution Office Romania demand thorough baseline studies before a contract is issued. In Romania, the belief in the great value of accurate situation/context analysis is great to the extent that the program officers in charge at the headquarters and the Swiss Contribution Office in Romania extended the inception phase for the bidders (institutional partners) to six months to enable a thorough and accurate analysis and detailed planning.

True, there is nowadays a tendency for amassing commonsensical as well as nonsensical data in development work, leading to a narrow focus on outcomes that are measurable. There needs to be a middle ground; one in which data is systematically used in a responsible and sensible manner to help reflect on one's own work, provide feedback to partners, and assess the impact and effectiveness of one's funding.

Recommendation 13: There is a need to correct glitches in the SAP system and make it more user-friendly so that SDC staff use it for program planning, monitoring, and evaluation.

Recommendation 14: The underutilization of effectiveness studies and impact evaluations is noticeable. Such studies are worth considering in areas in which SDC replicates the same type of projects in different parts of the world (vocational skills development, after-school programs, adolescent literacy programs, etc.).

3.3 *Contra Tyranny of the Context and Pro Professional Expertise*

It is noticeable that program officers resort to contextual knowledge as guiding principle for their work. This is an astounding finding of the evaluation given that SDC is an organization that rotates and dislocates its program staff every four years. What is conspicuously absent is the belief in thematic expertise, notably expertise in the professional field known as international educational development, international or comparative education, or education and development studies. Even though the focal point and the network in education exist, and are competent and active, collaboration with them is entirely left up to the program officers in the headquarters and at the SCOs. The lack of professional expertise has a negative impact in at least two regards: low recognition and profile of SDC and low quality of education components in non-education programs.

3.3.1 Image and Recognition of SDC

The evaluation unambiguously found that SDC has an excellent reputation as a reliable, long-term and attentive partner that is sensitive towards local needs and gender. But it is not known for its innovation in education or for analytical work in select areas of its expertise (e.g., compensatory education, adolescent/adult literacy, bilingual education). There is a need for contracting educational experts that analyze and write up project experiences and share them more widely.

3.3.2 Quality of Education Programs in the Non-Education Sectors

Education is an *object* of SDC support in terms of improving access and quality of education in a country or region, supervised in the West Africa Division (if related to basic education) or the Latin America and Caribbean Division (if related to vocational education), respectively, and an *intervention modality* applied in non-education sectors. There is a quality assurance vacuum for the latter type of education programs, integrated in non-education sector initiatives.

As noted in the discussion of the five SDC funding channels in section 2.3, it is important to keep in mind that there is a far greater number of educational programs at SDC than meets the eye. Over the period 2007 – 2014, SDC spent CHF 302.5 million in bilateral aid for programs that listed basic education as first, second, or third priority. The share of programs in non-education sector initiatives at SDC that *uses* education (identify basic education as a second and/or third priority) doubled over the past five years. In 2014, approximately CHF 6 million was disbursed for programs in non-education sectors of SDC that identified education as a second and/or third priority (see Figure 3 in Inception Report). This figure is much higher if all SDC programs are taken into account that include an educational, public awareness, or training component regardless of whether these components are integrated in an agricultural, food security, water, health or governance program.

The evaluation examined such a (water) program that is listed in the SAP database as having education as a second and/or third priority. Already in its eleventh phase (CHF 9 million for the period 1988 – 2012; 7F-03635), SDC continues to contribute, approximately CHF 1 million year per year, to the Sanitation Leadership Trust Fund of the Water Supply and Sanitation Collaborative Council (WSSCC) without any input from the SDC education network or focal point. It must be assumed that the number of programs in non-education sector at SDC that have an education component but do *not* identify that component in the SAP database is vast, raising concern about the quality of education used in such program components. There is a need to create options for program officers in non-education sectors at SDC to seek and receive technical advice from experts in the education network.

3.3.3 Outreach to the Non-Education Sector

This report repeatedly recommended that non-education sector program officers should collaborate more closely with education specialists in SDC. It is important to bear in mind that the opposite applies too: the evaluation recommends that education programs initiate collaboration with other sectors to enhance the relevance of education for improving the livelihood of individuals and households. An inter-sectoral approach seems to yield better results in some area, such as, for example, in programs that target second chance education, drop out prevention, or adult literacy.

3.3.4 Learning from and Contributing to Professional Debates

The evaluation noted how little SDC staff participates in debates and discussions of “best practices” in the larger community of experts in education and development.

Two examples may help illustrate the point: First, the evaluation was surprised to find the scarce use of an inter-sectoral approach frequently used in developing countries for reaching the most excluded: inter-sectoral programs that link literacy to poverty alleviation, health care, and income generation have proven to be effective in terms of improving the livelihood of beneficiaries in a sustained manner. As mentioned before, the only cases of inter-sectoral collaboration were in the humanitarian aid programs and in the Roma inclusion programs of Europe. Second, a recurring theme during the regional seminar on Roma inclusion was whether targeting Roma and vulnerable groups as beneficiaries of SDC interventions would have a detrimental impact on inter-ethnic relations and further the hostility against the minorities. As an alternative, it was discussed to lift the quality of education and social services for *all* living in districts with a high proportion of ethnic minorities. Apparently, this is a recurring theme within SDC discussions on Roma inclusion. It is also a recurring theme among multicultural education experts in Switzerland.²⁷ This is another example of how lifting educational expertise within SDC and inclusion of thematic expertise, in this case multicultural education and/or human rights education would help to disentangle the pros and cons of the various intervention modalities, and help mitigate the negative effects of the chosen intervention.

Recommendation 15: SDC could considerably enhance its impact and reputation in the international development and cooperation community by (1) supporting the professionalization international educational development studies at Swiss universities and institutions and (2) defining technical expertise as one of the key qualifications for new recruitments.

Recommendation 16: There is need to institutionalize the collaboration between program officers and the focal point in education when the program design includes education as a public awareness and training tool. For example, the review could be mandated periodically or at critical stages of a program (possibly at the preparatory stage of an entry proposal).

Proposed Area for Improvement

4

3.4 Support Innovation and Scaling-Up

SDC is not alone with experiencing one of the greatest challenges of development and cooperation: innovations and pilot projects, funded by bilateral or multilateral donors, are rarely scaled-up or institutionalized, and are often discontinued a few months or years after project funding dried up. The evaluation attempted to understand possible causes for this fundamental shortcoming of aid by

²⁷ See, for example, the QUIMS project in the Canton of Zurich (Qualität in multikulturellen Schulen).

scrutinizing the most common funding modalities and implementation modalities pursued in SDC's BE programs.

3.4.1 SDC's Preferred Funding Modalities

Broadly defined, the evaluation encountered three funding modalities, depicted in Figure 12: contractual arrangement with implementers (type A), contribution to recipient government's strategic plan(s) (type B), core contribution to trusted and effective partners (type C).

Figure 12: The Three Most Common Funding Modalities in BE

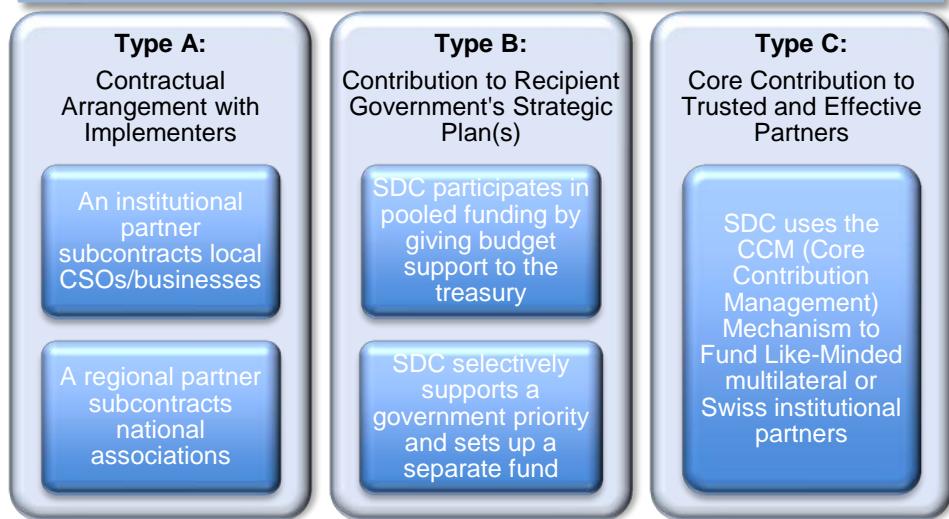


Table 10: Tentative Rating of Three Funding Modalities

	Type A		Type B		Type C
	Institutional Partner as Contractor	Regional Partner as Contractor	Pooled Funding into Treasury	Ear-marked Funding for Government Priority	CCM
Match with SDC visions	✓	✓		✓	✓
Ownership by recipient government			✓	✓	
Cost-effectiveness			✓	✓	✓
Sustainable Change			✓	✓	
Innovation	✓	✓			

Besides presenting the three most common funding modalities, Figure 12 also lists prototypical examples for each of the three modalities. Naturally, there are advantages as well as disadvantages to each of the three modalities and it ultimately matters what SDC values most in its support of basic education. Table 10 presents a matrix with a few criteria typically taken into considering in SDC programming and reflecting a combination of OECD DAC evaluation criteria as well as aid effectiveness criteria.

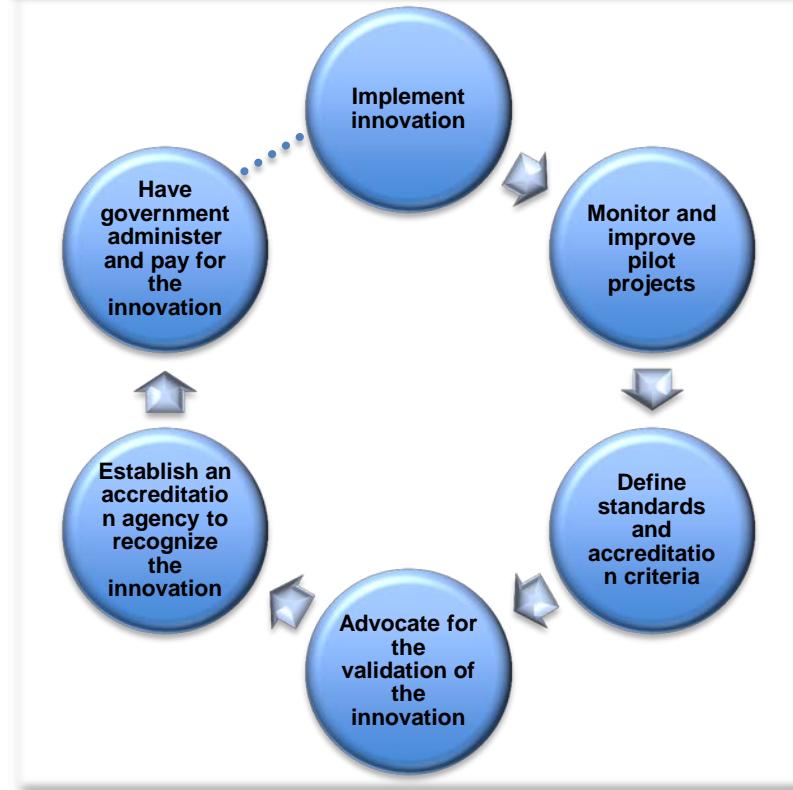
It is essential to keep the following disclaimer in mind when reading the matrix: The checks mark in a tentative manner the observed strengths of each modality, in terms of the five selected criteria. They represent tentative ratings that are merely meant for further brainstorming. The ratings are not derived from quantitative or statistical analyses.

The evaluation found an ambiguous conception of the role of the national (recipient) government. In all the contexts examined in the evaluation, the collaboration with civil society organizations and with local government were prioritized over the collaboration with the national government. In most cases, such as in Serbia, the collaboration starts out with strengthening local government and then, in a next phase, the project pursues a vertical move to also involve the district and then finally the national government. The bottom-up approach is clearly the preferred mode of collaboration in all the examined cases. This intervention modality corresponds to the overall *Parliamentary Message on International Cooperation 2013-16* of strengthening decentralization and local government.

3.4.2 SDC's Tacit Logic of Systemic Change

There is a particular logic to how SDC (implicitly) conceives systemic and sustainable change in the education sector. In all the examined cases, SDC first supports innovation or pilot projects by first (1) contracting civil society organizations who implement the innovation in select locations, then (2) supporting experts who monitor the pilot projects and continuously improve them, (3) defining standards for the innovation which the government should validate or accredit, (4) hiring interest groups who advocate for the validation of the innovation, (5) helping establish an accreditation agency that is recognized by government, and (6) having the government administer and pay for the institutionalized innovation, either from own funds or from pooled funding provided by SDC and other donors. Figure 13 demonstrates the ideal-typical innovation cycle that SDC tacitly pursues. The evaluation found this tacit logic, with minor deviations in all examined cases, ranging from masonry programs in Haiti, professional development

Figure 13: SDC's Tacit Logic of Systemic Change



courses for teachers in Serbia, to literacy programs for adults in Burkina Faso and Niger. It is a convincing model for which SDC in principle would be ideally suited given its long-term involvement in countries and regions it supports. The entry proposals or the multi-year CCM datasheets of SDC typically project, more implicitly than explicitly, such a tacit

logic of systemic change, pursued over a period of 5-10 years. In reality, however, all phases except the crucial sixth phase are implemented. There are many reasons for the difficulty to scale up and institutionalize programs. They include, among others, the following:

- The high cost and the high quality standards of innovations, funded by SDC, hinder a cost-effective and efficient dissemination
- SDC's implementation partners are in effect "businesses" that compete with each other over external funding; their organization remains in business by being different from each other, by claiming ownership over the innovation, and by not sharing best practices with other competitors
- The (recipient) state is too weak to exert the role of regulator, accreditor, or administrator of innovation due to frequent change in leadership or lack of capacity
- SDC does not sufficiently engage in policy dialogue and does not systematically design multi-level intervention at each stage of the project
- There is no consensus within SDC as to what sustainable impact, policy dialogue, and multi-level intervention would entail at project or program level.

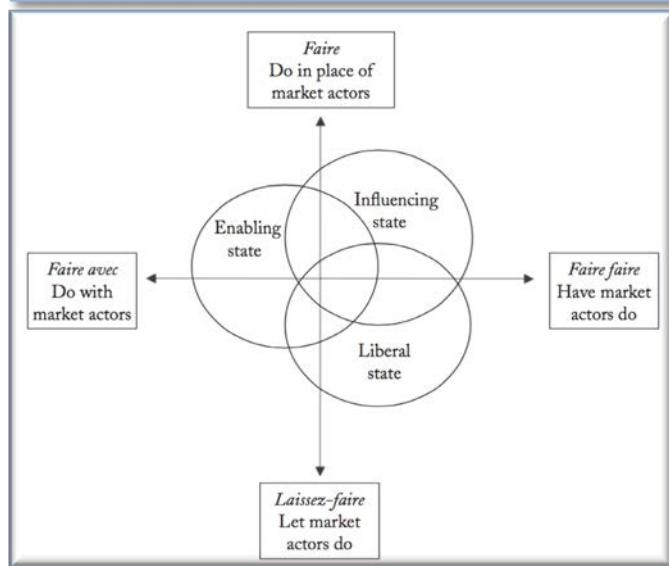
3.4.3 The Collaboration Triangle: Donor – Government - Implementer

The preferred mode of collaboration with the government is nowhere better explained than in the Faire-Faire model, used for the adult/adolescent literacy programs in Burkina Faso. Faire-Faire was an attempt to diversify and augment the supply of so-called nonformal education providers in an environment that had a huge demand for literacy programs. The division of labor between government, the private sector/donors, and local implementers was introduced to diversify the supply of adult alphabetization programs and to scale up the programs at a faster pace. According to Faire-Faire there is a division of labor between three partners:²⁸

- Government: regulator (including accreditor)
- Civil society organizations: implementers
- Donors and private sector: financiers.

The political economy literature uses the term to denote the collaboration between the state and the market. In the Anglophone literature of international and comparative education, the collaboration is discussed in terms of public-private partnership in education.²⁹ Figure 14 shows that in a Faire-Faire model, the state is mostly assumed to be liberal (enabling donors to fund and civil society organizations to

Figure 14: The Role of the State in the Faire-Faire Collaboration Model



Source: Vivien A. Schmidt (2009, page 526).³²

²⁸ Napon, A., Maiga, A (2012). *Évaluation de la Stratégie du Faire-Faire en Alphabétisation et en Éducation Non-Formelle au Burkina Faso..* Ouagadougou: Ministère de l'Éducation Nationale et de l'Alphabétisation.

²⁹ See, for example, Susan L. Robertson, Karen Mundy, Antoni Verger, Francine Menashi, eds. (2013). *Public Private Partnerships in Education. New Actors and Modes of Governance in a Globalizing World.* Cheltenham: Edward Elgar Publisher.

implement) and is supposed to have a strong role as an “influencing state” (in our case: serve as a regulator and accreditor).

In practice, however, the triangular relation is uneven because, in the absence of a functioning private sector, the donors represent a crucial source of non-governmental funding. Thus, the financial dependency on external funding is endemic and perpetuated in the faire-faire model, making it problematic for work in development and cooperation.

As recognized in SDC program documents and reiterated in the case study reports (see annex), multi-level approach and intense policy dialogue are indispensable in order to scale-up, help institutionalize innovations, and attain sustainable change. In this vein, it is noticeable that SDC does not hire education policy specialists as technical advisors for their BE programs. In comparison, most external specialists as well as project back-stoppers in BE tend to be topic specialists, trainers, M&E specialists, or project management professionals.

Recommendation 17: Entry proposals and multi-year credit requests for supporting innovations and pilot projects should spell out how and when a hand-over to government—as regulator, accreditor, administrator, and eventually as funder - is planned. The evaluation strongly recommends that such proposals and requests include a scale-up, institutionalization and hand-over plan.

Recommendation 18: There is a need to share knowledge and best practices within SDC as to what micro level (individuals), meso level (institutions) and macro level (state) intervention entail and how policy dialogue can be best achieved.

Proposed Area
for Improvement

5

3.5 From Saving Donor Orphans to Making Education More Inclusive of the Most Excluded

The last proposed area of improvement addresses another fundamental challenge that SDC currently faces: the fact that its vision departs in more than one way from the current education targets, established in the Millennium Development Goals. By implication, SDC risks becoming the largest bilateral donor for programs in which it believes. This dilemma, combined with SDC's commitment to establishing a trusted and long-term partnership with the (recipient) governments may slow down the resource mobilization by government and encourage other donors to pull out, turning the reliance on SDC funding into a vicious cycle of aid dependency. Two examples illustrate how SDC inadvertently ends up becoming the “foster donor” in nonformal education, an area that other bilateral and multilateral donors tend to consider as non-priority areas for development and cooperation: SDC's bilateral aid to the Fonds National pour l'Éducation Non-Formelle (FONAENF) in Burkina Faso and SDC's multilateral aid to the UNESCO Institute of Lifelong Learning (UIL) in Hamburg.

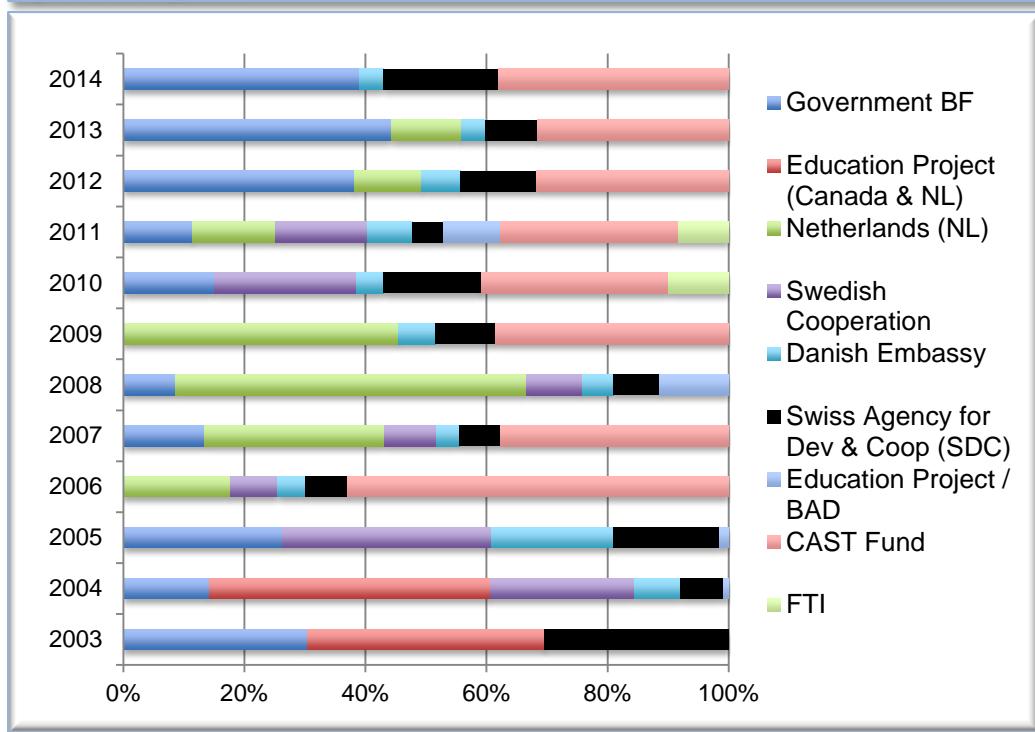
3.5.1 SDC as Savior of Donor Orphans

As shown in Figure 15, Switzerland used to be one of three donors supporting national fund for nonformal education FONAENF in 2003. The figure also clearly demonstrates government contributions to FONAENF increased visibly over the evaluation period 2007-2014. It constituted merely 18% of the total fund in 2007 and increased to 39% in 2014. However, the government's contribution is far less than what it had planned to commit in 2012 and SDC agreed in 2014 to help close the deficit.

³⁰ Vivien A. Schmidt (2009). Putting the Political Back into Political Economy by Bringing the State Back in Yet Again. *World Politics*, 61/3, 516-546.

Without any doubt, nonformal education in Burkina Faso would collapse without financial support from donors. The donors finance 61% of the FONAENF budget; of which 38% consists of the pooled donor fund (CAST), 19.2% direct contribution of Switzerland, and 3.8% funding from the Danish Embassy. The dependency on Swiss funding became obvious in 2014 when FONAENF had to rely on Switzerland to narrow its deficit. By 2014, three out of the four large bilateral donors of nonformal education ceased to support FONAENF directly: Sweden stopped its bilateral funding in 2012, the Netherlands in 2014, and Denmark cut its contribution by half in 2014, leaving Switzerland as the sole donor who contributes significantly both by means of multilateral funding (through the CAST system) as well as in terms of bilateral funding. The reliance on Swiss funding is not sustainable in the long run and more systematic approaches must be explored to enhance resource mobilization on one hand and carry out literacy programs more cost-effectively. It is for this reason that interviewee after interviewee urged SDC, the last major bilateral donor left in the nonformal education sector, to step up the policy dialogue and convince the Government of Burkina Faso to honor its financial commitment towards nonformal education so that the National Program for Accelerating Alphabetization (PRONAA) may be implemented more rigorously.

Figure 15: Contributors to the Fonds National pour l'Education Non-Formelle (FONAENF), 2003-14



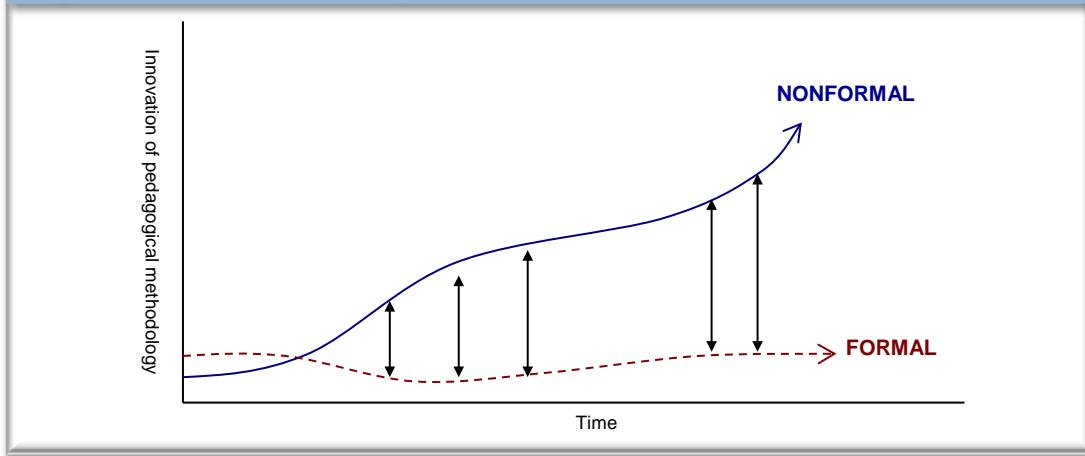
Source: Burkina Faso, FONAENF (2014).

A similar dependency on SDC exists for another institution that is committed to nonformal education: UIL. As with FONAENF, there were external circumstances that aggravated UIL's financial situation. Following the withdrawal of US funding from UNESCO affiliated institutions in October 2011, several of the institutions experienced a major financial crisis: UIL was hit hardest and would not have survived had SDC not come to its rescue. In fact, it had accrued substantial deficits that SDC helped to recover. In 2012 and 2013, SDC was the largest supporter of UIL. At UIL, the new director managed to reposition UIL in 2012 and also shaped the medium-term strategy 2014-17. The strategy seems to resonate with several donors and it seems that UIL has survived the financial crisis with the help of the new director who is well networked and experienced. Nevertheless, it faces difficulties with securing funding from additional donors.

3.5.2 Closing the Innovation Gap between the Nonformal and the Formal System

SDC supports many programs around the world which it considers to be “nonformal,” either because they are donor funded, organized after school, do not follow the state regulations in terms of curriculum, teacher qualification, and textbooks, or because they are held in community centers. Precisely because such programs are heavily infused with international expertise and capacity-building of local professionals, and because they receive external funding, the quality of the programs is better, the infrastructure more modern, and the teaching and learning material more attractive. In addition, SDC’s basic education programs reflect the broader vision of education including the three comparative advantages, mentioned earlier in this report: bilingual education, community participation, and education for sustainable development. Drawing on the example of Burkina Faso, Figure 16 illustrates the innovation gap that currently exists between formal and nonformal education. The latter is mostly donor-funded and is more innovative and better in terms of teaching methods, teaching material, curriculum, and teacher qualification.

Figure 16: The Innovation Gap between Nonformal and Formal Education



Up until today, SDC’s tacit logic of systemic change was, as explained earlier, to fund innovations in a *parallel system of nonformal education* with the expectation that the government, with the support of other donors, will eventually scale-up these programs that are typically geared towards dropouts, illiterate adults, marginalized and vulnerable groups, and in general towards the most excluded. Given the global development and cooperation agenda, such an expectation from the recipient government is unrealistic. SDC and a few other like-minded donors and multilateral organizations will most likely continue to constitute a minority that supports such programs. The evaluation recommends a dual strategic approach: phase out the support for parallel education programs and structures over the next ten years and start infuse and help scale-up innovative practices into the formal education systems. The goal should be to transfer innovations from the parallel education system to the regular one and to make in the long run (in ten years or so) the parallel system superfluous because the regular system caters to the most excluded. SDC is strongly advised to discontinue its investments in those parallel education programs that are donor-sustained, for which the recipient governments merely give lip service, or do not honor their affirmed cost share. Naturally, such a strategic re-orientation of SDC’s BE programming clearly deserves thorough deliberation, diligent preparation, and long-term planning. As a reliable partner, SDC should gradually, and in close cooperation with its partners, implement such a strategic re-orientation. Three practical steps may be useful for consideration:

1. Stop referring to the SDC BE programs as “nonformal” education and thereby consider it a government responsibility to also cater to the most excluded. Alternative descriptors need to be sought. For example, SDC’s programs in education may be characterized as programs that support *education in and out the classroom and across the lifespan*.
2. Mobilize other like-minded donors and multi-laterals to fund such programs at *all* stages of the project cycle: from pilot-testing an innovation to scaling-up and institutionalization;
3. Assist the governments in making their (formal) schools more inclusive of the most excluded and thereby integrate complementary and supplementary education programs for the most excluded into the regular system. Such an approach would entail investing in closing the innovation gap that currently exists between donor-sponsored programs (literacy programs for adolescents and adults, afterschool programs, etc.) and government-run schools.

Recommendation 19: SDC’s outstanding reputation as a reliable and long-term partner may also have its risks: it enables other bilateral donors to withdraw, governments to shift their priorities for resource mobilization, and generate a vicious cycle of dependency on SDC funding. Inadvertently, SDC may end up becoming the sole or largest supporter of controversial intervention approaches and the “foster donor” of organizations and local businesses that were left orphaned.

Recommendation 20: The education strategy will have to clarify the relation between compensatory, supplementary, and regular education and identify SDC’s support to all three forms of basic education. It is important to keep in mind that closing the innovation gap between the donor-funded and state-run educational provisions will benefit the most excluded because it will make education more relevant, ensure community participation, and respond to bilingual and other needs of the community.

Annex 1: Composition of the Evaluation Team

Team Leader:	Gita Steiner-Khamsi Lic.phil., Dr. phil. University of Zurich (1983) Professor of Comparative and International Education and Co-Director ICREST Teachers College, Columbia University, New York
Co-Evaluator:	Arushi Terway Ed. M. Harvard University, Ed.D, Teachers College, Columbia University (2015) Consultant, International Educational Development
Evaluation Specialist	Fenot Aklog Ed. M. Harvard University, Ed.D, Teachers College, Columbia University (2005) Director of Research and Development NCREST and Co-Director ICREST, Adjunct Associate Professor in International and Comparative Education Teachers College, Columbia University, New York

Additional Team Members

Grazyna Hulacka	Director of Grants and Finance, NCREST Teachers College, Columbia University
Oren Pizmony-Levy	Assistant Professor in International and Comparative Education Teachers College, Columbia University
Estefania Sousa	Education Consultant, Luanda
Whitney Warner	Education Consultant, New York
Alamissa Sawadogo	Education Consultant, Ouagadougou
Vlera Kastrati	Education Consultant, Pristina

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Orders:

E-mail: deza@eda.admin.ch

Specialist contact:

Swiss Agency for Development and Cooperation SDC
Evaluation and Corporate Controlling Division
Freiburgstrasse 130, 3003 Bern
sektion.evaluation-controlling@eda.admin.ch

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Independent Evaluation of SDC's Performance in Basic Education 2007 – 2014

Annexes



Photo: Thomas Knobel, SDC

Authors:

Gita Steiner-Khamsi with Fenot Aklog, Samar Farah, Oren Pizmony-Levy,
Estefania Sousa, Arushi Terway and Whitney Warner,
Columbia University in the City of New York

Commissioned by: SDC, Evaluation and Corporate Controlling Division

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- Section 2b Rapport d'Évaluation Étude de Cas Burkina Faso (en français)
- Section 3 Case Study Report Western Balkans
- Section 4 Desk Study Plus Report on SDC's Contribution to International Partners in BE
- Section 5 Desk Study Report Afghanistan
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- Section 7 Desk Study Report Mongolia
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- Section 10 Desk Study Report on SDC's Contribution to WSSCC
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Section 1

Inception Report

Commissioned by:

Swiss Agency for Development and Cooperation (SDC)

Authors:

Gita Steiner-Khamsi and Fenot Aklog

with Estefania Sousa, Arushi Terway and Whitney Warner

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List of Abbreviations and Acronyms

ADEA	Association for the Development of Education in Africa
AfDB-Fund	African Development Bank Fund
AsDB-Fund	Asian Development Bank Fund
BE	Basic Education
CIS	Commonwealth of Independent States
CLP	Core Learning Partnership
CONFEMEN	Conférence des Ministres de l'Education des Etats et Gouvernements de la Francophonie
DAC	OECD Development Assistance Committee
GPE	Global Partnership for Education
IDA	International Development Association
IDB-FSO	Inter-American Development Bank Fund for Special Operations
ICREST	International Center for Restructuring Education, Schools, and Teaching
IFAD	International Fund for Agricultural Development
IIPE	International Institute for Educational Planning
MENA	Middle East and North Africa
NGO	Non-Governmental Organization
NORRAG	Network for International Policies and Cooperation in Education and Training
ROCare	Réseau Ouest et Centre Africain de Recherche en Education
SADC	Southern African Development Community
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
SDGs	Sustainable Development Goals
UIL	United Nations Educational, Scientific and Cultural Organization (UNESCO) Institute for Lifelong Learning
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
VSD	Vocational Skills Development

1 Background

Basic Education (BE) is one of the nine priority areas of the Parliamentary Message on International Cooperation 2013-2016 and complements vocational skills development (VSD). BE and VSD help to ensure access to resources and services for all. BE and vocational skills development (VSD) are interrelated and belong to the same education system, although each area has its own logic and goals. During 2013-2016, the interventions of the Swiss Agency for Development and Cooperation (SDC) in the fields of education are articulated best along the following three main axes (Lignes Directrices 2013 – 2016 de la Division Afrique de l’Ouest, p.20):

- « *Promotion d'une vision holistique de l'éducation basée sur le droit à l'éducation dans le cadre du dialogue politique sur l'agenda post 2015.*
- *Satisfaction des besoins éducatifs fondamentaux des enfants, des jeunes et des adultes.*
- *Continuum éducatif: éducation de base et formation professionnelle.*
- *Renforcement de la qualité et de la pertinence de l'éducation par une meilleure adéquation de l'offre à la demande éducative.*
- *Langue(s) d'enseignement, réformes des curricula, adaptation du matériel pédagogique et didactique, formation des enseignants (primaires) et des formateurs (éducation non formelle).*
- *Accès facilité à une éducation/formation de base des populations exclues (enfants, jeunes non scolarisés et déscolarisés, adultes analphabètes filles et femmes, populations rurales, etc.)*
- *Diversité de l'offre éducative et de formation.*
- *Meilleure appréhension des acquis de l'apprentissage formel et non formel. »*

The evaluation of SDC's performance in basic education will be carried out during the first half of 2015. The timing matters as the evaluation occurs during the second half of Switzerland's international cooperation strategy 2013-2016 and the beginning of the global post-2015 development strategy. Thus, it is an opportune moment to reflect on past achievements as well as shortcomings and draw conclusions for the government's forthcoming cooperation strategy (2017-2020) and for further planning in a post-2015 development environment.

Incidentally, SDC's focus on the ecological, economic, social, and political aspects of sustainable development, its holistic approach to basic education that includes life-skills and vocational development skills, and its commitment to gender-equality and good governance as transversal themes will be mainstreamed in the global post-2015 development agenda.¹ Several of the 17 Sustainable Development Goals (SDGs) and numerous post-2015 education targets represent global goals that SDC has already been actively pursuing for the past few years. Therefore, the independent evaluation will help to examine, document, and discuss the Swiss technical approach to sustainable development as reflected in SDC's bilateral and multilateral aid to basic education.

¹ Bundesrat. (2012). *Botschaft über die internationale Zusammenarbeit 2013-2016*. Beschluss vom 15. Februar 2012. Bern: Bundeskanzlei.

2 Mandate of the Independent Evaluation

SDC selected the team of International Center for Restructuring Education, Schools, and Teaching (ICREST) to carry out the evaluation. ICREST is affiliated with Columbia University's graduate school of education (Teachers College) and is based in New York. The team leader is Gita Steiner-Khamsi, Professor of Comparative and International Education at Columbia University and dual citizen of Switzerland and the United States. The team members were selected based on the need for a triple expertise in basic education, aid effectiveness, and/or the geographic regions of the selected case and desk studies.

2.1 Purpose

As outlined in the Approach Paper, the overall purpose of this evaluation is to render accountability, generate knowledge, learning and improve SDC's performance in BE.

In particular, the purpose of the independent evaluation is to provide SDC with a (i) valid, (ii) accurate, (iii) useful, and (iv) differentiated assessment of the performance of its BE projects globally:

- i. The assessment is expected to be valid because it will be based on a representative sample of field-based case studies and desk reviews that reflect the global portfolio of SDC projects in BE.
- ii. The evaluation will draw on multiple sources of information, collected from SDC as well as its partners. This will increase the reliability of data and therefore provide, as much as possible, an accurate account of what has been accomplished over the period 2007 – 2013.
- iii. In line with the methodological approach of Michael Q. Patton², the evaluation is utilization-focused: the Evaluation and Corporate Controlling (E+C) Division and the Core Learning Partnership (CLP) will ensure that the evaluation team focuses on key evaluation questions that are useful for SDC's strategic decisions and further operational planning in BE. They will also assist the evaluation team by ensuring that the findings are interpreted in context, the conclusions are useful, and the recommendations are concrete and feasible. The purpose is to document and learn from lessons on how BE projects were designed, funded, and implemented over the period 2007 – 2013 for future strategies and operations.
- iv. Finally, the evaluation will refrain from making broad judgments or generate problematic dichotomies (good/bad, effective/non effective, etc.) but rather provide, as much as possible, differentiated recommendations that identify the various types of support, implementation modalities, and cooperation strategies that worked best under certain conditions and in specific contexts.

While SDC subscribes to each point of the global development agenda including, more recently, its commitment to inclusive education, assistance in fragile states, and a sustainable approach to development that is cognizant of national and local ownership, alignment with ongoing reforms, and donor coordination, it considers itself to be especially sensitive to local needs (German: *Feldnähe*). These and other values of SDC, in particular gender and good governance as transversal themes, will permeate all aspects of the evaluation, starting from the selection of key questions and informants to how the findings are interpreted.

² See, in particular, Michael Q. Patton (2011). *Developmental Evaluation. Applying Complexity Concepts to Enhance Innovation and Use*. New York: Guilford. In addition, see Michael Q. Patton (1997). *Utilization-Focused Evaluation*. Thousand Oaks: Sage, 3rd edition.

2.2 Objectives

The evaluation will pursue the following four objectives:

1. **Alignment with strategic objectives of SDC in education.** The evaluation shall assess SDC's performance in regard to the guidelines for BE and VSD (SDC 2010), with a particular focus on the link and the articulation between BE and VSD. Furthermore, the evaluation shall identify areas in which SDC could – based on the capacity, know-how and networks that it had developed over the past few years – actively contribute to the post-2015 Sustainable Development Goals (especially to goal 4, see Annex 6) and the post-2015 Education for All agenda.
2. **Relevance and effectiveness of the BE projects.** On the basis of selected case studies, the evaluation shall:
 - assess the BE interventions in terms of their *relevance and quality* in regard to education needs, their feasibility, the effectiveness in the *local context* (e.g. fragility) and regarding *inclusion* (e.g. marginalized groups)
 - assess – on the basis of underlying logic models – the results achievement of the BE interventions and to highlight areas of success or in need of improvement (including cost-benefit estimations)
 - examine the contribution of Basic Education programs to national development outcomes
 - get a methodical understanding of (i.) what works best in what contexts, (ii.) methods to capture the results of Basic Education programming, and (iii.) the understanding of SDC's comparative advantage in BE programming
 - estimate whether the benefits of the interventions will be sustained after intervention funding will have come to an end (sustainability after exit).
 - assess the interventions in terms of global standards of aid effectiveness using OECD-DAC aid effectiveness criteria (ownership, alignment, harmonization, results, and mutual accountability).
3. **Appropriateness and efficiency of SDC's implementation modalities.** To assess the appropriateness and efficiency of SDC's BE interventions in terms of their implementation modalities (SDC as coordinator/implementer, collaborator with other donors, or grant-giver).
4. **Correspondence with international development agendas, standards and “best practices”.** To assess SDC's BE interventions in relation to best practices, international standards and/or practice of professional communities (e.g. GPE, NORRAG World Bank, etc.).

2.3 Focus

The focus is on BE projects broadly defined, that is:

- Formal and non-formal education
- Education policy

- Links between BE and parent fields (e.g., health, water, reconstruction and rural advisory services) where BE is, according to the SAP database, not identified as the primary component but rather as the second or third component
- Basic education for all age groups including second-chance education as well as those basic education programs that transition into vocational and skills development

SDC's BE interventions are understood as comprising all SDC contributions that are either implemented by SDC, coordinated by SDC, undertaken in collaboration with other donors, or planned and implemented by partners (bilateral/institutional, regional, multilateral). It is important to point out that the evaluation will not evaluate the partners but rather SDC's intervention, cooperation, and communication strategy and practices with its partners.

BE projects of all four domains of SDC will be included, that is, Regional Cooperation, Humanitarian Aid, Cooperation with Eastern Europe/CIS, and Global Cooperation.

3 Indicative Key Questions

The key questions were discussed at the first meeting of CLP on January 15, 2015, and incorporated in the Approach Paper. They are grouped according to the four objectives, listed above, and include the following key questions.

3.1 Alignment with Strategic Objectives of SDC in Education

- To what extent, under which conditions, and which contexts does SDC's performance conform to the Guidelines for Basic Education and Vocational Skills Development (SDC 2010)? What adaptations might be necessary in the light of the post-2015 development agenda?

3.2 Relevance and Effectiveness of the BE Projects

- To what extent are SDC strategic orientations, approaches and instruments in BE relevant of high quality with regard to context specificities (e.g. fragile contexts), local needs, demands of beneficiaries (e.g. children, youth and adults) and the issue of inclusion (e.g. Roma, girls and marginalized groups)?
- To what extent are interventions effective in achieving SDC's overarching and specific objectives in regard to BE (Guidelines for Basic Education and Vocational Skills Development (SDC 2010: pages 10 – 12)? Which internal and external primary factors enhance or constrain progress towards intended outcomes of BE projects and programs (including cost-benefit estimations)?
- To what extent does the support of Swiss Cooperation Offices (SCO's) follow a systemic approach regarding (i.) pathways from non-formal to formal education, (ii.) links between BE and VSD, (iii.) links between BE and VSD and parent fields, (iv.) reducing gender disparities in education, and (v) reinforcing the need for good governance? To what extent are these linkages effective with regard to goals and overarching objectives in education (SDC 2010: 10)?
- To what degree have objectives (focus on outcomes) of selected BE programs been achieved? To what extent are they anticipated to be achieved?
- Which contributions of selected SDC BE programs are visible at outcome levels to the achievement of the education sector plans of the partner country?
- To what extent did SDC's interventions contribute to the transformation and sustainable improvement of national education systems in its partner countries?

3.3 Appropriateness and Efficiency of SDC's Implementation Modalities

- To what extent are SDC modalities and levels of interventions in BE coherent and appropriate to enhance results achievements (mix of global, multilateral and bilateral; international, regional and country-level initiatives; links between policy dialogue and development programs; humanitarian aid and development cooperation; budget support, basket funds, local NGOs, own programs; pooled funding, sector-wide approaches)?
- To what extent is SDC's policy dialogue effective in achieving EFA goals at national, regional and global level? Which contributions and impacts are visible of main international and regional partners (ADEA, ICAE, NORRAG, Global Partnership for Education, UNESCO Institutes) concerning national policies and programs in SDC partner countries?
- To what extent are hand-over strategies (from international to local experts/partners), scaling-up strategies, and/or exit strategies part of the project design? How much importance is given to the sustainability of the project beyond the duration of project funding? How do one-phase project (e.g., reduced to piloting innovative practices), as opposed to multi-phase SDC projects, differ in terms of sustainability.

3.4 Correspondence with International Agendas, Standards and “Best Practices”

- To what extent are SDC's main partners' activities (at international and regional level) relevant regarding the fulfillment of SDC's strategy objectives, including gender equality?
- To what extent are SDC programs/projects considered as “best practices” or innovative approaches by professionals and experts in the particular theme or sub-sector (e.g., in basic education, adult literacy, education for sustainable development, vocational skills development, etc.)?
- To what extent do programs in fragile states reflect INEE minimum standards (International Network for Education in Emergencies)?
- Which aid modalities, cooperation practices, funding modalities are specific to SDC? What do SDC staff and partners think about these particular ways of carrying out aid?
- How does SDC share its “best practices” in development work or humanitarian aid in the larger donor community? How successful has SDC been with influencing the international agenda in development and humanitarian aid?

4 Portfolio Analysis

The following section describes SDC's basic education portfolio through an analysis of SDC's spending (in actual disbursements) during the seven-year period 2007 through 2014. This preliminary analysis was conducted in order to identify priorities and trends in the agency's basic education initiatives as revealed through its actual expenditures, in order to ensure that the criteria used for the selection of case and desk studies for the evaluation of SDC's performance in basic education are well aligned with these priorities and trends. For the purposes of this evaluation, basic education (BE) is considered to be all of SDC's initiatives that are classified as focusing on the following three subsectors in education: (1) formal basic education; (2) non-formal education; and (3) education policy.

4.1 Portfolio Analysis Methodology

The analysis was conducted using the SAP database, which is SDC's main available source of data on the financial, thematic and geographic characteristics of SDC's portfolio. The following entry characteristics in the SAP database were used to identify BE initiatives and spending in actuals:

- **Sector:** This code was used to identify education sector initiatives that were coded as basic education priority 1, priority 2 or priority 3. This allowed us to identify and include in SDC's portfolio, not only those initiatives that had BE as a primary focus but also those initiatives that contain BE as secondary focus within other education subsectors (e.g. vocational training) as well as within non-education sectors (e.g. health, agriculture).
- **Geographical Focus:** This code allowed us to identify and analyze SDC's BE activities by geographical focus, including individual countries, regional initiatives, and global activities that benefit several continents (e.g. contributions to international organizations, networks or globally active NGOs).
- **Domain.** This code was used to identify, locate and analyse SDC BE expenditures to fragile and conflicted affected area, through initiatives that operate under SDC's Humanitarian, Regional Cooperation and Global Cooperation Divisions and SDC Services.

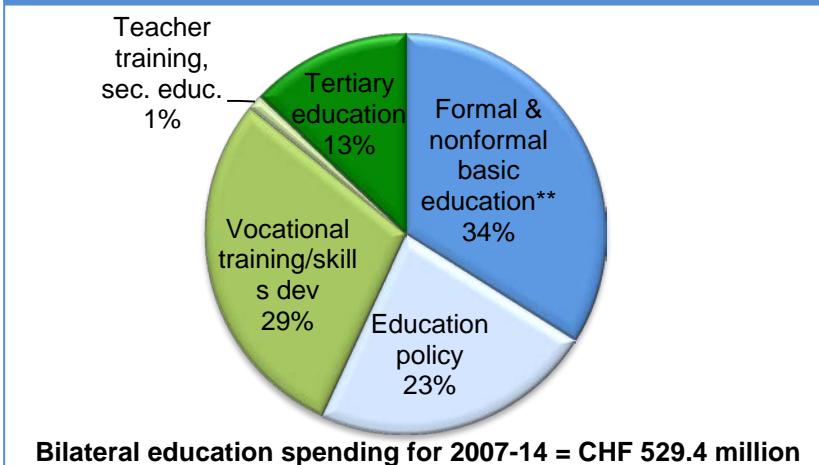
4.2 General Trends in SDC Bilateral Contribution to Basic Education

According to the *SDC Guidelines for Basic Education and Vocational Skills Development* (2010) SDC's focus on education has shifted from one focused primarily on non-formal education to an approach that includes integrating non-formal education programs into education policies, building bridges between formal and non-formal education, and improving quality and equity in formal education. SDC further supports basic education through its humanitarian aid, channeled mainly through the SDC contributions to multilateral partners such as UNICEF or UNWRA. BE-focused SDC humanitarian aid focuses in particular on school reconstruction/rehabilitation in countries such as Haiti, Myanmar, Sri Lanka, Jordan, Lebanon and Pakistan. Furthermore, in coordination with ministries of education the agency's humanitarian aid directly implements bilateral programs that prioritize the integration of refugee children and youth in local schools.

From 2007 to 2014 SDC's total education sector bilateral spending (actuals) was CHF 529.4 million, of which CHF 302.5 million, or 57% comprised the agency's expenditures in basic education (identified as the three education subsectors formal basic education, non-formal education and education policy).

Figure 1 shows the distribution of SDC's total bilateral spending from 2007 to 2014 in education by education subthemes. Spending in formal and non-formal basic education comprised 34% of total education expenditures while education policy-focused initiatives comprised 23% of spending during this period.

Figure 1: Distribution of SDC Spending in Education 2007-2014



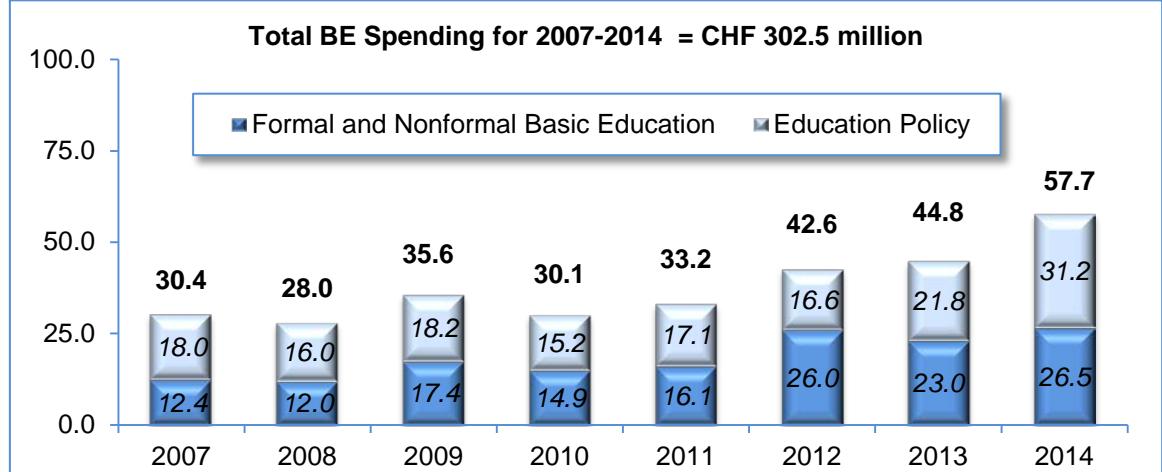
***Prior to 2012 these categories were "primary and secondary education."*

Trends in SDC annual contribution in basic education reveals a steady growth during the period 2007 to 2014. As shown in Figure 2, the agency's bilateral expenditures in basic education increased from CHF 30.4 million in 2007 to CHF 57.7 million in 2014, an increase of approximately 90%. Figure 2 also shows SDC's BE spending by formal/non-formal basic education and education policy during the seven-year period. Expenditures in formal/non-formal basic education increased, both in actual amount (from CHF 12.4 million to 26.5 million) and as portion of total BE spending (from 41% to 46%). Spending in education policy increased from 2007 to 2014 in amount (from CHF 18.0 million to 31.2 million) but decreased as a percentage of BE expenditures (from 59% to 54%).

4.3 Basic Education Bilateral Spending within Non-Education Sectors

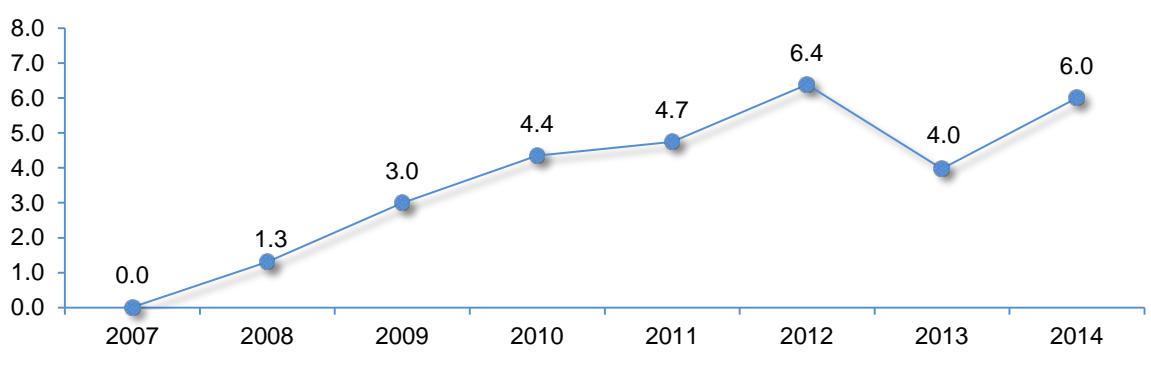
Basic education as a priority focus of SDC initiatives is further revealed in the steady growth of the agency's expenditures on initiatives in which basic education is classified as a second and/or third priority within the non-education sectors (e.g. health, agriculture). Figure 3 shows that SDC spending in non-education sector initiatives in which basic education was identified as a second and/or third priority increased from zero in 2007 to CHF 6.0 million in 2014, with a high of CHF 6.4 million in 2012.

Figure 2: SDC Bilateral Aid to Basic Education, 2007 to 2014 (actuals in CHF millions)*



**Includes cross-sector spending in which BE was identified as second and/or third priority.*

Figure 3: SDC BE Spending in Non-Education Sectors, 2007-2014 (actuals in CHF millions)*



*Initiatives in which BE was classified as second and/or third priority in non-education sectors.

4.4 SDC Bilateral Contribution to BE by Geographic Region

Table 1 and Figure 4 shows SDC's bilateral contributions to BE (including contributions for which BE was a BE as second and/or third priority in non-education sectors) by geographic region from 2007 to 2014. SDC basic education bilateral contributions to Africa was the highest (CHF 122.6 million). Burkina Faso, Chad, Niger and Benin were the top four recipients of SDC bilateral aid for basic education. SDC disbursements to regional basic education initiatives totaled CHF 18.3 million during this period, and saw an increase in spending from CHF 0.7 million to 5.1 million in 2014.

Asia and Oceania received CHF 58.7 million in SDC bilateral aid for basic education during the 2007-2014 period. Bangladesh, the Occupied Palestine Territories, Afghanistan and Myanmar were the top four individual recipient countries/territories. Regional aid to basic education totaled CHF 2.3 million for 2007-2014.

Europe received CHF 34.7 million in SDC bilateral aid for basic education from 2007 to 2014.³ Serbia, Macedonia, Albania, and Kosovo received the highest aid to individual countries during this period. Regional initiatives in basic education totaled CHF 6.7 million for 2007-2014.

SDC bilateral basic education contributions to Latin America totaled CHF 11.1 million from 2007 to 2014. The individual countries that received the largest amount of BE support were Haiti, Colombia, Bolivia, and Ecuador during this period.

SDC also provided a total of CHF 47.3 million in bilateral aid to basic education to global initiatives (across several regions) from 2007 to 2014. SDC's contribution's to global basic education initiatives has seen a marked increase during this period, with contributions increasing from CHF 0.4 million in 2007 to 14.9 million in 2014.

³ Data on EU Enlargement expenditures were not available at the time of this analysis, and therefore are not included in the calculations of SDC's bilateral BE spending in Europe.

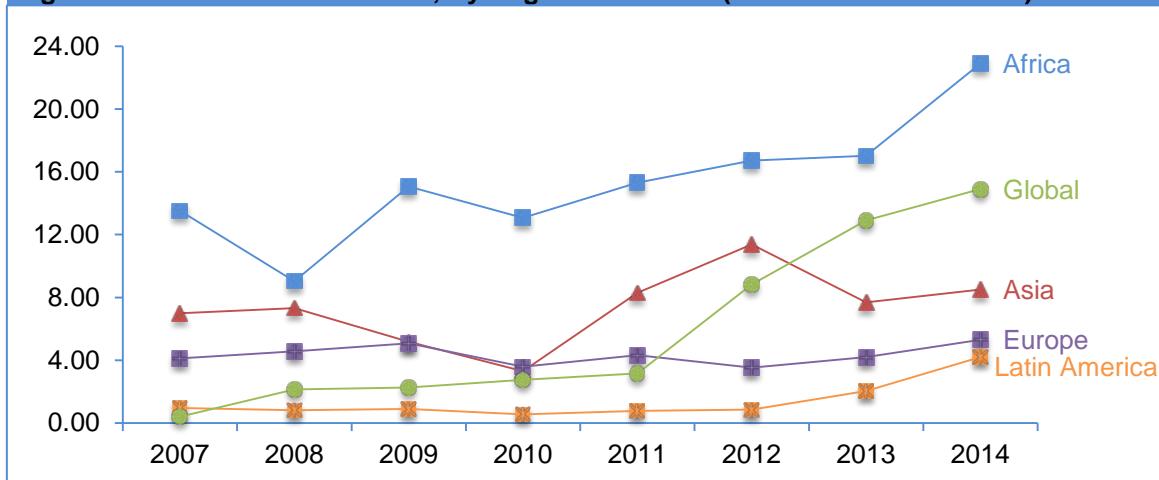
Table 1: SDC Bilateral BE Aid by Region, 2007-2014 (actuals in CHF million)*

	2007	2008	2009	2010	2011	2012	2013	2014	Total 2007-14
Africa	13.5	9.0	15.1	13.1	15.3	16.7	17.0	22.9	122.6
Burkina Faso	4.3	0.1	3.4	4.0	3.4	2.4	2.6	3.5	23.7
Chad	4.2	2.6	3.9	2.4	1.9	1.9	1.7	2.7	21.3
Niger	0.5	1.3	1.5	1.7	2.8	4.1	2.6	4.6	19.1
Benin	1.1	1.6	1.7	1.5	2.2	2.6	3.1	2.4	16.2
Other countries (21 total)	2.7	2.4	3.2	2.2	3.2	2.5	3.5	4.6	24.3
Regional	0.7	1.2	1.3	1.2	1.9	3.3	3.6	5.1	18.3
Africa Regional	0.5	0.8	0.9	0.8	0.7	1.5	1.1	1.0	7.3
West Africa Regional	0.2	0.4	0.4	0.3	1.2	1.6	1.4	3.5	9.0
SADC	0.0	0.0	0.0	0.0	0.0	0.2	1.1	0.6	1.9
Southern/Eastern Africa	0.0	0.0	0.0	0.0	0.0	0.0	.005	0.0	.005
Asia and Oceania	7.0	7.3	5.2	3.3	8.3	11.4	7.7	8.5	58.7
Bangladesh	2.2	2.9	2.8	0.7	1.4	1.5	0.8	0.8	13.1
Palestine (OPT)	.02	0.2	.01	0.2	3.5	6.0	1.5	1.2	12.6
Afghanistan	1.5	1.9	1.2	0.4	1.2	2.2	1.9	2.3	12.6
Myanmar	0.0	0.0	0.0	1.1	1.1	1.0	0.3	0.7	4.2
Other countries (23 total)	3.2	1.5	0.5	1.0	0.7	0.7	3.2	4.3	14.1
Regional	.07	0.9	0.7	.02	0.5	.07	0.0	0.0	2.3
MENA	0.0	0.8	0.5	0.0	0.5	.06	0.0	0.0	1.9
Mashreq	0.0	0.0	0.2	-.01	0.0	.01	0.0	0.0	0.2
Asia Regional	.03	.05	.02	0.0	0.0	0.0	0.0	0.0	0.1
Central Asia	.04	0.0	.01	0.0	0.0	0.0	0.0	0.0	0.05
South Asia	0.0	0.0	.002	0.03	0.0	0.0	0.0	0.0	0.03
Europe**	4.1	4.6	5.1	3.6	4.3	3.5	4.2	5.3	34.7
Serbia	1.2	1.8	2.2	1.6	2.3	1.5	2.6	2.8	16.0
Macedonia	0.8	0.9	0.9	0.5	0.4	0.2	0.1	0.1	3.9
Albania	0.6	0.5	0.9	0.5	0.4	0.1	0.1	1.1	4.2
Kosovo	0.1	0.1	0.2	0.1	0.2	0.2	0.2	0.1	1.2
Other countries (9 total)	0.6	0.7	0.2	0.4	0.3	0.4	0.1	0.5	2.7
Regional	0.8	0.6	0.8	0.5	0.8	1.2	1.2	0.7	6.7
Eastern Europe and CIS	0.0	0.3	0.1	0.1	0.1	0.1	0.3	0.3	1.3
South-East Europe	0.9	0.3	0.7	0.4	0.7	0.2	0.1	.003	3.3
Western Balkan	0.0	0.0	0.0	0.0	0.0	0.9	0.8	0.4	2.1
Latin America	1.0	0.9	0.9	0.5	0.8	0.8	2.0	4.2	11.1
Haiti	0.2	0.3	0.1	0.4	0.8	0.8	1.9	2.5	7.0
Colombia	0.6	0.2	0.1	0.01	.01	.03	0.1	0.2	1.3
Bolivia	0.1	0.3	0.7	0.04	-.04	0.0	0.0	1.7	2.8
Ecuador	0.0	.04	.04	0.01	.01	0.0	0.0	0.0	0.1
Other countries (8 total)	.02	.02	0.0	0.00	0.0	0.0	0.0	0.0	0.0
Regional	.03	.02	0.0	0.0	0.0	0.0	0.0	0.0	0.1
Latin America	0.0	0.0	0.0	0.1	0.0	0.0	0.0	0.0	0.1
Central America	0.0	.02	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Americas Region	.03	0.0	0.0	0.01	0.0	0.0	0.0	0.0	0.0
Global (multi-continent)	0.4	2.1	2.3	2.8	3.2	8.8	12.9	14.9	47.3
Not Specified	4.3	3.7	6.8	6.8	0.9	0.8	0.6	1.7	25.6
TOTAL	30.4	28.0	35.6	30.1	33.3	42.6	44.7	57.7	302.5

* Includes aid to initiatives in which BE was classified as 2nd and/or 3rd priority in all sectors.

**Does not include SDC contributions to EU enlargement initiatives.

Figure 4: SDC Bilateral Aid to BE, By Region 2007-2014 (actuals in CHF millions)



4.5 Estimated SDC BE Spending in Fragile and Conflict-Affected States

Following the 2012 parliamentary approval of the *Dispatch on Switzerland's International Cooperation in 2013–2016*, Switzerland's overall aid for fragile and conflict-affected states was increased by 15 to 20 percent.⁴ SDC estimates that about one-half of the countries and regions in which the agency is active are considered fragile and conflict-affected.⁵

To estimate SDC's bilateral basic education contribution to fragile and conflict-affected states, for the period 2007-2014, we analyzed actual expenditures in basic education (initiatives classified as having basic education as first, second and/or third priority focus) that operate under SDC's Humanitarian Aid organizational domain for key fragile and conflict affected states and regions, as well as basic education initiatives across other organizational domains, such as SDC's Regional Cooperation and Global Cooperation Domains for those states and regions.⁶ The following states, regions and global initiatives were used to estimate SDC's BE spending in fragile and conflict-affected areas:

States	Regions
Chad	Great Lakes (Burundi, DRC, Rwanda)
Haiti	Horn of Africa (Kenya, Somalia, South Sudan, Ethiopia)
Honduras	Southern Africa (Zimbabwe)
Mali	Palestine/North Africa (Egypt, Morocco, Palestine, Tunisia, Maghreb)
Niger	Hindukush (Afghanistan, Pakistan)
Nepal	Mékong (Myanmar)

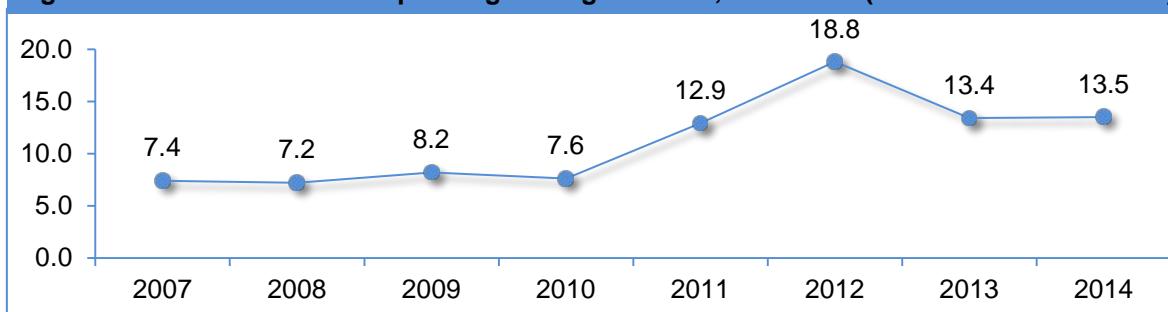
We estimated that SDC's bilateral basic education spending in fragile and conflict affected states and regions for the period 2007 to 2014 totaled CHF 89.0 million. As Figure 5 shows, basic education spending in fragile and conflict affected states and regions increased from CHF 7.4 million in 2007 to CHF 13.5 million in 2014, with a high of CHF 18.8 million in 2012.

⁴ Source: SDC website: <https://www.eda.admin.ch/deza/en/home/themes-sdc/fragile-contexts-and-prevention/engagement-fragile-contexts.html>

⁵ Source: SDC website: <https://www.eda.admin.ch/deza/en/home/themes-sdc/fragile-contexts-and-prevention/sdc-work-fragile-contexts.html>

⁶ We also included expenditures classified under SDC's now defunct "E-Department" in order to accurately capture actual disbursements to basic education fragile states during the years 2007 and 2008.

Figure 5: Estimated SDC BE Spending in Fragile States, 2007-2014 (actuals in CHF millions)



4.6 Estimated SDC Education Contributions to Key Multilaterals

Multilateral cooperation is an important element of SDC's aid assistance. SDC works primarily with 18 multilateral organizations, 13 of which are multilateral development organizations and 5 of which are multilateral humanitarian aid organizations. About 37% of all SDC funds are disbursed to multilateral organizations in the form of core contributions. Bilateral cooperation accounts for 63% of SDC funds, of which 20% of these bilateral funds are used for projects and programs implemented directly by multilateral organizations.⁷

Table 2 shows SDC's total core contributions to 8 of the 13 key multilateral organizations that engaged in education sector activities as identified by the OECD Development Assistance Committee (DAC).⁸ SDC's contribution from 2007 to 2014 to these multilaterals totaled CHF 3.3 billion, with the World Bank's International Development Association and the African Development Bank receiving the largest share of SDC's core multilateral contributions (CHF 1.9 billion and 560 million, respectively).

A central aim of Switzerland's/SDC's partnerships with multilateral organizations (as well as other partners such as Swiss and international NGOs that receive non-earmarked contributions) is to strengthen their operational systems by assessing the results and effectiveness of these institutional partnerships against the strategic goals and objectives defined for Swiss humanitarian and development aid in the Federal Council Bill 2013-16.

Towards this end, the Core Contribution Management (CCM) is an instrument to support and strengthen SDC/Switzerland's (1) results-oriented management and dialogue with partner organisations and to increase their organizational and development effectiveness; (2) results-based cycle management; (3) evidence-based decision-making; (4) profile and predictability vis-à-vis the Partner Organisation; (5) harmonization of results-orientated communication/dialogue within the concerned offices in the Federal Administration.

SDC conducted an analysis of the 18 key multilaterals' 2014 CCM annual reports for the purposes of this evaluation. The analysis focused on two central questions:

- *What is basic education in the general theme of "education"?*
- *How broadly do we understand the holistic view of education?*

The results of the CCM report analyses revealed that four multilaterals had focus areas (and in some instance concrete achievements) that were directly linked to the focus of this BE evaluation. These institutions were: UNRWA, UNICEF, Asia Development Bank, and IDA. (See Annex 6 for a summary of the CCM report analyses for these four multilaterals.)

⁷ Source: SDC website: <https://www.eda.admin.ch/deza/en/home/activities-projects/activities/multilateral-cooperation.html>

⁸ The Global Partnership for Education (GPE) is not included in this analysis because SCD contributions to GPE are considered by the agency, state accounting and OECD/DAC to be bilateral support. Total SDC contribution to GPE for the period 2007-2013 totaled CHF 18.8 million.

Table 2: SDC Total Core Contribution to Key Multilaterals, 2007-14 (actuals in CHF million)

	2007	2008	2009	2010	2011	2012	2013	2014	Total 2007-14
African Development Bank Fund (AfDB-Fund)	59.4	69.7	94.1	91.0	65.0	66.6	59.9	54.2	559.9
Asian Development Bank Fund (AsDB-Fund)	15.0	13.5	13.6	5.7	13.4	13.5	12.1	14.9	101.7
World Bank, International Development Association (IDA)	177.6	189.4	213.2	237.5	258.4	282.1	284.1	274.0	1,916.3
Inter-American Development Bank Fund for Special Operations (IDB-FSO)	0.0	0.0	0.0	0.0	2.6	0.0	0.0	0.0	2.6
International Fund for Agricultural Development (IFAD)	7.7	7.8	5.3	14.0	14.1	7.2	9.5	9.5	75.1
UN Development Programme (UNDP)	52.0	54.0	54.0	54.0	54.0	54.0	60.0	60.0	442.0
UN Children's Fund (UNICEF)	18.0	20.0	20.0	20.0	20.0	20.0	21.0	22.0	161.0
UN Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)	8.0	10.2	12.0	11.3	10.0	11.0	11.0	15.8	89.3
Total	337.7	364.6	412.2	433.5	437.5	454.4	457.6	450.4	3,347.9

Table 3 shows the eight key multilateral organization's allocations to education as a percentage of their total spending. UNRWA has the highest share of allocated spending (58.6%) to education, followed by ADB (9.7%).

Table 3: Multilateral Spending on Education as Percentage of Total Spending, 2007-2014

Multilateral Organization	AfDB-	AsDB-	IDA	IDB-FSO	IFAD	UNDP	UNICEF	UNRWA
<i>Education Spending</i>	3.9%	9.7%	9.6%	4.6%	0.8%	0.6%	6.6%	58.6%

Using SDC's total contribution to key multilaterals (Table 2) and the percentage each organization allocates to education (Table 3) we estimated SDC's annual education sector-related contributions to the eight key multilateral organizations from 2007 to 2014. With these estimates (see Table 4) we calculated that SDC's total multilateral education contributions over the seven-year period to be CHF 253.3 million, with the highest estimated contribution to IDA (CHF 184.8 million) and UNRWA (CHF 52.3 million), respectively.

Table 4: Estimated SDC Education Contribution to Key International Partners, 2007-2014 (actuals in CHF million)

Multilateral Organization	2007	2008	2009	2010	2011	2012	2013	2014	Total 2007-14
AfDB-Fund	2.3	2.7	3.7	3.6	2.5	2.6	2.3	2.1	21.9
AsDB-Fund	1.5	1.3	1.3	0.5	1.3	1.3	1.2	1.4	9.8
IDA	17.1	18.3	20.6	22.9	24.9	27.2	27.4	26.4	184.8
IDB-FSO	-	-	-	-	0.1	-	-	-	0.1
IFAD	0.1	0.1	0.0	0.1	0.1	0.1	0.1	0.1	0.6
UNDP	0.3	0.3	0.3	0.3	0.3	0.3	0.3	0.3	2.6
UNICEF	1.2	1.3	1.3	1.3	1.3	1.3	1.4	1.5	10.6
UNRWA	4.7	6.0	7.0	6.6	5.9	6.4	6.4	9.3	52.3
TOTAL	27.2	30.0	34.2	35.3	36.4	39.2	39.1	41.1	282.7

4.7 Conclusions

The analysis of the SDC portfolio in BE over the period 2007 to 2014 yields a few interesting findings on SDC's priorities and aid selectivity.⁹

There has been a steady growth in SDC's annual contribution to basic education over the period 2007 to 2014. The majority of SDC education sector funding (57%) is allocated to BE projects, that is, to education projects that address formal basic education, non-formal basic education, and education policy. The finding complies with strategic decisions made at national and international level. At the national level, the 2010 SDC Guidelines for Basic Education and Vocational Skills Development emphasize the need to support not only non-formal but also formal education, education policy and critical aspects that help to bridge non-formal and formal education. At international level, the period under study experienced a focus on formal education, that in the form of the Millennium Development Goals (2000 – 2015) were narrowly defined in terms of primary completion rates.

There is a discrepancy between perception and actual allocation in education. In documents of the government and SDC, there is more talk of non-formal education and vocational skills-development project than of formal basic education. SDC actual disbursement over the period 2007 to 2014, however, has moved towards formal basic education and support for education policy, that is, towards systemic educational reform. Almost half of SDC spending in education is for formal basic education (23%) and education policy (23%). This too may positively comply with the international agreement, as formulated in the 2005 Paris Declaration, and confirmed in subsequent high-level international meetings, of aligning aid with countries' education sector strategies. Typically, these education sector strategies are developed—or to be more precise signed—by Ministries of Education alone (rather than in conjunction with Ministries of Labor, Social Affairs, or other) and therefore, for the better or worse, focus on formal education.

⁹ See studies by Alberto Alesina (Harvard, Department of Economics) and David Dollar (World Bank, now Brookings Institution) who established the research field on aid selectivity; for example, A. Alesina & D. Dollar (2000). Who Gives Foreign Aid to Whom and Why? *Journal of Economic Growth*, 5, 33-63; D. Dollar & V. Levin (2006). The Increasing Selectivity of Foreign Aid, 1984-2003, *World Development*, 34 (12), 2034-2046. See also William Easterly & Tobias Pfeuffer (2008). Where does the money go? Best and worst practices in foreign aid. *Journal of Economic Perspectives*, 22 (2), 29-52.

Education has remained a medium-range priority for SDC but basic education as medium for training and awareness building in non-education sectors increased visibly. The main funding priorities for SDC are agriculture and food security, civil participation and local governance, and water.¹⁰ Nevertheless, education as a medium for training and awareness building has significantly increased. Starting in 2007, the classification system of SAP enabled projects to be listed in several sectors. Thus, a project could be entered exclusively in one of the six sub-sectors of education, or it could be entered, for example, as a health project with one of the educational sub-sectors as a second or third priority focus. Clearly, there is an increase of projects in non-education sectors in which basic education is used merely as a second or third priority focus. Spending increased from 0.0 CHF in 2007 (year when the indicator was introduced in the SAP database) to CHF 6.0 million in 2014, with an outlier of CHF 6.4 million in 2012. It is recommended that the evaluation include a case study (field- or desk-based) of a project in the non-education sector where education is listed as a second or third priority.

Basic education in West Africa is a priority followed by Europe as well as Asia and Oceania; Latin America is semi-orphaned. Most of SDC's bilateral aid is channeled to projects in Africa, in particular to West Africa (Burkina Faso, Chad, Niger, Benin). A distant second are countries in Europe, in particular Serbia, followed by Asia and Oceania, notably Bangladesh, Palestine (Occupied Territories), and Afghanistan. Even though Latin America is second in terms of overall bilateral APD, the countries in Latin America and the Caribbean receive, with the exception of Haiti, much lower funding levels from SDC for their BE programs. The aid selectivity in BE reflects a dual commitment to fund low-income and lower-middle income countries in Africa, Asia and the Middle East as well as countries that have close social ties to Switzerland due to migration. It is noticeable that in West Africa is prioritized and, in contrast, the continent of Latin America is a semi-orphan in terms of overall SDC contribution for BE to this part of the world.

SDC's core contribution to multilateral partners, in particular IDA increased significantly, and the contribution to the African Development Bank Fund has remained constant after a peak in 2009 and 2010. SDC's core contribution to multilateral aid in education has increased considerably, in particular to International Development Assistance (IDA). Over the period 2007-2014, close to 60% of total core contributions were allocated to IDA. The third-largest recipient, the African Development Bank experienced a decline in SDC funding since 2011. Switzerland is, despite its relatively small population size and its medium-range aid ratio (0.47% of the GNI as opposed to the UN target of 0.7%), an important international partner due to its actual aid volume. There is currently a wider debate taking place in the international development community on "bilateralization of multilateral aid," that is, the trend of bilateral donors to set up specific mechanisms (e.g., earmarked contribution to multilaterals, trust funds, detailed reporting requirements, contractual arrangements, etc.) to leverage their influence.¹¹ Clearly, earmarked multilateral funding is particularly pronounced in the education sector; due to GPE, where 100% of the contribution is earmarked for Education and UNWRA where 59% is allocated to the education sector. Precisely for these reasons, an evaluation of BE programs opens up the opportunity to reflect on ways on how SDC could leverage its contribution towards its global partners, engage in an active dialogue, and ensure an effective use of its contribution.

SDC's bilateral contribution to basic education in fragile and conflict-affected areas increased considerably from 2007-2014. As the evaluation estimated, basic education support to fragile states and regions increased from CHF 7.4 million in 2007 to CHF 13.5 million in 2014, with a peak of CHF 18.8 million in 2012. Clearly, the 2012 government's

¹⁰ Source: Direktion für Entwicklung und Zusammenarbeit und Staatssekretariat für Wirtschaft (2014). *Statistik 2013. Internationale Zusammenarbeit der Schweiz*. Bern: DEZA und SECO; see Grafik 8 on page 23.

¹¹ Piera Totora & Suzanne Steensen (2014). *Making earmarked funding more effective: Current practices and a way forward*. Paris: OECD Development Co-operation Directorate.

decision to increase aid to fragile and conflict-affected states is reflected in this visible increase of BE spending. Given the agreement among international donors to pay greater attention to emergency education as well as educational development in fragile and conflict-affected states, it is strongly recommended to include a few case studies (field-based and/or desk studies) that deal with education in fragile and conflict-affected states.

5 Methodology

The portfolio analysis, presented in the previous section, has provided an overview of SDC's global portfolio in BE over the period 2007–2014. It serves as a foundation to determine the selection of representative cases—both field-based case studies as well as desk studies. In addition, the portfolio analysis has helped to document the comprehensive notion of SDC contributions to BE; one that includes bilateral as well as multilateral aid as well as a wide range of partners, notably institutional partners (Swiss NGOs), local partners, and regional partners. SDC's comprehensive notion of development and cooperation determines the type of data and information as well as the kind of informants that need to be included in the evaluation.

The following data collection instruments and information inventories are listed in the annexes:

- Annex 1: Example of a notification letter for the selection of a typical case and for desk review material
- Annex 2: Data collection instruments for various interviews (individual and focus group interviews) – for field-based missions only
- Annex 3: Roster for desk reviews (qualitative portfolio analysis)
- Annex 4: Inventory of available documents for Burkina Faso and Roma Education BE Programs (note to SDC staff and CLP: please review and add)
- Annex 5: Inventory of available documents for the two desk studies + and the six regular desk studies (note SDC staff and CLP: please review and add)

5.1 Sampling Criteria, Indicators and Selection

The five sampling criteria—scope, size, relevance, diversity, access—were discussed at the first meeting of the CLP. Table 5 presents the five sampling criteria and lists how they are measured. The last column shows the impact on the case selection.

Table 5: Sampling Criteria, Indicators, and Selection of Cases

Criterion	Indicator	Conclusions for Selection
Scope	Location of project within the organizational unit of SDC	Projects from all 4 domains of SDC: <ul style="list-style-type: none"> • Global Cooperation • Regional Cooperation • Cooperation with Eastern Europe/CIS • Humanitarian Aid and SHA
Size	Financial volume of the project ("actuals")	Large projects are main target
Relevance	Focus on basic education	<ul style="list-style-type: none"> • Mainly projects with BE as first priority (according to SAP) • A few projects with BE as second or third component (according to SAP)
Diversity	Representing different types of BE projects, different types of support, funding modalities	To be determined at project/case level
Access	Data availability	Projects/cases for which documentation exist and/or in which informants are available for field-visits

Based on the sampling criteria, presented above, and based on discussions with the CLP and the SDC staff, the following case selection is proposed:

Table 6: Summary Table: List of Selected Cases

Type of Evaluation	Cases
Field-Based Case Study	1. Burkina Faso 2. Roma Education Programs in the West Balkans
Desk-Study Plus	3. Education for Palestine Refugees 4. SDC's Collaboration with International Partners in BE
Desk Study	5. Niger 6. Haiti 7. Afghanistan 8. Mongolia 9. BE – water project partnership (TBD) 10. SDC's Collaboration with Regional Partners

On purpose, the four organizational domains of SDC are each represented either with a field-based case or a desk study plus:

- Global Cooperation Domain: Global Institutions Division (SDC's collaboration with global partners)
- Regional Cooperation Domain: West Africa Division (Burkina Faso)
- Cooperation with Eastern Europe Domain: Western Balkans Division (Roma Education Programs)
- Humanitarian Aid and SHA Domain: Europe and Mediterranean Division (Education for Palestine Refugees).

5.2 Information and Data Sources

The following data collection and analyses methods are used for the two **field-based case studies**:

- A. Review of relevant credit proposals, project documentation, evaluations, annual reports, etc. and content analysis in terms select key evaluation questions,
- B. Portfolio analysis of all BE projects (with BE as first, second, and third priority) over the period 2007 – 2013 by funding level, type of support, and implementation modality (see template in Annex 5) based on the SAP database,
- C. Communication with SDC staff and partners for clarifying questions on project documentation and portfolio analysis.
- D. Semi-structured interviews with SDC staff in Bern and in the Swiss Cooperation Offices, SDC's institutional, regional and global partners,
- E. Site visits and in-depth analysis of 2-3 select projects (that reflect different types of support or implementation modalities); interviews with project partners, implementers, international development community including institutional partners, regional partners, global partners, and local NGOs/civil society leaders,
- F. If possible, other methods (e.g., short surveys/fact sheets, social network analysis) that enable to understand SDC's comparative advantage (as perceived by SDC and by others) and SDC's intervention modality as compared to other international donors

The **two desk studies +** will draw on the first three types of information (A, B, C, that is, review of documents, portfolio analysis, meetings with staff/partners for clarification). The review of documents will also include a detailed content analysis and, if feasible, a social network analysis. *In addition*, it also includes a few interviews with SDC staff, partners and other donors (over the phone or on skype) on collaboration, communication, and intervention modalities using the 2-3 largest BE programs (desk study plus on Education for Palestinian Refugees) or the 2-3 largest partners (desk study plus on key international partners) as examples.

The **six regular desk reviews**, finally, will focus on the three data sources A, B, C, identified above: review of relevant documents, portfolio analysis, and communication (email or phone) with SDC staff and partners for clarifying questions on project documentation and portfolio analysis. In addition, it includes one “typical” project in the context, identified as such by the SDF staff in the SCO office and in the headquarters in Bern. Finally, similar to the two desk studies plus, the review of documents will also include a detailed content analysis and, if feasible, a social network analysis.

Even though the two desk studies plus and the six desk reviews rely on an in-depth evaluation of 2-3 projects (desk studies plus) or 1 project, respectively, attention will be given to diverse intervention modalities, communication practices, and collaboration networks within the 1-3 projects thereby satisfying the diversity requirement that was established as one of five sampling criteria.

The following summary table shows the kind of information and data sources collected in the three types of evaluation.

Table 7: Information and Data Sources by Type of Evaluation

	Field	Desk+	Desk
A. Review of relevant documents	✓	✓	✓
B. Portfolio analysis based on SAP database	✓	✓	✓
C. Communication with SDC staff/partners for clarification	✓	✓	✓
D. Semi-structured interviews in person or over phone	✓	✓	
E. In-depth analysis of the 2-3 largest projects with site-visits	✓		
F. Other, if possible: short survey/fact sheets/social networks	✓		
G. Analysis of 2-3 largest projects (without site-visits)		✓	
H. Analysis of 1 “typical” project (without site-visit)			✓

5.3 Field-Based Case Studies

The two field-based case studies satisfy all five sampling criteria, listed in Table 5. The field mission to Burkina Faso will be from March 12 – 25, and the one for the evaluation of the Roma Education Programs in the West Balkans approximately from April 26 – May 7, 2015. Both programs fulfil the sampling criteria as summarized in Table 8.

Table 8: Features of the Field-Based Case Studies

Burkina Faso	
Scope	Regional Cooperation Domain, West Africa Division
Size	CHF 20.2 million over the period 2007 - 2013
Relevance	14% of SDC's contribution in Burkina is allocated to BE <ul style="list-style-type: none"> • Analysis of the Support Program for Basic Education (7F02255.01, 02, 03), in terms of the evaluation questions (relevance, effectiveness, efficiency, impact, sustainability). • Analysis of different intervention modalities, that is, BE projects that are (i) coordinated by SDC, (ii) undertaken in collaboration with other donors, or (iii) planned and implemented by partners (bilateral/institutional, regional, multilateral). • Analysis of comparative advantage/disadvantage of SDC as compared to others. • Analysis of SDC's cooperation, communication, and support strategies with <u>institutional partners</u> based in Burkina Faso. Note: SDC identified the following partners as the largest institutional partners in Burkina that received SDC funding over the period 2007-2013: Enfants du Monde, Solidar, Terre des Hommes Genève and Helvetas. The evaluation team will meet with them during the field-mission. • Analysis of SDC's cooperation, communication, and support strategies with <u>regional partners</u> based in Burkina. Note: SDC identified the following partners as the relevant regional partners partners in Burkina Faso (see also section on "desk review": APESS (Programme PREPP), ADEA (Groupe sur l'Education Non Formelle (GT ENF) et Pôle sur le Développement des Compétences Techniques et Professionnelles), L'Université de Ouagadougou (DEDA/Diplôme en Education des Adultes)/ Programme PRIQUEThe evaluation team will meet with them during the field-mission. • Analysis of SDC's cooperation, communication, and support strategies with <u>global partners</u> based in Burkina Faso. Note: preferably, the 3 global partners, with offices in Burkina Faso, would be the same that the SDC staff and CLP identified for evaluation in the desk study +.
Access	The SCO is informed and supportive. The coordinators of institutional partners and regional partners have been contacted and are supportive. Note to SDC staff and CLP: please review existing documents (listed in annex) and supplement with relevant information.
Roma Education Programs in the West Balkans	
Scope	Cooperation with Eastern Europe/CIS Domain, Western Balkan Division
Size	Bilateral BE Roma Education support for 2007-2013 totalled CHF 15.0 million.
Relevance	SDC support BE to Roma Ed. comprises over 50% of BE spending in Europe (not including SDC's EU enlargement spending).
Diversity	Details will be worked out, in March, in collaboration with SDC staff. For now, the main institutional partners have been identified: Kinderdorf Pestalozzi, Caritas Schweiz und HEKS. There is a need to specify the list of regional partners as well as global partners in Roma Education that will be interviewed/visited.
Access	The SDC in charge of the Roma Education Programs is informed and supportive. Note to SDC staff and CLP: please review existing documents (listed in annex) and supplement with relevant information.

5.4 Desk Studies Plus

The two desk-studies plus fulfill all five sampling criteria but access to information or data is limited precluding a field-based case study:

- SDC's contribution to multilateral organizations is not earmarked for particular projects. Therefore, site visits and other in-depth analyses at project level become superfluous.
- Similarly, the greatest portion of SDC's support for Education of Palestinian Refugees in Gaza/Westbank, Jordan, and Lebanon is channeled through UNWRA and is not earmarked for particular projects. Furthermore, there is another evaluation going on over the same time period that would hamper access to informants and sites.

For both desk-studies plus, the emphasis will be placed on the comparative advantage, or disadvantage, of SDC in terms of funding modality, communication strategy, collaboration networks, as perceived by SDC staff, multilateral partners, and other bilateral donors.

Table 9: Features of the Desk Studies Plus

SDC's Contribution to Key International Organizations in BE ("multi-bi")	
Scope	GC Domain, Global Institutions Division
Size	CHF 209.4 million (estimated) education sector contribution to 8 key multilaterals over the period 2007 – 2013. Bilateral BE support to multilaterals about 84 million.
Relevance	About 34% of SDC <i>bilateral</i> contribution to BE it to multilaterals; Contribution to GPE increased from CHF 1.4 million to 6.5 million during 2007-13 period.
Diversity	GPE and 2 others (to be determined by SDC staff and CLP)
Access	No field visits; only meetings or phone calls. Note to SDC staff and CLP: please provide documents for review.
SDC's Support for Education of Palestinian Refugees in Gaza/Westbank, Jordan & Lebanon	
Scope	HA and SHA Domain: Europe and Mediterranean Division
Size	BE spending in OPT was CHF 11.4 million for 2007-2014; SDC bilateral BE aid to UNRWA for this period was CHF 11.5 million
Relevance	Spending in OPT for 2007-13 comprised 23% of SDC's total bilateral BE expenditures in Asia; SDC bilateral BE aid to UNRWA comprised 38% of SDC bilateral BE aid to all UN organizations. SDC's estimated total contribution in education to UNRWA for 2007-13 was CHF 18.2 million
Diversity	To be determined by SDC staff.
Access	No field visits; only meetings or phone calls. Note to SDC staff and CLP: please provide documents for review.

5.5 Regular Desk Studies

Annex 5 lists the scope, size, relevance, and access (in terms of available documentation) for the six desk studies. Note that the list of documents is tentative and needs to be completed. The credit proposals, past evaluations, and specific material to one selected project are considered indispensable for analyzing the SDC portfolio in BE. In addition, other documents are needed to situate the credit proposal in the larger context. Therefore, at a minimum, the following documents types are needed for the desk reviews:

- Credit proposals in BE over the period 2007 – 2013 (required/indispensable)
- Project evaluations in BE over the period 2007 – 2013 (very important)
- Additional material for the selected "typical" project (important)

- Cooperation strategies 2007-2013 of the Swiss Cooperation Office, 2007 – 2013 (only if not available on the web)
- Annual reports of the SCO, 2007 – 2013 (only if not available on the web)
- Project documents in BE over the period 2007 – 2013 (recommended)

Table 10: Features of the Desk Review Cases

BE Programs in Niger	
Scope	RCC Domain, West Africa Division
Size	CHF 14.6 million over the period 2007 - 2013
Relevance	10.7% of SDC's contribution in Niger is allocated to BE
Diversity	Typical BE project, to be determined
Access	Please see list of available documents in annex and supplement as much as possible.
BE Programs in Haiti	
Scope	HA and SHA Domain: Asia and Americas Division
Size	CHF 4.5 million over the period 2007 - 2013
Relevance	5.4% of SDC's contribution in Haiti is allocated to BE
Diversity	Typical BE project, to be determined
Access	Please see list of available documents in annex and supplement as much as possible.
BE Programs in Afghanistan	
Scope	RCC Domain: South Asia Division
Size	CHF 10.3 million over the period 2007 - 2013
Relevance	5.5% of SDC's contribution in Afghanistan is allocated to BE
Diversity	Typical BE project, to be determined
Access	Please see list of available documents in annex and supplement as much as possible.
BE Programs in Mongolia	
Scope	RCC Domain: East Asia Division
Size	0.4 million over the period 2007-2013
Relevance	About 0.8% of SDC's annual BE spending in Asia
Diversity	Education for Sustainable Development
Access	Please see list of available documents in annex and supplement as much as possible.
Non-Education Project in which BE is a 2nd or 3rd Component (possibly a Water Project)	
Scope	TBD by SDC staff and CLP
Size	TBD
Relevance	TBD
Diversity	TBD
Access	TBD
SDC's Collaboration with Regional Partners	
Scope	Regional Cooperation Domain: West Africa Division
Size	TBD
Relevance	TBD
Diversity	3 regional partners based in Ouagadougou (will be visited during the field-mission)

to Burkina): <ul style="list-style-type: none"> • APESS (Programme PREPP) • ADEA (Groupe sur l'Education Non Formelle (GT ENF) et Pôle sur le Développement des Compétences Techniques et Professionnelles), • L'Université de Ouagadougou (DEDA/Diplôme en Education des Adultes)/ Programme PRIQUE. 	Access Coordinator of regional partners, based in Benin, has been contacted and will provide access to informants and documents. Documents for review will be collected during the field-mission in Burkina Faso.
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6 Limitations of the Evaluation

There are five limitations that the evaluation study is facing.

Sampling related biases. The ten cases are selected based on purposeful sampling criteria, discussed and agreed upon during the first CLP meeting, rather than randomly. As a result, important sampling criteria may have been neglected thereby generating a biased sample. Furthermore the selection of one case for the desk studies relies on contextual knowledge, that is, SDC education liaison staff members in the SCOs are requested to identify a SDC-funded project that they consider “typical” for SDC in their respective country. Though selection criteria use will be documented and analyzed, no attempt to correct the selection will be made if the selected case turns out to be the most recent, the best documented, or any other criterion that may have influenced the choice.

Short duration of overall assignment and field-missions. The portfolio of SDC BE programs that will be evaluated is large and the time-period for completing the assignment is short, making it necessary to focus on major findings and recommendations. Similarly, the duration of the field-missions is relatively short (12 days per field-mission) and therefore only a sample of relevant partners and informants will be met in person.

Over-reporting of more recent projects, under-reporting of older projects. Inevitably, the current SDC staff and SDC's partners will have more to say about ongoing projects than on projects that were already completed. It may be difficult to accurately reconstruct details of projects that are already completed given the periodical turn-over of Swiss staff and changes in the local staff at the SCO. Nevertheless, the portfolio analysis will cover the period 2007 to 2013 and the qualitative analysis will address as much as possible also projects that have already been completed.

Inconsistency of data collection instruments over time and across the two case studies. The data collection instruments will not be pilot-tested prior to the field-missions. As a result, questions may be added, modified, or eliminated over the course of the field-mission generating consistency issues across the two field-based case studies.

Limited access to country and contextual knowledge. In the case of the field-based case studies, the evaluation team consists of international evaluators as well as one local researcher. Besides help with logistical aspects of the evaluation such as, for example, setting up meeting, securing relevant documents, etc., the local research will also ensure that the data is collected in a culture-sensitive manner and that the findings are interpreted contextually. In the absence of local counterparts for the desk studies plus and the regular desk studies, the evaluation team relies on CLP members and other interested parties in SDC on an accurate interpretation of findings.

Interpreting SAP data accurately. SDC works with a comprehensive data management system that underwent adjustments over time and is detailed to the extent that it requires insider knowledge to adequately interpret the findings. Even though the portfolio analyses will be precise, the interpretations of the findings may not always be valid. Therefore, discussing the findings as well as the interpretations of the findings with SDC staff and the CLP group are essential for enhancing the validity of the interpretations.

7 Reporting

The Evaluation and Corporate Controlling Division of SDC oversees the evaluation and coordinates all communication with SDC and its partners. The Core Learning Partnership group accompanies the evaluation process by providing input at three critical stages of the evaluation: (i) before data collection: selection of relevant key questions and sampling criteria for determining the field-based case studies and desk studies, (2) after data collection for brainstorming on interpreting the findings, and (3) before submitting the evaluation report for drawing useful conclusions and making feasible recommendations.

There will be six deliverables, listed in the following:

1. Inception Report (25 pages), English and French
2. Case Study Report on BE Programs in Burkina Faso (30 pages), English and French
3. Case Study Report on Roma BE Program (30 pages), English
4. Debriefing during the visit and Aide-Memoire after the field-visit in Burkina Faso, French
5. Debriefing during the visit and Aide-Memoire after the field-mission regarding Roma BE Programs, English
6. Evaluation Report (40 pages), English.

8 Final Work Plan

Table 11 presents the work plan by project phase and deadlines.

Table 11: Work Plan	
Phase 1: Inception	
1	1 st Meeting of CLP to discuss evaluation focus, key questions, sample criteria
2	Final Version of Approach Paper (after E + C meeting with Directorate)
3	Inception Report (draft), includes portfolio analysis, case selection & instruments
4	2 nd Meeting of CLP to discuss final selection of cases and instruments
5	Inception Report (final) – 25 page not including annex, in English and French
Phase 2: Implementation of Evaluation Study	
6	Field-mission to Burkina Faso, March 12 – 25
7	Field-mission to meet with partners of the Roma Education Programs, 26.4 – 7.5
8	Debriefing and aide-memoire after field-mission to Burkina Faso
9	Debriefing and aide-memoire after field-mission for Roma Education Programs
10	Case Study Report Burkina Faso (draft), French
11	Case Study Report Roma Education Programs (draft), English
12	Communication/clarification questions for desk studies + and desk studies
13	Completion of desk studies + and desk studies (internal, technical reports)
Phase 3: Write-Up and Recommendations	
14	Evaluation Report (draft) includes analyses from all 10 cases, English
15	3 rd CLP Meeting to brainstorm on findings and discuss recommendations
16	Final versions of Case Study Report Burkina (30 pages), Roma Education Programs (30 pages) & Evaluation Report (40 pages)

ANNEX 1: Example of a Notification Letter for Selection of Relevant Case and Desk Review Material

Attention:

Desk Study on Education Programs in Afghanistan

Dear Colleagues at SDC:

We look forward to working with you on the desk review of programs in Basic Education (BE) in Afghanistan.

The independent evaluation of the BE program covers the period 2007 until today. Since SDC defines BE broadly, please include information on *all* education programs (formal, non-formal, education policy, teacher education, second chance education, literacy programs, etc.) *except* for programs that clearly count as vocational skills development.

In particular, we need your help with identifying these types of documents:

- Credit proposals in BE over the period 2007 – 2013 (required/indispensable)
- Project evaluations in BE over the period 2007 – 2013 (very important)
- Additional material for the selected “typical” project (important)
- Cooperation strategies of the Swiss Cooperation Office, 2007 – 2013 (only if not available on the web)
- Annual reports of the SCO, 2007 – 2013 (only if not available on the web)
- Project documents in BE over the period 2007 – 2013 (recommended)

Could you please answer the following two questions: (1) How many basic education projects have existed over the period 2007 – 2013? (2) In addition, our desk review will focus on one project in BE (broadly defined) that you consider as *relevant for the evaluation*. Please select one project that best reflects the SDC approach to basic education in development and/or humanitarian aid. Could you please let us know the name of the project and describe, in a few words, why you find it indicative for SDC's approach.

Name of relevant project.....

Duration and Volume (in CHF).....

Explanation why “relevant”:

.....
.....

Please don't hesitate to send any additional material on the selected project or other BE projects that you may find useful. Our liaison at SDC is Thomas Knobel, KNX, thomas.knobel@eda.admin.ch, and my own email address is gs174@columbia.edu.

Thank you and best wishes,

Prof. Dr. Gita Steiner-Khamisi, Team Leader of Evaluation Team

Columbia University, New York

ANNEX 2: Data Collection Instruments for Various Interviews (individual and focus group interviews) – for field-based missions only

COMPREHENSIVE INTERVIEW GUIDE FOR SDC Staff

Field-Based Case Studies, Interview Guide 1

Type of Informants for Interview Guide 1

- SDC staff in charge of BE projects in SCO offices
- SDC staff in charge of partnerships (institutional, regional, global) related to the BE projects included in the evaluation; either based in the SCOs or in Bern
- SDC staff in Bern in charge of programs in the country or the region

Introduction

- Personal introduction and clarification of evaluation role
- Explanation about the purpose of the evaluation
- Duration of the meeting (maximum 120 minutes)
- Overall structure of the interview
- Explanation of Protection of Human Subjects regulation (informed consent, confidentiality and privacy of data, and voluntary participation)

1 Background of Interviewee

1.1 Position:

.....

1.2 Current responsibilities:

.....

1.3 Year in which employment with SDC started:

.....

1.4 Year in which work on the project/line of work started:

.....

1.5 Professional background:

.....

2 Clarifying Questions on Received Documents and BE Projects

To interviewer: provide a copy of the prepared inventory to the SDC staff and use this section to clarify outstanding questions.

2.1 Are any important documents missing from this inventory?

3 General Assessment of SDC Portfolio in Country/Region

3.1 Which BE project (or which aspects of a project or a program) that was implemented over the past 7 years (since 2007) do you consider “a typical SDC project” in the country? Can you please elaborate on your response?

3.2 Which BE project (or which aspects of a project or a program) do you consider has been very successful?

[Probe indicators for success in terms of relevance, effectiveness, efficiency, ownership, etc. and explore reasons that accounted for the success]

3.3 Which BE project (or which aspects of a project or a program) do you consider less successful/unsuccessful?

[Probe indicators for success in terms of relevance, effectiveness, efficiency, ownership, etc. and explore reasons that accounted for the success]

4 In-depth Discussion of a Typical Project

Let's discuss the project that you identified as typical. Tell us more about it:

4.1. Background:

- Agency: who/which institution initiated, designed, implements, monitors?
- Target group/beneficiaries: who and how many (of which women) are supposed to benefit?
- How was it implemented [probe on implementation modalities]?
- Roles of institutional/local/regional partners, government?

4.2 Favorable conditions:

Were there any positive developments happening at the same time as the project that benefited the implementation of the project?

4.3 Unfavorable conditions:

Were there any particular challenges that surfaced over the course of the project that negatively impacted the implementation?

5 Relevance, Effectiveness, Efficiency, Impact, Sustainability (OECD DAC criteria)

HAND-OUT INTERVIEW GUIDE 1, FORM 1: OECD-DAC CRITERIA FOR EVALUATING DEVELOPMENT ASSISTANCE

Let's discuss the five aspects that are often used in evaluations. [Hand out the form and ask interviewer to make a rating on a Likert scale (1-5) and explain the response; then only focus on in-depth explanation of the two extremes that they rates as 1 or 2 or 4 and 5, respectively]

5.1 Can you say more about the criteria/indicators that you find somewhat or fully achieved?

5.2 Can you say more about the criteria/indicators that were not achieved at all or somewhat but insufficiently achieved?

5.3 What happens when funding ends? Are there any expectations in terms of scaling up, transfer of human or financial resources, institutionalization, or any other project sustainability strategies?

5.4 SDC considers gender and good governance as transversal themes for all its projects.

- 5.4.1 Was gender equity a key theme in the project? If so how was it defined/operationalized in this project? What were the indicators/benchmarks of gender equity that were utilized? Were there any particular opportunities or challenges with fully implementing this principle? Please provide example of how it was enforced or couldn't be enforced, respectively.
- 5.4.2 Was "good governance" a key theme in the project? If so how was it defined/operationalized in this project? What were the indicators/benchmarks of gender equity that were utilized? Again, were there any particular opportunities or challenges with fully implementing this principle? Please provide example of how it was enforced or couldn't be enforced, respectively.

6 Comparative Advantage/Disadvantage of SDC as Compared to Others

Let's talk about SDC in the context of international donors.

- 6.1 How would you describe the SDC technical approach to development in Burkina Faso/Roma Education in comparison with the other main actors/contributors?
- 6.2 What is SDC known for in your country? What is its reputation? What projects and ways of working are best known in the country?
- 6.3 What are, *in your opinion*, the comparative advantages and disadvantages of SDC?
 - 6.3.1 What is SDC able to fund, implement, or do that other bilateral/multilateral donors or NGOs can't or don't want?
 - 6.3.2 What is SDC not able to fund, implement, that others (other bilateral/multilateral donors or NGOs) are in a better position to do?

HAND-OUT INTERVIEW GUIDE 1, FORM 2: ASSESSMENT OF DEVELOPMENT PARTNERS

7 Types of Support, Intervention Modalities, Cooperation Strategies

- 7.1 If you think of the different intervention modalities, listed in the following, which was the most prevalent modality over the past few years in BE? Please rank in the order of frequency:
 - a. SDC as the implementer
 - b. SDC as the funder of (institutional, local, regional) partners who implement
 - c. SDC as co-funder and co-implementer along with other bilateral donors, multilateral agencies non-governmental organizations.
 - d. Please list, if other intervention modalities were used, and explain.
- 7.2. In your opinion, which of these intervention modalities proved to be most efficient; which one proved to be least efficient?
- 7.3. What were the experiences with pooled funding, budget support, contracts ("aid upon delivery") versus grants, pooled funding, SWAPs, and other funding

modalities? Do you have financial figures that document the different types of support? Can you please share your views on the pros and cons for the different types of support.

8. Aid Effectiveness Criteria

Can you please a look at the main aid effectiveness criteria that are commonly used in our work. In what areas is the SDC approach to development similar and in what areas is it different, and why?

HAND-OUT INTERVIEW GUIDE 1, FORM 3: AID EFFECTIVENESS ROSTER

Please explain how important/not important the principles of aid effectiveness are in your daily work (see form 3).

9. Trends and Recommendations

- 9.1 Are there new trends in the development and aid architecture for BE in your country/region that SDC should be more aware of?
- 9.2 How will the post-2015 Sustainable Development Goals impact your work?
- 9.3 What should SDC do to support your work in-country or in-region, and that of your colleagues, better?

FORM 1: OECD-DAC CRITERIA FOR EVALUATION OF DEVELOPMENT PROJECTS

<i>Relevance</i>	Are we doing the right thing? How necessary and useful is the project? Does it respond to local needs and the needs of the target group? Does it fill an important gap?
<i>Effectiveness</i>	Are the objectives of the project being achieved? Did it have the impact on the beneficiaries/target group that it was expected to have?
<i>Efficiency</i>	Are the objectives being achieved economically, with a reasonable effort, and in a reasonable time-span?
<i>Impact</i>	Does the project make a difference in terms of improving the overall situation of the target group (e.g., mitigating poverty, reducing discrimination, enhancing participation, etc.)
<i>Sustainability</i>	How likely is it that the objectives of the project will be pursued when the external funding ends? How sustainable are the project objectives?

FORM 2: ASSESSMENT OF DEVELOPMENT PARTNERS

To be filled out during interviews with SDC, bilateral donors, multilateral agencies, and SDC partners in Burkina Faso and in the Western Balkans

Name of Institution (representative) who filled out the survey:

Question 1: With which organizations have you had contact with regularly over the past few years?

1. Probing questions:
 - Are there any other bilateral donors you cooperated with?
 - Are there any other multilateral agencies you cooperated with?
 - Are there any other SDC partners you cooperated with?
2. Note for interviewers: please write the names of the organization in the first column.

Note to interviewers: complete the list of organizations in collaboration with the interviewees (see question 1).

2. Which 3 organizations are the ones with which you worked very closely?
3. Which 3 organizations are considered to be reliable partners?
4. Which 3 organizations have the reputation of being very innovative in their approach?
5. Which 3 organizations have projects that are very effective, that is, benefit the target group(s)?
6. Which 3 organizations are culturally sensitive and are responsive to local needs?
7. Which organizations have clear plans on how to ensure sustainable impact beyond the duration of the actual project?

DFID

EU Commission/Aid

GTZ

SDC

USAID

Government of the country

World Bank

GPE

AfDB-Fund

AsDB-Fund

Int Fund for Agricultural Development

UNICEF

UNWRA

UNESCO

Pestalozzi Children's Foundation

Helvetas Swiss Intercooperation

Enfants du Monde

Bread for All

Other bilateral donor [specify]

Other bilateral donor [specify]

Other bilateral donor [specify]

FORM 3: Aid Effectiveness Roster

Please explain how important/not important the five principles of the Paris Declaration on Aid Effectiveness are in your daily work:

	1 Not important	2	3	4	5 Very important
Ownership: The government needs to have ownership over the project, steer and monitor the project.	<input type="checkbox"/>				
Alignment: The project must be aligned with the education sector strategy/development strategy of the country.	<input type="checkbox"/>				
Harmonization: Donors must closely collaborate in the project.	<input type="checkbox"/>				
Managing for results: The projects must be based on baseline data, targets, and benchmarks and there must be measurable outcomes.	<input type="checkbox"/>				
Mutual accountability: Both the donor and the government must regularly report to each other about the progress in the project.	<input type="checkbox"/>				

ABBREVIATED INTERVIEW GUIDE FOR PARTNERS

Field-Based Case Studies, Interview Guides 2, 3, 4

Interviewees for Interview Guide 2:

Partners of SDC (institutional, local, regional, multilateral, other donors)

Duration:

1 hour

Focus:

Background: Role of partner vis-à-vis SDC

Section 3: General assessment of SDC Portfolio in Country/Region

Section 5: Relevance, effectiveness, efficiency, impact, sustainability (OECD DAC criteria) of the project in which the partner is involved

Section 6: Comparative advantage/disadvantage of SDC as compared to others

Note:

The various sections of the interview guide 1 will stay intact, but the foci will change depending on the interviewees. Additional interviewees may be included and the interview guide 1 will be accordingly shortened to focus on the experience and knowledge of the particular interviewees/informants.

For multilateral donors: the issue of trust-funds and other types of “bilateralization of multilateral aid”—which other bilateral donors use—will be explored.

ABBREVIATED INTERVIEW FOR FOCUS GROUPS

Field-Based Case Studies, Focus Group Interviews

Duration of focus group: 60 minutes, 5-9 participants

Depending on the composition of the focus group participants, focus on:

- 1) Comparative advantage/disadvantage of SDC as compared to others
- 2) Types of support, intervention modalities, funding mechanisms, cooperation strategies

ANNEX 3: Roster for Desk Reviews/Document Analyses (qualitative portfolio analysis)

A. Country Projects	
Project Title:	Country or Region:
Start Date of Phase:	End Date of Phase:
SDC Project Budget:	SDC Priority Theme 1:
SDC Priority Theme 2:	SDC Priority Theme 3:
Education Subsector/s:	Target Population:
Project Partners:	List of Documents reviewed:
Overall Goals:	
Intervention rationale:	
Key Activities:	Key Outputs:
Major Outcomes/Results	
Project Evaluations Conducted: Yes/No	Evaluation Findings and Recommendations:
Notes of Alignment with SDC BE strategy:	

B. Collaboration	
Project Title:	Country or Region:
Start Date of Phase:	End Date of Phase:
Project Partners:	SDC priority theme:
SDC Project Budget:	Partner Budget:
Education Subsector/s:	Target Population:
Lead partner:	List of Documents reviewed:
Overall Goals:	
Intervention rationale:	
Key Activities:	SDC Role:
Key Outputs:	Major Outcomes/Results
Project Evaluations Conducted: Yes/No	Evaluation Findings and Recommendations:
Notes of Alignment with SDC BE Strategy:	

Annex 4: Inventory of Available Documents for Burkina Faso and Roma Education BE Programs (Field-Based Case Studies) (Note to SDC Staff and CLP: please review and add)

DOCUMENT INVENTORY OF BURKINA FASO MATERIALS				
Document Title	Institution/ Author	Year of Publication	Audience	Document Type
Stratégie de Coopération Suisse au Burkina Faso 2013-2016	SDC	2013	International Development Community	Strategic Plan
Burkina Faso Rapport Annuel 2014 avec planification 2015	SDC	2014	SDC staff – internal use	Annual report
Page de Couverture, 7F-02255.01				Signed Credit Proposal/Budget Contract
KA Burkina Faso 70_01				Project description report
Annexe 1, Analyse du Contexte et des				Contextual and risk analysis report
Annexe 2, Résultats Globaux				Global Results chart
Annexe 2.1 Résultats Alpha 06-08	SDC	2006	Grantor and Grantee	Results of the ALPHA Program (chart)
Annexe 2.2, Résultats ATT 06-08				Presentation of the program with the Tin Tua Association (report)
Annexe 2.3 Résultats APENF 06-08				Presentation of the program with the APENF (Non formal Education Association (report))
Annexe 3 Budgets synthétique				Budget chart for the ALPHA program
Annexe 4 Résultats 1ère phase PDDEB				Results of the phase 1 of the Plan for the Development of Basic Education (PDDEB)

Document Title	Institution/ Author	Year of Publication	Audience	Document Type
Annexe 5, Check-list- Provisionnel				Check-list for the strategic definition and criteria retrieved from the SAP
Prot-OK-Sitzung-03-09-11		2006		Project Data Sheet
Rapport fin de phase du programme éducation de base phase 1 7F-02255.01				(End of project report (2006 to 2008)
Page de Couverture, 7F-02255.02				Signed Credit Proposal/Budget Contract
2. KA Burkina 70_02				Project description report
Annexe 1 Analyze du contexte et des risques				Contextual and risk analysis report
Annexe 2 Cadre logique				Program Conceptual framework 2009-2010
Annexe 3 Acquis du programme ALPHA				Results of the Alpha Program
Annexe 4 Indicateurs du PDDEB	SDC	2009	Grantor and Grantee	Indicators of the Plan for the Development of Basic Education
Annexe 5 Budget Education de base				Budget chart Basic Education
Annexe 6 A OSEO				Presentation of the OSEO/BF (Oeuvre Suisse d'Entraide Ouvrière)
Annexe 6 B Tin Tua				Presentation of the Tin Tua Association
Annexe 6 C TRADE				Presentation of the Training for Trade Association (TRADE)
Annexe 6 D Partenaires EdM_ASIBA, ASUDEC, nd...et Pinal,				Partners presentation (EdM, ASIBA, ASUDEC, Andal & Pinal, FDC)

Document Title	Institution/ Author	Year of Publication	Audience	Document Type
Annexe 6 E APENF				Presentation of the program with the APENF (Non formal Education Association)
Annexe 7 Education de base et genre				Gender and Basic Education
Annexe 8 Prot-OK-Sitzung-061026		2011		Project protocol
Annexe 9 PROJEKTFICHE				Project Data sheet
PV DAO Comité interne 06.04.09				Credit Proposal Recommendation
Annexe Rapport fin de phase EDB 09-12				End of project phase report 2009-2012
Rapport Fin Phase EDB 2009-2012		2012		End of operational phase report
Page de Couverture 7F-02255.03				Signed Credit Proposal/Budget Contract
KA Burkina Faso 70_03				Project description
Annexe 1a, PV du CO de la phase précédente éducation de base		2009		Acceptance Protocol from the previous phase
Annexe 1b, PV du CO de la phase précédente _FONAENF_	SDC		Grantor and Grantee	Support to the FONAEF and to the budget of the Treasury Special Account (Compte Spéciale du Trésor - CAST)
Annexe 2, Cadre logique éducation de base9.10.12				Program conceptual framework
Annexe 3, Budget détaillé PC Education de base		2012		Detailed education budget (2012-2015)
Annexe 4, Montage institutionnel				Institutional set-up of the cooperation programs

Document Title	Institution/ Author	Year of Publication	Audience	Document Type
Annexe 5, Analyse détaillée des risques				Detailed risk analysis
Annexe 6, Gender Equality Checklist				Checklist
Annexe 7, Fiche de présentation des partenaires opérationnels				Report of the operational fund and strategic partners for the program implementation
Annexe 8, PV comité lecture PC éducation de base				Internal additional credit proposal meeting
Annexe 9, PROJEKTFICHE_ALL				Project data sheet
Annexe a10, PV Comité d'appui à l'éducation de base Ph3 22 10 12				Credit Proposal Meeting
Page de Couverture 7F-02255.03				Signed Credit Proposal/Budget Contract
MKA Burkina 70_03				Additional Funding Justification
Ann. 1, Cadre logique pour l'éducation de base crédit supplémentaire	DAO (West Africa Division)	2014	Grantor	Conceptual framework for additional funding
Ann. 2, Budget détaillée. defin. PC Education. base crédit additionnel				Detailed budget for basic education
Ann. 3, PROJEKTFICHE_ALL				Project data sheet
Ann. 4, Présentation des Fonds d'appui à l'Education				Presentation of the FONAENF
Ann. 5, PV Comité d'opérations interne Crédit supplémentaire éducation de base				Internal additional credit proposal meeting
Project				Additional Credit Request

Document Title	Institution/ Author	Year of Publication	Audience	Document Type
Page de couverture 7F-04514.02	SDC	2005	Grantor and Grantee	Signed Credit Proposal/Budget Contract
2. Proposition de crédit Artisanat Proposition, texte				Project description
Annexe 1 Cadre logique du programme artisanat 1				Program conceptual framework
Annexe 2 Budget détaillée				Detailed budget for 3 first years
Annexe 3 Contexte et risque				Contextual and risk analysis
Annexe 4 Fiches signalétique FENABF, CAAB, UAG				Presentation of FENABF, CAAB and UAG
Annexe 5 PV du dernier comité				Recommendation of approval of the credit proposition
Annexe 6 Fiche de Projet				Project data sheet
Rapport de fin de phase				End of project report (2005 to 2007)
Page de couverture 7F-04514.02				Signed Credit Proposal/Budget Contract
2. MKA Burkina Faso 68_02	SDC	2014	Grantor and Grantee	Working document
Annexe 1, Extrait de compte Situation BF68 PHO2				Additional Credit Justification
Annexe 2, Taux d'échange 2008				Exchange rate chart

*Project description and characteristics. Global results, budget, and main partners and stakeholders

** This program has education as a small component

DOCUMENT INVENTORY OF ROMA EDUCATION MATERIALS

Document Title	Institution/ Author	Year of Publication	Target Country(ies)	Audience	Document Type	Document Summary
Swiss Support to Projects Focusing on Roma Population in Eastern Europe	SDC	2013	Serbia, Hungary, Romania, Bulgaria, Albania, Kosovo, BiH, & Slovakia	Grantor & Grantee	Chart/Map Image	<p>Lists brief descriptions of program type and funding amount (CHF) allocated to education programs in Roma population in Eastern Europe. Countries include Serbia, Hungary, Romania, Bulgaria, Albania, Kosovo, BiH, and Slovakia.</p>
Main Credit Proposal to Opening Credit Nr. 7F-00094.07	SDC	2013	Albania	Grantor & Grantee	Credit Proposal/Budget Contract	<p>Application for sum of CHF 1,400,000 to cover "Alternated Education and Vocational Training" program. Includes total detailed budget of CHF 1,800,000 for "Alternated Education and Vocational Training" project in Albania.</p>
Main Credit Proposal to Opening Credit Nr. 7F-04116.06	SDC	2012	Eastern European and CIS States	Grantor & Grantee	Credit Proposal/Budget Contract	<p>Application for sum of CHF 1,334,000 to cover the "Contribution to the Roma Education Fund" project. Includes a total detailed budget of CHF 2,273,000 for "Contribution to the Roma Education Fund" project.</p>
Credit Proposal - Joint Programme for Roma and Marginalised Groups Inclusion	SDC	2012	Serbia	Grantor & Grantee	Credit Proposal/Budget Contract	<p>Credit proposal form for "Joint Programme for Roma and Marginalised Groups Inclusion" project. Form includes a CHF 7,320,000 credit request. Also includes annex of background on project (provides ECE for free to marginalized children for social inclusion). Lists project's goal, target group, phases, and intervention strategy.</p>

Document Title	Institution/ Author	Year of Publication	Target Country(ies)	Audience	Document Type	Document Summary
Swiss Projects With a Special Focus on Romas, Cooperation with Eastern Europe	SDC	2013	Albania, Serbia, BiH, Kosovo, Romania, Slovakia, Bulgaria, & Hungary	Grantor & Grantee	Chart	Provides overview of all current SDC projects in the Western Balkans, as of July 2013. Overview includes brief description of projects and their start and duration periods. Separates projects by main focus (i.e. education; policy/public awareness; housing, education, employment, access to social services; security and rule of law; health; social services) and by country and amount (CHF) allocated.
Promoting Gender Equality: Good Practices of Swiss Cooperation in Albania	SDC	2010	Albania	SDC Staff	Report	Discusses SDC's role of incorporating good practices of gender equality in Albania. Highlights principles on gender mainstreaming with a goal to share policy guidance, tools and good practices developed so far in various areas of Swiss cooperation in Albania with partners and stakeholders. Presents principles, lessons learned, and potential areas to explore in the future.
Cooperation Strategy Serbia, 2014-2017	SDC	2014	Serbia	SDC Staff	Strategic Plan	Discusses SDC's relation with Serbia from 2014-2017. Strategy's overall goal is to contribute to Serbia's transition towards a stronger democracy, social inclusion, enhanced competition in economy, and increase energy efficiency and use of renewable energy.

Document Title	Institution/ Author	Year of Publication	Target Country(ies)	Audience	Document Type	Document Summary
Cooperation Strategy Bosnia and Herzegovina, 2013-2016	SDC	2013	BiH	SDC Staff	Strategic Plan	Discusses SDC's relation with BiH from 2013-2016. Strategy's overall objectives are: 1) local government and municipal services (rehabilitation and management of communal utilities such as water supply and sewage disposal); 2) economy and employment (address youth unemployment, create adequate job opportunities, supporting labor-market education and vocational training); 3) health (provide country with cost-effective and good quality primary care).
The Swiss Cooperation Strategy Macedonia, 2013-2016	SDC	2013	Macedonia	SDC Staff	Strategic Plan	Discusses SDC's relation with Macedonia from 2013-2016. Strategy's overall priorities and objectives include: 1) advance democratic governance at local and central levels; 2) adjust economic system towards a social market-based economy that creates jobs and growth; 3) enable further progress towards meeting international water standards and requirements.

Annex 5: Inventory of Available Documents for the 2 Desk Studies Plus and the 6 Regular Desk Studies)

(Note to SDC Staff and CLP: please review and add)

LIST OF MATERIALS FOR NIGER

Document Title	Institution/Author	Year of Publication	Document Type
Stratégie de coopération de la DDC au Niger, 2010-2014	SDC	2011	Strategic Plan
Division Afrique de l'Ouest Programme Annuel 2009	SDC	2009	Annual Report
Division Afrique de l'Ouest Programme Annuel 2010	SDC	2010	Annual Report
Division Afrique de l'Ouest: avec le thème Education et la Banque africaine de développement: Programme annuel 2011	SDC	2011	Annual Report
Division Afrique de l'Ouest: avec le thème Education et la Banque africaine de développement: Programme annuel 2012	SDC	2012	Annual Report
Division Afrique de l'Ouest: Réseau Education et Banque Africaine de Développement: Programme Annuel 2013	SDC	2013	Annual Report
Division Afrique de l'Ouest: Thème Education et Banque Africaine de Développement: Programme Annuel 2014	SDC	2014	Annual Report
Lignes directrices 2009-2012: Division Afrique de l'Ouest	SDC	2008	Guideline Report
Lignes directrices 2013-2016: Division Afrique de l'Ouest	SDC	2012	Guideline Report

LIST OF MATERIALS FOR HAITI

Document Title	Institution/Author	Year of Publication	Document Type
Stratégie de la Coopération Suisse en Haïti, 2014-2017	SDC	2014	Strategic Plan
Evaluation 2011/1: SDC Humanitarian Aid: Emergency Relief	SDC	2011	Evaluation Report

LIST OF MATERIALS FOR AFGANISTAN

Document Title	Institution/Author	Year of Publication	Document Type
Corporation Strategy Afghanistan, 2012-2014	SDC	2012	Strategic Plan
Afghanistan Annual Report 2014: With Planning Part 2015	SDC	2014	Annual Report

LIST OF MATERIALS FOR PALESTINE

Document Title	Institution/Author	Year of Publication	Document Type
NO DOCUMENTS			

LIST OF MATERIALS FOR MONGOLIA

Document Title	Institution/Author	Year of Publication	Document Type
NO DOCUMENTS			

LIST OF MATERIALS FOR SDC'S COLLABORATIONS WITH REGIONAL PARTNERS

Document Title	Institution/Author	Year of Publication	Document Type
NO DOCUMENTS			

LIST OF MATERIALS FOR BASIC EDUCATION WATER-BASED PARTNERSHIPS (TBD)

Document Title	Institution/Author	Year of Publication	Document Type
NO DOCUMENTS			

Annex 6: Summary of 2014 CCM Report Analyses of the Four Multilateral Institutions With Foci and Results Aligned with the BE Evaluation

Focal Analysis Questions

- What is basic education in the general theme of “education”?
- How broadly do we understand the holistic view of “education”?

UNRWA

EXTRACT FROM THE 2014 CCM ANNUAL REPORT

Management Level 1: Partner Organisation

- Expected development and humanitarian results of partner organisation :
 2. Results area (Outcomes and Strategic Objectives):
Knowledge and skills, in particular:
 1. Ensure universal access to and coverage of basic education
 2. Enhance education quality and outcomes against set standards
 3. Improve access to education opportunities for learners with special educational needs

Indicators

- Drop-out rate
- Student achievement levels against unified UNRWA testing
- Percentage of children with special educational needs of all children enrolled

Management Level 2: Switzerland

- Expected Outcome 1:
UNRWA's service delivery in the programme areas of Education and Relief and Social Services, as well as Infrastructure and Camp Improvement is improved
- Indicators Outcome 1:
 - Education and Relief and Social Services Reforms drafted, endorsed by the Advisory Commission and implemented as per UNRWA's work-plan (indicators related to the Education Reform will be reported on in 2013)
- Expected Output 1.1 by September 2014:
Switzerland supported improvements in education, skills development and access to employability
Planned activities (key activities only):
 - UNRWA's **Education Reform** is supported through active engagement within the Sub-Committee, bilateral funding and follow-up on specific issues in order to capitalize on achievements

- Expected Output 1.3 by September 2014:
 - Switzerland contributed to infrastructure maintenance and shelter rehabilitation in selected camps
 - Planned activities (key activities only):
 - A girls' school is constructed in Jordan coupled with School Based Teachers Development Programme

E+C ASSESSMENT: Definitively linked to the focus area of the BE evaluation. Also confirmed by the high percent for education given by OECD DAC to this multilateral organisation.

UNICEF

EXTRACT FROM THE 2014 CCM ANNUAL REPORT

Management Level 1: Multilateral Organization

- Overall Assessment of Progress

Number of out of school children was halved in the past decade. Improved access to formal primary education has contributed to reduce gender disparities, but rapid acceleration of progress is needed if universal primary education is to be achieved by 2015, in particular for girls.
- Proposal for coming Year (2015)

UNICEF should develop non-formal education for its innovative and catalytic effect, in particular in providing quality education for out-of-school girls.
- 2. Focus Area: Basic Education and Gender Equality

Outcome 2: Governments, communities and patent acquire the capacities and support necessary to fulfil their obligation to ensure the right of all children to free, compulsory quality education in all contexts, including humanitarian, recovery and fragile situations.

UNICEF Input 2013: 19.8% of total direct programme assistance.

 - Result area 2.1: improve children's developmental readiness to start primary school on time, especially for marginalized children.

Outputs (examples): UNICEF and its partners promoted, funded and facilitated universal primary education and gender equality through a wide range of interventions, including improving children's developmental readiness for school. In 2013, UNICEF supported 142 countries on education policies and programs. A public-private partnership with the LEGO Foundation ensured that 57,000 young children in 530 preschools had access to cognitive stimulating toys, and with support from the IKEA Foundation, UNICEF established community centres as alternatives to early childhood development services in the Republic of Moldova. This allowed 2,400 vulnerable children, including Roma, children with disabilities and those whose parents are migrants, to receive early education and care.

Outcomes: Global gross enrolment in pre-primary educations rose from 40% to 50% since 2005, but high disparities between regions persist (only at 17% in low-income countries). Between 2008 and 2013, the number of countries reporting universal school

readiness policies increased from 50 to 81 and the number of countries with early learning development standards from 45 to 64. The number of countries reporting that at least half their primary schools have adequate sanitation facilities for girls increased to 87, from 47 in 2008. An alarming trend, however, is that in Sub-Saharan Africa, a region where out-of-school rates and disparities between poor and rich as well as between rural and urban children are especially high, more than half of reporting countries indicate that their education budget has decreased. In general terms, government allocations to basic education continue to fall.

- Result area 2.2: Reduce gender and other disparities in relation to increased access, participation and completion of quality basic education.

Outputs (examples): UNICEF has piloted innovative programmes to improve participation and learning by the most disadvantaged girls, as a means of improving enrolment, attendance and retention. In 2013, UNICEF's Child Friendly School (CFS) initiative, its main model for the promotion of inclusive and gender-sensitive quality education, supported an additional 175,663 schools, reaching a global total of 789,598 schools.

Outcomes: 94 out of the 157 programme countries adopted quality standards on the basis of the CFS model and 68% of countries reported education sector plans (ESP) addressing gender disparities, an increase of 19% since 2005. Although overall gender gaps are narrowing, there are still 31 million girls of primary school age out of school. At the same time, other determining factors of exclusion from education such as poverty, political fragility, ethnicity, language, disability and location are persistent. In 2013, UNICEF advocacy led to the inclusion of policies to address suspected abuse, sexual harassment, violence and bullying in 77 national ESPs; 64 ESPs have actionable measures in place to address GBV in schools. Many UNICEF education programmes benefited from applying a gender mainstreaming approach. In Iraq, for example, UNICEF and UN-Women conducted a gender audit of curriculum and textbooks. In Somalia, UNICEF supported the Go to School programme, which employed community-level social mobilization mechanisms and female role models to increase girls' enrolment. Quality in education remains a great challenge. As recent evidence shows, more than 250 million children — over half of whom are in school — are failing to learn even the most basic skills. This underscores the need for education systems to deliver higher quality education and for countries to expand quality early learning programmes.

- Result area 24: Ensure that education is restored in emergency and post-conflict situations

Outputs (examples): In South Sudan, UNICEF and Save the Children led the education cluster to reach almost 71,000 children and young adults with temporary learning spaces and nearly 140,000 children and young people with school supplies and recreational materials. Almost 1,000 teachers and parent-teacher association members received training on education in emergencies, life skills and psychosocial support. In the Syrian Arab Republic, UNICEF has provided teaching and learning materials for more than 1 million children in all 14 governorates and in countries hosting Syrian refugees, UNICEF supported access to education and learning programmes for more than 267,000 children. In addition, more than 388,000 refugee children benefited from psychosocial support.

Outcome: In 2013, with the help of UNICEF a total of 3.6 million children accessed formal or non-formal basic education in emergencies worldwide. This is numbers, reached with great effort, are, however insufficient, considering that more than one half of

children who are out of school — about 28.5 million — live in conflict-affected countries where vulnerable children suffer from compounded disadvantages. In the context of the Syrian crisis, by the end of 2013, more than 60 ¾ of refugee children of school age were not enrolled in school, especially children living in non-camp settings, placing these already vulnerable children at even greater risk, including the likelihood of early marriage and involvement in child labour.

E+C ASSESSMENT: Linked to the focus area of the BE evaluation. A long narrative extract of the CCM report with plenty of concrete achievements.

Asian Development Bank

EXTRACT FROM THE 2014 CCM ANNUAL REPORT

Management Level 1: Multilateral Organisation

- **Outcome 1:**
Contribution of AsDB to promoting and achieving its three agendas, namely inclusive growth, environmentally sustainable growth and regional cooperation and integration, with special focus by Switzerland on environmentally sustainable growth and inclusive growth
Progress:

2013 Results on inclusive growth: The ADB contributed to declining poverty and to limiting increase of inequalities, mainly through its investments in infrastructure (70% of ADB's portfolio) and education. These created jobs and expanded economic opportunities. They also provided access to basic services such as:

- electricity (for 75'000 people, 70% rural),
- to water supply (for 861'000 households) and sanitation (for 499'000 HH),
- education (12 million students in Bangladesh, Kyrgyz Republic, Sri Lanka and Vietnam benefited from new or repaired schools; improved quality of education for 19 million students and training to 515'000 teachers).

Poverty, vulnerability and inequality are at the center of the proposed strategic adjustments of the MTR. The latter concluded that the ADB should strengthen its inclusive growth agenda by increasing its investments in health, education, social protection, food security, inclusive business, financial inclusion, lagging regions and by fostering governance and capacity development in its operations. Therefore and since this is the first year that we assess the inclusive growth agenda as a focus area, the rating on outcome 1 is lower than in 2013 and not 100% comparable to last year.

- **Outcome 3:**
Results in Strategy 2020 core operational areas achieved (Core Operational Results in Transport, Energy, Water, Finance, Education, Environment, Regional Cooperation and Integration), with special focus by Switzerland on water
Progress:
Development results: 6 projects improved water supply for 861'000 households in ADB countries (and 142'000 households in ADF), as well

as sanitation for 499'000 households. 3 operations in Bangladesh, the PRC and Vietnam improved 100'000 hectares of rural land, through irrigation, drainage and/or flood protection work, thereby reducing the risk of flooding for 400'000 households. See outcome 1 for specific development results in other infrastructure sectors and education.

E+C ASSESSMENT: Linked to the focus area of the BE evaluation.

IDA

EXTRACT FROM THE 2014 CCM ANNUAL REPORT

Management Level 1: Multilateral Organisation

- **Outcome 1:**

Overcoming poverty and boosting equitable economic growth in developing countries.

Description of progress:

Measures of progress in IDA Countries outcomes show overall improvement (Tier 1). The per capita Gross Domestic Product (GDP) of IDA countries increased despite the global crises, while the percentage of people living on less than US\$1.25 and US\$2 a day declined. Performance on access to key infrastructure has been good with significant improvements in expansion of telephone services and modest improvements in access to improved water source (access to water, 2010: 80%), while seriously lagging behind in sanitation (access to sanitation, 2010: 39%) There has also been progress on the education and other human development MDGs; however, most IDA countries are lagging behind on health-related MDGs. Significant gaps remain in statistical capacity and results monitoring in IDA countries, highlighting the need for IDA to step up efforts in these areas.

- **Outcome 4:**

Accelerating progress on gender mainstreaming and strengthening institutional capacities to promote gender equality

Description of progress:

Measures of progress:

IDA countries have made significant progress in advancing gender equality in recent years. In education, primary school completion for girls increased from 69 percent in 2005 to 79 percent in 2010 in IDA countries. The completion rate for boys increased from 78 percent to 83 percent during the same period. The ratio of girls to boys in primary and secondary school has increased from 89 percent in 2005 to 93 percent in 2010. In health, the under 5 mortality rate (per 1000 births) decreased from 101 in 2005 to 89 in 2010. Despite major progress, serious gender disparities persist in many countries. Some of the major challenges are: most regions are off track to achieve MDG5, to cut maternal mortality by three-quarters; gender segregation in economic activity and earnings gaps remain pervasive; and disparities in voice and agency persist.

E+C ASSESSMENT: Linked to the focus area of the BE evaluation.

Section 2a

Case Study Report

Burkina Faso

(in English)

Authors:

Gita Steiner-Khamisi, Oren Pizmony-Levy, Alamissa Sawadogo, Estefania Sousa

with support from Thomas Knobel, E+C Division, SDC

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List of Abbreviations and Acronyms

A & P	Anda et Pinal
ADEA	Association for the Development of Education in Africa
AFEB	Action de Formation en Ethique au Burkina Faso
AFT	Agence Française de Développement
AMT	Alphabétisation en Milieu de Travail
APENF	Association pour la Promotion de L'Éducation Non-Formelle
APESS	Association pour la Promotion de l'Élevage au Sahel et en Savanne
ASIBA	Association de Solidarité Internationale pour le Bazèga
BAD	Banque Africaine de Développement
BE	Basic Education
BuCo	Bureau de la Coopération
CAST	Compte d'Affectation Spéciale du Trésor
CE	Cours Elémentaire
CHF	Swiss Franc
CM	Cours Moyen
CP	Cours Préparatoire
DAO	Division Afrique de l'Ouest
DCEM	Direction du Continuum d'Éducation Multilingue
DDC	Direction du Développement et de la Coopération
DEDA	Développement et Éducation d'Adultes
DGAENF	Direction Générale de l'Alphabétisation et de l'Éducation Non-Formelle
DRINA	Direction de la Recherche, des Innovations en Éducation Non-Formelle et en Alphabétisation
FCB	Formation Complémentaire de Base
FDC	Fondation pour le Développement Communautaire
FONAENF	Fonds National pour l'Éducation Non-Formelle
GIZ	German Agency for International Cooperation
GoBF	Government of Burkina Faso
GPE	Global Partnership for Education
GPI	Gender Parity Index
ICAE	International Council for Adult Education/ICAE
ICREST	International Center for Restructuring Education, Schools, and Teaching
IDA	International Development Assistance
IIEP	International Institute for Educational Planning
MDG	Millennium Development Goal
MENA	Ministère de l'Éducation et de l'Alphabétisation

NFE	Non-formal Education
NGO	Non-Governmental Organization
NORRAG	Network for International Policies and Cooperation in Education and Training
ODA	Official Development Assistance
OSEO	L'Oeuvre Suisse d'Entraide Ouvrière
PAEB	Programme d'Appui a l'Éducation de Base
PDDEB	Plan Décennal pour le Développement de L'Éducation de Base
PDSEB	Programme de Développement Stratégique de l'Éducation de Base
PdT	Pédagogie du Texte
PNE	Politique National d'Emploi
PN-EFTP	Politique Nationale d'Enseignement et Formation Technique et Professionnel
PREPP	Le Programme Régional d'Éducation/Formation des Populations Pastorales
PRIQUE	Programme Régional Interinstitutionnel pour la Qualité de l'Éducation
PRONAA	Programme Nacional de l'Accélération de l'Alphabétisation
RIP	Réseau International pour la Promotion de la Pédagogie du Texte
ROCARE	Réseau de Recherche en Éducation
SCADD	Stratégie de Croissance Accélérée et de Développement Durable
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
SNAEF	Stratégie National pour l'Accélération de l'Éducation des Filles
SN-DIPE	Stratégie National pour le Développement Intégré de la Petite Enfance
TraDE	Training for Development
TVET	Technical Vocational Education and Training

1 Context

1.1 Mandate of the Independent Evaluation

This evaluation has been carried out by the International Center for Restructuring Education, Schools, and Teaching (ICREST) in New York. ICREST is affiliated with Columbia University's graduate school of education (Teachers College). The team leader is Gita Steiner-Khamisi, and the team members were selected based on the need for a triple expertise in basic education, aid effectiveness, and the geographic regions of the selected case and desk studies. Three of the team members visited Burkina Faso to meet with SDC and its local, regional, and global partners and visit SDC-funded projects. The field mission took place from March 12 to 25, 2015. Three members of the ICREST team visited Burkina Faso: Gita Steiner-Khamisi (team leader, based in New York), Alamissa Sawadogo (based in Ouagadougou), and Estefania Sousa (based in Luanda). In addition, Thomas Knobel from the E + C Division of SDC, based in Bern, accompanied the team and served as liaison between SDC and the ICREST.

The purpose of the overall independent evaluation is to provide SDC with a (i) valid, (ii) accurate, (iii) useful, and (iv) differentiated assessment of the performance of its BE programs globally. In this report, however, we focus on an evaluation of the BE programs in Burkina Faso and address our recommendations specifically to the Swiss Cooperation Office in Burkina Faso hoping that it finds our analyses and recommendations useful for its next strategy with regard to basic education.

The four main objectives of the evaluation are laid out in the inception report (p. 3 f.), notably an evaluation of the following:

- Alignment with strategic objectives of SDC in education
- Relevance and effectiveness of the BE projects
- Appropriateness and efficiency of SDC's implementation modalities
- Correspondence with international development agendas, standards, and "best practices"

The evaluation in Burkina Faso is based on meetings, visits, and a review of documents. It was relatively a comprehensive evaluation that included meetings with a total of 84 individuals who have worked for, or collaborated with, SDC Burkina Faso over the period 2007 - 2015. The evaluation team was also able to visit over ten SDC-funded projects in the Eastern and the Central-Southern regions of Burkina Faso. The exact list of interviewed persons and visited projects may be found in the appendix of the *Aide-Mémoire of the Field-Based Evaluation in Burkina Faso* (dated April 10, 2015, available from the E + C Division of SDC).

The meetings lasted 1 – 2 hours and the interviewees were open and forthcoming sharing documents and information during the meetings and, if necessary, following up with additional material after the meeting. The meetings were set up by the SCO in Burkina Faso, the regional SDC coordinator (based in Benin), as well as staff at the SDC headquarters in Bern at the E + C Division, the West Africa Division, and the division in charge of institutional partnerships. They were extremely helpful in making the arrangements, supplying us with relevant background information before the field-mission, and providing us with feedback to the de-briefing, the aide-mémoire as well as sections of this case study evaluation report.

1.2 Basic Education at a Glance

Under Education For All Burkina Faso adopted several policies and programs to improve an education system characterized by inefficiency and inequality. The first ten-year strategy for basic education (2000 – 2010), the Programme Decennal de Développement de l'Éducation de base (PDDEB), managed to secure broad donor support, including from

SDC, to enhance universal access to primary education. In 2010, the Government of Burkina Faso explicitly addressed non-formal education in its strategy for “literacy acceleration,” the Programme Nationale d’Accélération de l’Alphabétisation (PRONAA).¹ Recognizing the fact that Burkina Faso was globally one of the countries with the lowest adult literacy rates (28.7% in 2006), PRONAA set the goal of reaching a 60% literacy rate by the year 2015. The goal was ambitious and the ways of achieving them were creative and far-sighted. One of the theories of change that dominated SDC’s unwavering support for the alphabetization was the interesting mechanism of Faire-Faire. As will be explained later in this evaluation report, Faire-Faire was an attempt to diversify and augment the supply of non-formal education providers in an environment that had a huge demand for literacy programs.

Two years later, another multi-year sector-wide reform program was launched which for the first time also included pre- and post-primary education. This second program, entitled Programme de Développement Stratégique de l’Éducation de Base (PDSEB), began in 2012 and will last until 2021.² It managed to attract and coordinate donor support in five priority areas including non-formal education for adolescents and adults. The history of SDC’s support for BE is inextricably linked with its accomplishments in the area of alphabetization for adults, and later on for adolescents, in the non-formal education system as well as the strengthening of bilingual education in the formal education system. It is therefore necessary to briefly comment on both systems that exist side by side.

1.2.1 Formal Education

Education is compulsory for 6 to 16 year olds. Clearly, the two long-term reform programs succeed to substantially improve access to formal primary education (6 years of schooling): in the year 2000 the primary gross enrollment rate was only 42.7%. It almost doubled over a period of 12 years and stood at 81.3% in the year 2013³. Girls remain to be at a disadvantage when enrollment rates are considered even though gender parity improved considerably over the past few years. For example, over the period 2008 – 2012, gender parity for primary enrollment improved from 0.76 to 0.95.

The primary completion rate also doubled since 2000 but remains with 59.5% (2013) relatively still low as compared to sub-Saharan Africa standards. Even more so, completion is an issue at secondary level. Even though the lower secondary completion rate showed signs of progress, it still stands with a completion rate of 20%. In other words from those that enroll in formal education only close to 60% complete primary education and only 20% manage to survive lower secondary school. There is agreement among government, NGO partners, and donors that there is something (or many things) fundamentally wrong with the quality of the formal education system when students enroll, but then drop out as early as during the first grade.

There clearly exist vast regional and gender disparities in terms of dropout. In particular, there is an interesting pattern that is not sufficiently discussed in technical reports on Burkina Faso: as mentioned above, there are more boys than girls enrolled in school but there are more boys than girls dropping out of school. This trend deserves greater attention. As Table 1 shows, the dropout rates has improved considerably at the primary level (CP and CE) but has reached alarming levels over the past thirteen years at the upper primary school level (CM1; 5th grade). The dropout rate of boys is bigger than the one of girls: every 6th boy (15.4%) drops out of school at the CM1 level as compared to 11.8% of girls.

¹ Ministère de l’Éducation Nationale et de l’Alphabétisation. 2011. Programme National d’Accélération de l’Alphabétisation d’Ici à 2015. Ouagadougou: MENA.

² The PDSEB is aligned with macroeconomic policy strategies such as the Vision Burkina 2022, the economic growth and sustainable development strategy, the Stratégie de Croissance Accélérée et de Développement Durable (SCADD) or the national employment policy, Politique National de l’Emploi (PNE).

³ Source: MENA, annuaires statistiques de l’éducation, 2001, 2007, 2010, 2013.

Table 1: Dropout Rates in Burkina Faso by Gender, 2001-2013

Year	Cours Préparatoire 1st grade			Cours Élémentaire 2nd grade			Cours Moyen 5th grade		
	Boys (%)	Girls (%)	Total (%)	Boys (%)	Girls (%)	Total (%)	Boys (%)	Girls (%)	Total (%)
2001	6.2	5.9	6.1	9.6	7.8	8.9	9.4	8.9	9.2
2007	4.7	4.9	4.8	5.6	4.3	5.0	9.4	8.3	8.9
2010	6.3	6.8	6.5	7.7	4.8	6.4	15.3	12.3	13.4
2013	4.8	4.0	4.3	7.4	2.9	5.9	15.4	11.8	13.7

Source: DEP-MENA, *Synthèse de l'annuaire statistique 2012-2013*

The low survival rate in schools has many causes including an education system that is mostly monolingual, teacher centered, and disconnected from the realities and needs of resource-poor families. Leading efforts in this regard, SDC and its partners have supported initiatives to introduce student-centered instruction, bilingual education, and the teaching of relevant life and vocational skills that allow graduates to become economically productive. Even though parents are given the constitutional right to choose the language of instruction for their children, and 96.8% of the population speaks an African language,⁴ the overwhelming majority of schools only offer French as language of instruction.

Over the past twenty years, SDC and its partners have supported bilingual education both in the nonformal as well as in the formal sector. In the *nonformal* sector, the typical intervention modality is the following: SDC first supports local non-governmental organizations to pilot-test innovative methods and approaches, and then subsequently supports the accreditation of these practices.⁵ As a result, graduates from SDC-supported alphabetization courses, vocational skills development courses, or other nonformal education programs receive an officially recognized certificate upon completion of their course of study. The expectation of SDC is that the innovative practices (e.g., alphabetization courses, vocational skills courses, etc.) are scaled up and institutionalized—with SDC as well as other funds—once the government has accredited the piloted innovations. Needless to point out, institutionalizing innovative practices in the nonformal sector is by far more challenging than reforming the formal education system.

In the formal education system, the SDC-supported reforms in primary bilingual schools have been extremely successful. Today, a special department within MENA, Direction du Continuum d'Education Multilingue (DCEM), oversees bilingual and multilingual schools. SDC's institutional partner SOLIDAR closely cooperates with the government partner. In most cases, these schools used to be monolingual (referred to in Burkina Faso as "classique") and chose, driven by community demand, to transform into bilingual or multilingual schools using innovative pedagogical approaches. These schools are funded from the MENA-PDSEB budget. According to SOLIDAR, the number of enrolled students in primary bilingual schools increased tenfold over the period 2001 – 2013. In school year 2001-02, only 3,278 students were enrolled (of which 1,492 were female) whereas in 2013-14, the number of students enrolled in bilingual primary classes was 32,792 (of which 16,317 were female). As Table 2 shows, over the period 2007 – 2013 alone, the number of enrollments doubled. In school year 2007-8, there were 17,989 (of which 8,461 girls) and in school year 2013-14, there were a total of 32,792 enrolled students (16,317 girls). The growth of primary bilingual schools is reconfirmed when the number of schools is considered. According to MENA's semestrial monitoring report on PDSEB (August

⁴ Source: Ministère de l'Éducation et de l'Alphabétisation (2013). Programme de Développement Sectoriel de l'Éducation de Base. Ouagadougou: MENA.

⁵ In Burkina Faso referred to as "validation."

Table 2: Bilingual Primary Education (Formal) Enrollment in Burkina Faso, 2007-2014

	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14
Female	8,461	9,622	10,748	12,004	13,818	15,111	16,317
Male	9,528	10,575	11,560	12,577	14,587	15,413	16,475
Total	17,989	20,197	22,308	24,581	28,405	30,524	32,792

Source: SOLIDAR (March 2015), excel file.

2014), there were 127 primary bilingual schools in school year 2010-11.⁶ By school year 2013-14, there already were 212 schools.

A few words on context may be useful here. The first attempt to introduce bilingual education in Burkina was with the education reform of 1979-1984 but it was interrupted in 1983. In 1994, a joint cooperation between OSEO (now SOLIDAR) and the Ministry of education, experimented a new formula of accelerated bilingual education for primary students (using the country's three most spoken languages, Mooré, Dioula, and Fulfulde) inspired by the methods first used in adult alphabetization centers.⁷ There is a large gap that yawns between the official acknowledgment of the right of parents to choose the language of instruction for their children and the actual government support for bilingual education in formal schools. A case in point is the difficulty with accessing current data on bilingual schools in the formal education sector.

There used to be a massive shortage of teachers. Over the past fifteen years, the education sector managed to attract a large number of secondary school graduates, in particular females, to enroll in teacher education. Female teachers are particularly important for the enrollment of girls at secondary school level. Even though the ratio female to male teachers improved significantly at primary level, female teachers are still grossly underrepresented in the teaching workforce. At primary level the percentage of female teachers of the total teaching workforce is 38.4 percent, at the secondary level and upper levels it is much lower.⁸

1.2.2 Non-Formal Education

Burkina Faso is one of the few countries where the government is to this day committed to non-formal education of adolescents (9-15 year olds) and adult literacy as evidenced, among others, in the name of the line ministry: Ministère de l'Education Nationale et de l'Alphabétisation (MENA).

Figure 1 shows that the adult literacy rate (age 15 years and older) improved considerably over the period 1990 to 2015. UNESCO defines adult literacy as “the ability to read and write, with understanding, a short, simple statement about one’s everyday life” (UN 2008).

The adult literacy rate for females was 8.2% in 1990 (19.6% for males), then increased to 21.6% in 2010 (36.7% for men), and is currently projected to be 29.3% (43.1% for men).⁹ These literacy rates in Burkina Faso are much lower than the average for sub-Saharan countries where 61% of adults have basic literacy skills. In a similar vein, as shown in the next figure, UNESCO's global adult literacy benchmark to cut adult illiteracy by half over the period 2000 to 2015 was clearly missed in Burkina Faso. The Government of Burkina Faso established two targets: a youth literacy rate (15-24 years) of 60% by 2015 and a

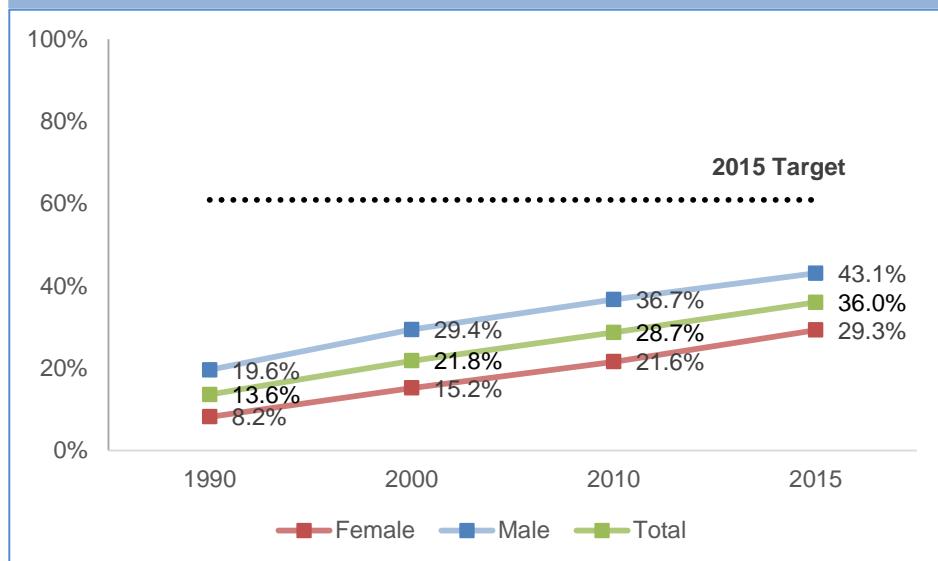
⁶ MENA. (2014). *Rapport semestriel de suive de la mise en œuvre du PDSEB*. Ouagadougou: Août 2014.

⁷ Kaboré, A.(2012). *Disparités de l'enseignement primaire et innovation pédagogique au Burkina Faso*. Revue International d'éducation de Sévres. Avril 2012. P 71-82.

⁸ Source: MENA, annuaires statistiques de l'éducation, 2001, 2007, 2010, 2013.

⁹ UNESCO Institute of Statistics. (2012). *Adult and Youth Literacy, 1990 – 2015. Analysis of data for 41 selected countries*. Montreal: UIS.

Figure 1: Burkina Faso: Adult Literacy Rate, 1991-2015



Source: UNESCO Institute of Statistics. (2012).¹¹

rate of 75% by 2021, of which 60% are women.¹⁰ As shown in Figure 1, the country is far removed from meeting the national and global targets for 2015.

SDC-funded programs systematically take into account gender as a transversal theme, enabling to measure progress in terms of gender parity. Table 3 shows the number of adults and adolescents who successfully graduated from literacy programs.

Table 3: Adolescents and Adults Graduates of Alphabetization Programs in Burkina Faso by Gender, 2009 - 2013

Year	Adults			Adolescents			Total		
	Total	Women	%	Total	Women	%	Total	Women	%
2009	415,016	251,447	60.5	14,835	5,775	38.9	429,851	257,222	59.8
2010	295,958	183,593	62.3	8,605	4,115	47.8	304,563	187,708	61.6
2011	312,179	202,874	81.6	8,030	3,689	45.9	320,209	206,563	64.5
2012	375,938	254,936	67.8	5,545	2,717	49.0	381,483	257,653	67.5
2013	369,771	252,946	68.4	7,058	3,469	49.1	376,829	256,415	67.7

Source: DEP-MENA, *Synthèse de l'annuaire statistique 2012-2013*

1.3 Government Priorities in the Education Sector

The current basic education policy and strategy for Burkina Faso is laid out in the Programme de Développement Stratégique de l'Éducation de Base (PDSEB) 2012-2021. It addresses the entire sector, even though there exist several additional strategies for subsectors within education¹². This sector strategy includes all of the formal and non-

¹⁰ See PRONAA (2012).

¹¹ UNESCO Institute of Statistics. (2012), *ibid*.

¹² For example, Stratégie Nationale d'Accélération de l'Éducation des Filles (SNAEF), Stratégie National pour le Développement Intégré de la Petite Enfance (SN-DIPE); or the Politique Nationale d'Enseignement Technique et Formation Professionnelle, the national program for technical and vocational education and training (PN-ETFP), amongst others.

formal basic education subsectors (preschool, primary, post-primary, literacy/ professional training and TVET) and aims at achieving the Education for All (EFA) and Millennium Development Goals (MDGs) in education by 2021. The main strategic priorities of the PDSEB are:

- Development of preschool education, extending from a gross enrollment ratio of 3% in 2010 to 11.3% in 2015, and at least 25% by 2021;
- Universal access by the year 2021, with a primary completion rate of 75% and gender parity by 2015;
- Suppression of the bottleneck from primary to post-primary education;
- Acceleration of the alphabetization with the goal of ending illiteracy, by alphabetizing all of the 9-15 year olds by 2021 and by alphabetizing/training the 15 year olds and more, taking at least 60% of the 15-24 year olds by 2015 and 75% by 2021, of which 60% are women.

In order to meet these goals, PDSEB is composed of five comprehensive reform programs (i) Development of access to basic education, by investing in infrastructure and recruiting staff, giving particular attention to preschool education; (ii) Improvement of the quality of the formal basic education, in terms of infrastructure, relevant curricula, community involvement, better teacher training and including transversal programs of health and nutrition; (iii) Development of non-formal basic education, as one way of improving the state of education in Burkina and not as a solution in the absence of a better alternative; (iv) Piloting of the basic education sector, to optimize the coordination, governance and resource allocation; and, (v) Efficiency and effectiveness of the PDSEB management, in order to guide the management of the program and monitor its implementation, while defining each stakeholders' role. While SDC subscribes to all five goals and financially supports all five areas, it has been entrusted with the leadership of the thematic working group on non-formal basic education.

As with sector strategies in other countries, the cost for implementing PDSEB was first calculated. Then, the Government of Burkina Faso was expected to cover the great bulk of the cost (84.4%). Finally, the funding gap was supposed to be closed with financial support of donors (10.2%) and other development partner (5.4%). In reality, however, the government is hard pressed to come up with the necessary funds. By 2015, it was only able to cover 76.07% of the cost for implementing PDES B resulting in a shortfall of approximately 320 million CHF projected for the period 2015-17.¹³ Against all affirmations to the contrary, the government clearly prioritizes access and quality of formal education as well as support for pilot programs as opposed to non-formal education. As Table 4 indicates, from the onset of PDDEB, donors and other development partners were expected to carry 41.7% of the operating cost in the non-formal education sector as compared to the government's share of 55.4%.

Besides contributing to CAST and FONAENF, bilateral donors such as the Netherlands, Switzerland, and a few others also provided direct grants to the non-formal education sector to keep it operational. In effect, donors cover more than half of the operational budget for non-formal education sector by paying into the CAST system (pooled funding of donors) or by direct bilateral contribution to FONAENF. It is for this reason that interviewee after interviewee urges SDC, the last major bilateral donor left in the non-formal education sector, to step up the policy dialogue and convince the Government of Burkina Faso to honor its financial commitment towards non-formal education so that the National Program for Accelerating Alphabetization (PRONAA) may be implemented more rigorously.

¹³ See SDC Additional Credit Request for Programme d'appui à l'éducation de base (PAEB) No. 7F-02255.03, p. 1.

Table 4: PDSEB 2012-2021 Funding Allocation by Source (in CHF 000 and %)

Source	Access		Quality		Nonformal		Piloting		Total	
	Cost	%	Cost	%	Cost	%	Cost	%	Cost	%
Government	143,717	91.7	18,118	80.8	4,650	55.4	30,376	66.8	196,862	84.4
Donors (CAST & GPE incl.)	12,953	8.3	3,831	17.1	3,505	41.7	3,457	7.6	23,748	10.2
NGOs/Associations	125	0.1	474	2.1	245	2.9	11,663	25.6	12,508	5.4
Total	156,795	100.0	22,424	100.0	8,400	100.0	45,498	100.0	233,119	100.0

Source: SDC Additional Credit Request, No. 7F-02255.03, p. 1.

1.4. Donor Involvement Analysis

Burkina Faso is highly dependent on international aid and 17.64% of the official development assistance (ODA) received by the country is through general budget support. According to Open Aid data, Burkina Faso received 51.3 million USD¹⁴ in aid for education of which 34.2 million USD was used for the basic education subsector. Overall, however, aid to education is relatively small: it only accounts for 6.19% of total ODA (1.1 billion USD¹⁵) allocated to Burkina Faso in 2012.. The Global Partnership for Education (GPE) is currently the largest contributor to PDSEB. In 2013, it allocated USD 78.2 million for the PDSEB educational reform.

SDC budgeted for the Basic Education Support Program (2006 – 2016) CHF 22,080,000. For the past ten years, Switzerland has been among the five largest donors in the non-formal education sector in Burkina Faso. Of those, Netherlands was until 2011 the largest donor in the BE sector. The other large bilateral donors of the past ten years in Burkina Faso have been Canada, France, Denmark and Japan. Recognizing Switzerland's importance as a development partner, it was charged to chair the donor coordination as of May 2015. Canada had served in that role for the past two years.

These major donors, including Switzerland, have aligned their support with the two government's education strategies. To date, two sector-wide programs were implemented: PDDEB over the period 2002 – 2012 and PDSEB from 2013 until 2021. PDSEB also includes pre-primary and post-primary education. At national level, SDC supports the government's reform program PDSEB in three ways¹⁶:

- The Compte d'Affection Spéciale du Trésor (CAST) a special treasury account that receives contributions from UNICEF, AFD, GPE, Denmark, Luxembourg, Canada and SDC. This account is not earmarked for special projects but rather constitutes budget support for the education sector strategy PDSEP 2013-21. CAST is managed by MENA, who has full ownership and decision-making power on how to allocate the resources. GPE, which is currently managed by AFD, contributes to approximately 40% of CAST's yearly budget.¹⁷ For the period 2015-2017, the funding gap for implementing PDSEP 2013-21 is approximately CHF 320 million. As part of SCO's additional credit request (No. 7F-02255.03), SDC provided an additional credit of CHF 1 million directly to CAST to help narrow the deficit.

¹⁴ Source: Open Aid data, 2014.

¹⁵ Source: World Bank, World Development Indicators.

¹⁶ As will be mentioned later, SDC also supports basic education programs in Burkina Faso with its regional programs and partnerships (e.g. RIP/PdT, PREPP, ADEA) as well as with its support of global institutions (IDA, GPE, IIEP, UNESCO, etc.) that operate in Burkina Faso.

¹⁷ Representative of GPE in Burkina Faso

- The Fonds pour l’Alphabetization et l’Éducation Non Formelle (FONAENF) – a fund composed by the CAST members and other financial and technical partners, as well as the Burkinabe government and the private sector. Technically, it is a privately organized fund. However, the majority of funds derives from government and donor sources and is, for the purpose of this evaluation, considered a government-affiliated fund. This fund focuses specifically on alphabetization and non-formal education. In 2014, FONAENF had a deficit of approximately CHF 7 million, which amounts to 40% of its total annual budget. Switzerland contributes to FONAENF in three capacities: as a member of GPE, as a CAST member and directly. Direct contributions of SDC were CHF 1 million (2012), CHF 500,000 (2013) and CHF 1.5 million (2014). In 2014, it provided an additional credit of CHF 1.5 million to FONAENF directly to help narrow the deficit of FONAENF.¹⁸
- Project support for SDC partners in Burkina Faso who implement BE projects in Burkina Faso, notably: SDC’s institutional partners (Enfants du Monde, OSEO-Solidar), local NGO’s (Tin-Tua, APENF, etc.), government partners (DEDA, DRINA, etc.), or regional partners (ADEA, PREPP, RIP/PdT, ROCARE, etc.)

For the last funding modality, SDC financially supports currently four so-called “strategic partnerships” with institutional and local partners in order to implement innovative programs in non-formal education:

- APENF (Association pour la Promotion de l’Éducation Non-Formelle), which is responsible for the promotion and advocacy of innovations;
- Enfants du Monde, contracted by SCO to support the introduction of Pédagogie du Text in non-formal education programs for 9-15 year olds and to create a linkage between basic education and vocational skills development (referred to as *continuum éducatif*). It has partnered with three local partners (ASIBA, FDC, A&P) to carry out the implementation;
- Association Tin Tua, an award-winning local NGO that is well known for its work in non-formal education;
- ES-CEBENF (Écoles Satélites – Centres d’Éducation de Base Non Formelle) and EFFORD – which are in charge of educational innovation, responses to post-primary continuum, in the non-formal sector for the 9-15 year olds.

However, since 2010 the trend of donors decreasing their aid to basic education in developing countries seems to have affected Burkina Faso greatly. Netherlands, a significant contributor to the CAST, claiming not having comparative advantage in the education sector,¹⁹ left the country in 2012. Canada and Denmark are also ending their bilateral support to the education sector.²⁰ Even though bilateral funding ended or diminished for these donors, they will continue their support by contributing to the Global Partnership in Education, to IDA, UNICEF, or other multilateral organizations. Overall, the withdraw of these donors and the decrease of funding from other donors that are still present in the country represented a loss of 53% in the Burkina Faso’s annual aid to basic education.²¹ In terms of non-formal education, SDC has remained the most active supporter and is considered the lead donor both in Burkina Faso and in the Western Africa region for non-formal education.

¹⁸ See additional credit request No. 7F-02255.03.

¹⁹ Winthrop, R. (2011). *Aid to basic education in developing countries under threat. Global Partnership for Education*. Retrieved from: <http://www.globalpartnership.org/blog/aid-basic-education-developing-countries-under-threat>

²⁰ According to the feedback from SCO Burkina Faso (received on June 12, 2015), Canada has in the meantime reconsidered its disengagement from education, and is currently drafting a support program that would enable them to remain involved until the year 2021.

²¹ Idem

2 Portfolio Analysis of SDC's BE Programs in Burkina Faso

The financial portfolio analysis uses three data sources to trace SDC's spending for basic education in Burkina Faso:

1. SAP database of SDC (actual spending)
2. Credit proposals (projected and planned spending)
3. Financial accounts of SCO Burkina Faso (actual spending)

It is recommended to consider all three data sources because they apply different methodologies for providing financial information on SDC-funded programs and span over different time periods. As a corollary, they are not comparable.

2.1 Data Source: SAP Database, 2007 - 2013

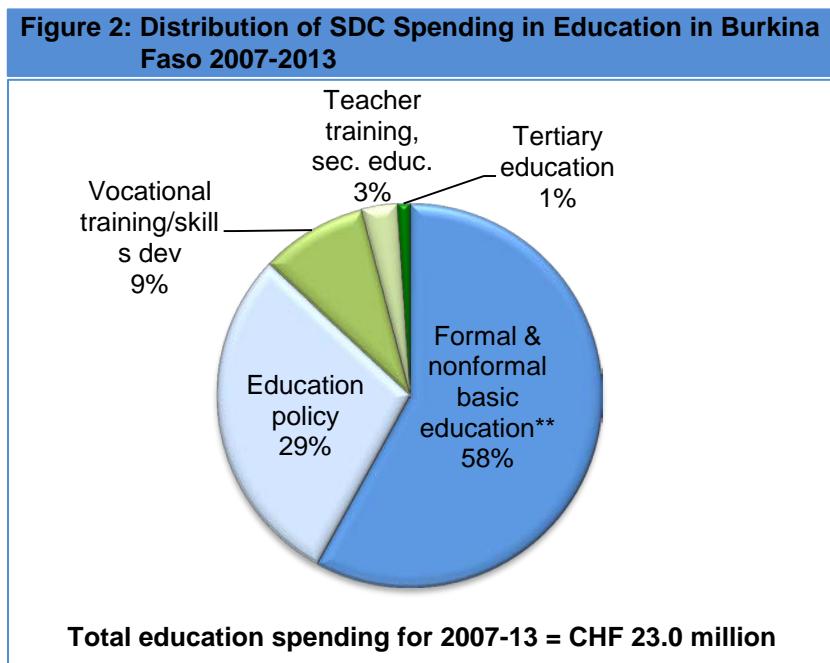
For the purposes of this evaluation, basic education (BE) is considered to be all of SDC's initiatives that are classified as focusing on the following three subsectors in education: (1) formal basic education; (2) non-formal education; and (3) education policy. SDC developed the classification that distinguished *formal basic education* from *non-formal education* starting from 2012. Prior to 2012, SDC categories were *primary education* and *secondary education*. To allow for consistency in analyses of expenditures over time, we collapsed all categories into one category, *formal and non-formal basic education*.

The analysis was conducted using SAP, which is SDC's database of expenditure data at central level.

From 2007 to 2013 SDC's total education sector bilateral

spending (actuals) in Burkina Faso was CHF 23.0 million, of which 88% (CHF 20.2 million) comprised the agency's expenditures in basic education. Figure 2 shows the distribution of SDC's total bilateral education spending in Burkina Faso from 2007 to 2013 by five education subthemes. Spending in formal and non-formal basic education initiatives in Burkina Faso comprised 58% of the agency's total education expenditures, and policy-focused initiatives comprised 29% of spending during this period.

From 2007 to 2013 SDC's total basic education bilateral spending in Burkina Faso was, according to the SAP database, CHF 20.2 million. Burkina Faso, ranked as the top recipient of SDC BE bilateral aid for this six year period, not only among countries in Africa, but also among all countries in which SDC contributes bilateral aid to basic education.



**Prior to 2012 these categories were "primary and secondary education."
Source SDC SAP database

2.2 Data Source: Credit Proposals for the BE Support Program, 2006 - 2016

SDC's Basic Education Support Program (Programme d'appui à l'éducation de base) in Burkina Faso started in 2006 and is currently in its third phase. The budget for phases 1, 2, 3 is distributed as follows : CHF 4.63 million for phase 1, 4.95 million for phase 2, and 12.5 million for phase 3. For the third phase (December 1 – December 31, 2016), SDC approved two proposals: a regular credit proposal (CHF 10 million), followed by an additional credit of CHF 2.5 million.

As Table 5 shows, the average annual budget for the program increased steadily over the past few years: CHF 1.7 million (phase 1), CHF 2.8 million (phase 2), CHF 3.3 million (phase 3) per year, reflecting SDC's strong and continuous commitment to basic education in Burkina Faso.

Table 5: The Credit Proposals of SDC's Basic Education Program Support Program in Burkina Faso, 2006 – 2016

Phase	Duration	Approved Amount (in CHF)
Phase 1: 7F-02255.01	Dec 1, 2006 – Sep 30, 2008	4,630,000
Phase 2: 7F-02255.02	May 1, 2009 – Apr 30, 2012	4,950,000
Phase 3: 7F-02255.03	Dec 1, 2012 – Dec 21, 2016	10,000,000
Phase 3: additional request		2,5000.000
Total for 3 Phases		22,080,000

Source: SDC Credit Proposals

2.3 Data Source: Financial Accounts of SCO Burkina Faso

SCO Burkina Faso has compiled information on actual spending over the period 2008 – 2014 in the program Basic Education Support Program (No. 7F-02255).²² In concert with what was mentioned in this report earlier (see section 2.2), spending in basic education increased over the past few years. Overall, there are four institutional partners—Helvetas, SOLIDAR, Terres des Hommes Suisse, Enfants du Monde—that operated in the Burkinabé basic education sector since 2008.

SDC allocated over the period 2008 - 2014, 47 percent of the budget or CHF 4.3 million of its Basic Education Support Program (No. 7F-02255) to local partners (mostly to APENF, TinTua, TraDE). Approximately CHF 2.5 million or 28% was granted to government or government affiliated partners such as FONAENF or DRINA. The Swiss institutional partners (Enfants du Monde and OSEA-SOLIDAR) and the international NGO RIP received 25% of the budget of the program 7F-02255 (Basic Education Support Program) or, expressed in monetary terms, approximately CHF 2.2 million over a period of six years.

²² We would like to acknowledge our gratitude to the SCO Burkina Faso, in particular to Daniel Schneider who has provided the requested financial information.

Table 6: SDC's Basic Education Support Program (No. 7F-02255) by Type of Partner, 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Total 2008-14
Local Partners								
AFEB				10,782				10,782
APENF		549,249	603,890	387,425	218,116	184,910	277,222	2,220,812
Association Burkina Livres		25,917						25,917
ATT Association Tin-Tua	552,574	145,224	387,956		256,162	300,032	111,090	1,753,038
Manivelle Productions/ E&C	12,460							12,460
Subtotal								4,023,009
Government Partners								
D.G./RIEF					70,545			70,545
DEDA		81,874		17,594				99,468
Départm de Linguistique, UO				6,362				6,362
DGAENF				6,064				6,064
DRINA		485,828						485,828
FONAENF					939,000	927,000		1,866,000
Institut des Sciences (INSS)			10,435					10,435
Subtotal								2,544,702
Swiss/International NGOs								
Enfants du Monde			207,651	222,136	434,667	444,908	221,145	1,530,505
OSEO-SOLIDAR	249,200		155,940	139,140	146,874			691,154
TraDE (Training for Development)			93,352	49,240	65,394	22,536	55,170	285,692
Rés Int. Prom. Péd. Du Texte	7,384							7,384
Subtotal								2,514,735
Total	821,618	1,288,092	1,459,224	838,743	1,191,758	1,891,386	1,591,627	9,082,448

*Note: audit charges (CHF 57,036) and honorarium for local expert (CHF 2,804) are excluded.

Source: SCO Burkina Faso, May 2015.

Figure 3 lists the contractors of SCO Burkina Faso. This specification is important for the following reason: For example, Enfants du Monde is the main contractor, but in effect it shares its budget with three local NGOs (ASIBA, FDC, A&P) who implement the program. Thus, local NGOs receive (indirectly) more than the actual figures would suggest. In addition, it is important to bear in mind that SDC's overall financial contribution is larger than the figures provided in Table 6.

The amount of CHF 9,082,447, spent over the period 2008 to 2014, only covers program or project support at national level. As mentioned earlier, SDC makes use of program/project support (No. 7F-02255) as well as three other channels to support basic education in Burkina Faso:

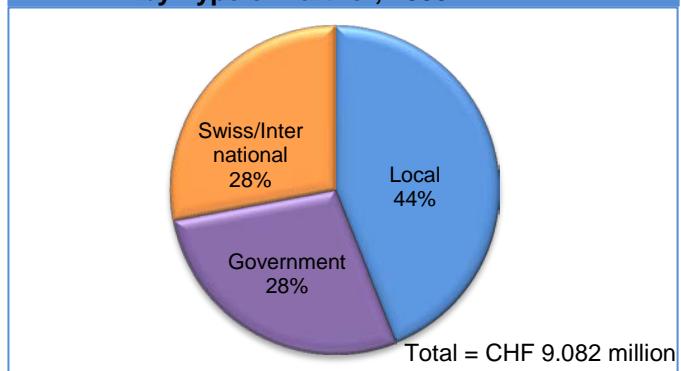
- *Program or project support*, that is, support of local, institutional/international and government partners as part of its Basic Education Support Program (No. 7F-02255), listed in the table and figure above (bilateral contribution);
- *Budget support* to the treasury fund CAST, that is fed by 7 donors/development partners (bilateral contribution). This contribution is included in the table and figure above. For example, there is an outstanding balance to CAST of 2,872,560 as of May 2015;
- *Multilateral support*: Support of IDA and GPE in the form of multilateral financial contribution;
- *Regional project support and core contributions for regional partners* in the West Africa region: The two largest regional programs have been: PRIQUE/PdT and PREPP. The third phase of PRIQUE/PdT lasted for three years (2011-2014) and had a budget of CHF 2.9 million. The current large regional program PREPP lasts for three years (2013-2016) and has a budget of CHF 9.4 million. In addition, SDC provides core contribution to ADEA and the African Development Bank.²³

2.4 Non-Comparability of Data Sources

It is a problem that there is not one data source that would provide valid financial data. The SAP database does not provide reliable information on bilateral versus multilateral spending nor on how much was disbursed by type of partner. The latter is possibly a matter of divergent interpretation or misunderstanding between the field-based SDC staff who feeds the database and the central level experts, based in Berne, who evaluate the data. It is an interesting misunderstanding that is worth disclosing in full:

The SAP manual (page 1 and 2) lists twenty organizations under “Non-Governmental Organizations – International/Foreign” such as, Aga Khan Foundation (code 13003), Handicap International (code 13061), Norwegian Refugee Council (code 13065), Oxfam (code 13066), Non-profit Organizations of South/East (code 13072). The last category is entitled “Non-profit organizations of South/East” (code 13072) and includes organizations in the Global South/Global East (in this case, in Burkina Faso) that receive SDC funding. Therefore the SAP database understandably classified Burkinabé NGOs such as, Tin Tua,

Figure 3: SDC's Basic Education Support Program by Type of Partner, 2008-14



Source: SCO Burkina Faso, May 2015

²³ Fiche technique 7F-03114.03: Programme régional interinstitutionnel pour la qualité de l'éducation par la Pedagogie du Texte (PRIQUE/PdT), Phase 3 (01.05.2011-30.04.2014); Fiche technique 7F-06852: Programme Régional d'Education et Formation des Populations Pastorales en zones transfrontalières (PREPP), 2013-2016.

APENF, etc. under code 13072, skewing the results in ways that suggest a disproportionate high allocation to international/foreign NGOs. Arguably, these local NGOs are only international/foreign for those SDC staff based at the headquarters in Bern. For those based in Burkina Faso, they clearly are “local partners” and coded as such.

There are too many inconsistencies between the three financial data sources to enumerate here. It is problematic that none of the three data sources alone provide an accurate picture of SDC spending for a particular sector (in this case education; or more narrowly basic education) in a particular country (in this case Burkina Faso).²⁴ Given the major inconsistencies, it is not surprising that SAP is exclusively used for reporting purposes rather than for internal planning, monitoring and evaluation.

3 Key Evaluation Findings

There are numerous accomplishments in basic education and skills development for which SDC and its partners are credited. The following highlights in an exemplary manner three accomplishments to point out the wide range of SDC's impact in Burkina Faso:

- Reach and size of beneficiaries: SDC has been the primary bilateral donor who advocates or and financially supports the non-formal education sector. Over the period 2013 – 2014 alone, approximately 320,000 adults benefitted from literacy courses and professional skills development courses (of which over 60% are women) that enabled them to improve their livelihood;
- Efficiency: SDC supports the strengthening of local governance and community participation. In 2014, the first steps for a comprehensive decentralization reform were taken as a result of which, for example, local governments will be put in charge of registering, requesting, approving and monitoring non-formal education programs in their district.
- Policy dialogue: SCO assumed in 2013 the vice-presidency in the Thematic Working Group on Nonformal Education of PDSEB in Burkina Faso. Similarly, SDC is also the main donor of ADEA who leads reform efforts in the areas of non-formal education as well as technical and professional skills development throughout the region. SDC has taken on an institutional leadership role in ADEA's Working Group for Nonformal Education and functions, together with other actors such as the UNESCO Institute for Lifelong Learning (UIL) which provides technical and strategic support to the Working Group, as a reliable and long-term donor for implementing, advocating for, and funding nonformal education at national, regional, and international levels. For example, SDC funds advocacy groups, notably, APENF or ICAE that promote nonformal education or adult education, respectively. There is agreement among the SDC staff in the region that the outcomes achieved vary from country to country but that in general Switzerland is well recognized for its leadership role in nonformal education in general and, in the case of Burkina Faso, for bilingual education (both in nonformal and formal education).

Given the long-term involvement of SDC in Burkina Faso and the current volume of its Basic Education Support Program 2007-2016 (over CHF 9 million), there are too many accomplishments to enlist. In an attempt to structure the main findings, this report addresses the four key evaluation questions that the CLP group identified as essential: (1) alignment with SDC strategic objectives, (2) relevance and effectiveness of the BE projects, (3) appropriateness and efficiency of SDC's implementation modalities, and (4)

²⁴ For example, the SAP database correctly lists the contribution for the vocational skills development programs in Burkina Faso, coordinated by Terres des Hommes Suisse (CHF 0.09 million) under “contribution to Swiss NGOs” in BE. In the database of SCO Burkina Faso, however, the only two institutional/Swiss partners listed as having received funding were Enfants du Monde and OSEO-Solidar; most likely because SCO Burkina Faso do not count them under BE but rather under vocational-technical education.

correspondence with international agendas, standards and “best practices.”²⁵ In this report, detailed scrutiny is placed on alignment with existing strategies that SDC pursues at regional and national level in Burkina Faso. These strategies reflect the “donor logic,” that is SDC’s theory of change in the field of development and cooperation. In an utilization-focused evaluation, the organizational culture, belief system, values and theories of change need to be taken into account. To do justice to SDC’s donor logic, it is essential to compare SDC’s strategic priorities with the actual outcomes in country. For this reason, the next section 3.1 (alignment) is more detailed than the other three sections.

3.1 Alignment with SDC Strategic Objectives

SDC does not possess a global education strategy against which the actual implementation could be assessed. In the absence of such a strategy, the evaluation uses the general SDC vision of education, the 2012 strategy guidelines of SDC’s West Africa Division, and the SDC Country Cooperation Strategy 2013-2016 as conceptual frameworks.²⁶ Both are aligned with the Swiss Parliamentary Message on International Cooperation 2013-2016.²⁷ In addition, the evaluation examines how and to what extent the two transversal themes – gender and governance – have been implemented in SDC’s BE programs in Burkina Faso.

The regional guidelines of the *West Africa Division* list ten principles, three implementation modalities, and the following three intervention areas as strategic priorities:²⁸

- Holistic vision of education and rights-based approach to education
- Relevant education that takes into account the language of instruction and curricular content
- Improved access to basic education and skills development for excluded groups such as, for example, non-enrolled children and youth, illiterate girls and women, and rural population.

In Burkina Faso, the area of basic education and vocational education constitutes one of four priority areas of SCO’s country cooperation strategy, along with rural development and food security, decentralization and local governance, and macroeconomic management. As with all SDC funded programs, the SCO of Burkina Faso pursues considerations of gender and governance transversally. The 2014 Annual Report of Burkina Faso succinctly summarizes the internal review of the basic and vocational education programs. Overall, the internal review scores the accomplishments in the SDC education sector as “satisfactory” (green color)²⁹. It recommends a continuation of the existing focus and the current intervention modalities in 2015 and highlights the important role that Switzerland will assume as lead donor in the education sector starting in May 2015. This evaluation shares the overall positive assessment of the internal review. It uses this momentum to reflect on a few areas that call for a strategy discussion for medium-term and long-term planning, that is, after 2017.

²⁵ See Inception Report, p. 4f.

²⁶ DDC, Direction du développement et de la cooperation, Division Afrique de l’Ouest (2012). *Lignes Directrices 2013 – 2016*. Berne: DDC; DDC. (2013). *Stratégie de coopération Suisse au Burkina Faso*. Bern DDC.

²⁷ Schweizerischer Bundesrat. (2012). *Botschaft über die internationale Zusammenarbeit 2013 – 2016*. Bern: Bundeskanzlei.

²⁸ The ten principles of the West Africa division are listed as follows (see DDC DAO, 2012, p. 11): «niveaux, proximité, partenaires, concentration, continuité, subsidiarité, résultats, participation, durabilité, sensibilité aux conflits. » The three levels of are « la coopération régionale, la coopération multilatérale, la coopération avec d’autres donateurs» (ibid., p. 11).

²⁹ DDC Bureau de la cooperation Suisse au Burkina Faso. (2014). *Burkina Faso. Rapport annuel 2014 avec planification 2015*. Ouagadougou: BuCo DDC, pp. 7-10.

3.1.1 Areas of Close Alignment: Proximity, Partnerships, Continuity, Participation and Sensibility for Conflict

SDC became prominent in the education sector in the late 1990s with its adult alphabetization programs. The data collected from interviews and our own ratings suggest that the SDC-funded national and regional programs in Burkina Faso unequivocally reflect the three intervention areas that the West Africa Division of SDC identified as priority areas: *all* the basic education programs that the evaluation team reviewed satisfy all three conditions, that is, they are holistic *and* relevant *and* target disenfranchised group. This assessment is clearly shared by SDC's local, national, and regional partners operating in Burkina Faso. This is no small feat given the large network of SDC partners in the country. This triple orientation shapes the reputation of the SDC-funded BE programs: SDC is highly regarded for its work in bilingual education, its commitment to the right to education and therefore to life-long learning including financial support to literacy programs for adults and adolescents, and a conceptualization of education that links literacy as well as vocational skills development to real life situations, empowerment, improved livelihood, and income generation. Precisely, because it targets those that are most disenfranchised, it focuses on those that never enrolled, were left out, or dropped out from the formal education system. It primarily does so by strengthening non-formal education.

From the ten features that are supposed to guide SDC operations in the region (see DDC DAO, 2012, p. 11), a few principles are implemented more visibly than others. The following features of the SDC technical approach have been repeatedly named, both by SCO and its partners, and have shaped the good reputation of SDC in Burkina Faso: *proximity, partnerships, continuity, participation and sensibility for conflict*.

A few quotes from interviews may help illustrate the points made during interviews:

Switzerland has focused in a small number of countries and goes into depth... and they have a different approach to different cultures. They do not give the same lesson to everyone. (Interview, representative of a regional partner)

The Swiss have a very positive reputation in their relationship not only with civil society organizations but also with the government. (Interview, representative of a bilateral donor)

SDC's support to non-formal education is long lasting. More than the volume of the contribution given, we highly value their continuous and durable support to the sector. (Interview, government institution)

DDC is a unique partner. It has a noble vision of the partnership, based on respect, communication and flexibility. (Interview, representative of a local partner)

There is a great difference between “une école du village” and “l’école au village.” The school belongs to the community and needs to reflect the language and the needs of the community. This is the true meaning of “proximity. (Interview, representative of SDC)

Clearly, the excellent reputation of SDC in Burkina Faso is shaped by an unwavering commitment to proximity, partnerships, continuity, participation and sensibility for conflict that were manifested in the SDC-funded programs. The fact that these major accomplishments are only briefly mentioned in this report should be read as a sign that these aspects of SDC intervention were unambiguously identified as strengths, comparative advantage, or as elements of a clearly discernible “trade mark” of Swiss development assistance and cooperation.

In comparison, the points of loose alignment or non-alignment, respectively, presented in the next section, are discussed in greater detail because the explanations serve to illustrate and explain as much as possible the probable reasons for the weak link with SDC's strategic priorities.

3.1.2 Areas of Loose Alignment

There are five areas in particular that deserve greater attention.

3.1.2.1 Multi-level Technical Approach

According to the interviewees, the greatest strength of the SC-funded BE programs is at the micro level in that the SDC-funded programs indeed ensure that the beneficiaries improve their literacy skills and thereby enhance their livelihood. At the same time, there was almost unanimous belief among the institutional, national, and local partners of SDC that SDC should do more in terms of policy dialogue to sustain changes at macro level. Among the interviewees, there was only one person who reinforced SDC's focus on individual beneficiaries. Notably, a senior member of one of the national organizations, that SDC has been supported for year, deplored the fact that "DDC est en train d'oublier sa vue micro." In his view, SDC is providing too much budget support, pooled funding, collaboration with the Government and therefore risks loosing its emphasis on the micro level. The urge for more policy dialogue was expressed by a great number of interviewees.

We interpret this nearly unambiguous finding against the worry that funding for non-formal education may dwindle over the next few years because of its great reliance on Swiss funding. At regional level, SDC is actively involved in building advocacy and policy networks for non-formal education, for example with its active participation in ADEA, and in developing the capacity of institutions (teacher training institutions and research institutions/universities) to reproduce a cadre that carries out training and analytical work in the education sectors of the participating countries. Also at the level of multilateral cooperation in Burkina Faso, SDC has the reputation among donors and development partners for its advocacy for bilingual education (formal and non-formal), vocational skills development, and in general for non-formal education. Thus, the recommendation to engage in greater policy dialogue addresses specifically the national level, expressing a concern of SDC's partners that the Government of Burkina Faso has not sufficiently taken on ownership and responsibility for implementing the reform agendas to which it committed on paper, notably, the ones listed above which are strongly supported and co-funded by SDC.

There were different explanations as to why SDC has not engaged more actively in a policy dialogue. One of the explanations put forward by a few interviewees was the fact that SDC project partners tend to work at community level and actively promote decentralization. According to one of the institutional partners who noticed the trend, the focus on the local level accounts for the lack of policy dialogue at the national level. One of the local partners urged the evaluation team to convey to SDC that

[W]e are able to carry out the innovations and make an impact at the micro level. SDC should not worry about us. We are doing our job. But we need SDC to speak with the government for lasting changes to happen. They [Government] don't take us seriously, but they will take SDC very seriously. (interview, local partner [FDC]).

Another explanation for the shortcomings in terms of policy dialogue had to do with the division of labor in the Faire-Faire collaboration model, pursued in the non-formal education sector, notably by FONAENF. The division of labor between government, the private sector/donors, and local implementers was introduced to diversify the supply of adult alphabetization programs and to scale up the programs at a faster pace. According to Faire-Faire, the government is supposed to be the regulator (including accreditor), the local nongovernmental organizations the providers, and the private sector as well as the donor community the financiers. The evaluation report of the Faire-Faire model (2012) explains the rationale for this collaboration mechanism. Major changes have occurred, however, that require an adaptation of the Faire-Faire model to the new realities, notably the vertical shift of decision-making authority from the national to the local level and the fact that all major bilateral donors ceased to directly support literacy programs except for

Switzerland and to a smaller extent Denmark. According to the 2014 Annual Report of FONAENF,³⁰ only 58% of funding requests of local implementers could be approved due to the financial constraints of the Fonds National pour l'Éducation Non-Formelle. Given the changed aid architecture in non-formal education and the lack of private sector involvement in education, it is necessary to make changes at the meso level by introducing more cost-effective, innovative alphabetization methods, by focusing on scaling-up programs, and in the long term by reconceptualizing literacy programs as intersectoral programs, rather than stand-alone literacy programs, thus mobilizing funding from other sectors (agriculture, labor and economy, health, social services, etc.).

It is important to note that SCO Burkina Faso has divergent views in terms of policy dialogue and multi-level intervention.³¹ From their perspective, investing in capacity building of government officials by enabling them to participate in IIEP professional development opportunities, financing the validation or accreditation of pilot-tested innovations, or chairing the working group on nonformal education are all expressions of their multi-level engagement. However, the evaluation reiterates the consistent finding, shared by SDC's partners in Burkina Faso that, despite such valuable efforts carried out by SDC at national and regional level, more needs to be done to systematically engage the government in nonformal education.

The interviewees highlighted the work of OSEO-SOLIDAR as an example of sustainable multi-level intervention at micro, meso, and macro levels. As the social network analysis in chapter 4 shows, all types of SDC partners, including regional ones, positively commented on the close collaboration between SOLIDAR and the government. This applies especially to their work on bilingual education in the formal education sector. As with all renowned projects, SOLIDAR was able to build its excellent reputation over years of close cooperation, effective technical approaches, and committed employees who are internationally respected as experts of bilingualism and education, such as Paul Taryam Ilboudo. There is a need to follow how SOLIDAR's more recent work on multilingual education will unfold. The SDC partners highlighted the SOLIDAR collaboration with the Burkinabe as exemplary for others and as a type of work at macro level that will help sustain changes at the micro and meso levels.

As will be shown later in this report, the decentralization reform is an opportune moment for SDC to draw on its experience and belief in participatory development to strengthen the role of government. The decentralization reform could serve as a policy window to strengthen the capacity of the state to exert a regulatory role at the local level *with* participation of the community.

3.1.2.2 Concentration

The decentralization reform is an opportunity to remedy the current situation where some districts are orphaned in terms of BE provision (formal and non-formal) and others have two or more different local providers pulling in different directions and competing over "clients" for their educational programs.

A good case in point is one of the visited projects during the field mission of this evaluation. Upon the request of the community, a SDC-funded non-formal education provider opened a non-formal education program in a village where there was no (formal) school in place. A year later, the community leaders, convinced of the high value of education, requested from the district education authorities to establish a formal school with one classroom. Their request was granted and the village now offers two types of education programs side by side: an age-heterogeneous group of students (age 9-15 year olds) taught by a non-formal education teacher who grew up in the community and uses

³⁰ See Table 4 in FONANENF (2014).

³¹ The divergent view of SCO Burkina Faso was reiterated in the feedback to the Aide Memoire and in the draft version of this report. It is therefore important for us to present their perspective in this report.

the community language as the language of instruction and who completed a two-month crash course on teaching. At the other side of the village assembly center, approximately at a distance of 100 meter, was the newly establish school that accommodates a more age-homogenous group of students taught in French by a teacher who completed the required teacher education degree. Since the newly established school is already filled with new enrollments, the next generation of school-aged children (ages 6-8) will most likely miss the opportunity to attend the formal school. Instead, they will have to wait until a space becomes available in the non-formal school. Most likely, the next cohorts of children of this particular village will end up in the bilingual non-formal school not necessarily because the non-formal school is bilingual, more effective, more relevant, or culturally sensitive but because there is no space in the formal education system.

This example is to demonstrate the wide range of adolescents enrolled in non-formal education. In this particular village, visited during the field mission, the students enrolled in the non-formal education program because there was no school in the village.

In the two visited schools, the curricula differ, the employment modalities differ, the languages of instruction differ, the duration of studies differ, and most importantly, the funding and procedure for building a school/center and hiring a teacher differ: Building a (non-formal education) center and hiring a teacher is far more efficient and less bureaucratic than requesting from the government the establishment of a (formal) school. The center was built by the community within a few months with the help of a donor-funded local provider. In contrast, requests from the government take much longer to get approved due to restricted government funds and other bureaucratic hurdles. The decentralization of the educational system will improve the situation for both education systems: it will become easier for local governments to request funding from MENA or FONAENF, respectively for establishing a formal education program ("school") or a non-formal education program ("center"), respectively.

The case reported in length here is to suggest that the relation between formal and non-formal education needs to be clarified to ensure that non-formal education is truly used as an alternate or second-chance education provision for those that were left out or dropped out from primary school. Non-formal education should not be a substitute, or competition, to schools but rather a supplement. At the same time, it is necessary that the curriculum of regular schools become more relevant and adapted to the needs and languages of the community. As will be explained in the recommendation section, there is a great need and potential to clearly define and "formalize" non-formal education on one hand, and to close the innovation gap between non-formal and formal education on the other. As result of the systematic reform or diversification process in formal education, schools enhance community participation, relevance and culture/language sensitivity, producing eventually fewer left outs and dropouts.

In the short run, the school mapping project, scheduled for implementation in 2015, will bring to light the districts and the regions in the country that are currently severely underserved. SCO is well aware of this pockets of exclusion or the "zones orphelines" (e.g., in Bouche du Mouhoun and the Zone de l'Est) and for this reason strongly advocates for a decentralization of management and a literacy mapping in non-formal education. The decentralization reform is a great opportunity to strengthen local governance and give voice to local needs and community participation.

3.1.2.3 Subsidiarity

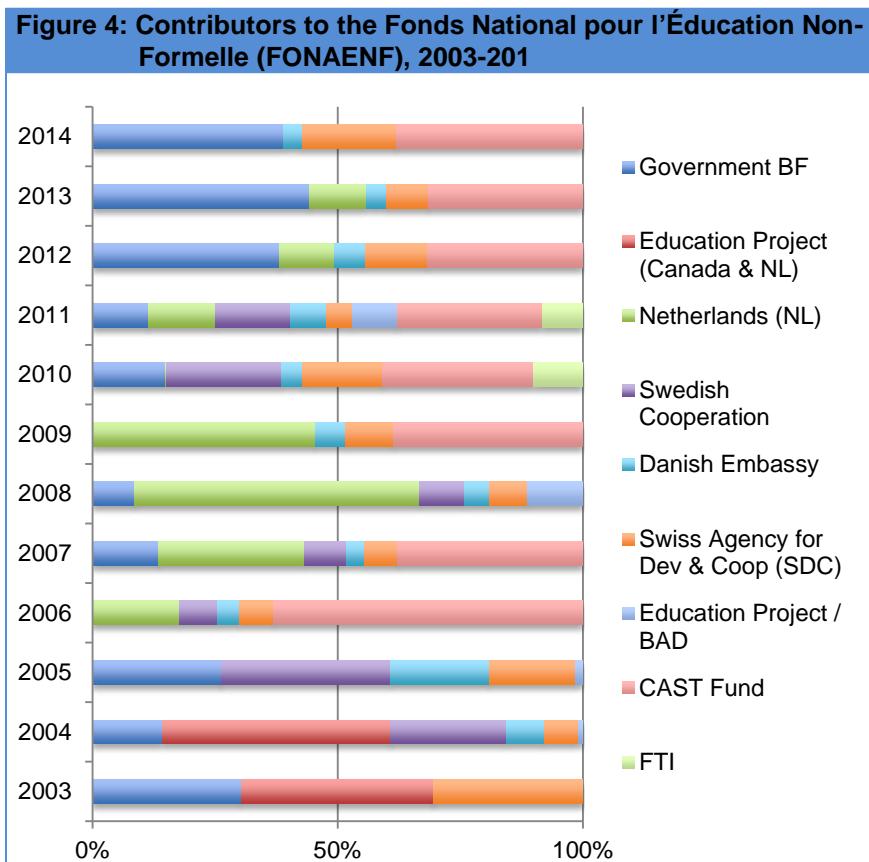
The mechanism of Faire-Faire is supposed to generate a synergy between national funds and local initiatives. Functioning like businesses, there is indeed a large market or local initiatives for non-formal education programs. However, as stated above, the centralized state is not in a position to assume the regulatory role it is supposed to exert and the partners with the exception of Switzerland, and to a lesser degree Denmark, stopped funding the non-formal sector. For a variety of reasons, including financial ones, the

mechanism of Faire-Faire is currently facing serious challenges, as outlined by a staff member of SDC:³²

There is a need to take into account the new role of the state and the territorial communities or districts. The collectivities should be the ones making the pre-selection of operators and define local needs in order to avoid inequality. But there is also a need to capacitate the non-formal sector staff. (interview, SDC representative).

As shown in Figure 4, government contributions to FONAENF increased visibly over the evaluation period 2007-2014. It constituted merely 18% of the total fund in 2007 and increased to 39% in 2014. However, it is far less than the 55.4% government support that it had committed in 2012 (see Table 4). Without any doubt, non-formal education would collapse without financial support from donors. They finance 61% of the FONAENF budget; of which 38% consists of the pooled donor fund (CAST), 19.2% direct contribution of Switzerland, and 3.8% funding from the Danish Embassy. The dependency on Swiss funding became obvious in 2014 when FONAENF had to rely on Switzerland to narrow its deficit. By 2014, three out of the four large bilateral donors of non-formal education ceased to support

FONAENF directly: Sweden stopped its bilateral funding in 2012, the Netherlands in 2014, and Denmark cut its contribution by half in 2014, leaving Switzerland as the sole donor who contributes significantly both by means of multilateral funding (through the CAST system) as well as in terms of bilateral funding. The reliance on Swiss funding is not sustainable in the long run and more systematic approaches must be explored to enhance greater financial participation on one hand and carry out literacy programs more cost-effectively.



Source: FONAENF (2014).

3.1.2.4 Result-Driven

SDC uses different needs assessment and planning tools, including entry proposals, project documentations, credit requests, annual reports, internal reviews, and detailed

³² Napon, A., Maiga, A (2012). *Évaluation de la Stratégie du Faire-Faire en Alphabétisation et en Éducation Non-Formelle au Burkina Faso*. Ouagadougou: Ministère de l'Éducation Nationale et de l'Alphabétisation.

annual work plans.³³ The principal tool of monitoring is the log frame with process, outcomes and outcome indicators and benchmarks (disaggregated by gender), sometimes complemented with a baseline study carried out during the inception period. By all accounts, SDC operates with remarkably few quantitative data for planning, monitoring, and evaluating its own work, as well as that of its partners, as compared with other bilateral and multilateral agencies. On the positive side, this accounts for a quick start after a short inception period and enables the partners to continuously adjust the design of their project based on annual internal reviews. On the negative side, there are only few external evaluations or reviews mandated enabling an independent analysis of strengths and weaknesses.³⁴

To be more accurate, SCO Burkina Faso neither implements nor coordinates educational projects directly. It is perhaps for SCO's implementation modality that the evaluation team was not able to locate any external evaluations for the educational programs for the period 2007-2014. The evaluations are possibly carried out, and reviewed, by SDC's partners. Since this evaluation focused on SDC (its priorities, technical approach, intervention modalities, etc.) and refrained from evaluating its partner, it is not able to make an assessment of how many programs indeed undergo a rigorous external review. For sure, some of the partners have a routinized data-driven reporting mechanism in place. FONAENF, for example, reports annually on the number of applications, approvals in terms of beneficiaries, literacy centers, and implementers. It also uses quality indicators to document, for example, the number of adolescents and adults who completed the literacy program successfully. Similarly, the regional programs tend to have external reviews and also budget backstopping, monitoring and external evaluation as part of their planning.³⁵

The collaboration between SCO and its partners is closest at the contracting stage and routinized in annual one-day internal review meetings when experiences are shared. Compared to other donors, there is also little SDC-funded analytical work or policy analyses carried out on issues that are core to the SDC mission.

This is not to suggest that SDC does not fund research, analytical work, or capacity building in policy and planning (NORRAG, ROCARE, ADEA, etc.). In fact, it does so at regional and global level, but it does not use these tools for its own program planning at the country level. The lack of (quantitative) results-orientation was not such an issue for the institutional or local partners, but governmental partners (government, bilateral donors, multilateral agencies) commented on this trend, such as illustrated in the following quote:

Switzerland needs to demonstrate the results of the investment in NFE to the GPE, it needs to produce real figures, if necessary by impact evaluation or a randomized-controlled panel! It needs to work more with data. (interview, representative of a bilateral donor)

Unsurprisingly, the other bilateral donors especially pointed out the observation that SDC is less result-driven as compared to other donors.. In today's aid architecture, the opposite prevails; sometimes at the risk of too much narrowing support to outcomes that are measurable and documentable and of spending too much money on expensive impact evaluations. There needs to be a balance between carrying solid data-based context analysis (baseline studies), data-based monitoring and evaluation, and remaining flexible

³³ See, for example, DDC DAO. (2014). *Division Afrique de l'Ouest. Thème Education et Banque Africaine de Développement. Programme Annuel 2015.* Bern : DDC DAO.

³⁴ As part of the desk review, the evaluation teams asked for evaluation reports on SDC-funded education programs in Burkina Faso over the period 2007 – 2014. Either they do not exist at the SCO level or they are not made available to external evaluators.

³⁵ See, for example, external evaluation of PRIQUE/PdT by Abdeljalil Akkari and Hassane Soumana (2015); see Fiche Technique for 7F-06852: Programme Régional d'Education et Formation des Populations Pastorales en zones transfrontalières 2013-2016, in which backstopping, monitoring, external evaluation is budgeted in the 3-year program.

in terms of how the outcomes are achieved. Some organizations use therefore a theory of change framework to strike the balance.

3.1.2.5 Durability and Sustainability

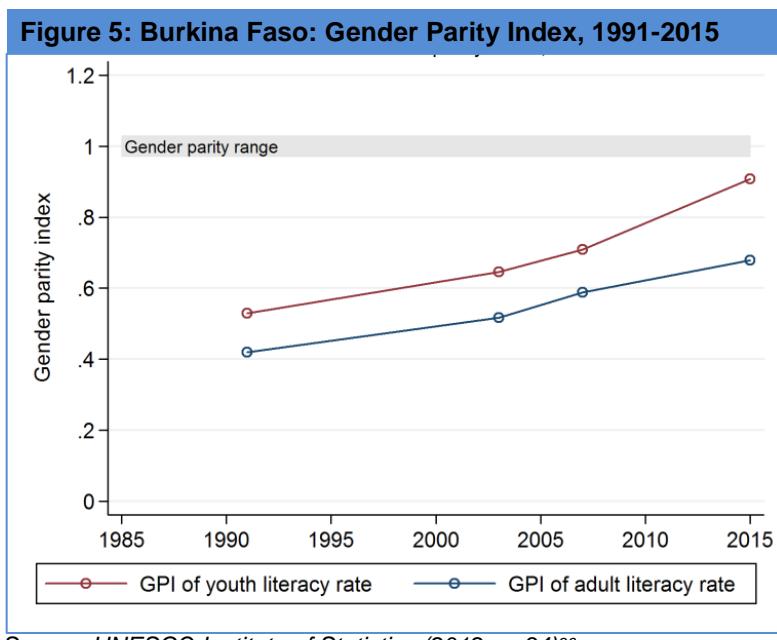
As discussed in several sections of this report, the strong reliance on Swiss funds for the maintenance of the non-formal education sector should be an issue of great concern. There is an urgent need to scale up non-formal education programs more cost-effectively and to mobilize additional financial sources.

3.1.3 The Transversal Themes

In line with the Parliamentary Message 2013-2016, gender and governance, constitute transversal themes that should be pursued in all SDC-supported programs in all countries.

3.1.3.1 Gender as a Transversal Theme

The evaluation found that the education of girls and women is mentioned in each and every SDC-funded project; mostly by documenting the number of beneficiaries disaggregated by gender. The persistence on gender equity, spearheaded by SDC and supported by all other bilateral donors, has yielded positive results. As presented in section 1.2 of this report, close to 68% of adults enrolled in literacy programs are women, surpassing the established benchmark of 60% female participation. In formal education, improvement is clearly discernible too. The gender parity index for girls' enrollment in primary school was 0.95 in 2013. Similarly encouraging, are the literacy rates for 15-24 year olds. Whereas the GPI was only 0.53 in 1990, it is projected to reach an impressive 0.91 in 2015. Figure 5 presents the improvement of the Gender Parity Index for adolescent/youth literacy rates (15-24 years).



There are three issues, however, that deserve greater attention:

1. *Gender parity at the level of providers and managers.* Today, gender sensitivity is almost exclusively applied to document the gender of end-users (students or learners) and to a smaller extent to the education providers (educators, trainers, or animators) and managers (directors and community leaders). The majority of teachers is male and the underrepresentation of female teachers (formal education) or female

³⁶ See UNESCO Institute of Statistics. (2012), *ibid.*

“animators” (non-formal education) is specially pronounced at the higher levels of schools and overall in alphabetization programs.

2. *Gender stereotypes.* There is only punctual work done on tackling gender stereotypes. For example, SDC funds two small but interesting projects that Terre des Hommes Suisse oversees for skills development of female teenagers or adolescent women in professions that in Burkina Faso are considered typically male (e.g., mechanic). The local partners of Terre des Hommes that implement these projects are Attousse Yenenga (Ouagadougou, 40,000 CHF per year) and Association Songtaaba (Kombissiri, 30,000 CHF per year). The other two vocational skills development programs that the evaluation team visited, administered through the Ministry of Youth and through FDC (Centre polyvalent de formation), respectively, were equally sensitive to gender parity and ensured equal or higher representation by female adolescents.
3. *Boys: an at-risk-group for school dropout.* As Table 1, presented earlier in this report, shows, the dropout of boys increased significantly over the past few years: In 2001, every tenth boy dropped out from CM1 (9.4%), that is, in the fifth year of primary school. In comparison, every sixth boy left school after CM1 (15.4%). The increase is considerable and deserves analysis and action. For a variety of reason that needs to be explored further, the so-called opportunity cost at secondary school level may possibly be higher for boys than for girls. That is, poor families rely on their sons’ (male child) labor activity rather than having them enrolled at secondary school because they perceive the cost of attending a school that ultimately does not improve the sons’ livelihood and employability as too high as compared to the income that the sons’ could generate for the household from their (child) labor.

There is a tendency to focus on end-users and equate gender with girls or women. A more nuanced and more targeted approach is nowadays needed to systematically improve gender equity. In most countries and settings girls and women are at a disadvantage. But also the opposite exists and should be taken into account, especially in an organization such as SDC that is sensitive to context. In Burkina Faso, for example, special measures for boys would be needed to tackle boys’ drop out from lower secondary schools. In general, it is recommended to also design special projects befitting girls/women (or in some cases, as mentioned above, befitting boys/men) to target deep-rooted gender stereotypes and inequalities in addition to using gender as a transversal theme.

3.1.3.2 Governance as a Transversal Theme

Curiously, the interviewees were at a loss at explaining how governance as a transversal theme is or should be implemented. Different from gender as a transversal theme, there seems to be, within SDC as well as among its partners, little discussion and reflection on what implementing governance as a transversal theme would entail.

In practice, SDC forcefully and systematically supports local governance and community participation in all BE programs. However, interviewees were not certain whether this counts as implementing (good) governance as a transversal theme. There is a need to specify what this particular transversal theme means in practice and how it can be measured.

3.2 Effectiveness of the BE Projects

SDC supports non-formal education in two ways. First, as a reliable bilateral donor in the non-formal education sector it helps finance all kinds of alphabetization programs that are funded by FONAENF. Second, SDC supports innovations in the area of non-formal education. It does so by financing pilot programs, by supporting the development of innovative teacher training, textbooks, teacher manuals, by creating opportunities for

innovative professions to network and exchange knowledge, and by providing support for accrediting or institutionalizing these innovative practices. Currently, the innovative method Pédagogie du Text receives most of the funding that SDC had earmarked for the support of innovations.

However, there is a huge gap that yawns between the high financial volume of support for innovative methods and the low allocation of funds made available to scale up innovative practices. As Table 7 demonstrates, to this day 94.4% of the initial adult literacy programs use traditional methods that do not seem very effective. The traditional methods are:

- A1 (alphabétisation initiale)
- FCB (formation complémentaire de base)
- Formule enchaînée (nouveau curricula, niveau 1 et 2).

In 2013, enrollment in these so-called “traditional formulas” accounted for 515,752 registrations (of which 327,116 were women, or 63%) of a total 533,949 registered adults. It is important to keep in mind that approximately one-sixth of enrolled learners drop out and that a great number of the graduates in the initial alphabetization program discontinue and do not achieve the FCB level (primary completion level). For this reason, the number of learners registered in courses is much higher than those that graduate successfully.

The proportion of non-traditional methods as a percentage of all post-alphabetization level (see third section in Table 7) is slightly higher than for the basic literacy programs but still continues to clearly constitute a minority. ALFAA, internationally renowned, flagship alphabetization formule/method that for years was funded by SDC, is to this day only able to accommodate 10% of all adult learners that are enrolled in advanced-level alphabetization programs (“post-alphabetization programs”).

Table 7: Enrollments in Alphabetization Programs by Formula and Level, 2013

Formula/Level	Number of Centers	Enrollment	Female Enrollment	% Women
Alphabetization/ basic education for adolescents				
AI	1,940	58,200	37,830	65%
FCB	5,070	126,750	82,388	65%
New curricula level 1	5,488	164,640	107,016	65%
New curricula level 2	5,488	153,664	99,882	65%
Reflect	950	28,500	18,525	65%
AMT	50	1,250	813	65%
Braille	63	945	378	40%
<i>Subtotal</i>	<i>19,049</i>	<i>533,949</i>	<i>346,831</i>	<i>65%</i>
Alphabetization/basic education for adolescents				
ECOM	50	1,750	875	50%
CBN2J	50	1,500	750	50%
AFID	27	675	338	50%
CEBNF	6	150	75	50%
<i>Subtotal</i>	<i>133</i>	<i>4,075</i>	<i>2,038</i>	<i>50%</i>
Post Alphabetization Education				
ALFAA	108	2,700	1,620	60%
CMD	803	20,075	12,045	60%
CBN2A	180	4,500	2,700	60%
FTS	1,500	45,000	27,000	60%
<i>Subtotal</i>	<i>2,591</i>	<i>27,275</i>	<i>16,365</i>	<i>60%</i>
Grand Total	21,773	565,299	365,233	65%

Source: FONAENF (2014), Tableau No. 1.

It is striking that despite the sizeable and long-term efforts of donors, notably the Netherland, Switzerland and Denmark, 96.6% of illiterate adults have to rely to this day on traditional methods of initial alphabetization which have proven to be of limited success. The more innovative, accredited methods for basic adult literacy which FONAENF funds, notably Reflect (uses Freirean pedagogy), AMT (Alphabétisation en milieu de travail), and Braille, only serve 30,695 adults (of which 19,816 are women). There are a few literacy programs in the pipeline for accreditation, including formula that SDC supports, most notably the Pédagogie du Texte method. FONAENF is able to fund these innovative programs once they passed accreditation. However, the chances of successfully scaling them up nationwide, that is, beyond the SDC-funded pilot stage, depends on their actual cost and availability of trained animators or instructors.

Overall, two issues deserve greater attention:

1. *Effectiveness of adult literacy courses:* Even though the number of adults enrolled in literacy courses is large, it is not clear how many of them have re-enrolled in such courses either because of the inefficient registration system, incentives associated with the programs, or because they unlearned essential literacy skills. FONAENF has developed an impressive set of indicators to measure the quality of the alphabetization programs and monitors them annually in its reports. Ultimately, the quality control may only be put in place once the registration and monitoring of the literacy programs are systematically decentralized to the level of the local government.
2. *Piloting versus scaling up of good experiences:* There is, in our opinion, an inherent contradiction in the two strategic priorities that SDC pursues. SDC's ample support for innovations has become inadvertently an impediment for scaling up good practices nationwide. There is too much turbulence and competition over donor funding in the NFE sector to enable best practices to be scaled up systematically. An unintended effect of supporting practices is that civil society organizations currently must emphasize difference rather than commonality among themselves to secure funding from SDC. Against all odds, the emphasis on innovation is divisive but also cost-ineffective in that it absorbs the much-needed funds for pilot testing rather than for disseminating and scaling-up best practices. Pilots of NFE teaching methods (referred to in Burkina Faso as "formules") are expensive and therefore not easily replicable or scalable. They are expensive because they are under pressure to demonstrate their added value vis-à-vis other teaching methods or pedagogical formulas. Even though SDC commits to supporting innovations in NFE, the funding patterns suggest that preference is given to one particular method: Pédagogie du Texte (PdT). This leads to absurd situations that established and successful local NGOs need to re-invent themselves and take on PdT curricula, teaching material, and teacher training in order to secure funds from SDC. It is important to keep in mind that the local NGOs, sometimes referred to as civil society organizations, function very much like local businesses who depend on external funding for paying their instructors and maintaining their infrastructure. It is recommended that a panel of local and international teacher education experts reviews the formulas that already are accredited or "validated" by the Ministry of Education and Alphabetization, its costs and the various methodological approaches, and selects the "best practices"—in terms of quality, cost-effectiveness, and replicability—for scaling up throughout the country.

3.3 Appropriateness and Efficiency of SDC's Implementation Modalities

SCO Burkina Faso lists in its Country Cooperation Strategy 2013-16 five preferred implementation modalities in the context of the country. Based on the findings discussed earlier (see section 3.1.2 of this report) the first two intervention modalities unmistakably permeate each and every activity in SDC-funded programs and are considered appropriate and efficient:

- strengthening of local actors
- participatory development

As explained in the previous section, the other three intervention modalities deserve greater attention:

- improving synergies between local activities and national financial resources
- scaling-up of good experiences
- policy dialogue and strengthening the role of civil society.

As discussed during the debriefing meeting and in the Aide-Memoire, SCO Burkina Faso is well aware of the strengths and weaknesses in terms of intervention modalities, and was open and interested to discuss recommendations.

SDC has continuously supported the country since the late 1970s. Over the evaluation period (2007-14), SCO Burkina Faso neither implemented nor coordinated educational projects directly but rather contracted implementation partners—mostly Swiss institutional partners (Enfants du Monde, etc.), large local partners (e.g., Tin Tua, APENF), regional networks (e.g., RIP)—or provided financial support to government affiliated institutions either by means of sector-wide pooled funding (CAST mechanism for PDSEP) or direct financial support (e.g., FONAENF). It is not entirely clear for which type of intervention which type of partner is selected except for the regional partnerships and global partnerships.

According to the Educational Advisor of the Regional Programs of the West Africa Division, the regional programs pursue three clear objectives that differentiate themselves from national programs:

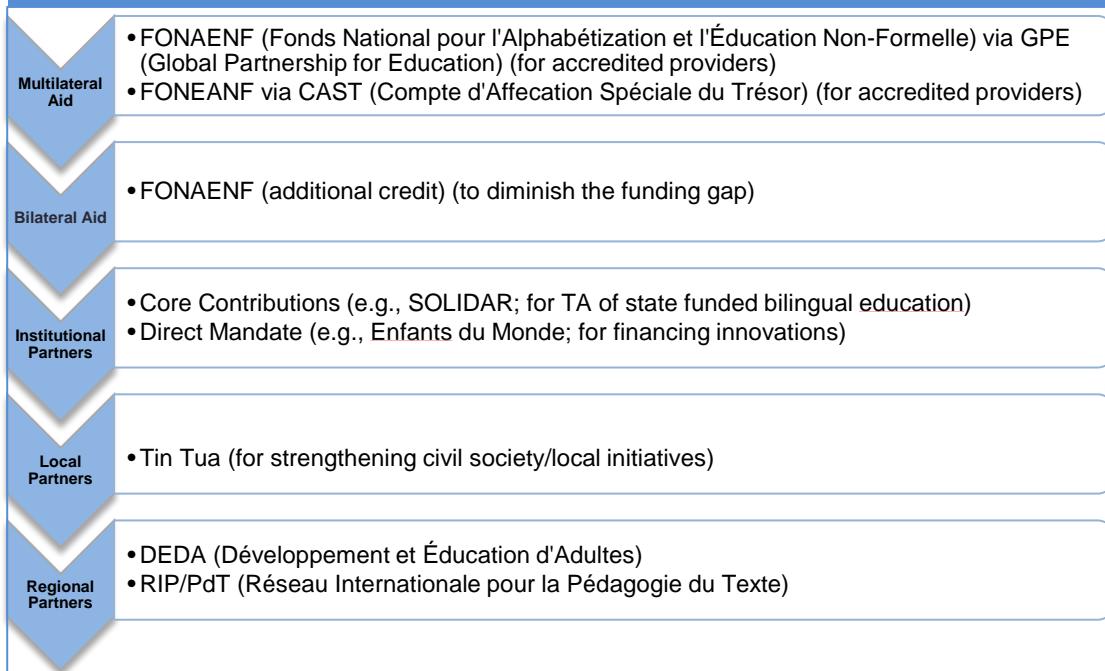
- “amplification” or strengthening of national programs
- networking, scaling up, sharing of knowledge and best practices in the region
- transnational advocacy work and policy dialogue

For the national programs, it is not entirely clear what criteria are used to contract the different types of partners. It is, for example, common that SCO Burkina Faso contracts Swiss institutional partners (currently, Enfants du Monde, Helvetas, Terre des Hommes) who, in turn, build consortia or sub-contract local partners for implementation of the project. In fact, SDC considers this modality key for strengthening the management capacity of civil-society organizations in light of the decentralization reform that is supposed to be successfully implemented by 2021. However, another “logic” or theory of change also seems to apply in Burkina Faso, making it difficult to understand the rationale for the different funding channels: SCO also contracts local partners directly (Tin Tua) to scale up their work. It is not clear for what tasks the different types of partners are contracted, notably, the local, national, and Swiss/institutional partners. It would be useful to carry out a thorough functional analysis as part of one of the next internal reviews of SCO Burkina Faso.

Figure 6 lists the five funding channels and presents examples of institutions that receive funding. Some differentiations are clearer than others.

In principle, the availability of different funding channels and cooperation partners increases the effectiveness of a program, provided that the criteria for selecting one type of partner at the expense of another is clear, there is no overlap in activities between the various partners, and there is no double funding for one and the same activity.

Figure 6: SDC Funding Channels to Support Basic Education



3.4 Correspondence with International Agendas, Standards and “Best Practices”

As repeatedly mentioned in this report, SDC has established an excellent reputation as a promoter of bilingual education, lifelong learning, and non-formal education in Burkina Faso and in the West Africa region. Overall, the Swiss Cooperation Office (SCO) in Burkina Faso was successful in advocating for inclusion of NFE in the overall education sector strategy (2012 – 2021), the creation of a special fund (FONAENF), the non-formal education strategy PRONAA (Programme Nationale d'Accélération de l'Alphabétisation) in 2012, and most recently—as part of ADEA—has taken on an institutional leadership role for nonformal education in the region. In fact, Burkina Faso is, thanks to the interventions of the Netherlands, SDC and Denmark, one of the few countries in which the Government explicitly lists NFE as one of its priorities. SDC and its partners have also worked hard to change the perception of schools (formal education) as the regular type as opposed to non-formal education as an inferior type, a “second-chance” or “alternative type” of education. For a variety of reasons, popular perceptions of non-formal education are more difficult to alter than securing governmental support for non-formal education programs.

In the assessment of the evaluation team, the successful integration of non-formal education in the basic education system is due to SDC's programmatic educational priorities, which it persistently pursued for decades, as well as due to a particular capacity transfer from SDC to Government: the program officer in charge of alphabetization programs at SDC (Koumba Boly Barry) was appointed Minister of Education and Alphabetization in 2011.³⁷ Thus, for many years SDC' programmatic priorities were well

³⁷ A good case in point is the comparison with bilingual education as well as nonformal education programs in Niger. SDC supported similar efforts in the neighboring country Niger, but was, according to the recent evaluation carried out in Niger, less successful than in Burkina Faso. This reconfirms our assessment that interpersonal networks were essential for the close collaboration with MENA in Burkina Faso. See: L. Weingartner, D. Laouali, and P. Winiger (2015). *Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015*. Berne: SDC

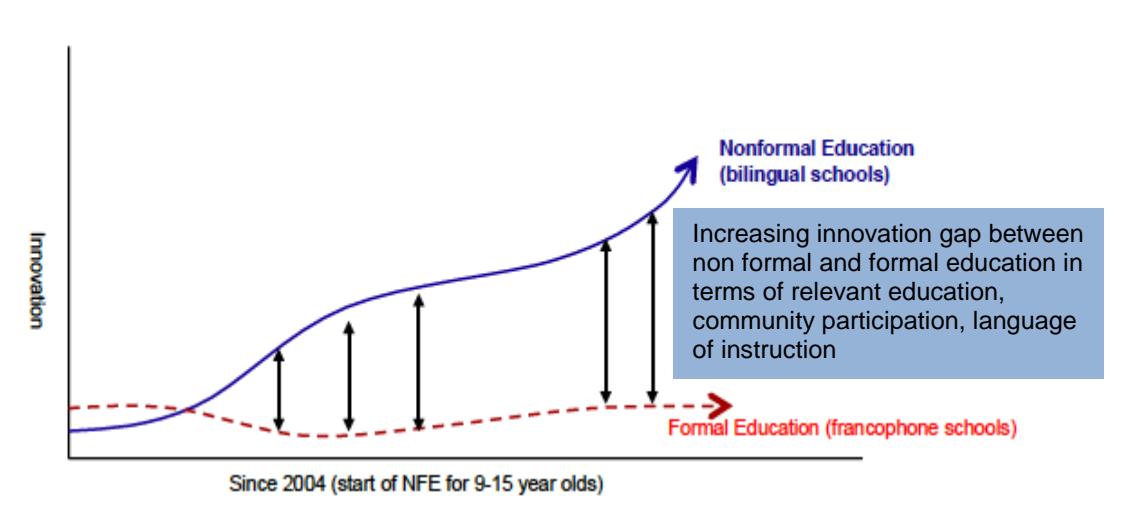
represented in government. However, her term ended in October 2014, making it necessary for SCO to come up with a systematic plan on how to lend greater policy support to the government.

As incoming lead donor in Burkina Faso, it needs to represent everyone else's agenda without losing sight of its own visions. As presented throughout this report, SDC has ended to be alone among the donors in Burkina Faso who prioritizes support for the non-formal sector. It needs to influence global development agendas, such as the post-2015 development agenda, if it attempts to garner support from other donors for NFE in Burkina Faso. Its participation in the GPE Board is an opportunity to do so. It could serve more effectively as an advocate for a holistic vision of basic education if it could draw on a SDC Education Strategy.

Such a strategy would lay out, among others, SDC's vision for basic education, both for formal and non-formal education, as well as the link between the two systems. In fact, it is indispensable to clarify the relationship between formal and non-formal education. Arguably, the current formal education system in Burkina is financially hard pressed to build enough schools that are accessible for all school-aged children. Even if it manages to attract students, it is facing difficulties to keep them in school until they complete basic education (that is, lower secondary school) for reasons related to quality, relevance, and opportunity cost. Only every fifth student who starts out with formal education successfully completes lower secondary school. Unsurprisingly, adolescent literacy rates (9 – 15 year olds) and adult literacy rates (15 years and older) are low, suggesting the need for a dual strategy: First, scaling-up literacy classes for either never enrolled or dropped out of school whether they are adults or adolescents. Second, systematically enforcing measures that reduce the number of never-enrolled and the number of dropouts in formal schools by ensuring access (building more schools with multi-grade classes in the communities) and improving the effectiveness of primary school (relevant education content, student-centered teaching, bilingual education). There is an innovation gap between the student-centered methods used in some non-formal education programs and the traditional, teacher-centered methods used in formal education. SDC is ideally positioned to help close this innovation gap.

In addition to its unwavering support for non-formal education, SDC is positioned ideally to encourage lesson-drawing from the non-formal education sector to innovate the school system. As Figure 7 demonstrates, there are three areas in which the formal education system lags behind the non-formal one as well as the small number of existing bilingual schools: teaching relevant education, community participation, and using the community language as language of instruction for early literacy, that is in the early primary grade.

Figure 7: The Innovation Gap Between Non-Formal and Formal Education



4 Social Network Analysis of the BE Network in Burkina Faso

4.1 Data and Methods

For the purpose of this evaluation the team interviewed individuals working in 18 different organizations. The interview protocol included a social network instrument that is based on the roster method (see ANNEX 1, Form 2 Assessment of Development Partners). Each responding organization was asked to indicate collaborators in the field as well as organizations with important qualities to policy implementation (e.g., reliability, innovative, effective, sustainable impact, responsive to local needs, etc.). The social network instrument consists of a list of 40 pre-identified organizations in the field. However, responding organizations were able to nominate other organizations – that is, to expand the boundaries of the network – in their responses. Indeed, the final list of organizations included in the analysis comprises 81 organizations. The fact that 81 organizations, almost all of them based in Burkina Faso, directly or indirectly (with one degree of separation) collaborate with, and in most cases are financially supported by, SDC is impressive. If collaborators of collaborators (two degrees of separation) would be listed, the network would be exponentially larger.

4.2 Collaboration Network and Communities of Best Practice

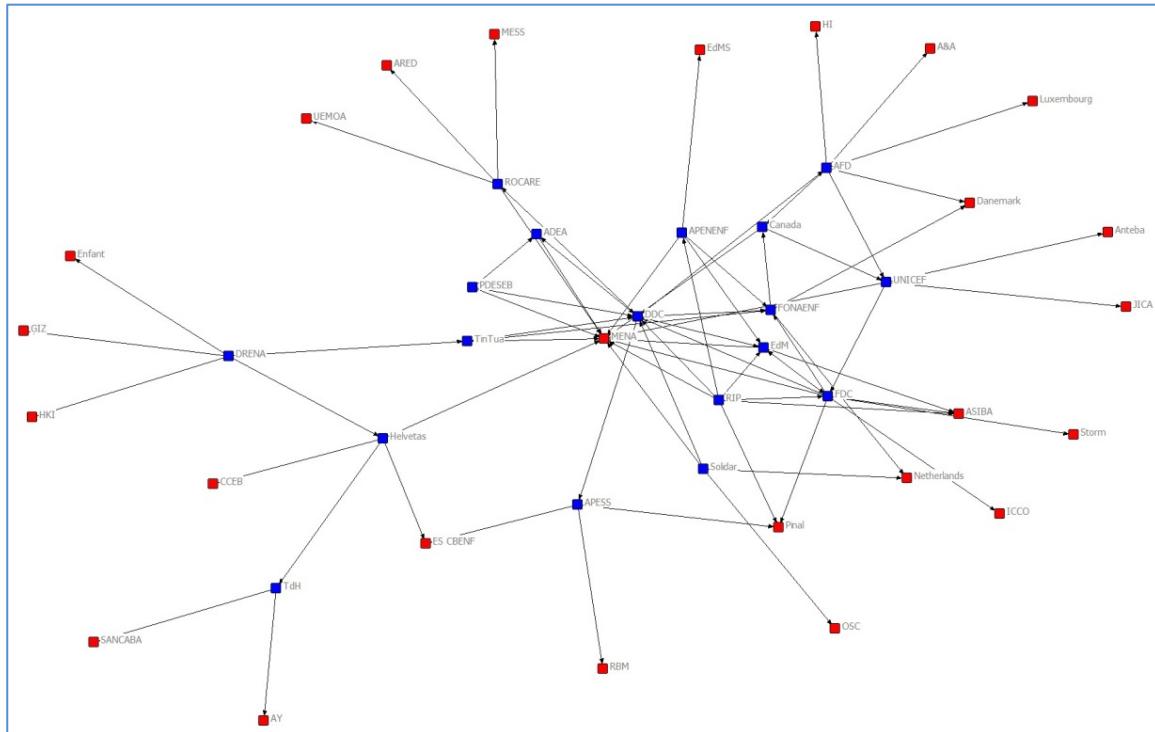
The findings of the social network analysis focus on two emerging patterns in terms of collaboration networks and role models in the BE network in Burkina Faso.

4.2.1 Collaboration Networks

Participating organizations were asked to indicate up to three organizations with whom they have worked very closely. Figure 8 presents the organizational network based on the information provided by the organizations. Actors (organizations) are marked in square, where blue squares are those organizations that were interviewed and red squares are those organizations that were mentioned in the interview. The edge (link) between organizations represents past or current collaboration. Three organizations were mentioned by four or more organizations: MENA (12), DDC/SDC (9), and Edm/Enfants du Monde (4). The in-degree graph centralization is 13.6%; there is a substantial amount of concentration (or centralization) in this whole network.

An important finding of the first network analysis is that not all interviewed organizations list DDC/SDC as one of the three organizations with whom they collaborate currently or with whom they have collaborated in the past. This is a striking finding given that the evaluation team only interviewed organizations that SDC identified as “partners.” Understandably, MENA (Ministry of Education and Alphabetization) is more central to the network of BE in Burkina Faso than DDC/SDC. The social network analysis also shows the central role of Enfants du Monde as hub for a network of Pédagogie du Texte implementers or associates. This accounts for a common implementation pattern: SDC typically contracts Swiss institutional partners (currently, Enfants du Monde, Helvetas, Terre des Hommes) who then build consortia or subcontract local NGOs as implementers. Enfants du Monde appears to be a relatively closed collaboration network with its own partners that do not necessarily collaborate directly with others, such as SDC or MENA.

Figure 8: Social Network of Organizations, Based on Question 1 in the Survey



4.2.2 Communities of Best Practice

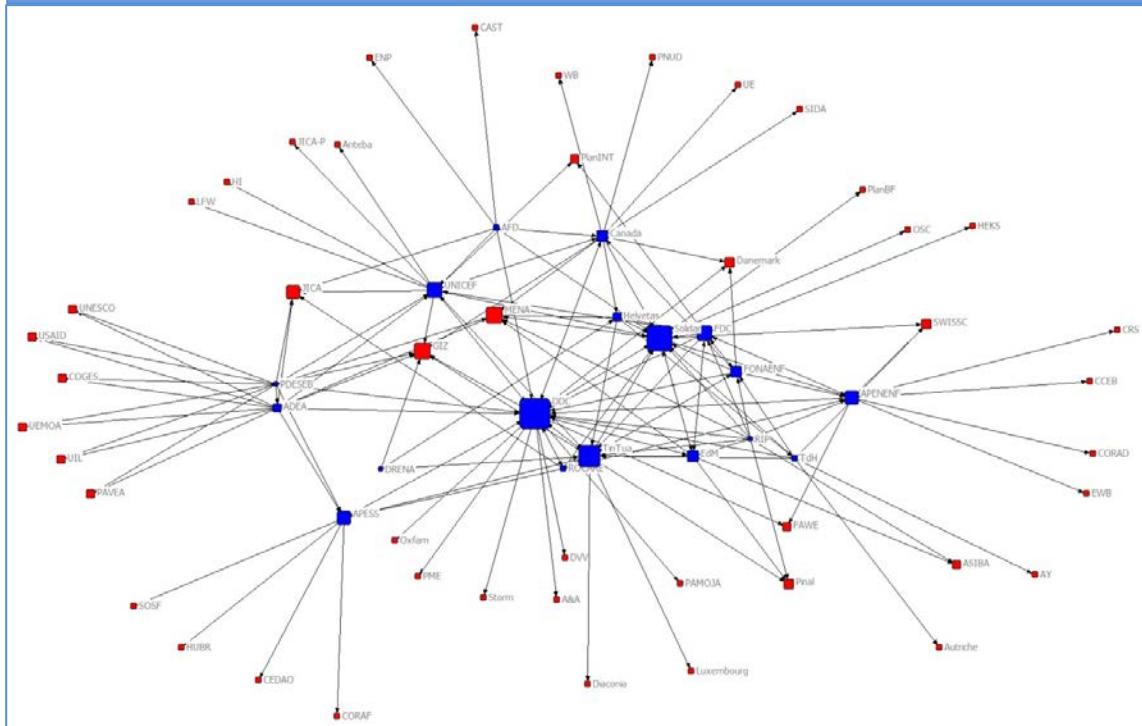
In a second step, the interviewees were asked to name organizations that have a good reputation in terms of the following positive characteristics: being a reliable partner, innovative, effective, culturally sensitive, gender sensitive, have sustainable impact, and being sensitive to governance issues. We may refer to such networks as “communities of best practice” because they select each other based on positive attributes or best practices in BE in Burkina Faso.

Figure 9 presents the organizational network in which link between two actors (organizations) represents that one organization identify another organization as having at least one positive quality. The size of each node (actor/organization) reflects the “in-degree” centrality of the organization; that is, the number of organizations that identify the organization as having quality.

Several organizations are found to be central, that is, have an excellent reputation: SDC (15), Solidar (12), Tin Tua (10), GIZ (7), and MENA (7). The in-degree graph centralization is 16.2%; there is a substantial amount of concentration (or centralization) in this whole network signaling a high level of agreement among the interviewees. There are dimensions discernible in Figure 9 reflecting geographic scope of the various organizations (global, regional, national, local organizations), governmental versus non-governmental organizations as well as formal versus non-formal education.

Clearly, SOLIDAR, followed by Tin Tua are the leaders in the non-formal education network, whereas MENA, UNICEF, GIZ, and JICA are integrating actors in the formal education network. Strikingly, DDC/SDC bridges these two camps or “communities of best practice” reconfirming DDC/SDC’s great reputation both among organizations that are supporting non-formal education as well as those in charge of formal education.

Figure 9: Social Network of Organizations, Based on Any Quality (Questions 2-8)



5 Comparative Advantages and Comparative Disadvantages of SDC

5.1 Image of SDC

SDC is known among its partners in Burkina Faso as a donor that is (1) reliable, (2) sensitive to culture and local needs, and (3) supportive of innovations. These three characteristics constitute the comparative advantage of SDC vis-à-vis other bilateral donors.

5.2 Risks of SDC's Comparative Advantages.

Upon further probing during interviews, several interviewees also identified risks that are associated with the distinct features of SDC's image.

Table 8 illustrates the risks that have resulted from:

1. The unwavering support of SDC towards non-formal education (NFE) which possibly enabled Government and other development partners to de-invest in NFE;
2. The parallel structures and reform agendas that emerged: formal francophone education and basic education on one hand (global agenda) and non-formal bilingual education and life-long learning on the other (local agenda);
3. SDC's continuous support and financing of innovative practices generating a NFE "market" in Burkina Faso in which civil society organizations compete over donor and government funding. In order to do so, they must constantly re-invent themselves in order to secure funding. PRONAA listed back in 2012 twelve different innovative teaching methods. The pilot-testing of innovative practices has side-tracked from the larger goal of scaling-up and institutionalizing non-formal education, notably bilingual primary education, alternative education for never-enrolled and drop-outs, and adult alphabetization.

Table 8: SDC's Comparative Advantages, Risks, Proposed Coping Strategies

Comparative Advantages	Risks	Proposed Coping Strategies
SDC is a reliable partner	Financial disengagement from Government and other development partners	Policy support and conditional support
SDC is sensitive to culture and local needs	Parallel structures and reform agendas: local and global	Bridging local and global agendas
SDC is supportive of innovations	Diversification & competition among implementers	Institutionalizing and scaling up of select prototypes/best practices

5.3 Coping Strategies to Reduce Risks and Strengthen SDC's Comparative Advantages

Table 8 also proposes coping strategies for minimizing the three risks, mentioned above, while preserving and in fact strengthening SDC's excellent, triple reputation: SDC as a reliable partner, as a donor that is sensitive to culture and local needs, and a donor that is supportive of innovations. The three proposed coping strategies are as follows:

1. SDC's unwavering support for NFE should be supplemented with policy support and gradually transformed into a conditional support with clearly formulated, feasible and constructive expectations, that is, expectations in terms of finance, implementation, and institutionalization;
2. There is a need to bridge global and local reform agendas, formal and non-formal education, as well as francophone and bilingual education in Burkina Faso. Since the MDGs of 2000, the global development agenda in education has narrowly focused on primary completion leaving little to no room for non-formal education or for other levels of formal education, neglecting secondary and higher education. At the same time, SDC and its partners managed to put non-formal education on the national and regional agenda. Non-formal education in Burkina Faso can only be scaled up with further financial support both from the government (keeping the target of contribution 55.4% of the total cost of the non-formal education sector) as well as from additional donors. In order to do so, SDC needs to mobilize support at the global level; possibly in its capacity as member of the board of the Global Partnership in Education;
3. Finally, as mentioned before, SDC's financial support for innovations has generated numerous pilot projects with different methodological approaches to NFE. For a variety of reasons (quasi-franchises, competition, too expensive, lack of capacity), these pilot projects may not easily be scaled up and disseminated. It is therefore necessary to focus on a few prototypes and assist the sector for scaling up these prototypes at national level.

6 Recommendations

This report contains numerous recommendations interspersed throughout the text. In an attempt to organize them thematically, the most important ones are listed in the following table.

Table 9: Recommendations by Theme

Theme	Recommendation	Rationale
1. Strategy development	<ul style="list-style-type: none">• Develop a SDC Education Strategy• Include gender parity as a target in addition to a transversal theme• Move beyond a gendered definition of gender parity• Communicate and clarify what governance as transversal theme implies and how it is measured	<ul style="list-style-type: none">• Allows to garner global support in addition to national and regional support for NFE and clarifies SDC's view on the relation between formal and non-formal education• Leads to more effective ways of tackling gender stereotypes and enforcing gender parity for teachers, managers and other mid-level positions (and not only end users/beneficiaries)• Encourages to document and analyze areas where boys/men are at a disadvantage• Ensures implementation of governance as a transversal theme
2. Planning, monitoring, evaluation	<ul style="list-style-type: none">• Make SAP user-friendly and eliminate glitches so that it is used for internal planning/monitoring rather than only for reporting• Require more solid context analyses (baseline studies), feasibility studies, needs assessment and evaluations that are based on qualitative and quantitative methods (including indicators)• Revisit Log Frames as preferred model of planning and brainstorm on other more outcomes-oriented methods such as Theory-of-Change Frameworks• Require independent evaluations for long-term SDC-funded programs at critical stages of the program• Extend the inception phase so that accurate analyses can be carried out• Make greater use of content experts in education and development	<ul style="list-style-type: none">• Yields more accurate situation analyses and planning• Prevents that in long-term projects more of the same is funded without a critical external evaluation of strengths and weaknesses and possibly a need for reorientation• Improving the efficiency and effectiveness of programs• Enabling continuous adaptation of the project design by keeping the theory of change and the clear set of outcomes in mind

3. Policy dialogue and support	<ul style="list-style-type: none"> Support the government, both at the local and at the national level, to regulate and monitor NFE Develop scenarios, together with SDC partners and government, on the future of NFE given the shortfall of funds Provide conditional financial support, that is, dependent on the government's commitment to eliminate barriers that hinder the systematic implementation of PRONAA Provide technical assistance for policy support in areas that correspond to SDC's (proposed) Education Strategy 	<ul style="list-style-type: none"> Help reduce donor-dependency, in particular the strong reliance on SDC for preserving and expanding the non-formal education sector Enables to understand the bottle-necks (beyond scarcity of financial resources) that slow down the expansion of literacy programs Actively supports spillover from NFE to formal education: Provide technical advice on how to mainstream lesson-drawing from the non-formal education sector into the formal education sector (notably, community participation, bilingual education, relevant education)
4. Intervention modalities	<ul style="list-style-type: none"> Focus on scaling-up existing alphabetization methods Carry out a cost-effectiveness analysis to assess the feasibility of scaling-up the different methods/formulas Actively encourage learning from NFE; e.g. fund small projects in schools that replicate and adopt good practices learned in non-formal education Use policy windows (such as the decentralization reform) that correspond with SDC's vision of holistic, lifelong, relevant, bilingual education 	<ul style="list-style-type: none"> Generates the need for collaboration among the NFE providers and makes effective use of scarce resources for disseminating rather than pilot-testing innovative practices Infuses "best practices" from NFE into the school system in order to make innovative practices in NFE publicly visible, de-stigmatize NFE and at the same time improve formal education Leads to an identification of policy windows that are in line with SDC visions of "good education"
5. Collaboration modalities	<ul style="list-style-type: none"> Carry out a functional analysis of the various collaboration modalities used in BE in Burkina Faso and evaluate experiences with the various modalities in terms of effectiveness, impact, capacity-building and sustainability Invest in capacity-building of local partners to enable them to become leaders and experts in education 	<ul style="list-style-type: none"> Avoids duplication Ensures synergy Strengthens the capacity of local partners of becoming leaders and experts in Burkina Faso Ensures sustainability of Burkinabé expertise ("brain circulation") upon completion of SDC-funded projects
6. Communication	<ul style="list-style-type: none"> Gather regularly SDC-funded partners for knowledge-sharing and for input on SDC strategic discussions Publicize SDC-funded projects and programs on the web and in publications 	<ul style="list-style-type: none"> The greater visibility ensures that SDC has a greater leverage at national, regional, international level Public information on SDC funded programs/project enables the SDC network to collaborate more closely and build a "community of best practice/learners" Averts the risk of double funding from multiple sources

ANNEX 1: Data Collection Instruments (Excerpt from Inception Report)

COMPREHENSIVE INTERVIEW GUIDE FOR SDC Staff

Field-Based Case Studies, Interview Guide 1

Type of Informants for Interview Guide 1

- SDC staff in charge of BE projects in SCO offices
- SDC staff in charge of partnerships (institutional, regional, global) related to the BE projects included in the evaluation; either based in the SCOs or in Bern
- SDC staff in Bern in charge of programs in the country or the region

Introduction

- Personal introduction and clarification of evaluation role
- Explanation about the purpose of the evaluation
- Duration of the meeting (maximum 120 minutes)
- Overall structure of the interview
- Explanation of Protection of Human Subjects regulation (informed consent, confidentiality and privacy of data, and voluntary participation)

1 Background of Interviewee

1.1 Position:

.....

1.2 Current responsibilities:

.....

1.3 Year in which employment with SDC started:

.....

1.4 Year in which work on the project/line of work started:

.....

1.5 Professional background:

.....

2 Clarifying Questions on Received Documents and BE Projects

To interviewer: provide a copy of the prepared inventory to the SDC staff and use this section to clarify outstanding questions.

2.1 Are any important documents missing from this inventory?

3 General Assessment of SDC Portfolio in Country/Region

3.1 Which BE project (or which aspects of a project or a program) that was implemented over the past 7 years (since 2007) do you consider “a typical SDC project” in the country? Can you please elaborate on your response?

3.2 Which BE project (or which aspects of a project or a program) do you consider has been very successful?

[Probe indicators for success in terms of relevance, effectiveness, efficiency, ownership, etc. and explore reasons that accounted for the success]

3.3 Which BE project (or which aspects of a project or a program) do you consider less successful/unsuccessful?

[Probe indicators for success in terms of relevance, effectiveness, efficiency, ownership, etc. and explore reasons that accounted for the success]

4 In-depth Discussion of a Typical Project

Let's discuss the project that you identified as typical. Tell us more about it:

4.1. Background:

- Agency: who/which institution initiated, designed, implements, monitors?
- Target group/beneficiaries: who and how many (of which women) are supposed to benefit?
- How was it implemented [probe on implementation modalities]?
- Roles of institutional/local/regional partners, government?

4.2 Favorable conditions:

Were there any positive developments happening at the same time as the project that benefited the implementation of the project?

4.3 Unfavorable conditions:

Were there any particular challenges that surfaced over the course of the project that negatively impacted the implementation?

5 Relevance, Effectiveness, Efficiency, Impact, Sustainability (OECD DAC criteria)

HAND-OUT INTERVIEW GUIDE 1, FORM 1: OECD-DAC CRITERIA FOR EVALUATING DEVELOPMENT ASSISTANCE

Let's discuss the five aspects that are often used in evaluations. [Hand out the form and ask interviewer to make a rating on a Likert scale (1-5) and explain the response; then only focus on in-depth explanation of the two extremes that they rates as 1 or 2 or 4 and 5, respectively]

5.1 Can you say more about the criteria/indicators that you find somewhat or fully achieved?

5.2 Can you say more about the criteria/indicators that were not achieved at all or somewhat but insufficiently achieved?

5.3 What happens when funding ends? Are there any expectations in terms of scaling up, transfer of human or financial resources, institutionalization, or any other project sustainability strategies?

5.4 SDC considers gender and good governance as transversal themes for all its projects.

5.4.1 Was gender equity a key theme in the project? If so how was it defined/operationalized in this project? What were the indicators/benchmarks of gender equity that were utilized? Were there any

particular opportunities or challenges with fully implementing this principle? Please provide example of how it was enforced or couldn't be enforced, respectively.

5.4.2 Was “good governance” a key theme in the project? If so how was it defined/operationalized in this project? What were the indicators/benchmarks of gender equity that were utilized? Again, were there any particular opportunities or challenges with fully implementing this principle? Please provide example of how it was enforced or couldn't be enforced, respectively.

6 Comparative Advantage/Disadvantage of SDC as Compared to Others

Let's talk about SDC in the context of international donors.

- 6.1 How would you describe the SDC technical approach to development in Burkina Faso/Roma Education in comparison with the other main actors/contributors?
- 6.2 What is SDC known for in your country? What is its reputation? What projects and ways of working are best known in the country?
- 6.3 What are, *in your opinion*, the comparative advantages and disadvantages of SDC?
 - 6.3.1 What is SDC able to fund, implement, or do that other bilateral/multilateral donors or NGOs can't or don't want?
 - 6.3.2 What is SDC not able to fund, implement, that others (other bilateral/multilateral donors or NGOs) are in a better position to do?

HAND-OUT INTERVIEW GUIDE 1, FORM 2: ASSESSMENT OF DEVELOPMENT PARTNERS

7 Types of Support, Intervention Modalities, Cooperation Strategies

- 7.1 If you think of the different intervention modalities, listed in the following, which was the most prevalent modality over the past few years in BE? Please rank in the order of frequency:
 - a. SDC as the implementer
 - b. SDC as the funder of (institutional, local, regional) partners who implement
 - c. SDC as co-funder and co-implementer along with other bilateral donors, multilateral agencies non-governmental organizations.
 - d. Please list, if other intervention modalities were used, and explain.
- 7.2. In your opinion, which of these intervention modalities proved to be most efficient; which one proved to be the least efficient?
- 7.3 What were the experiences with pooled funding, budget support, contracts (“aid upon delivery”) versus grants, pooled funding, SWAPs, and other funding modalities? Do you have financial figures that document the different types of support? Can you please share your views on the pros and cons for the different types of support.

8. Aid Effectiveness Criteria

Can you please a look at the main aid effectiveness criteria that are commonly used in our work. In what areas is the SDC approach to development similar and in what areas is it different, and why?

HAND-OUT INTERVIEW GUIDE 1, FORM 3: AID EFFECTIVENESS ROSTER

Please explain how important/not important the principles of aid effectiveness are in your daily work (see form 3).

9. Trends and Recommendations

- 9.1 Are there new trends in the development and aid architecture for BE in your country/region that SDC should be more aware of?
- 9.2 How will the post-2015 Sustainable Development Goals impact your work?
- 9.3 What should SDC do to support your work in-country or in-region, and that of your colleagues, better?

FORM 1: OECD-DAC CRITERIA FOR EVALUATION OF DEVELOPMENT PROJECTS

<i>Relevance</i>	Are we doing the right thing? How necessary and useful is the project? Does it respond to local needs and the needs of the target group? Does it fill an important gap?
<i>Effectiveness</i>	Are the objectives of the project being achieved? Did it have the impact on the beneficiaries/target group that it was expected to have?
<i>Efficiency</i>	Are the objectives being achieved economically, with a reasonable effort, and in a reasonable time-span?
<i>Impact</i>	Does the project make a difference in terms of improving the overall situation of the target group (e.g., mitigating poverty, reducing discrimination, enhancing participation, etc.)
<i>Sustainability</i>	How likely is it that the objectives of the project will be pursued when the external funding ends? How sustainable are the project objectives?

FORM 2: ASSESSMENT OF DEVELOPMENT PARTNERS

To be filled out during interviews with SDC, bilateral donors, multilateral agencies, and SDC partners in Burkina Faso and in the Western Balkans

Name of Institution (representative) who filled out the survey:

Question 1: With which organizations have you had contact with regularly over the past few years?

1. Probing questions:
 - Are there any other bilateral donors you cooperated with?
 - Are there any other multilateral agencies you cooperated with?
 - Are there any other SDC partners you cooperated with?
2. Note for interviewers: please write the names of the organization in the first column.

Note to interviewers: complete the list of organizations in collaboration with the interviewees (see question 1).

DFID

EU Commission/Aid

GTZ

SDC

USAID

Government of the country

World Bank

GPE

AfDB-Fund

AsDB-Fund

Int Fund for Agricultural Development

UNICEF

UNWRA

UNESCO

Pestalozzi Children's Foundation

Helvetas Swiss Intercooperation

Enfants du Monde

Bread for All

2. Which 3 organizations are the ones with which you worked very closely?

3. Which 3 organizations are considered to be reliable partners?

4. Which 3 organizations have the reputation of being very innovative in their approach?

5. Which 3 organizations have projects that are very effective, that is, benefit the target group(s)?

6. Which 3 organizations are culturally sensitive and are responsive to local needs?

7. Which organizations have clear plans on how to ensure sustainable impact beyond the duration of the actual project?

Other bilateral donor [specify]

Other bilateral donor [specify]

Other bilateral donor [specify]

FORM 3: Aid Effectiveness Roster

Please explain how important/not important the five principles of the Paris Declaration on Aid Effectiveness are in your daily work:

	1 Not important	2	3	4	5 Very important
Ownership: The government needs to have ownership over the project, steer and monitor the project.	<input type="checkbox"/>				
Alignment: The project must be aligned with the education sector strategy/development strategy of the country.	<input type="checkbox"/>				
Harmonization: Donors must closely collaborate in the project.	<input type="checkbox"/>				
Managing for results: The projects must be based on baseline data, targets, and benchmarks and there must be measurable outcomes.	<input type="checkbox"/>				
Mutual accountability: Both the donor and the government must regularly report to each other about the progress in the project.	<input type="checkbox"/>				

ABBREVIATED INTERVIEW GUIDE FOR PARTNERS

Field-Based Case Studies, Interview Guides 2, 3, 4

Interviewees for Interview Guide 2:

Partners of SDC (institutional, local, regional, multilateral, other donors)

Duration:

1 hour

Focus:

Background: Role of partner vis-à-vis SDC

Section 3: General assessment of SDC Portfolio in Country/Region

Section 5: Relevance, effectiveness, efficiency, impact, sustainability (OECD DAC criteria) of the project in which the partner is involved

Section 6: Comparative advantage/disadvantage of SDC as compared to others

Note:

The various sections of the interview guide 1 will stay intact, but the foci will change depending on the interviewees. Additional interviewees may be included and the interview guide 1 will be accordingly shortened to focus on the experience and knowledge of the particular interviewees/informants.

For multilateral donors: the issue of trust-funds and other types of “bilateralization of multilateral aid”—which other bilateral donors use—will be explored.

ABBREVIATED INTERVIEW FOR FOCUS GROUPS

Field-Based Case Studies, Focus Group Interviews

Duration of focus group: 60 minutes, 5-9 participants

Depending on the composition of the focus group participants, focus on:

- 1) Comparative advantage/disadvantage of SDC as compared to others
- 2) Types of support, intervention modalities, funding mechanisms, cooperation strategies

ANNEX 2: Form 2, Used in Burkina Faso (for social network analysis)

	1. Citez 3 organisations avec lesquelles vous travaillez en collaboration étroite?	2. Quelles 3 organisations sont considérées comme partenaires fiables?	3. Quelles 3 organisations ont la réputation d'être innovatrices dans leur approche ?
Aide de Luxembourg			
Aide/Commission U.E.			
Coopération allemand (GIZ)			
Aide de l'Autriche			
Coopération Suisse (DDC)			
Agence Franç. de Dév. (AFD)			
Aide du Canada			
Aide du Danemark			
Ministère de l'Edu. de Base et de l'Alphabétisation			
Ministère de la jeunesse, de la formation professionnelle et de l'emploi			
Ministère de l'Edu. Secondaire et Supérieure			
Autres Directions et Ministères du Gouvernement			
Banque Mondiale			
Partenariat Mondiale de l'Edu. (PME)			
Banque Afric. de Dév. (BAD)			
Banque Islamique de Dév. (BID)			
Fond International pour le dév. De l'agriculture (FIDA)			
Fonds National pour l'Edu. Non-Formelle (FONAENF)			
Assoc. pour le Dév. de l'Edu. en Afrique (ADEA)			
Assoc. pour la Promotion de l'Elevage au Sahel et en Savane (APPRESS)			
Réseau de Recherche en Edu. (ROCARE)			
Andal et Tinal			
Tin Tua			
UNICEF			
UNESCO			
UIL - L'Institut de l'UNESCO pour l'apprentissage tout au long de la vie			
International Institute for Educational Planning (IIEP)			
NORRAG			
Pestalozzi Children's Foundation			

Helvetas Swiss Intercooperation			
Enfants du Monde			
Terre des Hommes Genève			
Caritas			
HEKS			
Solidar Suisse			

	4. Quelles 3 organisations ont des projets qui sont très efficaces, c'est à dire qui bénéficient un public large?	5. Quelles organisations ont des plans clairs pour garantir la durabilité de l'impact de leurs actions au delà de la durée du projet actuel?
Aide de Luxembourg		
Aide/Commission U.E.		
Coopération allemand (GIZ)		
Aide de l'Autriche		
Coopération Suisse (DDC)		
Agence Franç. de Dév. (AFD)		
Aide du Canada		
Aide du Danemark		
Ministère de l'Edu. de Base et de l'Alphabétisation		
Ministère de la jeunesse, de la formation professionnelle et de l'emploi		
Ministère de l'Edu. Secondaire et Supérieure		
Autres Directions et Ministères du Gouvernement		
Banque Mondiale		
Partenariat Mondial de l'Edu. (PME)		
Banque Afric. de Dév. (BAD)		
Banque Islamique de Dév. (BID)		
Fond International pour le dév.de l'agriculture (FIDA)		
Fonds National pour l'Edu. Non-Formelle (FONAENF)		
Assoc. pour le Dév. de l'Edu. en Afrique (ADEA)		
Assoc. pour la Promotion de l'Elevage au Sahel et en Savane (APPES)		
Réseau de Recherche en Edu. (ROCARE)		
Andal et Tinal		
Tin Tua		
UNICEF		
UNESCO		

L'Institut de l'UNESCO pour l'apprentissage tout au long de la vie (UIL)		
International Institute for Educational Planning (IIEP)		
NORRAG		
Pestalozzi Children's Foundation		
Helvetas Swiss Intercooperation		
Enfants du Monde		
Terre des Hommes Genève		
Caritas		
HEKS		
Solidar Suisse		

	6. Quelles 3 organisations sont sensibles à la culture et réceptives aux besoins locaux?	7. Quelles 3 org. ont une approche respectueuses de l'égalité hommes-femmes?	8. Quelles 3 organisations sont connues pour l'inclusion des principes de gouvernance dans leur approche?
Aide de Luxembourg			
Aide/Commission U.E.			
Coopération allemand (GIZ)			
Aide de l'Autriche			
Coopération Suisse (DDC)			
Agence Franç. de Dév. (AFD)			
Aide du Canada			
Aide du Danemark			
Ministère de l'Edu. de Base et de l'Alphabétisation			
Ministère de la jeunesse, de la formation professionnelle et de l'emploi			
Ministère de l'Edu. Secondaire et Supérieure			
Autres Directions et Ministères du Gouvernement			
Banque Mondiale			
Partenariat Mondial de l'Edu. (PME)			
Banque Afric. de Dév. (BAD)			
Banque Islamique de Dév. (BID)			
Fond International pour le dév. De l'agriculture (FIDA)			
Fonds National pour l'Edu. Non-Formelle (FONAENF)			
Assoc. pour le Dév. de l'Edu. en Afrique (ADEA)			
Assoc. pour la Promotion de l'Elevage au Sahel et en Savane (APPESS)			

Réseau de Recherche en Edu. (ROCAR)			
Andal et Tinal			
Tin Tua			
UNICEF			
UNESCO			
L'Institut de l'UNESCO pour l'apprentissage tout au long de la vie			
International Institute for Educational Planning (IIEP)			
NORRAG			
Pestalozzi Children's Foundation			
Helvetas Swiss Intercooperation			
Enfants du Monde			
Terre des Hommes Genève			
Caritas			
HEKS			
Solidar Suisse			

Section 2b

Rapport d'Évaluation Étude de Cas: Burkina Faso (en français)

Auteurs:

Gita Steiner-Khamsi, Oren Pizmony-Levy, Alamissa Sawadogo, Estefania Sousa

Avec l'appui de Thomas Knobel, E+C Division, SDC

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Liste des sigles et abréviations

A & P	Anda et Pinal
ADEA	Association Pour le Développement de l'Éducation en Afrique
AFD	Agence Française de Développement
AFEB	Action de Formation en Ethique au Burkina Faso
AFT	Agence Française de Développement
AMT	Alphabétisation en Milieu de Travail
APD	Aide Publique au Développement
APENF	Association pour la Promotion de L'Éducation Non-Formelle
APESS	Association pour la Promotion de l'Élevage au Sahel et en Savanne
ASIBA	Association de Solidarité Internationale pour le Bazèga
BAD	Banque Africaine de Développement
BuCo	Bureau de la Cooperation
CAST	Compte d'Affectation Spéciale du Trésor
CE	Cours Elémentaire
CHF	Franc Suisse
CM	Cours Moyen
CP	Cours Préparatoire
DAO	Division Afrique de l'Ouest
DCEM	Direction du Continuum d'Éducation Multilingue
DDC	Direction du Développement et de la Coopération
DEDA	Développement et Éducation d'Adultes
DGAENF	Direction Générale de l'Alphabétisation et de l'Éducation Non-Formelle
DRINA	Direction de la Recherche, des Innovations en Éducation Non-Formelle et en Alphabétisation
EB	Education de Base
E+C	Evaluation et Contrôle de Gestion
ENF	Education Non Formelle
EPT	Education Pour Tous
FCB	Formation Complémentaire de Base
FDC	Fondation pour le Développement Communautaire
FONAENF	Fonds National pour l'Éducation Non-Formelle
GIZ	German Agency for International Cooperation
GoBF	Government of Burkina Faso
GPE	Global Partnership for Education
GPI	Gender Parity Index
ICAE	International Council for Adult Education/ICAE
ICREST	International Center for Restructuring Education, Schools, and Teaching

IDA	International Development Assistance
IIEP	International Institute for Educational Planning
MENA	Ministère de l'Éducation et de l'Alphabétisation
NORRAG	Network for International Policies and Cooperation in Education and Training
OMD	Objectifs du Millénaire pour le Développement
ONG	Organisation Non Gouvernementale
OSEO	L'Oeuvre Suisse d'Entraide Ouvrière
PAEB	Programme d'Appui à l'Éducation de Base
PDDEB	Plan Décennal pour le Développement de l'Éducation de Base
PDSEB	Programme de Développement Stratégique de l'Éducation de Base
PdT	Pédagogie du Texte
PNE	Politique National d'Emploi
PN-EFTP	Politique Nationale d'Enseignement et Formation Technique et Professionnelle
PREPP	Le Programme Régional d'Éducation/Formation des Populations Pastorales
PRIQUE	Programme Régional Interinstitutionnel pour la Qualité de l'Éducation
PRONAA	Programme Nacional de l'Accélération de l'Alphabétisation
RIP	Réseau International pour la Promotion de la Pédagogie du Texte
ROCARE	Réseau Ouest et Centre Africain de Recherche en Éducation
SCADD	Stratégie de Croissance Accélérée et de Développement Durable
SNAEF	Stratégie National pour l'Accélération de l'Éducation des Filles
SN-DIPE	Stratégie National pour le Développement Intégré de la Petite Enfance
TAP	Taux d'Achèvement du Primaire
TBS	Taux Brut de Scolarisation
TraDE	Training for Development
TVET	Technical Vocational Education and Training
USD	US Dollar

1 Contexte

1.1 Mandat de l'évaluation indépendante

Cette évaluation a été conduite par le Centre International pour la Restructuration de l'Éducation, Écoles et Enseignement (ICREST) – International Center for Restructuring Education, Schools, and Teaching en anglais, basé à New York. L'ICREST est affilié à l'école de post graduation en éducation de l'université de Columbia (Teachers College). La cheffe d'équipe est Gita Steiner-Khamsi et les membres de l'équipe ont été sélectionnés selon le besoin d'une expertise triple dans le domaine de l'éducation de base, de l'efficacité de l'aide et des régions géographiques dans lesquelles les études de cas et l'analyse documentaire ont été réalisées. Trois des membres de l'équipe ont visité le Burkina Faso pour des rencontres avec la Direction du Développement et de la Coopération Suisse (DDC) et ses partenaires locaux, régionaux et globaux et pour visiter des projets financés par la DDC. La mission de terrain s'est déroulée du 12 au 25 Mars 2015. Les membres de l'ICREST étaient: Gita Steiner-Khamsi (basée à New York), Almissa Sawadogo (base à Ouagadougou) et Estefania Sousa (basée à Luanda). En plus de ces membres, Thomas Knobel de la Section Evaluation et Contrôle de Gestion (Section E+C) de la DDC, basé à Berne, a accompagné l'équipe et a servi de liaison entre la DDC et l'ICREST.

Le but général de cette évaluation indépendante est de fournir à la DDC une appréciation (i) valide, (ii) fiable, (iii) utile, et (iv) différenciée de la performance de ses programmes à l'échelle en éducation de base (EB). Cependant, dans ce rapport, nous nous concentrerons sur l'évaluation des programmes en EB au Burkina Faso et adressons nos recommandations spécifiquement pour le Bureau de la Coopération suisse au Burkina Faso en espérant qu'il trouve nos analyses et recommandations utiles pour sa prochaine stratégie en éducation de base.

Les quatre objectifs clés de cette évaluation sont présentés dans le rapport préliminaire (p. 3 f.), notamment l'évaluation des aspects suivants:

- Alignement avec les objectifs stratégiques de la DDC en éducation
- Pertinence et efficacité des projets en EB
- Conformité et efficience des modalités d'implémentation de la DDC
- Correspondance avec les Agendas Internationaux, Standards et "Meilleures Pratiques""

L'évaluation au Burkina Faso s'est basée sur des rencontres d'entretiens, des visites de terrain et des analyses de documents. C'était une évaluation relativement compréhensive qui a permis de rencontrer 84 personnes qui ont travaillé ou ont collaboré avec la DDC au Burkina Faso durant les années 2007 à 2015. L'équipe d'évaluation a pu visiter 10 projets financés par la DDC dans les Régions du Centre-Sud et de l'Est du Burkina Faso. La liste exacte des personnes interviewées et des projets visités peut être trouvée dans l'annexe de l'*Aide-mémoire de la Mission de Terrain au Burkina Faso* (date de 10 Avril 2015 disponible à la Section E+C de la DDC).

Les différents entretiens réalisés ont duré qui variait entre une heure (1) et deux (2) heures. Les interviewés étaient ouverts et prêts à partager les documents, les informations pendant les entretiens et, si nécessaire, suivi du matériel additionnel après les rencontres. Les rencontres ont été organisées par le Bureau de la Coopération (Buco) à Ouagadougou, la coordinatrice régionale de la DDC (basée au Bénin), le staff de la DDC à Berne dans la Division E + C, la Division de l'Afrique de l'Ouest et la division chargée des partenariats institutionnels. Ils ont été extrêmement utiles dans leur engagement en nous donnant des informations de base pertinentes avant la mission de terrain, leur feedback pour le débriefing, l'aide mémoire ainsi que leurs commentaires sur des sections de ce rapport d'évaluation d'étude de cas.

1.2 Vue d'Ensemble de l'Éducation de Base

Dans le cadre Éducation Pour Tous (EPT), le Burkina Faso a adopté plusieurs politiques et programmes visant à améliorer son système éducatif caractérisé par l'inefficience et l'inégalité. La première stratégie décennale pour l'Éducation de Base (2000 – 2010), le Programme Décennal de Développement de l'Éducation de Base (PDDEB) a réussi à obtenir un large soutien des bailleurs de fonds, y compris de la DDC, pour améliorer l'accès à l'éducation primaire universelle. En 2010, le gouvernement du Burkina Faso a adressé explicitement l'éducation non formelle dans sa stratégie pour "l'accélération de l'alphanétisation", le Programme Nationale d'Accélération de l'alphanétisation (PRONAA)¹. Reconnaissant le fait que le Burkina Faso est l'un des pays ayant les taux d'alphanétisation des adultes les plus faibles au monde (28,7% en 2006), le PRONAA a défini l'objectif à atteindre de 60% de taux d'alphanétisation en 2015. Cet objectif était ambitieux et les moyens de les atteindre étaient créatifs et perspicaces. Une des théories du changement qui ont dominé le soutien indéfectible de la DDC pour l'alphanétisation est le mécanisme intéressant du Faire-Faire. Comme on le verra plus loin dans ce rapport d'évaluation, le Faire-Faire est une tentative de diversifier et d'augmenter le nombre des opérateurs de l'éducation non formelle dans un environnement ayant une forte demande pour des programmes d'alphanétisation.

Deux années plus tard, un autre programme de réforme sectoriel a été lancé, incluant, pour la première fois la petite enfance et l'éducation post-primaire. Ce deuxième programme, nommé Programme de Développement Stratégique de l'Éducation de Base (PDSEB), a commencé en 2012 et durera jusqu'à 2021². Il a réussi à attirer et coordonner le soutien des bailleurs dans cinq domaines prioritaires, incluant l'éducation non formelle pour adolescents et adultes. L'histoire du soutien de la DDC à l'EB est inextricablement liée à ses réalisations dans le domaine de l'alphanétisation d'adultes et plus récemment des adolescents, tant dans le système non formel que dans le renforcement de l'éducation bilingue dans le système formel d'éducation. Il est donc nécessaire de commenter brièvement les deux systèmes qui coexistent.

1.2.1 Éducation Formelle

L'éducation est obligatoire pour les enfants de 6 à 16 ans. Évidemment, ces programmes de réforme à long terme réussissent à augmenter significativement l'accès à l'éducation primaire formelle (6 années de scolarisation) : En 2000 le taux brut de scolarisation (TBS) du primaire était seulement 42,7%. Ce chiffre a presque doublé pendant une période de 12 ans et se situait à 81,3% en 2013³. Les filles continuent à être désavantagées, même si la parité de genre a été améliorée significativement ces dernières années. Par exemple, pendant la période 2008 – 2012, la parité de genre dans le primaire est passée de 0,76 à 0,95.

Le taux d'achèvement du primaire (TAP) a aussi doublé depuis 2000 mais reste encore considérablement faible (59,5% en 2013) comparé à la moyenne de l'Afrique Subsaharienne. La situation est encore plus grave pour le niveau secondaire. Même si le taux d'achèvement du secondaire a progressé, il se maintient dans les 20%. Autrement dit, de ceux qui entrent dans le système formel, seul 60% pourcent achèvent le niveau primaire et seulement 20% pourcent survivent au post-primaire. Le Gouvernement, les ONG partenaires et les bailleurs de fonds sont unanimes qu'il y a un (ou plusieurs) problèmes avec la qualité du système formel d'éducation dans la mesure où les élèves qui rentrent à l'école l'abandonnent même dans les premières années.

¹ Ministère de l'Éducation Nationale et de l'Alphanétisation. 2011. Programme National d'Accélération de l'Alphanétisation d'Ici à 2015. Ouagadougou: MENA.

² Le PDSEB est aligné avec les stratégies de politique macroéconomique tels que la Vision Burkina 2022, la Stratégie de Croissance Accélérée et de Développement Durable (SCADD) ou la Politique National de l'Emploi (PNE).

³ Source: MENA, annuaires statistiques de l'éducation, 2001, 2007, 2010, 2013.

Il y a clairement de vastes disparités régionales et de genre en termes de déperdition. Particulièrement, il y a un standard qui n'est pas suffisamment discuté dans les rapports techniques sur le Burkina Faso : comme il a été mentionné si dessous, il y a plus de garçons que de filles scolarisés mais le taux de déperdition des garçons est plus élevé que ceux des filles. Cette tendance mérite une plus grande attention. Comme le montre le tableau 1, le taux de déperdition a été amélioré significativement au niveau primaire (CP et CE) mais a enregistré des niveaux alarmants, durant les treize dernières années sur les derniers niveaux du primaire (CM1, 5^{ème} année). Le taux de déperdition des garçons est supérieur au taux des filles: un sixième des garçons (15,4%) abandonnent l'école au CM1 comparé avec 11,8% des filles.

Tableau 1: Taux de Déperdition par Sexe, 2001-2013

Year	Cours Préparatoire			Cours Elémentaire			Cours Moyen		
	Garçons (%)	Filles (%)	Total (%)	Garçons (%)	Filles (%)	Total (%)	Garçons (%)	Filles (%)	Total (%)
2001	6.2	5.9	6.1	9.6	7.8	8.9	9.4	8.9	9.2
2007	4.7	4.9	4.8	5.6	4.3	5.0	9.4	8.3	8.9
2010	6.3	6.8	6.5	7.7	4.8	6.4	15.3	12.3	13.4
2013	4.8	4.0	4.3	7.4	2.9	5.9	15.4	11.8	13.7

Source: DEP-MENA, *Synthèse de l'annuaire statistique 2012-2013*

Le faible taux de survie a plusieurs explications, incluant un système d'éducation qui est majoritairement monolingue, centré sur l'enseignant, et déconnecté des réalités et besoins des familles avec peu de ressources. Menant des efforts à cet regard, la DDC et ses partenaires ont donné des appuis aux initiatives pour introduire une pédagogie centré sur l'élève, l'éducation bilingue et l'enseignement de compétences de vie pertinentes permettant aux jeunes de devenir économiquement productifs. Même si les parents ont le droit constitutionnel de choisir la langue d'instruction pour leurs enfants, et 96,8% de la population parle une langue africaine⁴, la grande majorité des écoles enseignent en Français.

Pendant les vingt dernières années, la DDC et ses partenaires ont soutenu l'éducation bilingue dans les secteurs formel et non formel. Dans le secteur formel, leur modalité d'intervention est la suivante : La DDC donne d'abord de l'appui aux ONG pour faire le pilotage des méthodes innovantes et après donne de l'appui pour la validation de ses approches. Comme conséquence, les jeunes qui participent dans les programmes d'alphabétisation et de formation professionnelle appuyées par la DDC reçoivent un diplôme à la fin de leur formation. La DDC souhaite que les innovations (par ex. les courses d'alphabétisation des adultes et la formation professionnelle, etc.) soient mis à l'échelle – avec les fonds de la DDC et de ses partenaires – une fois validés par le Gouvernement. Il faut remarquer que la validation et l'institutionnalisation des approches innovantes dans le secteur non formel présentent plus de défis que dans le secteur formel.

Dans le système formel, la DDC a appuyé des réformes dans les écoles primaires bilingues qui ont très bien réussi. Aujourd'hui, la Direction du Continuum d'Education Multilingue (DCEM), un département spécial du MENA contrôle les écoles bilingues et multilingues. Le partenaire institutionnel de la DDC, SOLIDAR, collabore étroitement avec cette direction. Dans la plupart des cas, ces écoles étaient monolingues (appelées "écoles classiques" au Burkina Faso) et ont choisi, stimulées par la demande communautaire, de

⁴ Source: Ministère de l'Éducation et de l'Alphabétisation (2013). Programme de Développement Sectoriel de l'Éducation de Base. Ouagadougou: MENA

Tableau 2: Effectifs des élèves des écoles primaires Bilingues (Éducation Formelle), 2007-2014

	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14
Female	8,461	9,622	10,748	12,004	13,818	15,111	16,317
Male	9,528	10,575	11,560	12,577	14,587	15,413	16,475
Total	17,989	20,197	22,308	24,581	28,405	30,524	32,792

Source: SOLIDAR (March 2015), fichier d'excel.

se transformer en écoles bilingues ou multilingues en utilisant des approches pédagogiques innovantes. Ces écoles sont soutenues par le budget du MENA-PDSEB. Selon SOLIDAR, le nombre d'élèves inscrits dans les écoles primaires bilingues a considérablement entre 2007 et 2014.. Au cours de l'année scolaire 2007-2008, il y avait 17989 inscrits (dont 8 461 filles) et durant l'année scolaire 2013-14, il y avait un total de 32 792 élèves inscrits dont 16 317 filles (voir Tableau 2). L'accroissement des écoles primaires bilingues est aussi remarquable au niveau du nombre d'écoles. Selon le rapport semestriel de suivi du PDSEB (Août 2014), il y avait 127 écoles primaires bilingues au cours de l'année scolaire 2010-11.⁵ En 2013/14, le nombre de ces écoles est passé à 212.

Il est nécessaire de situer brièvement le contexte de l'éducation bilingue au Burkina Faso. La réforme éducative de 1979-1984 a essayé pour la première fois d'introduire l'éducation bilingue mais elle a été interrompue en 1983. En 1994, dans une coopération entre OSEO (actuellement SOLIDAR) et le Ministère de l'éducation, une nouvelle formule d'éducation bilingue accélérée a été introduite au niveau du primaire (en utilisant les trois langues les plus parlés au pays, le Mooré, Dioula et Fulfuldé). Cette formule a été inspirée par les méthodes utilisées dans les centres alphabétisation d'adultes⁶. Il y a un grand écart entre la reconnaissance officielle du droit de choix de la langue d'apprentissage des enfants par les parents et le soutien effectif que le gouvernement donne à l'éducation bilingue dans les écoles formelles. Une preuve de cette situation est la difficulté de trouver des données sur l'éducation bilingues dans le secteur formel de l'éducation.

Le manque d'enseignants a est un problème au Burkina Faso. Pendant les quinze dernières années, le secteur de l'éducation a réussi à attirer un grand nombre d'élèves sortant de l'enseignement secondaire, surtout des filles, pour devenir des enseignants. Les enseignants du sexe féminin sont particulièrement importants pour l'inscription des filles au niveau secondaire en ce sens que ces enseignantes constituent des références pour les élèves filles⁷. Malgré le fait que le ratio d'enseignants femmes ait été amélioré considérablement, les enseignants femmes sont encore sous-représentés dans les effectifs. Au niveau primaire, seulement 38,4 pourcent des enseignants sont des femmes, au niveau secondaire et dans les niveaux plus élevés les chiffres sont encore plus bas.⁸

1.2.2 Éducation Non Formelle

Le Burkina Faso est l'un des rares pays où le gouvernement est à ce jour engagés dans l'éducation non formelle des adolescents (âgés 9-15 ans) et l'alphabétisation des adultes

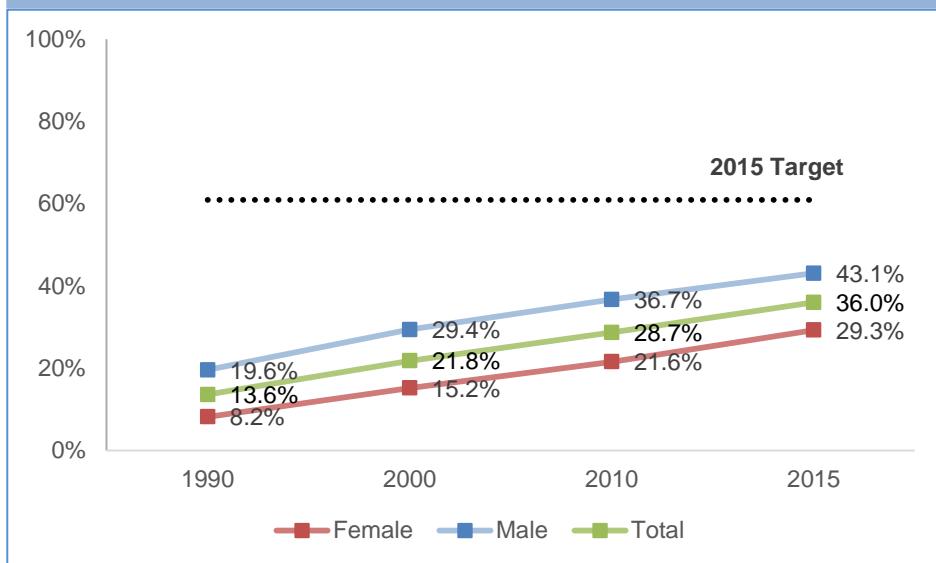
⁵ MENA. (2014). Rapport semestriel de suive de la mise en œuvre du PDSEB. Ouagadougou: Août 2014.

⁶ Kaboré, A. (2012). Disparités de l'enseignement primaire et innovation pédagogique au Burkina Faso. Revue Internationale d'éducation de Sévres. Avril 2012. p. 71-82.

⁷ CERFODES, (2008), Evaluation finale du projet BRIGHT 1 (entitled Burkinabé Response to Improve Girls' Chances to Succeed, Plan Burkina Faso-Catholic Relief Services, Ouagadougou, Burkina Faso. Voir aussi ROBICHAUD, J-B., & SAWADOGO, A., (2012), Rapport de l'étude de base du projet EQuIP (éducation, qualité, inclusion et participation) dans la province du Noumbiel au Burkina Faso, Plan Burkina, Ouagadougou, Burkina Faso.

⁸ Source: MENA, annuaires statistiques de l'éducation, 2001, 2007, 2010, 2013.

Figure 1: Burkina Faso: taux d'alphabétisation des adultes, 1991-2015



Source: UNESCO Institute of Statistics. (2012).¹¹

comme en témoigne, entre autres, la dénomination du Ministère de tutelle: Ministère de l'Education Nationale et de l'Alphabétisation (MENA).

La Figure 1 présente le taux d'alphabétisation des adultes (âgés 15 et plus) qui a progressé significativement pendant la période de 1990 à 2015. UNESCO définit l'alphabétisation des adultes comme "la capacité de lire et écrire, avec compréhension, une phrase courte et simple sur la vie quotidienne de quelqu'un" (UN, 2008).

Le taux d'alphabétisation des adultes pour les femmes était 8,2% en 1990 (19,6% pour les hommes), puis il a augmenté à 21,6% en 2010 (36,7% pour les hommes), et est maintenant estimé à 29,3% (43,1% pour les hommes)⁹. Les taux d'alphabétisation au Burkina Faso sont beaucoup plus faibles que ceux des pays de l'Afrique subsaharienne où 61% des adultes sont alphabétisés.

Dans le même ordre d'idées, comme le montre la figure suivante, la référence mondiale de l'alphabétisation des adultes d'UNESCO pour réduire l'analphabétisme des adultes de moitié au cours de la période 2000-2015 a été clairement manquée au Burkina Faso. Le gouvernement du Burkina Faso a établi deux objectifs: un taux d'alphabétisation des jeunes (15-24 ans)¹⁰ de 60% d'ici 2015 et un taux de 75% d'ici 2021, dont 60% sont des femmes. Comme le montre la figure 1, le pays est loin de répondre aux objectifs nationaux et mondiaux pour 2015.

Les programmes avec l'appui de la DDC prennent systématiquement le genre comme un thème transversal, permettant de mesurer le progrès en termes de parité de genre. Tableau 3 illustre le nombre d'adultes et d'adolescents inscrits dans les programmes.

9 UNESCO Institute of Statistics. (2012). Adult and Youth Literacy, 1990 – 2015. Analysis of data for 41 selected countries. Montreal: UIS.

10 See PRONAA (2012).

11 UNESCO Institute of Statistics. (2012), *ibid*.

Tableau 3: Evolution des Effectifs des Apprenants en Alpha et ENF, par Genre, 2009 - 2013

Year	Adultes			Adolescents			Total		
	Total	Femmes	%	Total	Femmes	%	Total	Femmes	%
2009	415,016	251,447	60.5	14,835	5,775	38.9	429,851	257,222	59.8
2010	295,958	183,593	62.3	8,605	4,115	47.8	304,563	187,708	61.6
2011	312,179	202,874	81.6	8,030	3,689	45.9	320,209	206,563	64.5
2012	375,938	254,936	67.8	5,545	2,717	49.0	381,483	257,653	67.5
2013	369,771	252,946	68.4	7,058	3,469	49.1	376,829	256,415	67.7

Source: MENA, annuaires statistiques de l'éducation non formelle, 2009 à 2013

1.3 Priorités du Gouvernement dans le Secteur d'Éducation

Les stratégies et politiques actuelles d'éducation pour le Burkina Faso sont définies dans le Programme de Développement Stratégique de l'Éducation de Base (PDSEB) 2012-2021. Ce programme prend en charge tous les sous-secteurs d'éducation, malgré le fait qu'il y ait d'autres stratégies sous-sectorielles¹² en éducation. Cette stratégie sectorielle inclut tous les sous-secteurs de l'éducation formelle et non formelle (petite enfance, primaire, post-primaire, alphabétisation/ formation professionnelle) et a comme but à atteindre l'Éducation pour Tous (EPT) et les Objectifs du Millénaire pour le Développement (OMD) en éducation en 2021. Les principales priorités du PDSEB sont:

- Développement du préscolaire en passant de 3% en 2010 à 11,3% en 2015 et au moins 25% en 2021
- Réalisation de l'enseignement primaire universel en 2021 dont 75,1% de TAP en 2015 avec une équité fille/garçon;
- Suppression du goulot d'étranglement entre le primaire et le post primaire
- Accélération de l'alphabétisation avec pour ambitions, d'une part, l'élimination de l'analphabétisme à sa source à travers la prise en charge de tous les adolescents de 9-14 ans à l'horizon 2021 et d'autre part, l'alphabétisation/formation des 15 ans et plus avec une attention particulière pour au moins 60% des jeunes de 15-24 ans en 2015 et 75% en 2021 dont 60% de femmes.

Pour atteindre ces objectifs du MENA, la mise en œuvre du PDESEB sera faite en cinq programmes de réforme¹³ (i) Développement de l'Accès à l'éducation de base formelle, en investissant dans les infrastructures et recrutant le personnel, en donnant une attention particulière à la petite enfance; (ii) Amélioration de la qualité de l'éducation de base formelle, en termes d'infrastructures, curriculum, participation de la communauté, une meilleure formation des enseignants et incluant des programmes transversaux de santé et nutrition; (iii) Développement de l'éducation non formelle, comme une voie spécifique pour améliorer l'état de l'éducation au Burkina et pas comme une solution dans l'absence d'une alternative meilleure; (iv) Pilotage du secteur de l'éducation de base, pour optimiser la coordination, la gouvernance et la bonne mobilisation des ressources; et, (v) Gestion efficace et efficiente du PDSEB, pour guider la gestion du programme et faire le suivi de son exécution, en définissant le rôle de chacun des intervenants.

Même si la DDC a souscrit pour les 5 domaines, il lui a été confié le rôle de chef de file dans le groupe de travail de l'éducation non formelle. Comme avec les stratégies

¹² Par exemple, la Stratégie Nationale d'Accélération de l'Éducation des Filles (SNAEF), Stratégie National pour le Développement Intégré de la Petite Enfance (SN-DIPE); ou la Politique Nationale d'Enseignement Technique et Formation Professionnelle, (PN-ETFP), entre autres.

¹³ La liste présentée a été récopié et synthétisé du document du Programme de Développement Sectoriel de l'Éducation de Base.

Tableau 4: PDSEB 2012-21 par Source de Financement (en CHF 000 and %)

Source	Accès		Qualité		Non-Formelle		Pilotage		Total	
	Coûts	%	Coûts	%	Coûts	%	Coûts	%	Coûts	%
Gouvernement	143,717	91.7	18,118	80.8	4,650	55.4	30,376	66.8	196.862	84.4
Bailleurs (CAST & GPE incl.)	12,953	8.3	3,831	17.1	3,505	41.7	3,457	7.6	23.748	10.2
ONGs/ Associations	125	0.1	474	2.1	245	2.9	11,663	25.6	12,508	5.4
Total	156,795	100.0	22,424	100.0	8,400	100.0	45,498	100.0	233,119	100.0

Source: SDC Additional Credit Request, No. 7F-02255.03, p. 1.

sectorielles dans d'autres pays, le coût de mise en œuvre du PDSEB a d'abord été calculé. Ensuite, le Gouvernement du Burkina Faso devrait pour couvrir la plus grande partie du coût (84,4%). Enfin, le déficit de financement était censé être comblé avec le soutien financier des bailleurs de fonds (10,2%) et d'autres partenaires au développement (5,4%). Cependant, dans la réalité, le Gouvernement a du mal à trouver les fonds nécessaires. En 2015, il était seulement en mesure de couvrir 76,07% du coût de mise en œuvre PDSEB, résultant un manque à gagner d'environ 320 millions de francs Suisse (CHF) prévus pour la période 2015-2017¹⁴. Contre toutes les affirmations à l'effet contraire, le Gouvernement privilégie clairement l'accès et la qualité de l'éducation formelle ainsi que le soutien pour des programmes pilote, par opposition à l'éducation non formelle. Comme le tableau 4 l'indique, dès le début du PDDEB, les donateurs et d'autres partenaires au développement devaient réaliser 41,7% du financement du secteur de l'éducation non formelle par rapport à la part de 55,4% du Gouvernement.

En plus de contribuer au CAST et au FONAENF, les donateurs bilatéraux tels que les Pays-Bas, la Suisse et bien d'autres ont également fourni des subventions directes au secteur de l'éducation non formelle pour le garder opérationnel. En effet, les donateurs couvrent plus de la moitié du budget opérationnel pour le secteur de l'éducation non formelle en payant dans le système de CAST (financement commun des bailleurs de fonds) ou par la contribution bilatérale directe au FONAENF. C'est pour cette raison que les personnes interviewées exhorte la DDC, le dernier grand donateur bilatéral dans le secteur de l'éducation non formelle, à intensifier le dialogue politique et de convaincre le Gouvernement du Burkina Faso à respecter son engagement financier en faveur de l'éducation non formelle afin de que le Programme national pour l'accélération de l'Alphabétisation (PRONAA) puisse être mis en œuvre avec plus de rigueur.

1.4. Analyse de l'Investissement des Bailleurs de Fonds au Burkina

Le Burkina Faso est très dépendant de l'aide internationale et 17,64% de l'aide publique au développement (APD) a été reçue par le pays à travers l'appui budgétaire général. D'après AID Data, le Burkina Faso a reçu 51.3 million de dollars¹⁵ d'aide pour l'éducation, dont 34.2 millions de dollars pour le sous secteur de l'éducation de base. Globalement, l'aide pour l'éducation est relativement faible : cela représente 6.19% de l'APD (1,1 milliard USD¹⁶) attribuée au Burkina Faso en 2012. Le PME est actuellement le plus grand bailleur du PDSEB. En 2013, il a alloué 78,2 million de dollars pour la réforme éducative du PDSEB.

¹⁴ See SDC Additional Credit Request for Programme d'appui a l'éducation de base (PAEB) No. 7F-02255.03, p. 1.

¹⁵ Source: Open Aid data, 2014

¹⁶ Source: World Bank, World Development Indicators.

La DDC a dépensé 22 080 000 CHF pour le Programme d'Appui à l'Éducation de (2006 – 2016). Pour les dix dernières années la Suisse a été parmi les cinq plus donateurs du secteur non formel au Burkina Faso. De ces bailleurs, les Pays-Bas a été, jusqu'à 2011 le plus grand bailleur de l'EB. Les autres bailleurs bilatéraux des dix dernières années étaient le Canada, la France, le Danemark et le Japon. Reconnaissant l'importance de la Suisse comme un partenaire au développement, la Suisse sera chef de file des donateurs dès Mai 2015. Le Canada a joué ce rôle pendant les deux dernières années.

Ces grands bailleurs, y compris la Suisse, ont aligné leur appui avec les deux programmes d'éducation du gouvernement. Jusque ce jour, deux programmes sectoriels ont été mise en œuvre : le PDDEB de 2002 a 2012 et le PDSEB de 2013 a 2021. Le PDSEB inclut aussi l'éducation préscolaire et post-primaire. Au niveau national la DDC appuie le PDSEB de trois façons :¹⁷

- Le Compte d'Affectation Spéciale du Trésor (CAST) qui reçoit des contributions de l'UNICEF, AFD, PME, Danemark, Luxembourg, Canada et DDC. Ce compte n'est pas alloué aux projets spéciaux, par contre il constitue un support budgétaire pour la stratégie du secteur de l'éducation PDSEB 2013-21. Le CAST est géré par le MENA, qui est autonome et a des pouvoirs de décision sur l'allocation de ressources. Le PME, qui est actuellement géré par l'AFD, contribue à environ 40% du budget annuel du CAST.¹⁸ Pour la période 2015-2017, l'écart budgétaire pour l'exécution du PDESEB est d'environ 320 million CHF. Dans le cadre de la demande de crédit additionnel (No. 7F-02255.03), la DDC a fourni un crédit supplémentaire de 1 million CHF directement au CAST pour aider à réduire le déficit.
- Le Fonds pour l'Alphabétisation et l'Éducation Non Formelle (FONAENF) est un fonds regroupe les membres du CAST et autres partenaires techniques et financiers, ainsi que le gouvernement Burkinabè et les acteurs du secteur privé. Technique, c'est un fonds géré par des acteurs privés. Toutefois, la majorité de ses financements de ce fonds provient des sources gouvernementales et des bailleurs et est, dans le cadre de cette évaluation, considéré comme un fonds affilié au gouvernement. Il se concentre spécifiquement sur l'alphabétisation et l'éducation non formelle. En 2014, le FONAENF a eu un déficit approximatif de 7 millions CHF, représentant 40% de son budget annuel. La Suisse fait des contributions pour le FONAENF de trois façons: comme membre du PME, comme membre du CAST et directement. Les contributions directes de la DDC ont été de 1 million CHF en 2012, 500 000 CHF en 2013 et 1,5 million CHF en 2014. Durant l'année 2014, la DCC a donné un crédit additionnel de CHF 1,5 million directement au FONAENF pour aider à diminuer le déficit du FONAENF.¹⁹
- Appui aux projets implémentés par les partenaires de la DDC au Burkina Faso qui ont des projets en EB, notamment: les partenaires institutionnels de la DDC (Enfants du Monde, OSEO-SOLIDAR), ONGs locaux (Tin Tua, APENF, etc.), partenaires du gouvernement (DEDA, DRENA, etc.), ou partenaires régionales (ADEA, PREPP, RIP/PdT, ROCARE, etc.)

Pour la dernière modalité de financement, la DDC appuie actuellement quatre "partenariats stratégiques" avec des partenaires institutionnels et locales pour mettre en œuvre des programmes en éducation non formelle:

- APENF – Association pour la Promotion de l'Éducation Non-Formelle, responsable pour la promotion et plaidoyer des innovations;
- Enfants du Monde, chargé des innovations en éducation pour les 9-15 ans, le *continuum éducatif*, la liaison entre l'éducation de base et la formation technique et

¹⁷ Comme sera mentionné plus tard, la DDC appuie aussi les programmes en éducation de base au Burkina Faso à travers ses programmes et partenariats régionaux (e.g, RIP/PdT, PREPP, ADEA) ainsi que par l'assistance aux institutions globaux (IDA, PME, IIEP, UNESCO, etc.) qui opèrent au Burkina Faso.

¹⁸ Représentant du PME au Burkina Faso

¹⁹ Voir Proposition de Crédit Additionnelle No. 7F-02255.03.

professionnelle et coordonne aussi les principaux ONGs Burkinabèses qui travaillent comme opérateurs du non formel, notamment ASIBA, FDC, A&P;

- Association Tin Tua qui est aussi chargé des innovations en éducation et le *continuum éducatif*,
- ES-CEBNF – Écoles Satellites – Centres d’Éducation de Base Non Formelle et EFFORD – chargés des innovations en éducation, le continuum post-primaire dans le secteur non formel pour les 9-15 ans.

Cependant, depuis 2010 la tendance à la baisse des bailleurs de fonds de leur aide pour l'éducation de base dans les pays en développement a beaucoup affecté le Burkina Faso. Les Pays-Bas, un important donateur du CAST, sous prétexte ne pas avoir des avantages comparatifs dans le secteur,²⁰ a quitté le pays en 2012. Le Canada et le Danemark sont aussi en train d'achever leur soutien bilatéral pour le secteur de l'éducation²¹. Néanmoins, même si le soutien bilatéral se termine ou diminue pour ces bailleurs, ils continueront leur appui en continuant au Partenariat Mondial ou l'Education (PME), l'IDA, l'UNICEF et d'autres organisations multilatérales. Globalement, le retrait des bailleurs de fonds et la diminution du financement pour d'autres donateurs encore présents dans le pays a représenté une perte de 53% de l'aide annuelle à l'éducation de base du Burkina Faso.²² Concernant l'éducation non formelle, la DDC est restée le partenaire le plus actif et est considérée comme le principal donateur tant au Burkina Faso que dans la région de l'Afrique de l'Ouest.

2 Analyse du Portefeuille des Programmes en EB de la DDC au Burkina Faso

L'analyse du portefeuille financier utilise trois sources pour retracer les dépenses de la DDC en éducation de base au Burkina Faso:

1. La base de données SAP de la DDC (dépenses réelles)
2. Propositions de crédit (dépenses prévues et planifiés)
3. Comptes financiers du Buco Burkina Faso (dépenses réelles)

Il est recommandé de considérer les trois sources de données car elles utilisent des méthodes différentes pour fournir des informations financières sur les programmes financés par la DDC sur des périodes différentes. Elles ne sont donc pas comparables.

2.1 Source des Données: SAP, 2007 - 2013

Dans le cadre de cette évaluation, l'Education de Base (EB) est considérée comme toutes les initiatives de la DDC classées en se concentrant sur les trois sous-secteurs de l'éducation : (1) éducation de base formelle; (2) éducation non formelle; et (3) politique éducative. La DDC a développé une classification qui distingue l'éducation de base formelle de l'éducation non formelle depuis 2012. Avant 2012, les catégories de la DDC étaient éducation primaire et éducation secondaire. Pour donner de la cohérence dans l'analyse des dépenses au cours du temps, nous avons regroupé toutes les catégories en une seule catégorie qu'est l'éducation de base formelle et non formelle. L'analyse a été faite en utilisant la base de données SAP, la principale source de données sur les dépenses disponible au niveau central de la DDC.

²⁰ Winthrop, R. (2011). *Aid to basic education in developing countries under threat. Global Partnership for Education.* Retiré sur: <http://www.globalpartnership.org/blog/aid-basic-education-developing-countries-under-threat>

²¹ D'après le feedback du Buco Burkina Faso (reçu le 12 Juin 2015), le Canada a réconsidéré son désengagement de l'éducation, et est en train de définir son programme d'appui à l'éducation pour continuer engagé d'ici à 2021.

²² Idem.

De 2007 à 2013 les dépenses bilatérales totales (réelles) de la DDC dans le secteur de l'éducation au Burkina Faso ont été de 23,0 million CHF, dont 88% (CHF 20,2 million) représentent les dépenses de l'agence en éducation de base. La Figure 1 montre la distribution des dépenses bilatérales totales de la DDC en éducation au Burkina Faso de 2007 à 2013 par les cinq sous-thèmes d'éducation. Les dépenses dans les initiatives en éducation formelle et non formelle au Burkina Faso

représentent 58% des dépenses totales de l'agence en éducation, et les initiatives de support des politiques ont concerné 29% des dépenses pendant cette période.

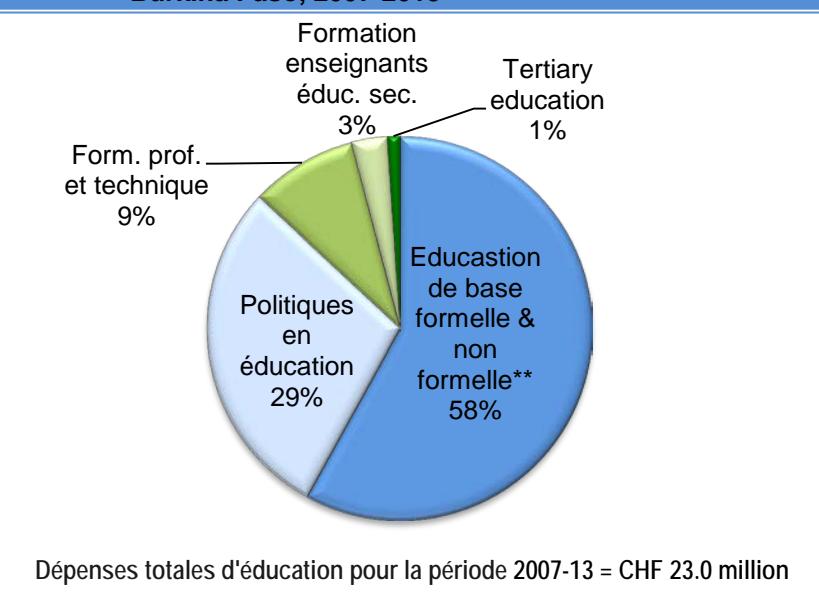
Selon le SAP, de 2007 à 2013 les dépenses bilatérales totales de la DDC au Burkina Faso ont été de 20,2 millions CHF. Le Burkina Faso a été le premier bénéficiaire de la DDC en EB pendant cette période de six années, pas seulement en Afrique mais dans tous les pays où la DDC fait des contributions bilatérales en éducation de base.

2.2 Source de Données: Propositions de Crédit Programme de soutien à l'EB, 2006 - 2016

Le Programme d'Appui à l'Éducation de Base de la DDC au Burkina Faso a commencé en 2006 et est actuellement dans sa troisième phase. Le budget pour les phases 1, 2, 3 est distribué de la façon suivante: 4,63 millions CHF pour la phase 1, 4,95 millions pour la phase 2, et 12,5 millions pour la phase 3. Pour la troisième phase (1^{er} Décembre – 31 Décembre, 2016), la DDC a approuvé deux propositions: une proposition de crédit régulier (10 million CHF), a été suivie par un crédit additionnel de 2,5 millions CHF.

Le Tableau 5 montre que le budget annuel moyen pour le programme a augmenté progressivement pendant les dernières années: 1,7 millions CHF (phase 1), 2,8 millions CHF (phase 2), 3,3 millions CHF (phase 3) par an, reflétant le l'appui continu et fort de la DDC à l'éducation de base au Burkina Faso.

Figure 2: Distribution des Dépenses de la DDC en Éducation Burkina Faso, 2007-2013



** Avant 2012 les catégories étaient "education primaire & secondaire."

Source DDC SAP database

Tableau 5: Propositions de Crédit du Programme d'Appui à l'Éducation de Base de la DDC au Burkina Faso, 2006 – 2016

Phase	Période	Montant Approuvé (in CHF)
Phase 1: 7F-02255.01	Dec 1, 2006 – Sep 30, 2008	4,630,000
Phase 2: 7F-02255.02	May 1, 2009 – Apr 30, 2012	4,950,000
Phase 3: 7F-02255.03	Dec 1, 2012 – Dec 21, 2016	10,000,000
Phase 3: additional request		2,5000.000
Total de la Phases 3		22,080,000

Source: DDC Propositions de Crédit.

2.3 Source de Données: Analyse Financière du Buco Burkina Faso

Le Buco Burkina Faso a compilé les informations sur les dépenses réelles pour la période 2008 – 2014 dans le Programme d'Appui à l'Éducation de Base (No. 7F-02255).²³ Comme déjà mentionné plus haut (voir section 2.2), les dépenses en Éducation de Base ont augmenté pendant les dernières années. En général, il y quatre partenaires institutionnels—Helvetas, OSEO-SOLIDAR, Terres des Hommes Suisse, Enfants du Monde qui ont opéré en éducation de base au Burkina Faso pendant les derniers sept années.

De 2008 à 2014, la DDC a alloué 47 pourcent du budget ou 4,3 millions CHF de son Programme d'Appui à l'Éducation de Base (No. 7F-02255) aux partenaires locaux (surtout APENF, TinTua, TraDE). Environ CHF 2,5 millions ou 28 pourcent ont étaient décaissés pour le gouvernement ou partenaires affiliés du gouvernement comme le FONAENF ou DRENA. Les partenaires institutionnels Suisses (Enfants du Monde et OSEO-SOLIDAR) et la ONG Internationale RIP ont reçu 25 pourcent du budget du programme 7F-02255 (Programme d'Appui à l'Éducation de Base) ou, exprimé en termes monétaires, environ 2,2 millions CHF pour la période de six années.

²³ Nous remercions le Buco Burkina Faso, particulièrement Daniel Schneider qui nous a pourvu l'information financière demandé.

Tableau 6: Programme d'Appui à l'Éducation de Base de la DDC (No. 7F-02255) par Type de Partenaire, 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Total 2008-14
Partenaires Locaux								
AFEB				10,782				10,782
APENF		549,249	603,890	387,425	218,116	184,910	277,222	2,220,812
Association Burkina Livres		25,917						25,917
ATT Association Tin-Tua	552,574	145,224	387,956		256,162	300,032	111,090	1,753,038
Manivelle Productions/ E&C	12,460							12,460
Sous-total								4,023,009
Partenaires Gouvernementaux								
D.G./RIEF					70,545			70,545
DEDA		81,874		17,594				99,468
Départm de Linguistique, UO				6,362				6,362
DGAENF				6,064				6,064
DRINA		485,828						485,828
FONAENF						939,000	927,000	1,866,000
Institut des Sciences (INSS)			10,435					10,435
Sous-total								2,544,702
ONG Internationales suisses								
Enfants du Monde			207,651	222,136	434,667	444,908	221,145	1,530,505
OSEO-SOLIDAR	249,200		155,940	139,140	146,874			691,154
TraDE (Training for Development)			93,352	49,240	65,394	22,536	55,170	285,692
Rés Int. Prom. Péd. Du Texte	7,384							7,384
Sous-total								2,514,735
Total	821,618	1,288,092	1,459,224	838,743	1,191,758	1,891,386	1,591,627	9,082,448

*Note: les charges d'audit (CHF 57,036) et les honoraires pour un expert local (CHF 2,804) sont exclus.
Source: Buco Burkina Faso, Mai 2015.

La Figure 3 liste les partenaires contractuels du Buco Burkina Faso. Cette spécification est importante par la raison suivante: Par exemple, l'ONG Enfants du Monde est le principal contractant, mais elle partage le budget avec trois autres ONGs locales ASIBA, FDC, A&P) qui implémentent le programme. Donc, les ONGs locale reçoivent (indirectement) plus que les figures actuelles suggèrent. En outre, il est important de garder à l'esprit que la contribution financière globale de la DDC est plus grande que les chiffres fournis dans le tableau 6. Le montant de 9,082,447 CHF dépensé pour la période de 2008 à 2014, ne couvre que l'appui au programme ou de projet au niveau national. Comme mentionné précédemment, la DDC utilise l'appui programme / projet (No. 7F-02255), ainsi que trois autres canaux pour soutenir l'éducation de base au Burkina Faso:

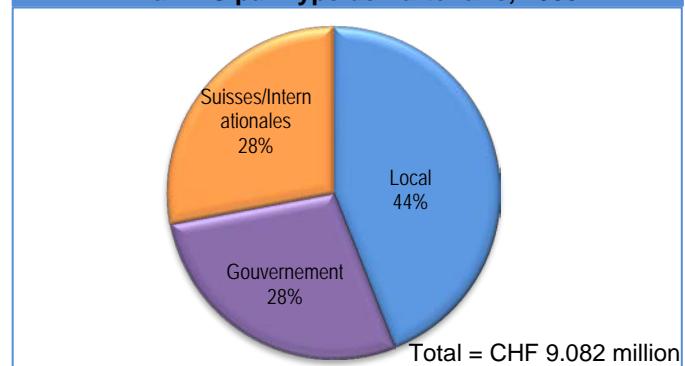
- *Appui programme*, c'est à dire, appui aux partenaires locaux, institutionnels/internationaux/gouvernementaux dans le cadre du Programme d'Appui à l'Éducation de Base (No. 7F-02255), répertoriés dans le tableau et la figure ci-dessus (la contribution bilatérale);
- *Appui Budgétaire* au fonds d'affectation du trésor CAST (qui est financé par 7 bailleurs/partenaires développement) (contribution bilatérale). Cette contribution est incluse dans le tableau et la figure ci-dessus. Par exemple, il y a un solde impayé au CAST de 2,872,560 CHF à partir de mai 2015;
- *Appui Multilatéral*: Support à IDA et PME à travers une contribution financière multilatérale;
- *Appui programmes et contributions communes pour les partenaires régionaux* en Afrique d'Ouest: Les deux programmes les plus importants sont les suivants: PRIQUE/PdT et PREPP. La troisième phase du PRIQUE/PdT a duré trois années (2011-2014) et a eu un budget de 2,9 millions CHF. Le plus grand programme actuel (PREPP) dure trois années (2013-2016) et a un budget de 9,405,000 CHF. En outre, la DDC fournit contribution de base à l'ADEA et la Banque Africaine de Développement.²⁴

2.4 Non-Comparabilité des Sources de Données

Le problème est qu'il n'y a pas une source de données qui fournit des informations financières valides. Le SAP ne donne pas des informations exactes sur les dépenses bilatérales par opposition aux dépenses multilatérales, ni combine combien a été versé par types de partenaires. Cette dernière situation est peut-être un problème d'interprétation divergente ou de confusion entre le personnel de la DDC sur terrain qui alimente la base de données et les experts au niveau central, basés à Berne, qui évaluent les bases des données. Il y a une incompréhension qu'il convient de relever dans son intégralité:

Le manuel SAP (page 1 et 2) énumère vingt organisations sous "organisations non gouvernementales - International / étrangères" comme, par exemple, la Fondation Aga Khan (code 13003), Handicap International (Code 13061), le Conseil norvégien pour les

Figure 3: Programme d'Appui à l'Éducation de Base de la DDC par Type de Partenaire, 2008-14



Source: SCO Burkina Faso, May 2015

²⁴ Fiche technique 7F-03114.03: Programme régional interinstitutionnel pour la qualité de l'éducation par la Pedagogie du Texte (PRIQUE/PdT), Phase 3 (01.05.2011-30.04.2014); Fiche technique 7F-06852: Programme Régional d'Education et Formation des Populations Pastorales en zones transfrontalières (PREPP), 2013-2016.

réfugiés (Code 13065), Oxfam (Code 13066), les organisations à but non lucratif de Sud / Est (code 13072). La dernière catégorie est intitulé «les organisations à but non lucratif de Sud / Est" (code 13072) et comprend des organisations dans le Sud Global / Global-Orient (dans ce cas, au Burkina Faso) qui reçoivent des fonds de la DDC. Par conséquent, la base de données SAP naturellement classé ONG burkinabé tels que, Tin Tua, APENF, etc. sous le code 13072. Ce qui fausse les résultats d'une manière qui suggèrent une allocation hautement disproportionnée aux ONG internationales / étrangères. Sans doute, ces ONG locales ne sont internationales / étrangères que pour le personnel de la DDC basé au siège à Berne. Pour ceux basés au Burkina Faso, elles sont clairement "partenaires locaux" et codés en tant que telle.

Il y a trop d'incohérences entre les trois sources de données financières à énumérer ici. Il est problématique qu'aucune des trois sources de données, seule ne fournit une image précise des dépenses de la DDC pour un secteur particulier (dans ce cas, l'éducation, ou plus spécifiquement l'éducation de base) dans un pays donné (dans le cas du Burkina Faso)²⁵. Compte tenu des incohérences majeures, il n'est pas surprenant que le SAP soit utilisé exclusivement à des fins de rapports plutôt que pour la planification interne, le suivi et l'évaluation.

3 Constats, Conclusions et Recommandations de l'Evaluation

Il existe de nombreuses réalisations dans le domaine de l'éducation et le développement des compétences de base pour lequel la DDC et ses partenaires sont crédités. L'impact de leurs réalisations peut être démontré dans les trois aspects suivants:

- Portée et dimension des bénéficiaires : La DDC a été le principal bailleur bilatéral à plaider ou à donner de l'appui financier au secteur non formel. Juste pendant la période 2013-2014, Presque 320 000 d'adultes ont bénéficié de cours d'alphabétisation et formation professionnelle (dont 60% de femmes) qui leur ont permis d'améliorer leurs conditions de vie;
- Efficacité : La DDC appuie le renforcement de la gouvernance locale et la participation communautaire. En 2014, les premières mesures pour une réforme globale de décentralisation ont été prises à la suite desquelles, par exemple, les acteurs locaux seront chargés de l'enregistrement, de la demande, de l'approbation et du suivi des programmes d'éducation non formelle dans leur district.
- Dialogue politique : le BUCO a assumé depuis 2013 la vice-présidence du Groupe de travail thématique sur l'éducation non formelle (GTENF) de PDSEB au Burkina Faso. La DDC est aussi le principal bailleur de fonds de l'ADEA ; son soutien est notamment orienté vers le Groupe Thématique sur l'Education Non Formelle (GTENF) et le Pôle inter-pays sur le Développement des Compétences Techniques et Professionnelles (DCTP). l'éducation non formelle et la formation professionnelle font également partie des enjeux fortement appuyés par la DDC au Burkina Faso et dans toute la Sous-région. Pour ce qui est du GT ENF, la DDC assure un rôle de leadership institutionnel, aux côtés d'autres acteurs tels que l'Institut de l'UNESCO pour l'Apprentissage tout au long de Vie qui lui apporte aussi une assistance technique et un appui stratégique. Au Burkina Faso, la DDC appuie l'Association pour la Promotion de l'Education non Formelle (APENF) qui sert d'institution d'accueil du GT ENF de l'ADEA. La convergence des appuis de la DDC en faveur de l'éducation non formelle –aux niveaux national, sous régional et international- et les alliances tissées avec d'autres

²⁵ Par exemple, la base de données SAP liste correctement la contribution pour le programme de formation professionnelle coordonné par Terre des Hommes Suisse (CHF 0.09 millions) au Burkina Faso sous "contribution aux ONG suisses" en éducation de base. Cependant, dans la base de données du BUCO au Burkina Faso les deux seules partenaires institutionnels/suisses listés comme ayant reçu du financement sont Enfants du Monde et OSEO-SOLIDAR; certainement en raison du fait que le BUCO ne les comptabilise pas en EB mais en tant qu'éducation technique et professionnelle.

organisations visent à accroître le déploiement et le financement de l'éducation non formelle en Afrique de l'Ouest ; les résultats atteints varient d'un pays à l'autre mais la Suisse est idéalement positionnée à cet effet et reconnue.

Compte tenu de l'engagement à long terme de la DDC au Burkina Faso et le volume actuel de son programme de soutien à l'éducation de base 2007-2016 (plus de 9 millions de francs), il y a trop de réalisations à mentionner. Dans une tentative de restructuration des principales conclusions, ce rapport aborde les quatre principales questions d'évaluation que le groupe CLP considérés comme essentiels: (1) l'alignement avec les objectifs stratégiques de la DDC, (2) la pertinence et l'efficacité des projets en EB, (3) la pertinence et l'efficacité des modalités de mise en œuvre de la DDC, et (4) la cohérence avec les agendas internationaux, les normes internationales et les "meilleures pratiques"²⁶. Dans ce rapport, un accent particulier a été mis sur l'alignement avec les stratégies existantes que poursuit la DDC au niveau régional et national au Burkina Faso. Ces stratégies reflètent la "logique du bailleur," qui est la théorie du changement de la DDC dans le domaine du développement et de la coopération. Dans une évaluation axée sur l'utilisation, la culture organisationnelle, le système de croyances, les valeurs et les théories du changement doivent être pris en compte. Pour rendre justice à "la logique des bailleurs de fonds de la DDC", il est essentiel de comparer les objectifs stratégiques de la DDC avec les résultats réels achevés dans le pays. Pour cette raison, la section prochaine, 3.1 (alignement) est plus détaillée que les trois autres.

3.1 Alignement avec les Objectives Stratégiques de la DDC

La DDC n'a pas une stratégie globale d'éducation qui puisse guider l'évaluation de l'exécution des programmes. Dans l'absence d'une telle stratégie, l'évaluation utilise la vision générale de la DDC sur l'éducation, les lignes directrices de la stratégie de la division de l'Afrique de l'Ouest 2012 et la stratégie de coopération de la DDC 2013-2016 comme cadres conceptuels.²⁷ Les deux documents sont en cohérence avec le Message Parlementaire de la Coopération Suisse 2013-2016.²⁸ En plus, l'évaluation analyse comment et dans quelle mesure les deux thèmes transversaux – genre et gouvernance – ont été implémentés dans les programmes en EB de la DDC au Burkina Faso.

Les lignes directrices régionales de la *Division de l'Afrique de l'Ouest* listent dix principes, trois stratégies de mis en œuvre, et les trois domaines d'intervention suivants comme des domaines stratégiques prioritaires:²⁹

- Vision holistique de l'éducation et une approche basée sur le droit à l'éducation
- Education pertinente qui tient compte de la langue d'enseignement et le contenu des programmes
- Amélioration de l'accès à l'éducation/formation de base pour les groupes exclus, comme, par exemple, des enfants et jeunes non inscrits, filles et femmes analphabètes et la population rurale.

Au Burkina Faso, le domaine de l'éducation de base et la formation professionnelle constitue un des quatre domaines d'intervention prioritaires de la stratégie de coopération de la DDC, avec le développement rural et la sécurité alimentaire, la décentralisation et la gouvernance locale et la gestion macroéconomique. Comme avec tous les autres

²⁶ Voir Inception Report, p. 4f.

²⁷ DDC, Direction du développement et de la coopération, Division Afrique de l'Ouest (2012). *Lignes Directrices 2013 – 2016*. Berne: DDC; DDC. (2013). *Stratégie de coopération Suisse au Burkina Faso*. Bern: DDC.

²⁸ Schweizerischer Bundesrat. (2012). *Botschaft über die internationale Zusammenarbeit 2013 – 2016*. Bern: Bundeskanzlei.

²⁹ Les dix principes de la division de l'Afrique de l'Ouest sont listés de la façon suivante (voir DDC DAO, 2012, p. 11): «niveaux, proximité, partenaires, concentration, continuité, subsidiarité, résultats, participation, durabilité, sensibilité aux conflits.» Les trois niveaux sont «la coopération régionale, la coopération multilatérale, la coopération avec d'autres donateurs» (ibid., p. 11).

programmes financés par la DDC, le Buco au Burkina Faso prend en considérations de façon transversale les thèmes du genre et de gouvernance. Le rapport annuel du Burkina Faso 2014 résume succinctement l'évaluation interne des programmes d'éducation et formation professionnelle. Globalement, cette évaluation interne considère les résultats attendus dans le secteur de l'éducation comme "satisfaisants" (couleur verte)³⁰. Il recommande la poursuite de la tendance et des modalités d'intervention actuelles en 2015 et met en évidence le rôle important que la Suisse assumera en tant que cheffe de file du secteur d'éducation à partir Mai 2015. La présente évaluation partage cette appréciation globalement positive de l'évaluation interne. Elle utilise cet élan pour réfléchir sur quelques domaines qui appellent à une discussion sur la stratégie à moyen terme et la planification à long terme, c'est-à-dire, à partir de 2017.

3.1.1 Domaines d'Alignement Étroit: Proximité, Partenariats, Continuité, Participation et Sensibilité au Conflit

La DDC est devenue importante dans le secteur d'éducation à la fin des années 1990 avec son programme phare dans l'alphabétisation d'adultes (programme alphabétisation). Les données recueillies lors des interviews et notre appréciation suggèrent que les programmes nationaux et régionaux financés par la DDC au Burkina Faso reflètent sans équivoque les trois domaines d'intervention que la Division Afrique de l'Ouest de la DDC identifiés comme domaines prioritaires: tous les programmes d'éducation de base que l'équipe d'évaluation a examinés respectent toutes les trois conditions, c'est à dire, qu'ils sont holistiques et pertinents et ciblent un groupe marginalisé. Cette appréciation est clairement partagée par les partenaires locaux, nationaux et régionaux de la DDC opérant au Burkina Faso. Ceci n'est pas un petit exploit compte tenu du large réseau de partenaires de la DDC dans le pays. Cette triple orientation fait la réputation des programmes en éducation de base financés par la DDC: la DDC est très appréciée pour son travail dans l'enseignement bilingue, son attachement au droit à l'éducation et donc à l'apprentissage tout au long de la vie, y compris un soutien financier aux programmes d'alphabétisation des adultes et des adolescents, sa conceptualisation de l'éducation qui lie l'alphabétisation et le développement des compétences professionnelles à des situations de la vie pratique, l'autonomisation, l'amélioration des moyens de subsistance, et la génération de revenus. Précisément, parce qu'il cible ceux qui sont les plus privés de leurs droits, il se concentre sur ceux qui ne sont jamais inscrits à l'école, les laissés pour compte ou ceux qui ont abandonné le système d'éducation formelle. Elle le fait en renforçant l'éducation non-formelle.

Sur les dix caractéristiques qui sont censés guider les opérations de la DDC dans la région (voir DDC DAO, 2012, p. 11), quelques principes sont mis en œuvre de manière plus visible que d'autres. Les fonctionnalités suivantes de l'approche technique de la DDC ont été maintes fois nommés, à la fois par SCO et ses partenaires, et ont façonné la bonne réputation de la DDC au Burkina Faso: la proximité, les partenariats, la continuité, la participation et la sensibilité de conflit.

Voici quelques citations tirées des entretiens qui peuvent aider à illustrer les points soulignés par les interviewés:

La Suisse c'est concentre dans un petit nombre de pays et va en profondeur... et ils ont des différentes approches pour les différents cultures. Ils ne donnent pas les mêmes leçons à tout le monde. (Interview, représentant d'un partenaire régional)

Les suisses ont une très positive réputation dans leur relation, non seulement avec les organisations de la société civile mais aussi avec le Gouvernement. (Interview avec un représentant d'un bailleur bilatéral)

³⁰ DDC Bureau de la coopération Suisse au Burkina Faso. (2014). *Burkina Faso. Rapport annuel 2014 avec planification 2015*. Ouagadougou: BuCo DDC, pp. 7-10.

Le soutien de la DDC à l'éducation non formelle est de longue durée. Plus que le volume de la contribution donné, nous apprécions hautement leur soutien continu et durable pour le secteur. (Interview, institution gouvernementale)

La DDC est un partenaire unique. Elle a une vision noble du partenariat, basée sur le respect, communication et flexibilité. (Interview, représentant d'un partenaire local)

Il y a une grande différence entre "l'école du village" et "l'école dans le village". L'école appartient à la communauté et doit tenir compte de la langue et les besoins de la communauté. Ceci est le vrai sens de la «proximité» (Interview, représentant de la DDC)

De toute évidence, excellente réputation de la DDC au Burkina Faso est façonnée par son compromis inébranlable à la proximité, aux partenariats, à la continuité, à la participation et la sensibilité pour le conflit qui ont été manifestés dans les programmes financés par la DDC. Le fait que ces grandes réalisations ne soient mentionnés que brièvement dans ce présent rapport doit être lu comme un signe que ces aspects de l'intervention de la DDC ont été clairement identifiés comme points forts, l'avantage comparatif, ou comme éléments d'une "marque de déposée" clairement perceptible en matière d'assistance de l'aide Suisse au développement et à la coopération.

En comparaison, les points d'alignement souples ou non-alignement, respectivement présentés dans la prochaine section, sont discutés avec plus de détail parce que les explications servent à démontrer et expliquer, tant que possible, les raisons probables pour la faible liaison avec les priorités stratégiques de la DDC.

3.1.2 Domaines d'Alignment Souple

Il y a cinq domaines qui méritent une attention particulière.

3.1.2.1 Approche Technique Multi-niveaux

Selon les interviewés, la plus grande force des programmes financés par la DDC en éducation de base, est au niveau micro, en ce sens que les programmes veillent à ce que les bénéficiaires améliorent leurs compétences en littératie et ainsi améliorent leurs moyens de subsistance. Dans le même temps, les partenaires institutionnels, nationaux et locaux de la DDC sont presqu'unanimes que la DDC devrait faire plus en termes de dialogue politique pour soutenir les changements au niveau macro. Parmi les personnes enquêtées, il n'y a qu'une seule personne qui a soutenu que la DDC devrait se concentrer sur les bénéficiaires individuels. Notamment, un membre senior d'une des organisations nationales, que la DDC appuie depuis des années, qui a déploré le fait que la "DDC est en train d'oublier sa vue micro". À son avis, la DDC fournit trop d'appui budgétaire aux fonds communs pour la collaboration avec le gouvernement et donc risque de perdre son accent sur le niveau micro. L'envie pour plus de dialogue politique a été exprimée par un grand nombre de personnes interrogées.

On interprète ce constat presque sans ambiguïté avec la préoccupation que le financement pour l'éducation non formelle peut diminuer au cours des prochaines années en raison de sa grande dépendance aux financements suisses. Au niveau régional la DDC est activement impliquée dans le plaidoyer et les réseaux de politiques pour l'éducation non formelle, par exemple avec sa participation active dans l'ADEA, et en développant les capacités des institutions (institutions de formation d'enseignants et institutions de recherche/universités) afin de reproduire un cadre qui porte sur la formation et le travail d'analyse dans les secteurs de l'éducation des pays participants. Au niveau de la coopération multilatérale au Burkina Faso, la DDC a la réputation auprès des bailleurs de fonds et partenaires au développement pour son plaidoyer en faveur du développement de l'enseignement bilingue (formelle et non formelle), formation professionnelle, et pour l'éducation non formelle en général. Donc, la recommandation d'être plus engagé dans le dialogue politique à grande échelle est spécifique pour le niveau

national, exprimant la préoccupation des partenaires de la DDC que le Gouvernement du Burkina Faso ne s'est pas suffisamment approprié et pris la responsabilité de mettre en œuvre les programmes de réformes auxquels il s'est engagé, notamment ceux présentés plus haut et qui sont fortement appuyés et cofinancés par la DDC.

Il y a eu plusieurs explications pour l'engagement insuffisant de la DDC dans le dialogue politique. Une des explications présentées par les interviewés se doit au fait que les partenaires des projets de la DDC ont tendance à travailler au niveau communautaire et à promouvoir activement la décentralisation. D'après un des partenaires institutionnels qui a noté cette tendance, l'importance accordée au niveau local est due au manque de dialogue politique au niveau national. Un des partenaires locaux a mentionné à l'équipe d'évaluation que :

Nous sommes capables de créer des innovations et avoir de l'impact au niveau micro. La DDC ne doit pas se préoccuper de nous. On fait notre boulot. Mais on a besoin que la DDC parle avec le Gouvernement pour que des changements durables tiennent place. Ils [Gouvernement] ne nous prennent pas au sérieux, mais ils prennent la DDC très au sérieux. (Interview, partenaire local [FDC]).

Une autre raison pour le peu de résultats en matière de dialogue politique est la division de travail dans le modèle de collaboration du Faire-Faire, poursuivi dans le secteur de l'éducation non-formelle, notamment par le FONAENF. La division de rôles entre le Gouvernement, le secteur privé/bailleurs, et opérateurs locaux a été introduit pour diversifier l'offre de programmes d'alphabétisation d'adultes et pour mettre en échelle les programmes à un rythme plus accélérée. D'après le Faire-Faire, le Gouvernement doit être le régulateur (y compris l'accréditeur), entre les organisations non gouvernementales, locales, les opérateurs et le secteur privé ainsi que la communauté de donateurs des bailleurs. Le rapport de l'évaluation du Faire-Faire (2012) donne les raisons pour ce mécanisme de collaboration. Cependant, les grandes changements récents requièrent une adaptation du modèle du Faire-Faire aux nouvelles réalités, notamment la relation verticale du pouvoir de décision du niveau national vers le niveau local et le fait que les principaux bailleurs bilatéraux ont terminé leur soutien direct aux programmes d'alphabétisation, avec l'exception de la Suisse et le Danemark. D'après le Rapport Annuel de 2014 du FONAENF,³¹ seulement 58% des requêtes de fonds des opérateurs locaux pu être approuvés dus aux contraintes financières du Fonds National pour l'Éducation Non-Formelle. Etant donné le changement de l'architecture de l'aide dans le secteur non formel et le manque de participation du secteur privé dans l'éducation, il faut faire des changements au niveau méso, en introduisant des programmes efficents, des méthodes d'alphabétisation innovantes, en se centrant sur la mise en échelle, et dans le long terme, en ré-conceptualisant les programmes d'alphabétisation comme des programmes intersectoriels, au lieu de programmes isolés, mobilisant ainsi des fonds d'autres secteurs (agriculture, économie du travail, santé, services sociaux, etc.).

C'est aussi important de souligner que le Buco au Burkina a des différentes perspectives en ce qui concerne l'intervention pour le dialogue politique et l'approche technique multi-niveaux³². D'après leur perspective l'investissement dans la capacitation des cadres de l'état, à travers la participation dans des programmes de formation et développement professionnel de l'IIEP, le financement de la validation des innovations après leur pilotage ou la participation dans le groupe de travail sur l'éducation non formelle démontrent bien l'engagement multi-niveaux de la DDC au Burkina Faso. Cependant, l'évaluation réitère la réponse consistante parmi les partenaires de la DDC au Burkina que, malgré les efforts valables de la coopération suisse au niveau national et régional il faut faire plus pour engager le gouvernement plus systématiquement dans l'éducation non formelle.

³¹ Voir Table 4 a FONANENF (2014).

³² La position divergente de la DDC a été réitéré dans le feedback sur l'Aide Mémoire et dans la version préliminaire de ce rapport. Donc, c'est important de mentionner leur position.

Les interviewées ont souligné le travail d'OSEO-SOLIDAR comme un exemple d'une intervention durable multi-niveaux, incluant les niveaux micro, méso et macro. Comme l'analyse des réseaux sociaux le démontrera dans le chapitre 4, tous les types de partenaires de la DDC, y compris les régionaux, ont apprécié positivement la collaboration entre SOLIDAR et le Gouvernement. Cela s'applique surtout à son travail sur l'éducation bilingue dans le secteur formel. Comme avec tous les projets célèbres, SOLIDAR a pu construire sa réputation excellente pendant des années de coopération étroite, des approches techniques efficaces et une équipe engagée qui est internationalement respectée comme des experts en bilinguisme et en éducation, tel que Paul Taryam Ilboudo. Il faut suivre comment le récent travail de SOLIDAR en éducation multilingue va se dérouler. Les partenaires de la DDC ont mis en évidence la collaboration de SOLIDAR avec les Burkinabè comme un exemple à suivre par d'autres et comme un type de travail au niveau macro qui puisse aider à soutenir les changements aux niveaux micro et méso.

Comme cela sera expliqué plus tard dans ce rapport, la réforme de décentralisation est un moment opportun pour que la DDC tire des leçons et son expérience et croyance dans le développement participatif pour renforcer le rôle du Gouvernement. La réforme de décentralisation pourrait servir comme une fenêtre de politique "policy window" pour renforcer la capacité de l'Etat à jouer un rôle régulateur au niveau local avec la participation communautaire.

3.1.2.2 Concentration

La réforme de décentralisation est une opportunité pour remédier à la situation actuelle où quelques provinces sont "orphelines" en termes de provision d'EB (formelle et non-formelle) pendant que d'autres ont deux ou plusieurs opérateurs locaux qui poussent dans des directions opposées et se disputent le financement de leurs programmes d'éducation.

Un exemple édifiant est celui d'un des projets visités pendant la mission de terrain de cette évaluation. D'après une demande de la communauté, un opérateur en éducation non formelle financé par la DDC a ouvert un programme dans un village où il n'y avait pas d'école formelle. Un an plus tard, les chefs communautaires, convaincus de la valeur ajouté de l'éducation ont fait une requête aux autorités éducatives de la province de construire une école formelle avec une salle de classe. Leur demande a été acceptée et le village a maintenant deux programmes d'éducation qui fonctionnent côté à côté : un groupe hétérogène d'élèves (âge 9-15 ans) enseignés par un moniteur d'éducation non formelle qui a grandi dans la communauté et qui utilise la langue de la communauté dans la classe, ayant fait un cours de 2 mois avant de commencer à enseigner. De l'autre côté du centre du village, à une distance d'environ 100 m, était la nouvelle école récemment ouverte qui reçoit un groupe plus homogène d'élèves instruits en français par un enseignant qui a un diplôme d'enseignant. Une fois que la nouvelle école est déjà rempli avec les nouveaux inscrits, la prochaine génération d'enfants en âge scolaire (âges 6-8 ans) manquera probablement l'opportunité d'aller à l'école formelle. Ils devront attendre à ce qu'il y ait une place disponible dans l'école non formelle. Donc, probablement la prochaine cohorte d'enfants dans ce village en particulier va finir dans l'école bilingue non formelle, pas nécessairement parce que l'école non formelle est plus efficace, pertinente ou sensible à la culture mais parce qu'il n'y a pas de places dans le système formelle.

Cet exemple aide à démontrer le grand nombre d'adolescents enregistrés dans l'éducation non formelle. Dans ce village spécifique, visité pendant la mission de terrain, les élèves se sont inscrits dans un programme d'éducation non formelle parce qu'il n'y avait pas d'école publique au village.

Dans les deux écoles visitées, les curriculums sont différents, les modalités de travail sont différents, les langues d'instruction sont différentes, la durée des études est différente et, plus important, le financement et les mécanismes pour construire les écoles et recruter l'enseignant sont différents: Construire un centre (éducation non-formelle) et embaucher

un enseignant est moins cher et moins bureaucratique que demander au Gouvernement de construire une école (formelle). Le centre a été construit par la communauté en quelques mois avec l'aide d'un opérateur financé par des donateurs. A l'inverse, les requêtes au Gouvernement prennent beaucoup plus de temps pour être approuvées dû au manque de fonds et d'autres barrières bureaucratiques. La décentralisation du système éducatif pourra améliorer la situation pour les deux systèmes d'éducation: il sera plus facile aux autorités locales de demander des fonds du MENA ou du FONAENF, respectivement pour établir un programme d'éducation formelle ("école") ou un programme d'éducation non-formelle ("centre").

Le cas reporté en détail sert à suggérer que la relation entre le formel et le non-formel doit être clarifié pour assurer que l'éducation non formel est vraiment utilisé comme une éducation alternative ou deuxième chance pour ceux qui ont été exclus ou abandonné l'école primaire. L'éducation non-formelle ne doit pas être suppléant ou en compétition avec les écoles mais être un supplément alternative. Au même temps, il faut que le curriculum des écoles classiques soit plus pertinent et adapté aux besoins et langues de la communauté. Comme sera expliqué dans la section des recommandations, il y a un fort besoin et potentiel pour définir clairement et "formaliser" l'éducation non formelle dans d'une part, et combler l'écart d'innovation entre l'éducation non formelle et formelle, de l'autre part. En conséquence de la réforme systématique ou le processus de diversification dans le système formel, les écoles renforcent la participation communautaire, la pertinence et la sensibilité pour la culture/langue, en diminuant éventuellement le nombre d'exclus et abandons.

Dans le long terme, la création des cartes éducatives, prévues pour 2015, mettra en lumière les provinces et les régions dans les pays qui sont sévèrement desservies. Le Buco est conscient de ces poches d'exclusion ou "zones orphelines" (ex., dans la Boucle du Mouhoun et la région de l'Est) et pour cette raison fait activement un plaidoyer pour la gestion décentraliser et des cartes éducatives en éducation non formelle. La réforme de la décentralisation est une opportunité excellente pour renforcer la gouvernance locale et donner de la voix aux besoins locales et à la participation communautaire.

3.1.2.3 La Subsidiarité

Le mécanisme du Faire-Faire doit créer une synergie entre les fonds nationaux et les initiatives locales. Fonctionnant comme des businesses, il y a clairement un large marché ou des initiatives locales pour les programmes en éducation non-formelle. Cependant, comme déjà mentionné, l'Etat au niveau central n'est pas dans une position d'exercer son rôle régulateur et les partenaires, à l'exception de la Suisse, et dans un moindre mesure le Danemark, ont cessé leur financement pour le non-formel. Pour des diverses raisons, incluant les raisons financières, le Faire-Faire fait actuellement face à des défis, comme décrit par un membre du staff de la DDC:³³

Il faut prendre en compte le nouveau rôle de l'Etat et des collectivités territoriales des communes. Les collectivités doivent faire la présélection des opérateurs et définir les besoins locaux pour éviter l'inégalité. Mais il faut aussi renforcer les capacités des acteurs du secteur non formel. (Interview, représentant DDC).

³³ Napon, A., Maiga, A (2012). *Évaluation de la Stratégie du Faire-Faire en Alphabétisation et en Éducation Non-Formelle au Burkina Faso*. Ouagadougou: Ministère de l'Éducation Nationale et de l'Alphabétisation.

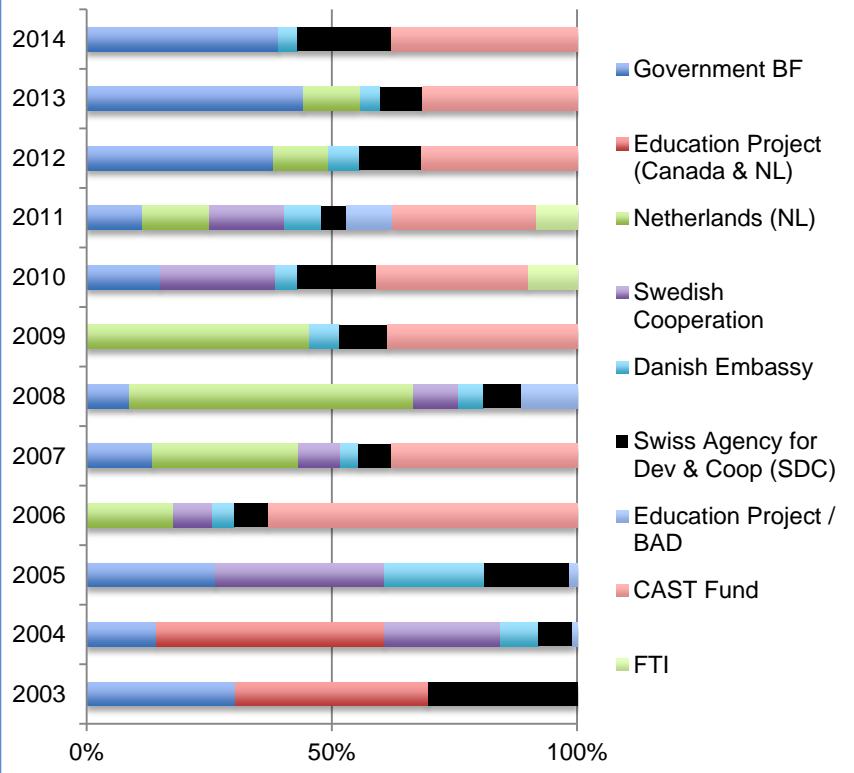
La Figure 4 ci-dessus, montre que les contributions du gouvernement au FONAENF ont augmenté visiblement pendant la période de l'évaluation 2007-2014. Cela représentait environ 18% du fonds total en 2007 et a augmenté à 39% en 2014. Néanmoins, cela est beaucoup moins que les 55,4% alloué par le Gouvernement en 2012 (voir tableau 4). Il est évident que l'éducation non formelle connaît une régression sans l'appui financier des bailleurs. Ils financent 61% du budget du

FONAENF; dont 38% consistent en fonds communs des bailleurs (CAST), 19,2% de contribution directe de la Suisse, et 3,8% des fonds de l'Ambassade du Danemark. La dépendance des fonds suisses est devenue évidente en 2014 quand le FONAENF a dû compter sur la Suisse pour combler l'écart financier. En 2014, trois des quatre bailleurs bilatéraux du non formel ont cessé l'appui directe au FONAENF: La Suède a terminé son appui bilatéral en 2012, les Pays Bas en 2014, et le Danemark a arrêté sa contribution à moitié en 2014, laissant la Suisse comme le seul bailleur qui contribue de façon significative aux fonds multilatéraux (à travers le CAST) comme de façon bilatérale. La dépendance des fonds suisses n'est pas soutenable dans le long terme et il faut exploiter d'autres approches plus systématiques pour augmenter la participation financière et mettre en œuvre des programmes d'alphabétisation plus efficents.

3.1.2.4 Gestion Axée sur des Résultats

La DDC utilise des différents instruments d'évaluation des besoins et planification, incluant des propositions d'entrée, des documentations de projets, des propositions de crédits, des rapports annuels, des évaluations internes et des plans de travail annuels détaillés.³⁴ L'instrument principal de suivi est le cadre logique avec le processus, les résultats attendus et les indicateurs des résultats et des points de repères (désagrégés par genre), parfois complétés avec une étude de base conduite dans la phase préliminaire du projet. Par tous les comptes, la DDC opère avec très peu de données quantitatives pour la planification, le suivi et l'évaluation de son travail et de ceux de ses partenaires, comparés à d'autres agences bilatérales et multilatérales. Sur le plan positif, cela permet un démarrage rapide après une période préliminaire courte et permet que les partenaires ajustent la conception du projet de façon continue, basé sur les rapports

Figure 4: Contributions pour le Fonds National pour l'Éducation Non-Formelle (FONAENF), 2003-2014



Source: FONAENF (2014).

³⁴ Voir par exemple, DDC DAO. (2014). Division Afrique de l'Ouest. Thème Education et Banque Africaine de Développement. Programme Annuel 2015. Bern : DDC DAO.

annuels internes. Sur le plan négatif, il y a très peu d'examens ou d'évaluations externes qui permettent une analyse indépendante des points forts ou des faiblesses.³⁵

Pour être plus précis, le Buco Burkina Faso n'implémente, ni ne coordonne directement des projets en éducation. C'est peut être à cause de la modalité d'implémentation du Buco que l'équipe d'évaluation n'a pas été en mesure de localiser toutes les évaluations externes pour les programmes éducatifs pour la période 2007-2014. Les évaluations sont, peut être conduites et examinées par les partenaires de la DDC. Une fois que l'évaluation se concentre sur la DDC (ses priorités, ses approches techniques, ses modalités d'intervention, etc.), elle s'abstient d'évaluer ses partenaires et il n'est pas possible de faire une évaluation de la façon dont de nombreux programmes subissent un examen externe rigoureux. Sûrement il y a des partenaires avec un mécanisme routinier de rapportage basé sur des données. Le FONAENF, par exemple, fait un rapport annuel sur le nombre d'applications, approbations en termes de bénéficiaires, de centres d'alphabétisation, et d'opérateurs. Il utilise aussi des indicateurs de qualité pour documenter, par exemple, le nombre d'adolescents et d'adultes qui ont achevé les programmes d'alphabétisation avec succès. De même, les programmes régionaux ont tendance à avoir des évaluations externes et aussi un appui budgétaire, un suivi et évaluation externe dans le cadre de leur planning.³⁶

La collaboration entre le Buco et ses partenaires est plus étroite dans la phase de passation des marchés et dans les rencontres annuelles d'un jour pour revoir les projets et partager des expériences. Comparée avec d'autres bailleurs de fonds, il y a peu de travail analytique financé par la DDC ou d'analyses politiques sur des aspects qui sont au cœur de la sa mission.

Cela ne veut pas suggérer que la DDC ne finance pas la recherche, le travail analytique ou le renforcement des capacités en matière de politique et planning (NORRAG, ROCARE, ADEA, etc.). En fait, elle le fait au niveau régional et global, mais elle n'utilise pas ses instruments dans sa programmation au niveau du pays. Le manque d'orientation sur des résultats (quantitatifs) n'a pas été un gros problème pour les partenaires institutionnels ou locaux, mais les partenaires gouvernementaux (Gouvernement, bailleurs bilatéraux, agences multilatéraux) ont commenté cette tendance, comme l'illustre la citation suivant:

La Suisse doit démontrer les résultats de son investissement dans l'ENF au PME, elle doit produire des chiffres réels, si nécessaire par une évaluation d'impact ou une évaluation scientifique aléatoire, Elle a besoin de travailler davantage avec des données. (Interview, représentant d'un bailleur bilatéral)

Ce n'est pas étonnant, que d'autres bailleurs de fonds bilatéraux en particulier ont observé que la DDC est moins orientée sur des résultats que d'autres bailleurs. Dans l'architecture de l'aide actuelle, c'est l'opposé qui prédomine; parfois avec le risque de réduire le soutien aux résultats mesurables et documentables et en dépensant trop d'argent dans les évaluations d'impact. Il faut avoir un équilibre entre les analyses de contexte basées sur des données solides (études de base), suivi et évaluation basés sur des données et en restant flexible sur la façon dont les résultats sont atteints. Quelques organisations utilisent la théorie du changement pour atteindre cet équilibre.

³⁵ Comme partie du desk review, l'équipe d'évaluation a demandé des rapports d'évaluation des programmes en éducation baillés par la DDC au Burkina Faso pour la période 2007 – 2014. Soit ils n'existent pas au niveau du Buco, soit n'ont pas été disponibles aux évaluateurs externes.

³⁶ Voir, par exemple, évaluation externe du PRIQUE/PdT par Abdeljalil Akkari et Hassane Soumana (2015); voir Fiche Technique pour 7F-06852: Programme Régional d'Education et Formation des Populations Pastorales en zones transfrontalières 2013-2016, dans lequel le backstopping, suivi, et évaluation externe sont budgétés dans le programme de 3 ans.

3.1.2.5 Pérennisation et Durabilité

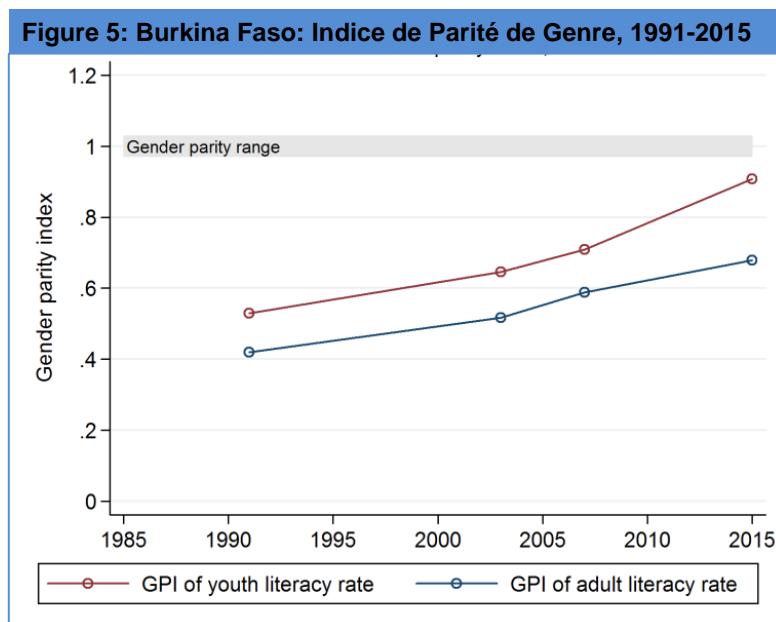
Comme nous l'avons mentionné dans plusieurs sections de ce rapport, la forte dépendance des fonds suisses pour le maintien du secteur de l'éducation non formelle doit être sujette d'une grande préoccupation. Il y a un besoin urgent de mettre en échelle les programmes d'éducation non formelle de façon plus efficiente et de mobiliser des ressources financières additionnelles.

3.1.3 Les Thèmes Transversaux

Conformément au Message Parlementaire 2013-2016, le genre et la gouvernance constituent des thèmes transversaux qui devraient être poursuivis dans tous les pays et dans tous les programmes soutenus par la DDC.

3.1.3.1 Genre comme Thème Transversal

L'évaluation a révélé que l'éducation de filles et des femmes est mentionnée dans chaque projet financé par la DDC; surtout en documentant le nombre de bénéficiaires en les désagrégant par genre. L'accent mis sur équité du genre par la DDC et soutenu par les autres bailleurs bilatéraux, a donné des résultats positifs. Comme présentée dans la section 1.2 de ce rapport, près de 68% des adultes inscrits dans les programmes d'alphabétisation sont des femmes, surpassant l'objectif de 60% de participation de femmes. En éducation formelle, l'accroissement est clairement perceptible aussi. L'indice de parité de genre (IPG) pour l'accès des filles à l'école primaire était 0,95 en 2013. Les taux d'alphabétisation pour les jeunes de 9-14 ans sont aussi très encourageants. Même si l'IPG était seulement 0,53 en 1990, il est projeté d'atteindre un taux de 0,91 en 2015. La Figure 5 présente l'amélioration de l'indice de parité de genre pour le taux d'alphabétisation d'adolescents/jeunes (15-24 ans).



Source: UNESCO Institute of Statistics (2012, p. 34)³⁷

Il y a trois aspects qui méritent, cependant, plus d'attention:

1. *Parité du genre au niveau des opérateurs et gestionnaires.* Aujourd'hui, la sensibilité au genre est utilisée presqu'exclusivement pour documenter le genre des utilisateurs finaux (élèves ou apprenants) et dans une moindre mesure aux enseignants d'éducation (éducateurs, formateurs, animateurs) et gestionnaires (directeurs et leaders communautaires). La plupart des enseignants sont des hommes et la sous-

³⁷ UNESCO Institute of Statistics. (2012), *ibid.*

représentation des enseignantes (femmes) en éducation formelle ou des "animatrices" en éducation non formelle est particulièrement accentuée aux niveaux plus élevés des écoles et des centres d'alphabétisation en général.

2. *Stéréotypes Genre.* Le travail pour faire face aux stéréotypes de genre est seulement ponctuel. Par exemple, la DDC finance deux petits projets mais intéressants, supervisés par Terre des Hommes Suisse, pour le développement de compétences des filles ou femmes dans des professions qui sont typiquement considérées masculines au Burkina Faso (ex, la mécanique). Les partenaires locaux de Terre des Hommes qui mettent en œuvre ses projets sont Attousse Yenenga (Ouagadougou, 40 000 CHF par an) et Association Songtaaba (Kombissiri, 30 000 CHF par an). Les deux autres programmes de formation professionnelle que l'équipe d'évaluation a visités, administrés à travers le Ministère de la Jeunesse et FDC (Centre polyvalent de formation), respectivement, étaient également sensibles à la parité du genre et assuraient la représentation égale ou supérieure des filles adolescentes.
3. *Garçons: un groupe à risque d'abandon scolaire.* Le Tableau 1, présenté plus tôt dans ce rapport, montre que le taux de déperdition des garçons a augmenté considérablement dans les dernières années: En 2001, un dixième des garçons abandonnaient les études au CM1 (9,4%)³⁸, c'est-à-dire, dans la cinquième année de l'école primaire. Ce taux d'abandon des garçons au CM1 est passé à 15,4% en 2013. Cette augmentation est considérable et mérite plus d'analyse et d'action. Pour des diverses raisons qui doivent être explorées en profondeur, le coût d'opportunité au niveau secondaire est beaucoup plus élevé pour les garçons que pour les filles. L'une des principales raisons évoquée pour justifier l'abandon scolaire est la pauvreté des parents. Ainsi, certains enfants n'arrivent pas à poursuivre leurs études parce qu'ils doivent travailler pour assurer leurs propres besoins et ceux de leurs familles. Les garçons sont les plus concernés cette situation³⁹. Autrement dit, les familles pauvres comptent plus sur le travail de leurs fils car elles ont la perception que le coût de l'école est élevé et finalement elle n'améliore pas la vie et l'employabilité de leurs fils par rapport aux revenus qu'ils pourraient générer pour le ménage en travaillant.

Il existe une tendance à se concentrer sur les utilisateurs finaux et assimiler le genre aux filles et femmes. Actuellement il faut une approche plus nuancée et ciblée pour améliorer systématiquement l'égalité du genre. Dans la plupart des pays et contextes, les filles et femmes sont en désavantage. Mais l'inverse arrive aussi et doit être pris en compte, surtout dans une organisation comme la DDC qui est très sensible au contexte. Au Burkina Faso, par exemple, des mesures spéciales pour les garçons doivent aborder leur abandon scolaire dans le post-primaire. En général, il est aussi recommandé la conception de projets spéciaux bénéficiant aux filles/femmes (ou dans certains cas, les garçons/hommes) pour cibler les stéréotypes de genre et inégalités enracinés en plus d'utiliser le genre comme un thème transversal.

3.1.3.2 Gouvernance comme Thème Transversal

Curieusement, les interviewées n'étaient pas en mesure d'expliquer comment la gouvernance en tant que thème transversal est ou devrait être mis en œuvre. Différemment du genre comme thème transversal, il semble qu'il y a peu de discussion et réflexion au sein de la DDC et entre ses partenaires sur ce que la mise en œuvre de la gouvernance comme thème transversal entraînerait.

Dans la pratique, la DDC soutient avec force et systématiquement la gouvernance locale et la participation communautaire dans tous les programmes en EB. Pourtant, les

³⁸ Voir : DEP-MENA, Synthèse de l'annuaire statistique 2012-2013

³⁹ ROBICHAUD, J-B., & SAWADOGO, A., (2012), *Rapport de l'étude de base du projet EQuIP (éducation, qualité, inclusion et participation) dans la province du Noumbiel au Burkina Faso*, Plan Burkina, Ouagadougou, Burkina Faso, p.70.

interviewés n'étaient pas sûrs si cela compte comme implémentation de la (bonne) gouvernance en tant que thème transversal. Il est nécessaire de préciser ce que signifie ce thème transversal dans la pratique et comment il peut être mesuré.

3.2 Efficacité des Projets en EB

La DDC appuie l'éducation non formelle de deux façons: Tout d'abord, en tant que bailleur de fonds bilatéral fiable dans le secteur de l'éducation non formelle qui aide à financer tous les types de programmes d'alphabétisation soutenus par le FONAENF. Deuxièmement, la DDC soutient les innovations dans le domaine du non formel. Elle le fait en finançant les programmes pilotes, en soutenant le développement de la formation innovante des enseignants, des livres, des manuels des enseignants, en créant des opportunités pour des professions innovantes qui puissent faire le réseautage et l'échange de connaissances, et en donnant de l'appui pour l'accréditation ou l'institutionnalisation de ses pratiques innovantes et actuellement, la méthode de Pédagogie du Texte réservé pour les innovations.

Cependant, il y a un gros écart entre le volume élevé de soutien financier pour les méthodes innovantes et la faible allocation de fonds pour la mise à l'échelle de ces pratiques innovantes. Comme le Tableau 7 le démontre, 94.4% des programmes d'alphabétisation d'adultes utilisent des méthodes traditionnelles qui ne semblent pas être très efficaces. Ces méthodes traditionnelles sont:

- AI (alphabétisation initiale)
- FCB (formation complémentaire de base)
- Formule enchaînée (nouveau curricula, niveau 1 et 2).

En 2013, 515,752 bénéficiaires étaient enregistrés dans les cours avec des "formules traditionnelles" (dont 327,116 étaient des femmes, c'est-à-dire, 63%) du total des 533,949 adultes inscrits. Il faut mentionner qu'environ un sixième des apprenants inscrits abandonnent ou qu'un grand nombre des diplômés dans la phase initiale des programmes d'alphabétisation ne finissent pas le niveau FCB (niveau d'achèvement de la 1^{ère} phase). Pour cette raison, le nombre d'apprenants inscrits dans les programmes est beaucoup plus élevé que celui de ceux qui finissent avec succès.

La proportion de méthodes non-traditionnelles comme un pourcentage de tous les niveaux post-alphabétisation (voir troisième section au Tableau 7) est légèrement plus élevé que pour les programmes d'alphabétisation de base mais reste toujours en minorité. ALFAA, internationalement renommé, formule/méthode vedette qui a été financée par la DDC pendant des années, est à ce jour seulement en mesure d'accueillir 10% de tous les apprenants adultes qui sont inscrits dans les programmes d'alphabétisation des niveaux plus avancés ("programmes post-alphabétisation").

Tableau 7: Effectifs dans les Programmes d'Alphabétisation par Formule et Niveau, 2013

Formule/Niveau	Nombre de centres	Nombre d'inscrit(es)	Nombre de femmes	% De femmes
Alphabétisation/ formation de base adultes				
AI	1,940	58,200	37,830	65%
FCB	5,070	126,750	82,388	65%
Nouveaux curricula niveau 1	5,488	164,640	107,016	65%
Nouveaux curricula niveau 2	5,488	153,664	99,882	65%
Reflect	950	28,500	18,525	65%
AMT	50	1,250	813	65%
Braille	63	945	378	40%
<i>Subtotal</i>	19,049	533,949	346,831	65%
Alphabétisation/formation de base adolescents				
ECOM	50	1,750	875	50%
CBN2J	50	1,500	750	50%
AFID	27	675	338	50%
CEBNF	6	150	75	50%
<i>Subtotal</i>	133	4,075	2,038	50%
Formation Post Alphabétisation				
ALFAA	108	2,700	1,620	60%
CMD	803	20,075	12,045	60%
CBN2A	180	4,500	2,700	60%
FTS	1,500	45,000	27,000	60%
<i>Subtotal</i>	2,591	27,275	16,365	60%
Grand Total	21,773	565,299	365,233	65%

Source: FONAENF (2014), Tableau No. 1.

Il est étonnant que malgré les efforts considérables et à long termes des bailleurs de fonds comme les Pays Bas, la Suisse et le Danemark, 96.6% des adultes analphabètes doivent compter à ce jour sur les méthodes traditionnelles d'alphabétisation initiale qui ont un taux de succès très limité. Les méthodes plus innovants, validés pour l'alphabétisation d'adultes que FONAENF financé, notamment: Reflect (qui utilise la pédagogie de Freire), AMT (Alphabétisation en milieu de travail), et Braille, servent juste 30,695 adultes (dont 19,816 sont des femmes). Il y a quelques programmes d'alphabétisation qui sont en train d'être validés, incluant la formule que la DDC appuie, la Pédagogie du Texte. Le FONAENF est en mesure de financer ces programmes novateurs une fois qu'ils sont accrédités. Cependant, la chance de la mise à l'échelle au niveau national, au delà du financement du pilotage par la DCC, dépend le leur coût réel et de la disponibilité d'animateurs et instructeurs de qualité.

En résumé, il ya deux aspects qui méritent une attention:

1. *Efficacité des cours d'alphabétisation des adultes:* Même si le nombre d'adultes inscrits dans des cours d'alphabétisation est élevé, on ne sait pas combien d'entre eux ont été réinscrits à ces cours soit parce que le système de contrôle des enregistrements est inefficace et les incitations liées aux programmes, ou parce qu'ils ont désappris les compétences essentielles en littératie. Le FONAENF a développé un ensemble impressionnant d'indicateurs pour mesurer la qualité des programmes d'alphabétisation et les surveiller chaque année dans ses rapports. Enfin de compte, le contrôle de la qualité pourrait être mis en place lorsque les inscriptions et suivi des programmes d'alphabétisation sont systématiquement décentralisés au niveau des autorités locales.

2. *Pilotage par rapport à la mise à l'échelle des bonnes expériences:* Il y a, à notre avis une contradiction inhérente dans les deux priorités stratégique que la DDC poursuit. Le large soutien de la DDC aux innovations est devenu inadvertance un obstacle pour étendre les bonnes pratiques à l'échelle nationale. Il y a trop de turbulences et de concurrence pour les financements de bailleurs dans le secteur de l'ENF pour permettre que les meilleures pratiques soient mises à l'échelle systématiquement. Un effet non attendu pour l'appui est le fait que les organisations de la société civile doivent insister sur la différence au lieu des aspects communs entre eux pour sécuriser les fonds de la DDC. Contre toute attente, l'accent mis sur l'innovation est source de division, mais aussi coût-inefficace parce qu'il absorbe les fonds nécessaires pour les essais pilotes plutôt que la diffusion et la mise à l'échelle des meilleures pratiques. Les méthodes d'enseignement pilotage en ENF (connues au Burkina Faso comme "formules") sont chères et en conséquence pas facilement réplicables. Elles sont chères parce qu'il y a un besoin de démontrer leur valeur ajouté vis-à-vis à d'autres méthodes d'enseignement ou formules pédagogiques. Même si la DDC investit dans les innovations en ENF, les modes de financement suggèrent que la préférence soit donnée à une méthode particulière: la Pédagogie du Texte (PdT). Cela mène à des situations absurdes où des ONG locales bien établies et réussies ont besoin de se réinventer en utilisant le curriculum, le matériel d'enseignement et la formation des moniteurs de la PDT pour sécuriser des fonds de la DDC. Il faut mentionner que les organisations de la société civile locales fonctionnent comme des business locaux qui dépendent des fonds externes pour payer les moniteurs et investir dans leur infrastructure. Il est recommandé qu'un groupe d'experts locaux et internationaux en formation d'enseignants révisent les formules d'enseignement actuelles qui ont déjà été accréditées ou «validées» par le MENA. Notamment, il faut analyser ses coûts, les différentes approches méthodologiques et sélectionner les «meilleures pratiques» en termes de qualité, d'efficience, et de réplicabilité – pour les généraliser dans tout le pays.

3.3 Conformité et Efficience des Modalités d'Implémentation de la DDC

Le Buco au Burkina Faso liste dans sa Stratégie de Coopération Pays 2013-16 cinq modalités d'implémentation préférées dans ce contexte. Sur la base des résultats présentés précédemment (voir section 3.1.2 de ce rapport) les deux premières modalités d'intervention qui sont incontestablement présentes dans toutes les activités des programmes financées par la DDC et qui sont considérées comme appropriées et efficaces sont:

- Le renforcement des acteurs locaux
- Le développement participatif

Comme expliqué dans la section précédente, les trois autres modalités d'intervention suivantes méritent plus d'attention:

- l'amélioration des synergies entre les activités locales et les ressources financières nationales
- la mise à l'échelle des bonnes pratiques
- le dialogue politique et renforcement du rôle de la société civile.

Comme indiqué lors de la réunion de débriefing et dans l'Aide-mémoire, il est évident que le Buco Burkina Faso est bien conscient de ses points forts et faiblesses en termes de modalités d'intervention, et l'équipe était ouverte et intéressée à discuter des recommandations.

Depuis la fin des années 1970 la DDC a toujours soutenu le pays. Pendant la période de l'évaluation (2007-2014), le Buco Burkina Faso n'a ni mis en œuvre ni coordonné des projets en éducation directement, mais a plutôt contracté des partenaires des partenaires pour l'exécution—surtout des partenaires institutionnels suisses (Enfants du Monde, etc.),

des grands partenaires locaux (par exemple Tin Tua, APENF), des réseaux régionaux (par exemple RIP)—ou fourni un soutien financier aux institutions gouvernementales soit par des fonds communs (CAST pour le PDSEP) ou appui financier directe (par exemple, le FONAENF). Il n'est pas tout à fait clair concernant quel type d'intervention pour quel type de partenaire est sélectionnée, sauf pour les partenariats régionaux et des partenariats mondiaux.

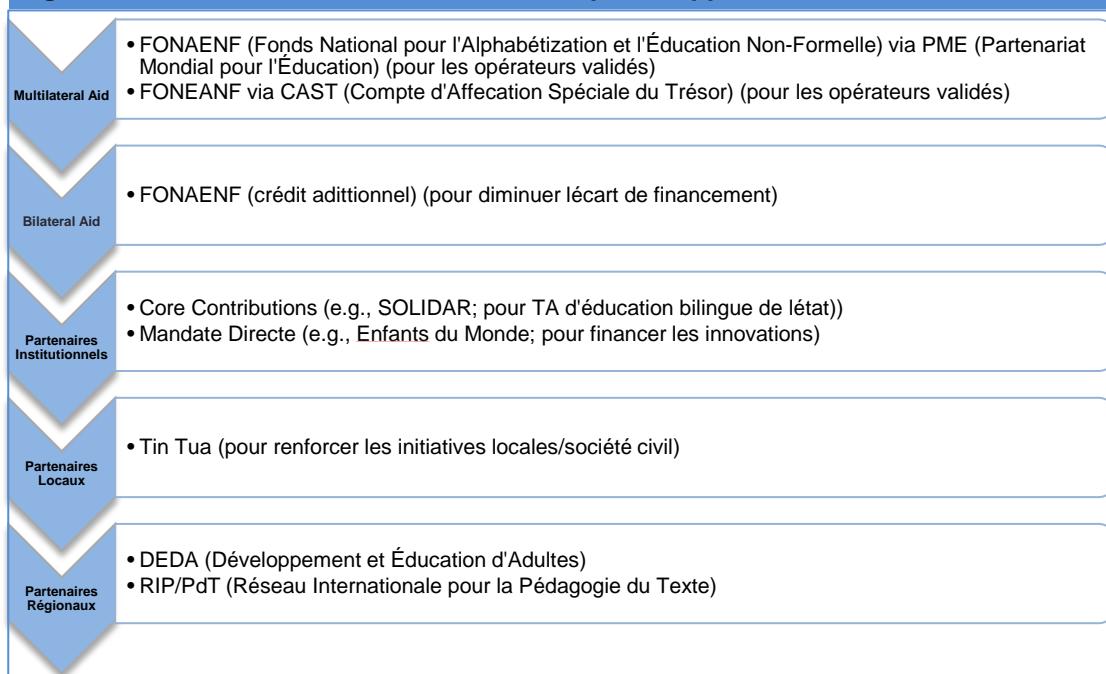
Selon la Conseillère des Programmes régionaux de l'Afrique de l'Ouest, les programmes régionaux ont trois objectifs clairs qui se diffèrentient des programmes nationaux:

- “l'amplification” ou renforcement des programmes nationaux
- la mise en réseau, mis à l'échelle, partager les apprentissages et meilleures pratiques dans la région
- le travail de plaidoyer et dialogue politique transnational

Pour les programmes nationaux, il n'est pas tout à fait clair concernant les critères utilisés pour contracter les différents types de partenaires. Par exemple, le Buco Burkina Faso contracte fréquemment des partenaires institutionnels suisses (actuellement, Enfants du Monde, Helvetas, Terre des Hommes) qui, à leur constituent des consortiums ou soutiennent avec les partenaires locaux pour la mise en œuvre des projets. En effet, la DDC considère cette modalité comme déterminante pour renforcer les capacités de gestion des organisations de la société civile en ligne avec la réforme de décentralisation supposée d'être implémenté avec succès jusqu'à 2021. Cependant, une autre “logique” ou théorie de changement paraît exister aussi au Burkina Faso, rendant difficile la compréhension des différents canaux de financement: Le Buco contracte aussi des partenaires locaux directement (Tin Tua) pour intensifier et mettre à l'échelle leur travail. Il n'est pas facile de comprendre pour quelles tâches les différents types de partenaires sont contractés, notamment, les partenaires locaux, nationaux et suisses / institutionnels. Il serait important de conduire une analyse approfondie dans le cadre des prochaines évaluations internes du Buco Burkina Faso.

La Figure 6 énumère les cinq canaux de financement et présente des exemples d'institutions qui reçoivent des financements. Certaines modalités sont plus claires que d'autres.

Figure 6: Filières de Financement de la DDC pour l'Appui à l'Éducation de Base



Par principale, la disponibilité des différents canaux de financement et partenaires de coopération augmente l'efficacité d'un programme, pourvu que les critères pour sélectionner un type de partenaire au détriment de l'autre soit clair, il n'y a pas de duplication d'activités entre les différents partenaires et, qu'il n'y a pas non plus de double financement pour la même activité.

3.4 Correspondance avec les Agendas mondiaux, Standards Internationaux et “Meilleures Pratiques”

Comme il a été mentionné à plusieurs reprises, la DDC a une excellente réputation comme promotrice de l'éducation bilingue, apprentissage tout au long de la vie, et de l'éducation non formelle au Burkina Faso et dans la région de l'Afrique de l'Ouest. Globalement, le Bureau de la Coopération Suisse (Buco) au Burkina Faso a réussi à plaider pour l'inclusion de l'ENF dans la stratégie du secteur d'éducation (2012 – 2021), la création d'un fonds spécial (FONAENF), la stratégie pour l'éducation non formelle PRONAA (Programme Nationale d'Accélération de l'Alphabétisation) en 2012, et plus récemment, comme partenaire de l'ADEA – a pris un rôle de chef de fil pour l'éducation non-formelle dans la région. En effet, le Burkina Faso est, grâce aux interventions des Pays-Bas, de la DDC et du Danemark, un des seuls pays où le Gouvernement considère l'ENF comme une de ses priorités. La DDC et ses partenaires se sont fortement engagés pour changer la perception sur les écoles (éducation formelle) comme le type formel d'éducation en opposition à l'éducation non formelle comme un type inférieur, une "seconde-chance" ou "type alternative" d'éducation. Pour une variété de raisons, les perceptions populaires sur l'éducation non formelle sont plus difficiles à changer que de sécuriser l'appui gouvernemental pour les programmes d'éducation non formelle.

Dans la perception de l'équipe d'évaluation cette intégration bien réussie de l'éducation non formelle dans le système d'éducation de base est attribuable aux priorités programmatiques en éducation de la DDC, qui les a poursuivis, de façon persistante pendant des décennies, aussi un transfert des capacités particulière de la DDC au Gouvernement: la Chargée de programme d'alphabétisation de la DDC: (Koumba Boly Barry) a été nommé Ministre de l'Éducation et Alphabétisation en 2011⁴⁰. Par conséquent, pendant des années, les priorités programmatiques de la DDC ont été bien représentées dans le Gouvernement. Toutefois, son mandat a pris fin en Octobre 2014, ce qui rend nécessaire un plan plus systématique pour donner plus d'appui politique au Gouvernement.

Dans son futur rôle de chef de file dans le secteur d'éducation au Burkina Faso, la Suisse doit représenter l'agenda de tous, sans perdre sa propre vision. Comme présenté tout au long de ce rapport, la DDC est devenue le seul bailleur de fonds au Burkina Faso qui priorise le soutien au secteur non formel. Elle doit influencer les agendas de développements globaux, tel que l'agenda de développement post-2015, si elle veut avoir de l'appui d'autres bailleurs pour l'ENF au Burkina Faso. Sa participation au conseil du PME est une opportunité pour le faire. Ce rôle peut aider dans le plaidoyer efficace pour une vision holistique de l'éducation, qui pourrait être entamé dans la Stratégie d'Éducation de la DDC.

Une telle stratégie pourrait préciser la vision de la DDC pour l'éducation de base, tant formelle que non formelle, et faire le lien entre les deux systèmes. En effet, il est indispensable clarifier la relation entre l'éducation formelle et non formelle. On peut dire

⁴⁰ Un point de comparaison est celui entre l'éducation bilingue et les programmes d'éducation non-formelle au Niger. La DDC a fait les mêmes efforts au Niger qu'au Burkina Faso mais, selon une évaluation externe réalisée récemment au Niger, ce pays n'a pas réussi aussi bien que le Burkina. Cela confirme notre appréciation que les réseaux interpersonnelles ont été essentielles pour la relation proche entre la DDC et le MENA. Voir : L. Weingartner, D. Laouali, and P. Winiger (2015). *Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015*. Berne: SDC

que le système d'éducation actuel au Burkina Faso a beaucoup de pression pour construire suffisamment d'écoles pour tous les élèves burkinabés. Même si le Gouvernement peut encourager l'inscription des élèves à l'école, il a des difficultés à les y maintenir jusqu'à ce qu'ils finissent l'éducation de base (c'est à dire le post-primaire) dû au la manqué de qualité, pertinence et couts d'opportunité. Chaque cinquième d'élèves qui rentre au primaire achève l'enseignement de base. Alors il n'est pas étonnant que les taux d'alphabétisation des adolescents (9 – 15 ans) et des adultes (15 ans et plus) soient bas, exprimant le besoin pour une stratégie double: D'abord, mettre à l'échelle les programmes d'alphabétisation pour ceux qui ne sont jamais inscrits ou qui ont abandonné les écoles, adultes comme des adolescents. Deuxièmement, des mesures systématiques qui réduisent le nombre d'élèves jamais inscrits et le nombre d'élèves qui abandonnent l'école formelle en garantissant l'accès (en construisant des classes multigrade dans les communautés) et en améliorant l'efficacité de l'école primaire (contenus éducatifs pertinents, enseignement centré sur l'élève, éducation bilingue). Il y a un écart d'innovation entre les méthodes centrées sur les élèves utilisés dans quelques programmes d'éducation non formelle, et les méthodes traditionnelles, centrés sur l'enseignant utilisés dans le système formel. La DDC est dans une position privilégiée pour combler cette situation.

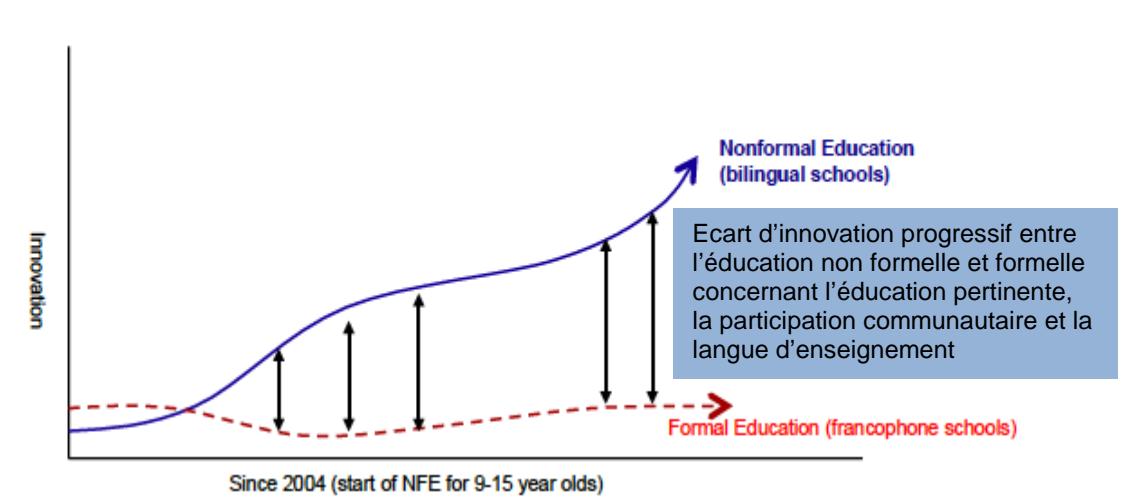
Au delà de son soutien pour le secteur non formel, la DDC est idéalement positionné pour encourager la prise en compte des leçons apprises du secteur non formel dans le secteur formel. Comme l'illustre dans la Figure 7, il y a trois domaines dans lesquels le système d'éducation formelle est en défaveur par rapport au non formel: l'éducation pertinente, la participation communautaire et l'utilisation de la langue de la communauté dans les premiers années de scolarisation.

4 Analyse des Réseaux Sociaux en EB au Burkina Faso

4.1 Données et Méthodologie

Dans le cadre de cette évaluation, l'équipe externe a interviewée des individus travaillant pour 18 organisations différentes. Le protocole d'enquête a inclus un instrument de réseau social basé sur les formulaires voir ANNEXE 1, Formulaire 2 Analyse des Partenaires de Développement). Pour chaque organisation enquêtée il a été demandé d'indiquer les collaborateurs sur le terrain ainsi que les organisations avec des qualités importantes pour la mise en œuvre des politiques (ex., la fiabilité, l'innovation, l'efficacité, l'impact, la durabilité, la sensibilité aux besoins locaux, etc.). L'instrument d'analyse des réseaux sociaux est une liste de 40 organisations pré-identifiées dans le pays. Néanmoins,

Figure 7: Ecart d'Innovation entre l'Education Non-Formelle et Formelle



les organisations interviewés ont pu nommer d'autres organisations – c'est à dire, augmenter les frontières du réseau – dans leurs réponses. Au final, la liste d'organisations incluses dans l'analyse est de 81. Le fait que 81 organisations, presque toutes basées au Burkina Faso, directement ou indirectement (avec un degré de séparation) collabore avec, ou dans la plupart des cas sont financées par la DDC est impressionnant. Si les collaborateurs (deux degrés de séparation) étaient listés, le réseau serait exponentiellement plus large.

4.2 Réseaux de Collaboration et Communautés de Meilleures Pratiques

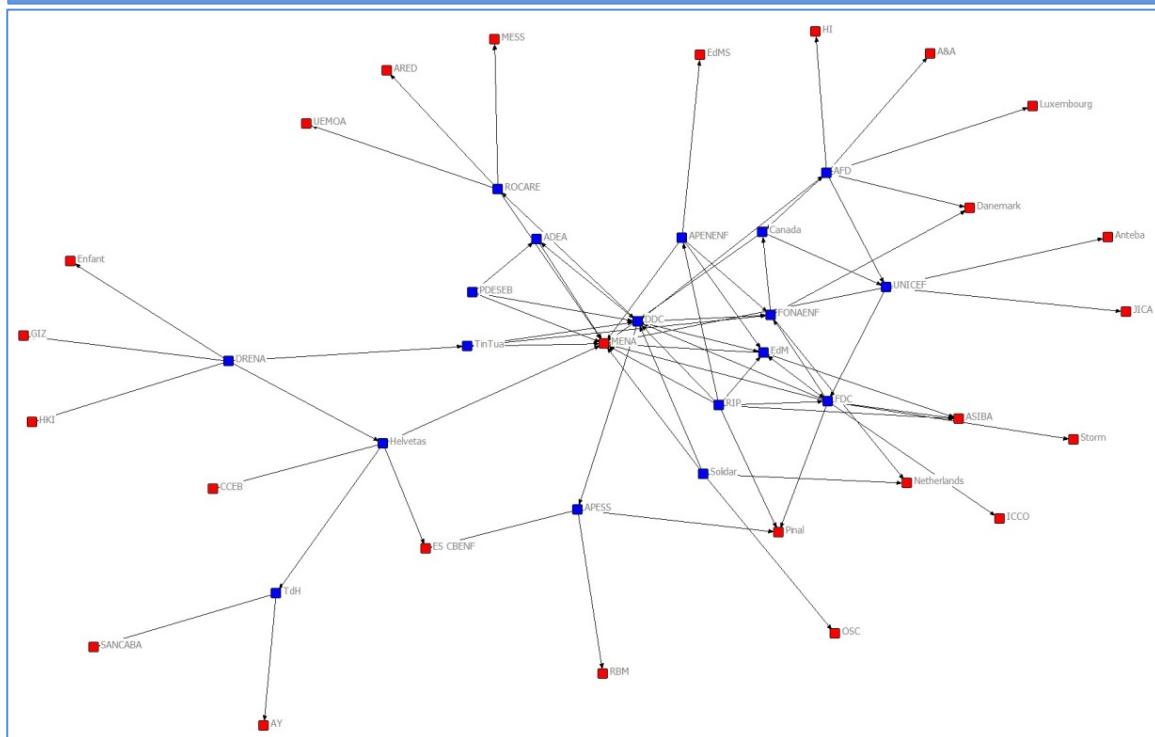
Les résultats de l'analyse des réseaux sociaux se concentrent sur deux tendances émergentes en termes de réseaux de collaboration et modèles en EB au Burkina Faso.

4.2.1 Réseaux de Collaboration

Il a été demandé aux organisations participantes d'indiquer quelles sont les trois organisations avec lesquelles elles travaillent plus étroitement. La Figure 8 présente le réseau organisationnel basé sur l'information donné par les organisations. Les acteurs (organisations) sont marqués dans les carrés. Les carrés bleus sont les organisations enquêtées et les carrés rouges sont les organisations qui ont été mentionnés dans les enquêtées. La liaison entre les organisations représente la collaboration actuelle ou passée. Trois organisations ont été mentionnées par au moins quatre autres organisations : MENA (12), DDC/SDC (9), et EdM/Enfants du Monde (4). Le graphique de degré de concentration est de 13.6%; il y une quantité substantielle de concentration (ou centralisation) dans ce réseau.

Une conclusion importante de la première analyse des réseaux sociaux est que toutes les organisations mentionnent la DDC/SDC comme une des trois organisations avec laquelle elles collaborent actuellement ou ont collaboré dans le passé. Cela est remarquable étant donné que l'équipe d'évaluation a seulement interviewé les organisations que la DDC a identifié comme des "partenaires". Naturellement le MENA (Ministère de l'Éducation et Alphabétisation) est la plus institution centrale dans le réseau d'éducation de base au Burkina Faso que la DDC/SDC. L'analyse des réseaux sociaux démontre aussi le rôle social central d'Enfants du Monde comme pivot du réseau d'opérateurs et exécutant de la Pédagogie du Texte. Cela représente un modèle de mise en œuvre commune : La DDC contracte normalement les partenaires institutionnels suisses (à présent, Enfants du Monde, Helvetas, Terre des Hommes) qui font des consortiums ou mandatent des ONG locales comme opérateurs de mise en œuvre. Enfants du Monde semble être parait avoir un réseau de collaboration relativement fermé avec ses propres partenaires, qui ne collaborent pas nécessairement de façons directe avec d'autres, tels que la DDC ou le MENA.

Figure 8: Analyse du Réseau Social des Organisations, selon la Question 1 de l'Enquête



4.2.2 Communautés de Meilleures Pratiques

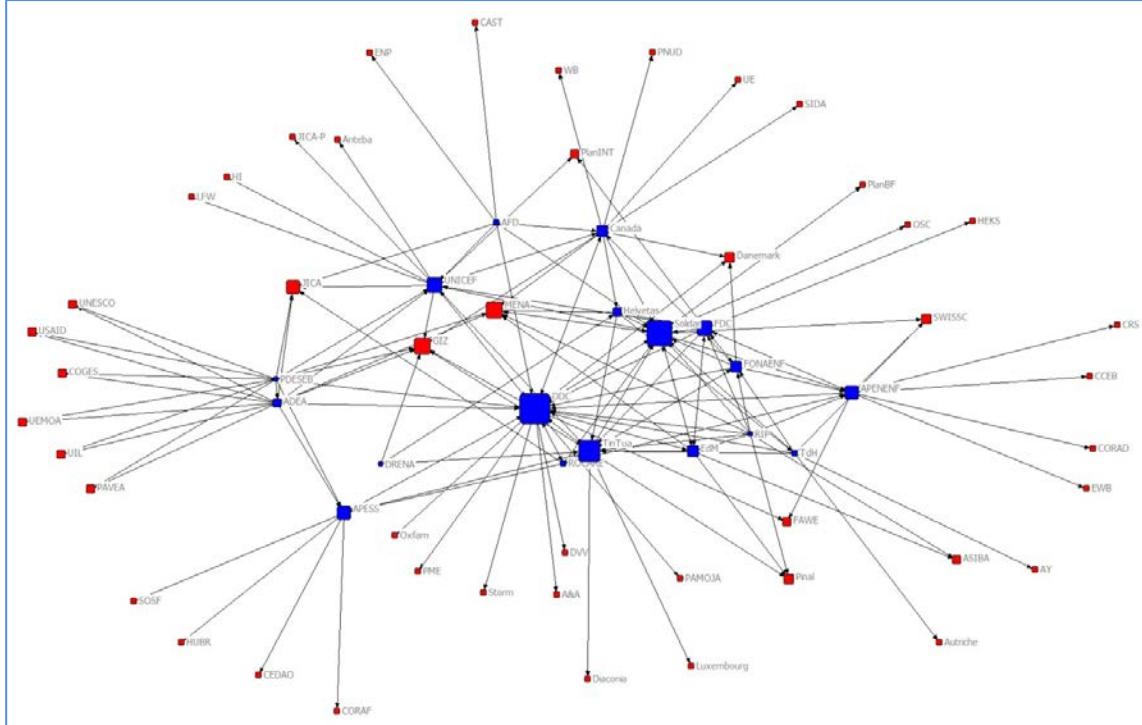
Dans une deuxième phase, il a été demandée aux enquêtés de nommer les organisations avec une bonne réputation en termes de suivi des caractéristiques positives: être des partenaires fiable, innovants, efficaces, sensibles à la culture, sensible au genre, qui ont un impact durable et prennent en compte les aspects de la gouvernance. On peut faire référence a ces réseaux comme des "meilleures pratiques communautaires" parce qu'elles sont sélectionnés en fonction des attributions positives de bonnes pratiques en EB au Burkina Faso.

La Figure 9 montre le réseau organisationnel dans lequel la liaison entre deux acteurs (organisations) signifie qu'une organisation identifie une autre organisation comme ayant au moins une qualité positive. La taille de chaque nœud (acteur/organisation) reflète le degré de concentration de l'organisation; c'est à dire, le nombre d'organisations qui l'identifient comme ayant de la qualité.

Plusieurs organisations répondent à cette appréciation, c'est à dire, qu'elles ont une excellente réputation: la DDC (15), SOLIDAR (12), TinTua (10) la GIZ (7), et la MENA (7). Le graphique de degré de centralisation est 16.2%; il y une quantité substantielle de concentration (ou centralisation) dans le réseau, indiquant un niveau élevé d'accordance entre les différents répondants. Il y a des dimensions remarquables dans la Figure 9 reflétant la portée géographique des différentes organisations (organisations globales, régionales, nationales, locales), organisations gouvernementales par rapport aux non-gouvernementales ainsi que l'éducation formelle par rapport l'éducation non formelle.

SOLIDAR, suivi par Tin Tua sont les leaders dans le réseau d'éducation non formelle et le MENA, l'UNICEF, la GIZ, et la JICA sont des acteurs déterminants du réseau d'éducation formelle. Remarquablement la DDC/SDC couvre ces deux champs ou "communautés de meilleures pratiques", reconfirmant son immense réputation soit au niveau des organisations qui soutiennent l'éducation non formelle soit celles qui sont en charge de l'éducation formelle.

Figure 9: Réseau Social des Organisations, basé sur la Qualité (Questions 2-8)



5 Avantages et Désavantages Comparatives de la DDC

5.1 Image de la DDC

La DDC est connue par ses partenaires au Burkina Faso comme un bailleur qui est (i) fiable, (ii) sensible à la culture et besoins locaux, et (iii) soutient les innovations. Ces trois caractéristiques constituent l'avantage comparatif de la DDC par rapport à d'autres bailleurs bilatéraux.

5.2 Risques des Avantages Comparatifs de la DDC.

Pendant les enquêtes, plusieurs interviewés ont aussi identifié les risques associés aux principales caractéristiques de l'image de la DDC.

Tableau 8 illustre les risques qui résultent de:

1. Le soutien inébranlable de la DDC à l'éducation non formelle (ENF) qui a éventuellement permis au Gouvernement et à d'autres partenaires au développement d'arrêter ou de réduire leurs investissements dans l'ENF;
2. L'émergence des structures parallèles et des programmes de la réforme: l'éducation formelle francophone et l'éducation de base formelle d'une part (agenda globale) et l'éducation non formelle bilingue, éducation et apprentissage tout au long de la vie, d'autre part (agenda locale);
3. Le soutien continu de la DDC et le financement des pratiques innovatrices créant un «marché» de l'ENF au Burkina Faso dans lequel les organisations de la société civile compétissent pour le financement des bailleurs et du Gouvernement. Pour garantir le financement, elles doivent se réinventer constamment. Le pilotage des pratiques innovatrices a dévié de son objectif majeur de mise à l'échelle et d'institutionnalisation de l'éducation non formelle, de l'éducation primaire bilingue, de l'éducation alternative pour les enfants qui n'ont jamais été scolarisés, des déscolarisés et l'éducation d'adultes.

Tableau 8: Avantages Comparatifs de la DDC, Risques, Stratégies de Mitigation Proposés

Avantages Comparatives	Risques	Stratégies de Mitigation Proposées
La DDC est un partenaire fiable	Désengagement financier du gouvernement et d'autres partenaires au développement	Soutien politique et soutien conditionnel
La DDC est sensible à la culture et aux besoins locaux	Des structures parallèles et les programmes de la réforme: local et global	Combler les programmes locaux et globaux
La DDC soutient les innovations	Diversification & compétition entre les opérateurs	Institutionnalisation et élargissement du choix des prototypes/meilleures pratiques

5.3 Stratégies de Mitigation des Risques et Renforcement des Avantages Comparatives de la DDC

Le Tableau 8 propose également des stratégies de mitigation pour minimiser les trois risques, mentionnés ci-dessus, tout en préservant et en renforçant l' excellente triple réputation de la DDC: en tant que partenaire fiable, un donateur sensible à la culture et aux besoins locaux et un donneur qui soutient les innovations. Les trois stratégies proposées sont les suivantes:

1. Le soutien inébranlable de la DDC devrait être accompagné par le soutien politique et graduellement transformé en soutien conditionnel avec des attentes clairement formulées, réalisables et constructives, c'est à dire, des résultats attendus en termes de financement, de mise en œuvre et d'institutionnalisation;
2. Il est nécessaire de combler les programmes des réformes locales et globales, d'éducation formelle et non formelle, ainsi que l'éducation francophone et bilingue au Burkina Faso. Depuis les OMD en 2000, l'agenda global de développement en éducation c'est concentré presque seulement dans l'achèvement du primaire, laissant peu d'espace pour le non formel ou d'autres niveaux de scolarisation comme le secondaire et le tertiaire. Au même temps, la DDC et ses partenaires ont mis le non formel dans l'agenda national et régional. L'éducation non formelle au Burkina Faso ne pourra pas être mis en échelle sans de l'appui financier du gouvernement (avec un maintien de la contribution de 55.4% du cout total du système d'éducation non formelle) et des bailleurs additionnels. Pour le faire, la DDC doit mobiliser des ressources au niveau global; Possiblement comme un membre du conseil d'administration du Partenariat Mondial pour l'Éducation;
3. Finalement, comme mentionné plus en haut, le soutien financier de la DDC aux innovations a créé plusieurs projets pilotes avec des méthodologies différentes pour l'ENF. Pour diverses raisons (quasi-franchises, concurrence, cherté, manque de capacité), ces projets pilotes ne pourront pas facilement être mis à l'échelle et diffusés. Donc, il faut se concentrer sur quelques prototypes et aider le secteur à généraliser ses prototypes au niveau national.

6 Recommandations

Ce rapport contient diverses recommandations intercalées tout au long du texte. Dans une tentative de les organiser par thèmes, les plus importantes sont listées dans le tableau suivant.

Tableau 9: Recommandations par Thème

Theme	Recommendation	Rationale
1. Développement de la stratégie	<ul style="list-style-type: none">• Développer une Stratégie Éducation de la DDC• Inclure la parité de genre comme une cible en addition au thème transversal• Aller au-delà d'une définition sexuée de parité entre les sexes• Communiquer et clarifier ce que signifie la gouvernance comme un thème transversal et comment elle peut être mesurée	<ul style="list-style-type: none">• Permet de recueillir de l'appui global en addition au support national et régional pour l'ENF et clarifier la vision de la DDC sur la relation entre l'éducation formelle et non-formelle• Conduit à des formes plus efficaces d'aborder les stéréotypes de genre et réaliser la parité de genre pour les enseignants, gestionnaires et d'autres positions de niveau moyen (et pas seulement les utilisateurs finaux/bénéficiaires)• Encourage la documentation et analyse les domaines où les garçons/hommes sont en désavantage• Assure l'exécution de la gouvernance comme un thème transversal
2. Planification, suivi, évaluation	<ul style="list-style-type: none">• Rendre le SAP facile à utiliser et éliminer les difficultés pour qu'il puisse être utilisé aussi pour la planification/suivi interne et pas seulement pour les rapports• Solliciter analyses de contexte (études de base), études de viabilité, déterminer les besoins, basés sur des méthodes qualitatives et quantitatives (y compris indicateurs)• Revisiter les Cadres Logiques comme modèle préférentiel pour le planning et brainstorming et consulter d'autres modèles plus axées sur des résultats, comme les Cadres de Théorie de change.• Embaucher des évaluations indépendantes, pendant les	<ul style="list-style-type: none">• Produit analyses de contexte plus précises et une meilleure planification• Empêche que dans le long terme il y ait des projets très pareils qui sont baillés sans une évaluation externe critique des points forts et faiblesses et qui ont besoin d'une réorientation• Améliorer l'efficacité et l'efficience des programmes• Permettre une adaptation continue de la conception du projet en utilisant la théorie de change et un ensemble de résultats attendus clairs

	<p>phases critiques des programmes de long terme financés par la DDC</p> <ul style="list-style-type: none"> • Prolonger la phase préliminaire pour conduire des analyses précises • Profiter mieux des experts en matière d'éducation et développement 	
3. Dialogue politique et appui	<ul style="list-style-type: none"> • Appui au gouvernement, soit au niveau local soit au niveau national, pour réglementer et faire le suivi de l'ENF • Développer des scénarios, en conjoint avec les partenaires de la DDC et gouvernement, sur la future de l'ENF compte tenu de la diminution de fonds • Donner de l'appui financier conditionnel, dépendant de l'engagement du gouvernement pour éliminer les barrières qui conditionnent l'exécution systématique du PRONAA • Donner de l'assistance technique pour un appui politique dans les domaines alignés avec la stratégie d'éducation (proposée) de la DDC 	<ul style="list-style-type: none"> • Aide à réduire la dépendance des bailleurs pour développer et préserver le secteur d'éducation non formelle, en particulier la forte dépendance de la DDC • Permet de comprendre les goulots d'étranglement (au delà de l'insuffisance de ressources financiers) que ralentit l'expansion des programmes d'alphabétisation • Appui activement l'excédent de l'éducation non formelle à l'éducation formelle: Donner des conseils techniques pour la dissémination des apprentissages du secteur d'éducation non formelle pour le formelle (notamment, participation communautaire, éducation bilingue, éducation pertinent)
4. Modalités d'intervention	<ul style="list-style-type: none"> • Concentration sur la mise en échelle des méthodes d'alphabétisation existantes • Conduire des analyses d'efficience de coûts pour évaluer la viabilité de la mise en échelle des différents méthodes/formules • Encourager activement les apprentissages de l'ENF, p.ex. financer des petits projets dans les écoles qui reproduisent et adoptent les bonnes pratiques de l'éducation non formelle • Utiliser des fenêtres de politique (comme la réforme de décentralisation) qui conviennent avec la vision holistique, l'apprentissage tout au long de la vie, pertinent, éducation bilingue de la DDC 	<ul style="list-style-type: none"> • Crée le besoin pour la collaboration entre les opérateurs du NF et augmente l'efficacité des ressources insuffisantes pour la dissémination des pratiques innovantes au lieu de financer le pilotage • Infuse "les meilleures pratiques" de l'ENF dans le système scolaire, donnant plus de visibilité publique aux innovations du NF, des stigmatisant le NF et au même temps améliorant l'éducation formelle • Mène à l'identification de fenêtres de politique qui sont en ligne avec la vision de "bonne éducation de la DDC"
5. Modalités de coopération	<ul style="list-style-type: none"> • Conduire une analyse fonctionnelle des différentes modalités de coopération utilisées au Burkina Faso et 	<ul style="list-style-type: none"> • Évite la duplication • Assure les synergies

	<p>évaluer les expériences avec les différentes modalités en termes d'efficacité, impacte, le renforcement de capacités et durabilité</p> <ul style="list-style-type: none"> • Investissement dans le renforcement des capacités des partenaires locaux qui leur permettent de devenir des leaders et experts en éducation 	<ul style="list-style-type: none"> • Renforce les capacités des partenaires locaux qui deviennent des leaders et experts en éducation au Burkina Faso • Garanti la durabilité de l'expertise Burkinabé ("circulation de cerveaux") après la fin des projets financés par la DDC
6. Communication	<ul style="list-style-type: none"> • Réunir fréquemment avec les partenaires baillés par la DDC pour partager des apprentissages et prendre leurs inputs dans les discussions stratégiques de la DDC • Faire de la publicité des projets et programmes de la DDC dans le web et dans des publications 	<ul style="list-style-type: none"> • Plus de visibilité assure que la DDC a plus d'influence au niveau national, régional et international • L'information publique sur les programmes/projets financés par la DDC permet que le réseau de la DDC collabore de façon plus proche et construit une "communauté de meilleures pratiques/apprenants" • Détourne le risque de duplication de fonds de différentes sources

ANNEX 1: Instruments de Collecte de Donnée

COMPREHENSIVE INTERVIEW GUIDE FOR SDC Staff

Field-Based Case Studies, Interview Guide 1

Type of Informants for Interview Guide 1

- SDC staff in charge of BE projects in SCO offices
- SDC staff in charge of partnerships (institutional, regional, global) related to the BE projects included in the evaluation; either based in the SCOs or in Bern
- SDC staff in Bern in charge of programs in the country or the region

Introduction

- Personal introduction and clarification of evaluation role
- Explanation about the purpose of the evaluation
- Duration of the meeting (maximum 120 minutes)
- Overall structure of the interview
- Explanation of Protection of Human Subjects regulation (informed consent, confidentiality and privacy of data, and voluntary participation)

1 Background of Interviewee

1.1 Position:

.....

1.2 Current responsibilities:

.....

1.3 Year in which employment with SDC started:

.....

1.4 Year in which work on the project/line of work started:

.....

1.5 Professional background:

.....

2 Clarifying Questions on Received Documents and BE Projects

To interviewer: provide a copy of the prepared inventory to the SDC staff and use this section to clarify outstanding questions.

2.1 Are any important documents missing from this inventory?

3 General Assessment of SDC Portfolio in Country/Region

3.1 Which BE project (or which aspects of a project or a program) that was implemented over the past 7 years (since 2007) do you consider "a typical SDC project" in the country? Can you please elaborate on your response?

3.2 Which BE project (or which aspects of a project or a program) do you consider has been very successful?

[Probe indicators for success in terms of relevance, effectiveness, efficiency, ownership, etc. and explore reasons that accounted for the success]

3.3 Which BE project (or which aspects of a project or a program) do you consider less successful/unsuccessful?

[Probe indicators for success in terms of relevance, effectiveness, efficiency, ownership, etc. and explore reasons that accounted for the success]

4 In-depth Discussion of a Typical Project

Let's discuss the project that you identified as typical. Tell us more about it:

4.1. Background:

- Agency: who/which institution initiated, designed, implements, monitors?
- Target group/beneficiaries: who and how many (of which women) are supposed to benefit?
- How was it implemented [probe on implementation modalities]?
- Roles of institutional/local/regional partners, government?

4.2 Favorable conditions:

Were there any positive developments happening at the same time as the project that benefited the implementation of the project?

4.3 Unfavorable conditions:

Were there any particular challenges that surfaced over the course of the project that negatively impacted the implementation?

5 Relevance, Effectiveness, Efficiency, Impact, Sustainability (OECD DAC criteria)

HAND-OUT INTERVIEW GUIDE 1, FORM 1: OECD-DAC CRITERIA FOR EVALUATING DEVELOPMENT ASSISTANCE

Let's discuss the five aspects that are often used in evaluations. [Hand out the form and ask interviewer to make a rating on a Likert scale (1-5) and explain the response; then only focus on in-depth explanation of the two extremes that they rates as 1 or 2 or 4 and 5, respectively]

5.1 Can you say more about the criteria/indicators that you find somewhat or fully achieved?

5.2 Can you say more about the criteria/indicators that were not achieved at all or somewhat but insufficiently achieved?

5.3 What happens when funding ends? Are there any expectations in terms of scaling up, transfer of human or financial resources, institutionalization, or any other project sustainability strategies?

5.4 SDC considers gender and good governance as transversal themes for all its projects.

5.4.1 Was gender equity a key theme in the project? If so how was it defined/operationalized in this project? What were the indicators/benchmarks of gender equity that were utilized? Were there any

particular opportunities or challenges with fully implementing this principle? Please provide example of how it was enforced or couldn't be enforced, respectively.

5.4.2 Was “good governance” a key theme in the project? If so how was it defined/operationalized in this project? What were the indicators/benchmarks of gender equity that were utilized? Again, were there any particular opportunities or challenges with fully implementing this principle? Please provide example of how it was enforced or couldn't be enforced, respectively.

6 Comparative Advantage/Disadvantage of SDC as Compared to Others

Let's talk about SDC in the context of international donors.

- 6.1 How would you describe the SDC technical approach to development in Burkina Faso/Roma Education in comparison with the other main actors/contributors?
- 6.2 What is SDC known for in your country? What is its reputation? What projects and ways of working are best known in the country?
- 6.3 What are, *in your opinion*, the comparative advantages and disadvantages of SDC?
 - 6.3.1 What is SDC able to fund, implement, or do that other bilateral/multilateral donors or NGOs can't or don't want?
 - 6.3.2 What is SDC not able to fund, implement, that others (other bilateral/multilateral donors or NGOs) are in a better position to do?

HAND-OUT INTERVIEW GUIDE 1, FORM 2: ASSESSMENT OF DEVELOPMENT PARTNERS

7 Types of Support, Intervention Modalities, Cooperation Strategies

- 7.1 If you think of the different intervention modalities, listed in the following, which was the most prevalent modality over the past few years in BE? Please rank in the order of frequency:
 - a. SDC as the implementer
 - b. SDC as the funder of (institutional, local, regional) partners who implement
 - c. SDC as co-funder and co-implementer along with other bilateral donors, multilateral agencies non-governmental organizations.
 - d. Please list, if other intervention modalities were used, and explain.
- 7.2 In your opinion, which of these intervention modalities proved to be most efficient; which one proved to be the least efficient?
- 7.3 What were the experiences with pooled funding, budget support, contracts (“aid upon delivery”) versus grants, pooled funding, SWAPs, and other funding modalities? Do you have financial figures that document the different types of support? Can you please share your views on the pros and cons for the different types of support.

8. Aid Effectiveness Criteria

Can you please a look at the main aid effectiveness criteria that are commonly used in our work. In what areas is the SDC approach to development similar and in what areas is it different, and why?

HAND-OUT INTERVIEW GUIDE 1, FORM 3: AID EFFECTIVENESS ROSTER

Please explain how important/not important the principles of aid effectiveness are in your daily work (see form 3).

9. Trends and Recommendations

- 9.1 Are there new trends in the development and aid architecture for BE in your country/region that SDC should be more aware of?
- 9.2 How will the post-2015 Sustainable Development Goals impact your work?
- 9.3 What should SDC do to support your work in-country or in-region, and that of your colleagues, better?

FORM 1: OECD-DAC CRITERIA FOR EVALUATION OF DEVELOPMENT PROJECTS

<i>Relevance</i>	Are we doing the right thing? How necessary and useful is the project? Does it respond to local needs and the needs of the target group? Does it fill an important gap?
<i>Effectiveness</i>	Are the objectives of the project being achieved? Did it have the impact on the beneficiaries/target group that it was expected to have?
<i>Efficiency</i>	Are the objectives being achieved economically, with a reasonable effort, and in a reasonable time-span?
<i>Impact</i>	Does the project make a difference in terms of improving the overall situation of the target group (e.g., mitigating poverty, reducing discrimination, enhancing participation, etc.)
<i>Sustainability</i>	How likely is it that the objectives of the project will be pursued when the external funding ends? How sustainable are the project objectives?

FORM 2: ASSESSMENT OF DEVELOPMENT PARTNERS

To be filled out during interviews with SDC, bilateral donors, multilateral agencies, and SDC partners in Burkina Faso and in the Western Balkans

Name of Institution (representative) who filled out the survey:

Question 1: With which organizations have you had contact with regularly over the past few years?

1. Probing questions:
 - Are there any other bilateral donors you cooperated with?
 - Are there any other multilateral agencies you cooperated with?
 - Are there any other SDC partners you cooperated with?
2. Note for interviewers: please write the names of the organization in the first column.

Note to interviewers: complete the list of organizations in collaboration with the interviewees (see question 1).

2. Which 3 organizations are the ones with which you worked very closely?
3. Which 3 organizations are considered to be reliable partners?
4. Which 3 organizations have the reputation of being very innovative in their approach?
5. Which 3 organizations have projects that are very effective, that is, benefit the target group(s)?
6. Which 3 organizations are culturally sensitive and are responsive to local needs?
7. Which organizations have clear plans on how to ensure sustainable impact beyond the duration of the actual project?

DFID

EU Commission/Aid

GTZ

SDC

USAID

Government of the country

World Bank

GPE

AfDB-Fund

AsDB-Fund

Int Fund for Agricultural Development

UNICEF

UNWRA

UNESCO

Pestalozzi Children's Foundation

Helvetas Swiss Intercooperation

Enfants du Monde

Bread for All

Other bilateral donor [specify]

Other bilateral donor [specify]

Other bilateral donor [specify]

FORM 3: Aid Effectiveness Roster

Please explain how important/not important the five principles of the Paris Declaration on Aid Effectiveness are in your daily work:

	1 Not important	2	3	4	5 Very important
Ownership: The government needs to have ownership over the project, steer and monitor the project.	<input type="checkbox"/>				
Alignment: The project must be aligned with the education sector strategy/development strategy of the country.	<input type="checkbox"/>				
Harmonization: Donors must closely collaborate in the project.	<input type="checkbox"/>				
Managing for results: The projects must be based on baseline data, targets, and benchmarks and there must be measurable outcomes.	<input type="checkbox"/>				
Mutual accountability: Both the donor and the government must regularly report to each other about the progress in the project.	<input type="checkbox"/>				

ABBREVIATED INTERVIEW GUIDE FOR PARTNERS

Field-Based Case Studies, Interview Guides 2, 3, 4

Interviewees for Interview Guide 2:

Partners of SDC (institutional, local, regional, multilateral, other donors)

Duration:

1 hour

Focus:

Background: Role of partner vis-à-vis SDC

Section 3: General assessment of SDC Portfolio in Country/Region

Section 5: Relevance, effectiveness, efficiency, impact, sustainability (OECD DAC criteria) of the project in which the partner is involved

Section 6: Comparative advantage/disadvantage of SDC as compared to others

Note:

The various sections of the interview guide 1 will stay intact, but the foci will change depending on the interviewees. Additional interviewees may be included and the interview guide 1 will be accordingly shortened to focus on the experience and knowledge of the particular interviewees/informants.

For multilateral donors: the issue of trust-funds and other types of “bilateralization of multilateral aid”—which other bilateral donors use—will be explored.

ABBREVIATED INTERVIEW FOR FOCUS GROUPS

Field-Based Case Studies, Focus Group Interviews

Duration of focus group: 60 minutes, 5-9 participants

Depending on the composition of the focus group participants, focus on:

- 1) Comparative advantage/disadvantage of SDC as compared to others
- 2) Types of support, intervention modalities, funding mechanisms, cooperation strategies

ANNEXE 2: Formulaire 2, Utilisé au Burkina Faso (pour l'analyse des réseaux sociaux)

	1. Citez 3 organisations avec lesquelles vous travaillez en collaboration étroite?	2. Quelles 3 organisations sont considérées comme partenaires fiables?	3. Quelles 3 organisations ont la réputation d'être innovatrices dans leur approche ?
Aide de Luxembourg			
Aide/Commission U.E.			
Coopération allemand (GIZ)			
Aide de l'Autriche			
Coopération Suisse (DDC)			
Agence Franç. de Dév. (AFD)			
Aide du Canada			
Aide du Danemark			
Ministère de l'Edu. de Base et de l'Alphabétisation			
Ministère de la jeunesse, de la formation professionnelle et de l'emploi			
Ministère de l'Edu. Secondaire et Supérieure			
Autres Directions et Ministères du Gouvernement			
Banque Mondiale			
Partenariat Mondiale de l'Edu. (PME)			
Banque Afric. de Dév. (BAD)			
Banque Islamique de Dév. (BID)			
Fond International pour le dév. De l'agriculture (FIDA)			
Fonds National pour l'Edu. Non-Formelle (FONAENF)			
Assoc. pour le Dév. de l'Edu. en Afrique (ADEA)			
Assoc. pour la Promotion de l'Elevage au Sahel et en Savane (APPRESS)			
Réseau de Recherche en Edu. (ROCARE)			
Andal et Tinal			
Tin Tua			
UNICEF			
UNESCO			
UIL - L'Institut de l'UNESCO pour l'apprentissage tout au long de la vie			
International Institute for Educational Planning (IIEP)			
NORRAG			
Pestalozzi Children's Foundation			

Helvetas Swiss Intercooperation			
Enfants du Monde			
Terre des Hommes Genève			
Caritas			
HEKS			
Solidar Suisse			

	4. Quelles 3 organisations ont des projets qui sont très efficaces, c'est à dire qui bénéficient un public large?	5. Quelles organisations ont des plans clairs pour garantir la durabilité de l'impact de leurs actions au delà de la durée du projet actuel?
Aide de Luxembourg		
Aide/Commission U.E.		
Coopération allemand (GIZ)		
Aide de l'Autriche		
Coopération Suisse (DDC)		
Agence Franç. de Dév. (AFD)		
Aide du Canada		
Aide du Danemark		
Ministère de l'Edu. de Base et de l'Alphabétisation		
Ministère de la jeunesse, de la formation professionnelle et de l'emploi		
Ministère de l'Edu. Secondaire et Supérieure		
Autres Directions et Ministères du Gouvernement		
Banque Mondiale		
Partenariat Mondial de l'Edu. (PME)		
Banque Afric. de Dév. (BAD)		
Banque Islamique de Dév. (BID)		
Fond International pour le dév.de l'agriculture (FIDA)		
Fonds National pour l'Edu. Non-Formelle (FONAENF)		
Assoc. pour le Dév. de l'Edu. en Afrique (ADEA)		
Assoc. pour la Promotion de l'Elevage au Sahel et en Savane (APPES)		
Réseau de Recherche en Edu. (ROCARE)		
Andal et Tinal		
Tin Tua		
UNICEF		
UNESCO		

L'Institut de l'UNESCO pour l'apprentissage tout au long de la vie (UIL)		
International Institute for Educational Planning (IIEP)		
NORRAG		
Pestalozzi Children's Foundation		
Helvetas Swiss Intercooperation		
Enfants du Monde		
Terre des Hommes Genève		
Caritas		
HEKS		
Solidar Suisse		

	6. Quelles 3 organisations sont sensibles à la culture et réceptives aux besoins locaux?	7. Quelles 3 org. ont une approche respectueuses de l'égalité hommes-femmes?	8. Quelles 3 organisations sont connues pour l'inclusion des principes de gouvernance dans leur approche?
Aide de Luxembourg			
Aide/Commission U.E.			
Coopération allemand (GIZ)			
Aide de l'Autriche			
Coopération Suisse (DDC)			
Agence Franç. de Dév. (AFD)			
Aide du Canada			
Aide du Danemark			
Ministère de l'Edu. de Base et de l'Alphabétisation			
Ministère de la jeunesse, de la formation professionnelle et de l'emploi			
Ministère de l'Edu. Secondaire et Supérieure			
Autres Directions et Ministères du Gouvernement			
Banque Mondiale			
Partenariat Mondial de l'Edu. (PME)			
Banque Afric. de Dév. (BAD)			
Banque Islamique de Dév. (BID)			
Fond International pour le dév. De l'agriculture (FIDA)			
Fonds National pour l'Edu. Non-Formelle (FONAENF)			
Assoc. pour le Dév. de l'Edu. en Afrique (ADEA)			
Assoc. pour la Promotion de l'Elevage au Sahel et en Savane (APPESS)			

Réseau de Recherche en Edu. (ROCAR)			
Andal et Tinal			
Tin Tua			
UNICEF			
UNESCO			
L'Institut de l'UNESCO pour l'apprentissage tout au long de la vie			
International Institute for Educational Planning (IIEP)			
NORRAG			
Pestalozzi Children's Foundation			
Helvetas Swiss Intercooperation			
Enfants du Monde			
Terre des Hommes Genève			
Caritas			
HEKS			
Solidar Suisse			

Section 3

Case Study Report

Roma Education in Western Balkan

Authors:

Arushi Terway, Gita Steiner-Khamisi, Vlera Kastrati, Oren Pizmony-Levy

with support from Thomas Knobel, E+C Division, SDC

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List of Abbreviations and Acronyms

AR	Amare Rromentza
CEFA	Alternated Education and Vocational Training
CHF	Swiss Francs
DfID	United Kingdom Department for International Development
EC	European Commission
EHO	Ecumenical Humanitarian Organization
ERIO	European Roma Information Office
EU	European Union
EUR	Euro
ICREST	International Center for Restructuring Education, Schools, and Teaching
M&E	Monitoring and Evaluation
MoESTD	Ministry of Education, Science, and Technological Development
NGO	Non-Governmental Organization
NPF	“Ndihme per Femijet”
NPO	National Program Officer
RAE	Roma, Ashkali and Egyptian
RAE HIP	Roma, Ashkali and Egyptian Housing and Integration Project
REF	Roma Education Fund
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
SECO	State Secretariat for Economic Affairs
SEP	Swiss Expert Pool for Civilian Peace Building
SIPRU	Social Inclusion and Poverty Reduction Unit
TdH	Terre des Hommes
UNDP	United Nations Development Programme
UNICEF	United National Children's Fund
VET	Vocational Education Training
VoRAE	Voice of Roma, Ashkali and Egyptian

1 Context

1.1 Mandate of the Independent Evaluation

This evaluation has been carried out by the International Center for Restructuring Education, Schools, and Teaching (ICREST) in New York. ICREST is affiliated with Columbia University's graduate school of education (Teachers College). The team leader is Gita Steiner-Khamsi, and the team members were selected based on the need for a triple expertise in basic education, aid effectiveness, and the geographic regions of the selected case and desk studies. Three of the team members, supported by Thomas Knobel (E+C Division of SDC) visited the South-Eastern Europe/Western Balkan region to meet with SDC and its local and regional partners working on SDC-funded basic education programming for Roma communities.

- Romania (April 26-30) – Gita Steiner-Khamsi and Thomas Knobel
- Serbia (May 3-7) – Gita Steiner-Khamsi, Arushi Terway and Thomas Knobel
- Albania (May 8 -12) – Arushi Terway, Vlera Kastrati and Thomas Knobel
- Kosovo (May 13-15) – Arushi Terway, Vlera Kastrati and Thomas Knobel

Thomas Knobel from the E+C Division of SDC, based in Bern, accompanied the team in all the countries and served as the liaison between SDC and the ICREST.

The purpose of the overall independent evaluation is to provide SDC with a 1) valid, 2) accurate, 3) useful, and 4) differentiated assessment of the performance of its BE programs globally. In this report, however, we focus on an evaluation of the Roma Education programs in the Western Balkan region and address our recommendations specifically to the Swiss Contribution Office in Romania and Swiss Cooperation Offices in Serbia, Albania and Kosovo along with officers in charge of SDC's regional programs. We hope that they find our analyses and recommendations useful for the next strategy with regard to regional and country support to Roma basic education. Per mandate of SDC, the evaluation covers the period 2007 – 2014, that is, it may also include an evaluation of programs and projects that have been completed a while ago. This case study evaluation report provides:

Description of regional and country level programs with specific context

Observed similarities across the region

Observed differences in projects and country approaches

Recommendations for future programing and strategy

The evaluation in the region is based on meetings, visits, and a review of documents. It was a relatively comprehensive evaluation that included meetings with a total of 131 individuals who have worked for, or collaborated with, SDC for the past few years. A full list of meetings is included in Section 11 and the guiding questions for the meetings are included in the Inception Report. The evaluation team was also able to visit ten SDC-funded projects in Romania, Serbia, Albania and Kosovo. At the end of each field mission, we shared the main findings at the debriefing meetings with the NPOs and the relevant representatives of the Swiss Embassy in the respective countries. The notes from the discussions at the debriefing meetings can be found in the Aide-Memoire of the Field-Based Evaluation of the Roma Education Programs in Albania, Kosovo, Romania, Serbia (available from the E + C Division of SDC).

The meetings lasted 30 minutes to 2 hours and the interviewees were open and forthcoming sharing documents and information during the meetings and, if necessary, following up with additional material after the meeting. The meetings were set up by the Swiss Contribution / Cooperation Offices in the four countries and by Vlera Kastrati, the

regional consultant. Thomas Knobel, Laurent Ruedin (the officer in charge for the Roma Education Programs) and Mattia Poretti (the officer in charge of regional programs) were all extremely helpful in making the arrangements, supplying us with relevant background information before the field-mission, and providing us with feedback to the de-briefing, the aide-memoire as well as sections of this case study evaluation report.

1.2 Roma Education in Western Balkan at a Glance

Roma are the largest minority group across Europe and face discrimination, racism and social exclusion in everyday life. In a recent survey conducted in 11 Central and South-Eastern European countries found that one in three Roma are unemployed, 20% do not have any health insurance and 90% live below the poverty line.¹ Roma are often geographically separated living in their own neighborhoods in slum like conditions, often outside the main village, town or city. These settlements often lack basic infrastructure like electricity, water, and sanitation systems. Large families often share small houses or shanties of improvised materials (planks, iron sheeting, etc.)

In recent years, two initiatives in Europe have guided the emphasis on improving educational opportunities and conditions for the Roma – 1) The Decade of Roma Inclusion 2005-2015, and 2) EU Framework for National Roma Integration Strategies up to 2020.² Both initiatives require governments in EU countries and EU accession candidate countries to develop action plans and strategies for addressing marginalization of Roma minorities in education, health and social assistance, employment and income, housing, sanitation and infrastructure.

Low levels of education in Roma communities contribute to the vicious circle of poverty and exclusion. Although data on Roma populations based on official government estimates in most countries are not entirely accurate as they are based on self-identification by Roma families, UNICEF reports that only about 20% of Roma children enroll in primary school in Central and Eastern Europe as compared to 90% of the non-Roma population. Once enrolled, Roma children are more likely to drop out before completing obligatory basic education due to racism and ill preparation of schools to meet their needs. If they do complete basic education, in South-Eastern Europe only 18% of Roma children ever enroll in secondary schools and less than 1% attend university. While in school, Roma children are segregated to either “special” schools and/or classrooms meant for children with disabilities often because they speak a different language.³

Data extracted from the UNDP/World Bank/EC 2011 report (Table 1) show that school attendance of Roma children and youth drops significantly after primary school in Romania, Serbia and Albania. Serbia has the highest percentage of age 14-20 Roma who have attained at least primary school level education; however, this percentage drops considerably to 13% of 20-26 year olds with upper secondary education. The phenomenon of dropping out of the school system is similar for Roma children and youth in Romania and Albania as well.

In Romania, only 37% of Roma children attend some form of pre-school or kindergarten while 68% of the non-Roma children attend pre-school. Approximately 22% of Roma children between the ages of 7 and 15 were out of school in 2011 while 12% of the non-Roma children were out of school. From the Roma children who did attend school in the 7-15 age group, about 22% attended schools where the majority population is Roma even though there were non-Roma children living close proximity. Only 13% of Roma youth

¹ UNDP/World Bank/EC. (2011). The situation of Roma in 11 EU member states. Survey results at a glance. http://issuu.com/undp_in_europe_cis/docs/_roma_at_a_glance_web/1#download

² Christian Brüggemann. (2013). Roma education in comparative perspective. Analysis of UNDP/World Bank/EC regional Roma survey data. Policy Brief. UNDP. <http://www.eurasia.undp.org/content/rbec/en/home/library/roma/Policy-brief-Roma-education.html>

³ UNICEF. (2011). The right of Roma children to education. Position Paper. http://www.unicef.org/ceecis/UNICEF_ROE_Roma_Position_Paper_Web.pdf

within the age group 20-26 had completed some form of upper secondary schooling while 65% of non-Roma youth had attained this level of education.⁴ In Albania, 34% of the Roma children are enrolled in pre-school as compared to 57% of non-Roma children. Only 63% of 14-20 year old have at least primary school education, and this number drops significantly for 17-23 year olds who have lower secondary education (22%).

In Kosovo, along with Roma communities, Ashkali and Egyptian communities face similar challenges. Within the Kosovo education system (excluding the Serbian schools) compulsory education is attended by 80.4% of children aged 6-14, which is still far below the majority community. As with the other countries the situation aggravates in secondary and tertiary level. Ministry of Education Science and Technology Education statistics estimates that 526 Roma, Ashkali and Egyptians attend secondary education⁵; this constitutes only 23.2% of those aged 15-18, whereas the number of students enrolled in higher education is still negligible⁶. Once in formal education, Roma, Ashkali and Egyptian students are the most challenged from the aspect of inclusion, equity and quality of education services due to extreme poverty and economic crisis as well as traditional patriarchal attitudes that put girls particularly at a disadvantage.

Table 1: School Participation of Roma Children and Youth in 2011

Country	Romania	Serbia	Albania
Pre-school attendance	37%	18%	34%
Age 14-20 with at least primary school	83%	86%	63%
Age 17-23 with at least lower secondary	46%	51%	22%
Age 20-26 with at least upper secondary	11%	13%	3%
Age 10-18 Never attended school	7%	6%	22%

Source: *Christian Brüggemann. (2013). Roma education in comparative perspective. Analysis of UNDP/World Bank/EC regional Roma survey data. UNDP*

2 SDC Regional and Country Programs Supporting Roma Education

SDC has committed around CHF 21 million for the period of 2012-2016 for Roma Inclusion in the Western Balkans, and aims to reduce the disparities and discrimination against Roma through these funds (7F-08617.01 Credit Proposal). Table 2 provides a list of 11 programs observed for this evaluation study within the region, along with most recent phase data from the program credit proposals. Programs with Roma basic education components South Eastern Europe and Western Balkans region are funded through three main sources (see Figure 1):

1. Framework Credit “East”
2. EU Enlargement Contribution
3. Migration Partnership

All these funding sources have SDC and SECO contributions while the Swiss Contribution Office (Romania) and Swiss Cooperation Office (Serbia, Albania, Kosovo) manage the funds in the respective countries. Most of the Roma education programs supported by

4 UNDP/World Bank/EC. (2011).

5 MEST: Education Statistics 2012/13.

6 Instrument for Pre-Accession Assistance (IPA II) 2014-2020.

SECO funds focus on economic development and Vocational and Educational Training, which is not part of this evaluation study.

As new EU-member countries, Romania and Bulgaria have been granted a special credit under the EU Enlargement Contribution Framework Agreement. The EU Enlargement Contribution is co-financed by SDC and SECO in the amount of CHF 257 million of which CHF 181 million is spent in Romania and CHF 76 million in Bulgaria.

Beyond the Official Development Assistance (ODA) funding from the Frame Credit "East", the SCOs in the Western Balkans also manage programs that receive funding from the Migration Partnership between the Swiss Government and the Government of Bosnia and Herzegovina (April 2009), Serbia (July 2009) and Kosovo (February 2010). The Migration Partnership primarily funds projects dealing with immigration and emigration along with promoting voluntary return and reintegration; consolidating state structures in countries of origin; managing regular migration and preventing irregular migration; combating human trafficking; migration and development as well as the integration of migrants in host countries. Regular dialogue between Switzerland and its partner countries ensures successful implementation of the Migration Partnerships.

*"The Swiss Migration Partnership Strategy for the Western Balkans 2012-2015 aims to pursue Swiss interests in the partner states, while taking into consideration the interests of the partner states. In addition, the strategy also aims to formalize cooperation efforts between Switzerland and the partner states, run joint projects and strengthen the migration management capacities of these states."*⁷

The current strategy programs are managed by the SCOs in the countries and are funded through multiple channels: 1) Federal Office of Migration (FOM): Migration management (CHF 10 mio.), 2) SDC: Migration and development (CHF 6 mio.), 3) SECO: Migration and development (CHF 2 mio.), 4) Human Security Division (HSD): Human trafficking, Swiss Expert Pool for Civilian Peace Building (SEP) (CHF 1 mio.), 5) Principality of Liechtenstein: Migration and development (CHF 2 mio.). The Migration Partnership funds Roma education programs in the Western Balkans countries to improve the socio-economic integration and information of the Roma minorities and as a result prevent their migration (often irregular) to Western Europe and Switzerland.

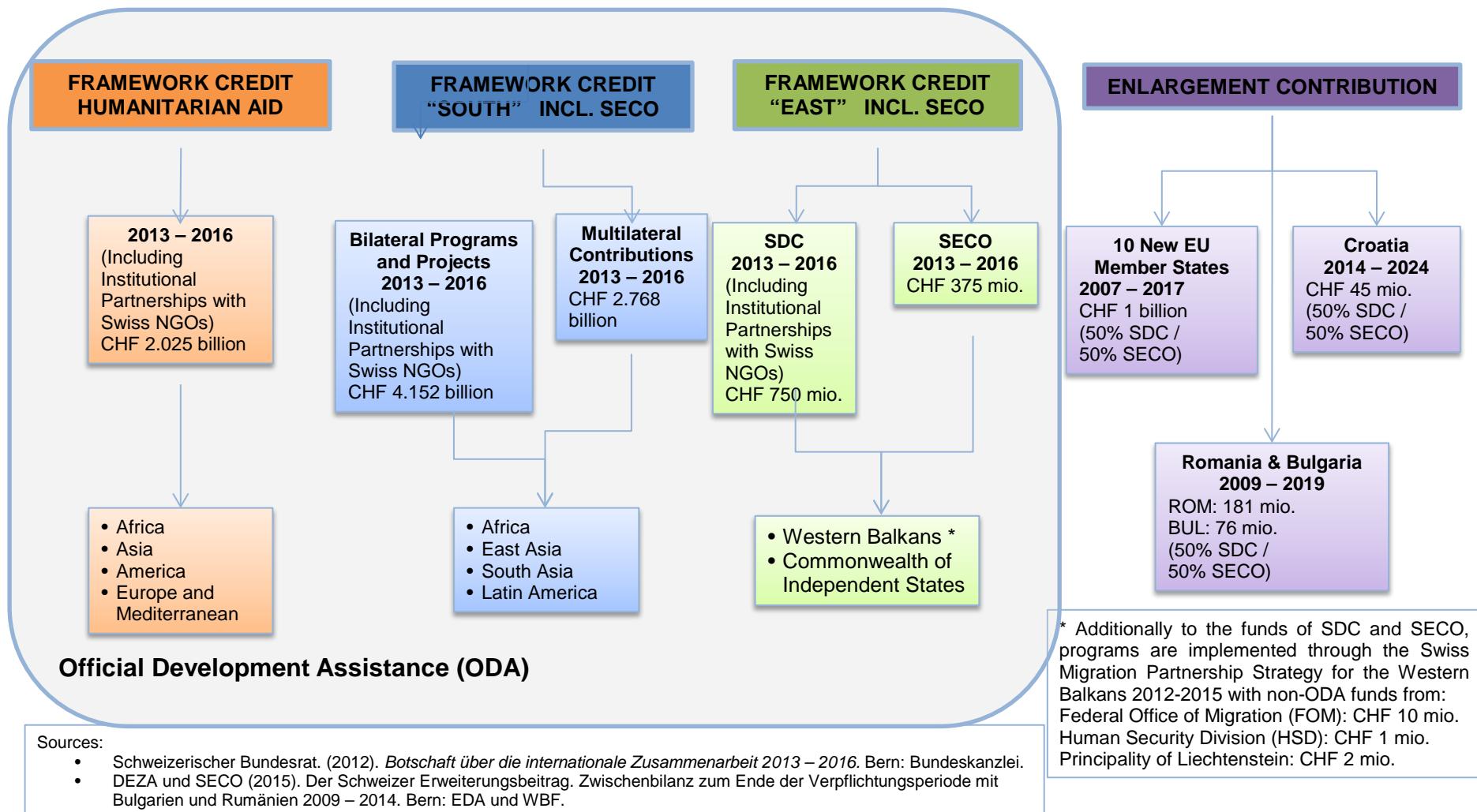
⁷ Swiss Migration Partnership Strategy for the Western Balkan 2012-2015 Abstract in English.

Table 2: Swiss Government Roma Programs Observed in the Western Balkan Region

Country	SAP Number	Name	Contract Partners	Date	Credit Proposal Funding (CHF)
Regional	7F-04116.06	Roma Education Fund	Roma Education Fund	01.10.2012 - 21.12.2014	2,273,000
Regional	7F- 08617.06	Regional Support Facility for Improving the Capacity - make real Progress on Roma Inclusion	UNDP	01.01. 2013 - 31.12.2014	1,900,000
Regional	7F-08230.01	European Roma Information Office	ERIO	01.12.2011 - 31.12.2013	250,000
Romania	7F-08132.01.05	Together for Empowerment: Inclusion Fund for Roma & other Disadvantaged Groups	Terre des Hommes, Roma Centre Amare Romentza, Impreuna Agency for Community Development, PACT Foundation & Pestalozzi Romania Foundations	01.05.2013 - 28.02.2017	3,000,000
Romania	7F-08132.01.04	Social Inclusion and Improvement of living conditions of Roma and other vulnerable groups in Mures, Cluj and Bihor	HEKS, FAER, Diakonia Christian Foundation	01.05.2013 - 30.06.2018	3,000,000
Romania	7F-08132.01.06	Improvement of the living conditions of Roma and Romanians in socially difficult living conditions in the region of Satu Mare and Maramures	Caritas Switzerland, Caritas Satu Mare & Resource Center for Roma Communities	01.01.2014 - 31.12.2017	2,694,418
Serbia	7F-03916.02	Support - Strengthening the Social Inclusion	SIPRU	01.05.2013 - 30.04.2017	3,988,000
Serbia	7F-06551.03	Joint Programme for Roma and Marginalised Groups Inclusion	UNICEF, Red Cross of Serbia & Ministry of Education, Science and Technological Development	15.06.2013 - 31.05.2017	7,320,000
Serbia	7M-00042.01*	Social inclusion and improvement of livings condition for Roma	HEKS & EHO	01.01.2013 - 31.12.2015	1,000,000
Albania	7F-00094.07	Alternated Education and Vocational Training	NPF	01.01.2013 - 31.10.2015	1,800,000
Albania	7F-07020.01	Support to Roma Inclusion in Albania	UNICEF	16.08.2012 - 31.08.2016	3,000,000
Albania	7F-06645.01	UN Support - Social Inclusion in Albania	UN Country Team Albania (UNDP managed)	01.11.2008 - 31.10.2010	1,540,000
Kosovo	7M-00002.03	RAE Housing and Integration Project	Caritas Switzerland &Caritas Kosovo	01.06. 2013 - 31.12. 2015	914,000
Kosovo	7M-00042.01*	Roma integration in West Balkan	HEKS, Terre des Hommes, Voice of Roma	01.02.2013 - 31.01.2016	1,000,000

Source: Credit Proposals. Note: * 7M-00042.01 is a regional project implemented in Serbia, Kosovo and Bosnia and Herzegovina. The project funding is based on country level documents and may not accurately reflect Swiss Government contributions.

Figure 1: Funding Modalities relevant for SDC's Basic Education Programs



2.1 Regional Programs on Roma

SDC supports three primary regional programs that include Roma education components. In all the programs SDC contributes to pooled funding from multiple donors. Two of the programs (REF and UNDP) have country-specific activities, while ERIO mostly works in advocacy at the regional level.

2.1.2 Roma Education Fund (7F-04116)

Roma Education Fund (REF) was created within the framework of the Roma Inclusion Decade 2005-2015 which was a political commitment by governments in Central and South-Eastern Europe to combat Roma poverty, exclusion, and discrimination in the region. The World Bank and Open Society Institute founded REF with a commitment of total funding of EUR 48 million from all its founders and bilateral donors. The goal of REF is to close the gap in educational outcomes between Roma and non-Roma and to support the provision of quality education, including the desegregation of educational systems.

Between 2007 and 2013, SDC has expended approximately CHF 4.5 million on REF for various activities (SAP Database). The Swiss Ambassadors to Macedonia, Albania, and currently Slovakia, have also served on the REF Board and provide substantial input on fund strategies and activities in all countries in the region. REF activities mostly fall under the following five types of strategies:

1. *Tertiary education scholarships* – Merit-based academic scholarships are provided to students to pursue Bachelor, Master and PhD degrees
2. *Grant program* – Program grants are provided to public and private entities in member countries along with Kosovo and Moldova on education programs for Roma communities. Some grant programs, especially in the Western Balkans region also provide scholarship to Roma children to attend primary and secondary schools
3. *Policy development and capacity building* – REF conducts country assessments to provide analysis of education and ongoing education reforms for Roma inclusion. REF also funds research and external evaluations
4. *Partnership and advocacy for Roma* – REF participates in international forums (UN, EU, etc.) to promote best practices and to increase the impact of its grassroots interventions
5. *Ongoing policy development support and technical assistance through ongoing contacts with relevant national Ministries and Departments.*

2.1.2 UNDP Regional Support Facility for Improving Stakeholder Capacity for Progress on Roma Inclusion (7F-08617)

SDC contributes to the umbrella regional project to provide support to national governments (central and local), civil society and other stakeholders to build capacity for Roma inclusion in the Western Balkans and Eastern Europe: Albania, Bosnia and Herzegovina, FYR Macedonia, Kosovo (as per UN Security Council resolution 1244 (1999)), Montenegro, Serbia, Moldova and Turkey. This support is critical for the national governments' preparation for EU membership and is aligned with EU Framework for National Roma Integration Strategies up to 2020.

Through this program, SDC contributes to a more coherent implementation of national strategies for Roma inclusion in the Western Balkans and ultimately to improved living conditions for the Roma population. Phase 1 of the program started in 2013 with SDC committing CHF 1.9 million and other partners providing EUR 7.2 million. The program has three components:

1. Supporting national stakeholders in operationalizing the national Roma integration strategies, in order to strengthen their implementing infrastructure at central and local levels
2. Supporting the establishment of monitoring and evaluation (M&E) frameworks, including data collection for results-oriented progress monitoring
3. Facilitating the exchange of experience, mutual learning from successes and failures, and mainstreaming working approaches to Roma inclusion at local level

Components 1 and 2 apply to the whole region and operate in all countries. Component 3 often operates at the country level to ensure knowledge exchange at the local level. Components 2 and 3 mirror the activities of the EU's Fundamental Rights Agency in monitoring Roma inclusion efforts and improving the knowledge of working practices across Member States.

Although this regional program does not specifically implement basic education activities for the Roma, it takes a multi-sectoral approach to Roma inclusion in which education is one of the priority areas. In most countries, the program supports national and sub-national governments to implement education policies that are laid out in the national Roma inclusion strategies.

2.1.3 European Roma Information Office (7F-08230)

European Roma Information Office (ERIO) is an advocacy organization based in Brussels with the mandate to provide factual and in-depth information on Roma policy issues to EU institutions, Roma civil organizations, governmental authorities and intergovernmental bodies. It is also an informal network of grassroots Roma organizations (around 100) and full members' organizations (around 10).

SDC supported the ERIO in 2010 with a small action (EUR 50,000) as core contribution. In 2011 this funding was increased to CHF 250,000 with a specific focus on EU candidate and potential EU candidate countries. ERIO encourages the European Commission to underline the criteria for candidate and potential candidate countries in the pre-accession agreements concerning respect of minorities' and Roma community rights along with fulfillment of social inclusion requirements and improvement of educational and socio-economic status. SDC funding for ERIO (2011-2013) was to be used for the following key objectives:

1. ERIO's activities to benefit Roma communities in the Western Balkans region
2. ERIO to involve Roma representatives and NGOs from the Western Balkans region in its activities and events
3. ERIO's information and communication tools to be used as a source for information, exchange of knowledge and experience by Roma individuals and NGOs from the Western Balkans region

2.2 Country-Level Roma Programs

Although with some shared history and similar political approaches in the past, each country in the region has its unique context that effect the conditions of Roma in present time and efforts to improve social inclusion. This section gives a short description of the country contexts and SDC's strategies and Roma programs.

2.2.1 Romania

As with most countries in the region, historically, Roma faced marginalization and exclusion along with many attempts to force them into permanent settlements and assimilation in Romania. After World War II, the communist system continued to pressure Roma communities to assimilate, while providing access to education and some new

employment opportunities with regular incomes. This helped some members of the Roma community to successfully break the poverty cycle and completely assimilate in the Romanian society. Roma with lower skills were also able to work in state-run companies or agricultural cooperatives. The end of communism lead to a deterioration in socio-economic conditions of lower skilled Roma people as they were the first to lose their jobs when state-run enterprises dissolved in the market based economy.

In present day, Roma communities are characterized by poverty and dire living conditions. According to the 2011 census, 619,000 Roma live in Romania however many do not declare themselves as Roma and the actual estimated Roma population is closer to 1-2 million. Data from the Romanian Ministry for Labor, Family and Social Protection shows that in 2009 25.4% of the Roma population was living in absolute poverty as compared to 4.4% of the total population (Credit Proposal, 7F-08132.01.05).

Switzerland supports Roma education in concert with EU's integrated approach and the Framework for National Roma Integration Strategies up to 2020. Switzerland applies an integrated, multi-sectoral approach that includes: education, health, social services, employment, and housing. Annex 4 of the Framework Agreement between the Swiss Federal Council and the Government of Romania mentions, among other initiatives, the establishment of a "Thematic Fund for the Inclusion of Roma and Other Vulnerable Groups". The program is financed from the EU Enlargement Contributions of Switzerland to Romania and Bulgaria. From the CHF 181 million in Romania, a total of CHF 14 million is earmarked for the program "Social Inclusion Fund for Roma and other Vulnerable Groups" (7F-08132). Upon execution of the Framework Agreement, the Government of Romania proposed other priorities for funding. However, the Government of Switzerland—at that time under the administration of Minister of Foreign Affairs Calmy-Rey—insisted that substantial funds must be allocated for programs that enhance the social inclusion of Roma and other disenfranchised groups.

The Social Inclusion Fund for Roma and other Vulnerable Groups (7F-08132) program is implemented by three Swiss-Romanian partner consortiums, each led by one of the following Swiss institutional partners:

1. Terre des Hommes
2. HEKS
3. Caritas

The Thematic Fund Steering Committee and the Programme Management Unit, which oversees all three projects, selected the project proposals for implementation from a restricted call for proposals in 2012. Each of the projects takes a multi-sectoral approach to social inclusion with components in education, health, community development and/or advocacy for social inclusion. All the projects are aligned with the Romanian Government's Strategy for the inclusion of the Romanian citizens belonging to Roma Minority 2012-2020 and they further support the Action Plan of the Roma Decade 2005-2015.

2.2.1.1 Together for Empowerment: Inclusion Fund for Roma & other Disadvantaged Groups

Together for Empowerment is implemented by a Swiss-Romanian consortium partners with Terre des Hommes, Roma Centre Amare Rromentza, Impreuna Agency for Community Development, PACT Foundation and Pestalozzi Romania Foundations. Between 2013 and 2017, the project will receive CHF 3 million from SDC/SECO and CHF 400,000 contribution from the consortium members.

"The project aims to improve access to education and health of over 25,000 people belonging to rural communities situated in three counties in the South West of Romania: Dolj, Olt and Gorj (Credit Proposal)."

The target groups in these counties are the most vulnerable population with a particular focus on Roma. The project is conducted around four groups of beneficiaries (0-2 years, 3-5 years, 6-17 years old, and adults amongst which pregnant and lactating women) and targets three main priorities:

1. Access to quality education services
2. Access to quality health services, and
3. Intercultural dialogue and advocacy

The project consortium acknowledges that social inclusion is the responsibility of the state and works with the state representative at the local, regional and national level to reinforce their capacity and understanding of social inclusion issues.

For the education component, the project focuses on providing supplementary educational services to children through after school classes, summer kindergartens and support for passing exams. The project works with parents in order for them to understand the importance of intercultural education and to get necessary documents to enroll their children in school. The project also works with teachers to improve their capacity to provide intercultural education. They are also trained to offer extra support to children who have dropped out of school and children who have educational problems. Younger children in some communities are provided intercultural/bilingual kindergarten classes and teachers receive training in managing these joint classes.

2.2.1.2 Social Inclusion and Improvement of Living Conditions of Roma and other Vulnerable Groups in Mures, Cluj and Bihor

This project is implemented by the Swiss-Romanian consortium of HEKS, FAER, Diakonia Christian Foundation in the regions of Mures, Cluj and Bihor.⁸ Between 2013 and 2018, the project will receive CHF 3 million from SDC/SECO and has a contribution of approximately CHF 600,000 from the consortium member organizations. The primary goal of the project is

“to improve the living condition and social inclusion of the Roma communities and other vulnerable minorities in the project region.” (Credit Proposal)

The consortium takes a multi-sectoral approach with a combination of interventions in education, health, social assistance and vocational education. Within the education component, the consortium aims to improve integration of Roma children into the mainstream Romanian education system by establishing, institutionalizing and scaling up supplementary educational support to Roma children. The supplementary programs include after school classes, catch-up summer kindergarten, and other support at pre-school and primary school level to enhance inclusive education. The project also works with parents to obtain the necessary documentations for school enrollment. Through advocacy and close cooperation with the school inspectorates and municipalities these programs are to be scaled up and integrated in the mainstream schools. The project has cooperation agreements with local municipal government institutions to co-finance project components and to increase the share of government funding annually.

2.2.1.2 Improvement of the Living Conditions of Roma and Romanians in Socially Difficult Living Conditions in the Region of Satu Mare and Maramures

The Swiss-Romanian consortium of Caritas Switzerland, Caritas Satu Mare and Resource Center for Roma Communities implements this project. Originally, the program agreement also included the Romanian NGO Sastipen, which left the project in the first year.

⁸ According to the credit proposal, Pestalozzi Children Foundation was part of the consortium, as approved in the credit proposal 7F-08132.01.04, but their role has been redefined at the initial stages of the project and they ceased to be listed as part of the consortium.

Between 2014 and 2017, the project will receive CHF 2.6 million from SDC/SECO and a contribution of about CHF 600,000 from the consortium organizations.

“The overall goal of the project is to empower the members of the Roma communities and vulnerable groups in Satu Mare and Maramures counties to actively participate in the social, economic and political life and to lead a life of dignity (Credit Proposal).”

The multi-sectoral approach of the project has three components:

1. Community Development
2. Education
3. Health Promotion

Most of the project activities are organized around Caritas' Day Centers that offer a range of educational and social services to the community. Social workers from the project act as case-managers for up to 30 families. These social workers link the center and the Roma community to other institutions and stakeholders like teachers at the school, local public social service departments and the municipalities.

In the education component, most children and youth attend some form of formal education appropriate for their age. In addition, the project pays particular attention to children in obtaining minimum requirements foreseen in the national curriculum; the project aims to combat school dropout through its interventions. Within the Caritas Day Centers supplementary educational programs are provided: kindergarten groups and afterschool programs, combined supplementary programs (social support, consultancy) for parents and other community members. The project also provides training to teachers in public schools located in the project communities in collaboration with local schools and school authorities.

2.2.2 Serbia

In 2012, Serbia was awarded an EU candidate status followed by a comprehensive series of reforms. Accession to the European Union (EU) is a key priority of the Government of Serbia and the main driver of the reform agenda. However, social exclusion remains widespread in Serbia, putting the stability and integrity of the country at stake along with the integration into EU. Vulnerable groups include people without educational qualifications, the Roma and other ethnic minorities, young people not able to enter the job market, elderly persons, women-headed households, people with disabilities, refugees from Bosnia and Herzegovina and Croatia, and displaced persons from Kosovo. Managing diversity remains a key challenge.⁹ The 2011 census reported 147,604 Roma in Serbia, but other sources estimate Roma population to be as high as 400,000 or around 6% of Serbia's total population.

SDC has supported education in Serbia since the year 2000 with a special emphasis on Roma populations. The Swiss Cooperation Strategies 2007-2009 and 2010-2013 both included education as one of the priority sectors or domains. The 2014-2017 strategy no longer had education as a separate domain, but incorporated the support for Roma education within the Governance Domain objective B: *“Increased quality of and access to municipal services for citizens (in particular vulnerable groups) and companies.”* This incorporation of Roma education support within the overall social inclusion effort has helped the SCO develop an overall strategy for integration of Roma communities into the majority population and to provide equal access to social welfare and public services. All programs reviewed in Serbia provide as many services as possible to the whole population within the target region with a special focus on Roma communities. This

⁹ UNDP, 2013: Human Development Report. (<http://hdrstats.undp.org/en/countries/profiles/SRB.html>).

contributes to the inclusion/integration of Roma people into the majority community rather than further isolation of the community with special programing.

Currently, SDC is supporting three programs that include Roma education components, out of which one program is funded through the Migration Partnership. The three programs work in tandem to support local grassroots level and policy level work to achieve long-term sustainability and an institutionalization of efforts. The three programs together complement each other in a vertical development approach of both bottom-up and top-down program efforts. SDC has funded grassroots initiatives and innovation over the years and has scaled up successful initiatives. SDC has also provided funding to the Serbian government to implement inclusive growth and social cohesion in line with the EU 2020 strategy and the Republic of Serbia Development Strategy 2020.

2.2.2.1 Support to Strengthening the Social Inclusion (7F-03916)

SDC provides funding to Social Inclusion and Poverty Reduction Unit (SIPRU), which is a unit within the office of the Deputy Prime Minister of Serbia. SDC has funded SIPRU since 2009 and has committed CHF 6.5 million. Phase 1 of the program also received funding from the Norwegian Government and United Kingdom's Department for International Development (DfID). This is a policy program that uses a cross-sectoral approach to improve social inclusion in Serbia supporting the development and implementation of social inclusion policies at national and local levels that is in line with the EU 2020 strategy. This project has contributed to the mainstreaming of social inclusion policies at national and local levels in various sectors of the government: employment, education, health care and social work, and the system of national statistics.

The program contributes to the following four major outcomes:

1. The national level policy framework is aligned with the principles of social inclusion
2. The local level policy framework is aligned with the principles of social inclusion
3. The national level social inclusion policy implementation is more effective
4. The local level social inclusion policy implementation is more effective

SIPRU creates synergies and stimulates partnerships among relevant stakeholders to develop and implement social inclusion policies: e.g., line ministries and government agencies, local self-governments, civil society organizations, the business community, academia, international stakeholders, media, etc. It also assists the government and line ministries to set specific social inclusion baselines and targets for EU Progress Reports.

2.2.2.2 Joint Programme for Roma and Marginalised Groups Inclusion (7F-06551)

The Joint Programme for Roma and Marginalised Groups Inclusion (Joint Program) is implemented by UNICEF, Red Cross of Serbia and the Ministry of Education, Science and Technological Development (MoESTD). The Joint Program evolved from combining efforts of various Roma education projects under one harmonized program in 2009. Since Phase 1, which started in 2009, SDC has committed CHF 13.3 million to this program. Under this one program, the goal is to improve access and quality of early childhood education and care services for Roma children and provide preconditions for their social inclusion and empowerment.

The three contract partners bring complementary programing, expertise and know-how to the Joint Program; with MoESTD in the leading and coordinating role to ensure mainstreaming of project results. Red Cross of Serbia is able to take advantage of its extensive reach at the local community level and provides support to in-school pre-school classes. Red Cross provides incentives (school snacks, hygiene packs etc.) to Roma families to send their children to pre-school classes. At the school level Red Cross provides support to the school in ensuring that Roma children are integrated into the

mainstream classrooms. UNICEF works at the grassroots level by creating a network of organizations that support social inclusion of Roma children in mainstream schools. UNICEF also works with local municipalities to develop Local Action Plans for children to ensure enrolment of Roma children into primary schools and prevention of dropout from both primary and secondary schools. UNICEF, under this program, also provides technical assistance on policy development, on strengthening monitoring framework for inclusive education and on the development of pre-school education quality standards.

The Joint Program has achieved several important results in institutionalization of program initiatives. Early childhood education models developed in the program have been incorporated into the local mainstream schools and municipalities and local self-governments have introduced budget lines for social inclusion. Through the efforts of this program and some other Roma education programs in the country, the system of hiring pedagogue assistants has been institutionalized. Over the years, various programs in Serbia had employed pedagogue assistants directly at the school level to support Roma children; now the MoESTD has added them on their payroll. The program has also contributed to making the education system more inclusive through changes in legal regulations (Law on Inclusive Education 2009 and related bylaws), development of new organizational structures and training and capacity building within the system.

2.2.2.3 Social Inclusion and Improvement of Living Conditions for Roma (7M-00042)

The social inclusion and improvement of living conditions for Roma (Migration Program) is funded by the Migration Partnership Strategy for the Western Balkans with HEKS as the primary contract partner and EHO as the local implementing partner. Between 2013 and 2016, the Migration Partnership funding will provide approximately CHF 1 million to this program with HEKS/EHO contributing CHF 1.6 million. This program is part of the regional Migration Partnership program operating in Serbia, Kosovo and Bosnia and Herzegovina.

Using funding from SDC between 2008-2012, HEKS/EHO successfully developed, tested and implemented a project to improve the living conditions of around 3,000 Roma living in Vojvodina region. The project provided housing upgrading, educational support, craft skills courses, on-the-job training along with migration and legal counseling services to the Roma community. Building on those initial efforts, the Migration Program aims to better integrate Roma communities within the majority Serbian community in Vojvodina, Central and South Serbia. The program uses a “dweller-driven” approach for Roma settlement upgrading to fully involve the community in decision making for their own development. The education component provides elementary education for Roma children by mainstreaming them into regular school. The program improves the capacity of pedagogue assistants in schools to support Roma children and promote intercultural education. The program also supports employment opportunities for Roma youth and advocacy for access to social welfare and public services for Roma communities at the local level.

To improve the institutionalization of program efforts and reach sustainability, the program develops partnerships with state institutions, municipalities and Roma communities. It enhances the sustainability of institutional initiatives on national, provincial and local level by bringing Roma voices into decision-making.

2.2.3 Albania

The communist regime in Albania collapsed in 1990 and the former communist Party of Labor of Albania was routed in the elections of 1992 in the midst of economic collapse and social turbulence. Albania is applying to join the European Union with its candidacy granted in 2014. The country is still in its transition period and continues its efforts towards democracy and functional institutions. During the year 2013, Albania had months of political crisis and after the parliamentary elections in the same year there was a new

government established thus returning to normalization and operational routines of most of its ministries.

The education level of the Albanian population has decreased during transition among all Albanians; nevertheless, the decrease is more emphasized within Roma/Egyptian communities. The end of socialism marked the beginning of Roma/Egyptians' decline from relative well-being to extreme poverty. Low skills, discrimination, and the collapse of several state-owned industrial and agricultural enterprises during the transition period have contributed to their mass unemployment, along with rising illiteracy rates and deteriorating health, infrastructure, and housing conditions. Population estimates of Roma vary considerably in Albania with the 2011 census reporting 8,000 vs. UNICEF estimating 15,000 in the same year. In 2002, a World Bank study estimated the numbers to be closer to 120,000. These estimations do not include the Egyptian population which could be as high as 200,000.¹⁰

The attempts to address the issues of its most marginalized communities of Roma and Egyptian are ongoing. Currently, in Albania the education of Roma and Egyptian communities proves to be problematic even though Albania remains committed to anti-discriminatory policies. The National Action Plan for the Decade of Roma Inclusion 2010-2015 is a document of the Albanian Government that was designed with support from the United Nations Development Programme (UNDP) and represents the framework of activities aiming at the integration of Roma population in Albania. The plan has been developed based on the Social Inclusion Strategy (2007-2013), the National Strategy "On Improving the Living Conditions of the Roma Minority" (2003), as well as has taken into account the different sectoral strategies adopted by the Albanian Government¹¹.

The Swiss Government has provided aid to Albania since the early 1990s under Humanitarian Aid mechanism. As of 1994, other types of funding were introduced and support medium- and long-term development of Albania was increased. Although, education has not been a primary domain or priority area for the Swiss Cooperation Strategy in Albania since 2006, SDC has supported education for Roma populations at the grassroots level since the 1990s. At the moment, support for Roma basic education is provided through the sub-domain "Social Inclusion" under the Domain "Democratization, Decentralization and Local Governance" of the Swiss Cooperation Strategy 2014-2017. Other Roma vocational skills and economic activity support is also provided through the Domain "Economic Development"; however, those activities were not included in this field mission. The Swiss Government has taken a multi-sectoral approach to Roma inclusion in all programs rather than only concentrating efforts on the education sector.

Social inclusion of Roma population in Albania is supported through three major country programs. As a whole, SDC's social inclusion portfolio funds programs at both local grassroots level and national policy level through the three programs. The SCO in Albania views all programs on social inclusion with a focus on Roma population as complimentary and within a coherent approach to the social inclusion portfolio. The full portfolio has a holistic approach that provides support at community, municipality, district, regional and national level. This includes SDC funding to regional programs with UNDP, REF and ERIQ. REF Albania considers the SCO to be a strong partner for collaboration in deciding REF project funding within Albania and in overall approach to Roma education in the country. REF also collaborates with SDC's local contract partners like "Ndihme per Femijet" (NPF) for grassroots efforts. UNICEF, UNDP and NPF collaborate with each other at grassroots level in municipalities where they both work. One of the programs that provide funding to the UN country office to support the government in social inclusion

¹⁰ UNDP 2014 Progress Report. Regional Support Facility for Improving the Capacity to make real Progress on Roma Inclusion

¹¹ <http://www.al.undp.org/content/dam/albania/docs/The%20Decade%20of%20Roma%20Inclusion%20-%20National%20Action%20Plan.pdf>

policy is implemented by UNCT (United Nations Country Team) and complements the UNDP regional program efforts in the area.

2.2.3.1 Alternated Education and Vocational Training (7F-00094)

Alternated Education and Vocational Training (“CEFA project”) is implemented by a local NGO “Ndihme per Femijet” (NPF) as contract partner in four municipalities Korca, Elbasan, Berat and Tirana. Between 2007 and 2013 the program received around CHF 4.3 million (SAP database); in 2013-2015 SDC has committed CHF 1.8 million. The program has a cross-sectoral approach that aims to sustainably integrate Roma children into the public school system while also supporting the Roma community’s access to other social services (e.g. health, VET, employment). This project is in the exit phase (Phase 7) and plans to transfer tools and approaches, developed during the various project phases, to local government authorities and to the local directorates of education.

The program supports Roma children’s access to education in the mainstream classes in public schools, through a multi-layered approach. CEFA social workers work with the school administration/teachers and the Roma families to problem solve any issues on school attendance and academic support. CEFA project also organizes extra-curricular events in school to encourage Roma and non-Roma children interaction outside of the classrooms. The integration in the education system is complemented by other services like Vocational Education Training and economic initiatives for youth and Roma parents to alleviate burden of poverty for the families. The project supports capacity building of local government social services staff to incorporate CEFA initiatives and tools. Being in this exit phase, it has also done planning, start up and development of a strategy for documentation, capitalization and dissemination of best practices.

2.2.3.2 Support to Roma Inclusion in Albania (7F-07020)

Support to Roma Inclusion in Albania (Social Care Reform program) is implemented by UNICEF as the primary contract partner. For early inclusion and development component, there are three local NGOs as local partners of Roma education: 1) Observatory of Children’s Rights, 2) Young Women’s Christian Association of Albania, and 3) Children’s Human Rights Center of Albania. SDC has committed CHF 3 million to the program between 2012 and 2016. The Social Care Reform program is aligned with the Albanian Government’s Social Protection Sector Strategy (2007-2013) and supports the new policy framework of the Social Protection Strategy that is more in line with the social protection target of EU’s 2020 strategy.

The overall objective of the Social Care Reform program is to support the Albanian Government in moving away from a cash transfer approach to social welfare to a more integrated provision of social care services. The two main expected outcomes of the Social Care Reform programs are:

1. A national policy framework that is used by local government units and service providers to effectively fulfill the social and economic rights of the most marginalized
2. Situations of extreme marginalization in impoverished and minority (Roma and Egyptian) communities are effectively addressed by local duty-bearers, bringing immediate practical improvements in people’s lives

Within education, this program has concentrated on pre-primary education and improving access for Roma children to this level of education which is currently not part of compulsory education. UNICEF has focused on providing the Government of Albania with demonstrations of effective programs and interventions for improving education and social care services to the Roma and other marginalized communities. UNICEF’s efforts in this program have concentrated in expanding access and participation of Roma and Egyptian children in pre-schools and primary schools. The Social Care Reform program has been establishing a cooperation mechanism between education, health, social protection and

civil registry authorities at the local level to track and follow up on cases of out-of-school children. The program also provides targeted support in Elbasan and Durres to Roma and Egyptian children. The program facilitates children's preparedness for schools, promotes good parenting skills and conducts regular health checkups. Finally, it conducts pre-school teacher training on inclusive early childhood development along with advocacy campaigns at local and national level on inclusion of Roma and Egyptian children in the expansion of pre-school systems.

2.2.3.3 UN Support to Social Inclusion in Albania (7F-06645)

The UN Support to Social Inclusion in Albania (Social Inclusion Reform program) is a joint UN agency program managed primarily by UNDP. Between 2008 to 2016 (Phase 1 and Phase 2), SDC has committed CHF 5 million to this program. The program actively promotes the "Delivering as One"-modality of the UN system and aims to enhance social inclusion and access to services for vulnerable and marginalized groups through integrated social service delivery, capacity development and modernization of social welfare systems.

Although this is not a Roma education program, this program supports the Albanian Government and all its ministries in developing its vision for social inclusion of all vulnerable groups in all sectors of the government. UN agencies work with all line ministries; thus the Social Inclusion Reform program is able to take advantage of this relationship while primarily working with the Ministry of Social Welfare and Youth.

2.2.4 Kosovo

From the years 1998/99, Kosovo has been under the administration of the United Nation Mission in Kosovo and Special Representative of the Secretary General of the United Nations. During the years of the post-war UN administration, there has been a lot of focus on the establishment of institutions, the handing over of the competences to the national institutions from internationals as well as the development of the policies in all spheres of the society, until the independence of Kosovo in 2008.

According to the latest population census of 2011, 35,784 Roma, Ashkali and Egyptians (8,824 Roma, 15,436 Ashkali and 11,524 Egyptians) reside in Kosovo that represent around 1.1% of the overall population¹². It is assumed that there is also an undetermined number of community members who live as refugees or asylum seekers in other countries and may return in the near future.

In the pre-war Kosovo before 1998/99, the Roma community was integrated in the mainstream education and mainstream classrooms, attending classes in Albanian and Serbian language based on their family language. After the war, the Roma community has officially been divided into three communities: Roma, Ashkali and Egyptian (RAE) mainly based on their origin and family language. Thus, Roma speak Romani and Serbian (in some cases) while Ashkali and Egyptian speak Albanian. Nonetheless, the three communities remain the most discriminated communities in the sphere of education be it in attendance rates, drop-out rates and performance.

Roma inclusion has become a national priority through the Strategy for Integration of Roma, Ashkali and Egyptian communities 2009-2015. This strategy is comprehensive in its coverage of all sectors for inclusion:

1. Education
2. Employment and economic empowerment
3. Health and social issues

¹² KAS: Population Census 2011

4. Housing and informal settlements
5. Return and reintegration
6. Registration and documents
7. Culture, media and information
8. Participation and representation
9. Security and policing

However, Kosovo has not made notable progress in the integration of RAE communities due to lack of commitment by authorities and lack of funding from the Government for the implementation of respective sector strategy and action plans. The EU Progress Report 2013 stated that more resources and greater efforts are needed to make progress in implementing the strategy and the action plan for RAE communities. Under its section "Education and Research" the report calls for improvement of the access to quality education for Roma, Ashkali and Egyptian students as they "have lower registration rates, higher drop-out rates, and poor levels of academic performance"¹³. At present, there are discussions on the development of a new Roma, Ashkali and Egyptian Strategy to push further the issue of RAE education in Kosovo.

The SCO in Kosovo implements two programs that include components of Roma education. Both programs are funded through the Migration Partnership. Unlike Serbia and Albania, these programs are not integrated within SCO's overall Swiss Cooperation Strategy for Kosovo but are managed in line with the Migration Partnership Strategy. Both programs use a multi-sectoral approach to social inclusion and education is one of the program components.

2.2.4.1 Roma, Ashkali and Egyptian Housing and Integration Project (7M-00002)

The Roma, Ashkali and Egyptian Housing and Integration Project (RAE HIP) is implemented by Caritas Switzerland and Caritas Kosovo in one Roma, Ashkali and Egyptian settlement in the Municipality of Gjakova, Kosovo. Phase 1 of the project started in 2010 and the project will end in 2015 with Phase 3. The project is co-funded by the Swiss Government, the Austrian Development Agency and the Municipality of Gjakova. The main goal of the project is to provide sustainable improvement of living conditions for the RAE community in the Ali Ibra settlement in Gjakova.

The largest activity of the project is to provide the residents of the settlement with permanent housing that includes the minimum housing standards with sanitation facilities, technical infrastructure as well as some social infrastructure. The project also supports new employment and sustainable income opportunities for the community by setting up a local waste management business. The project provides education and health activities through a community center located within the settlement. Education activities at the center include pre-school classes based on Caritas's own pre-school model, afterschool classes for homework help for children attending the local primary schools, and special supplementary classes for children needing extra help. All classes are open to RAE children and children from other communities, however attendance in the class is considerably higher for RAE children.

2.2.4.2 Social Inclusion and Improvement of Living Conditions for Roma, Ashkali and Egyptians and other Vulnerable Groups in Kosovo (7M-00042)

Social Inclusion and Improvement of Living Conditions for Roma, Ashkali and Egyptians and other Vulnerable Groups in Kosovo is primarily financed by the Swiss Government with contributions from HEKS, Terre des Hommes (TdH), Roma Education Fund and the

¹³ Instrument for Pre-Accession Assistance (IPA II) 2014-2020

Norwegian and British Government. HEKS is the primary contract partner with TdH and Voice of Roma, Ashkali and Egyptian (VoRAE) working as local implementing partners in nine municipalities of Kosovo. The program will operate over three years (2013-2016) with a total budget of CHF 2.4 million. This program is part of the regional Migration Partnership program operating in Serbia, Kosovo and Bosnia and Herzegovina.

This project builds on the Kosovo governmental strategy and focuses on empowerment and advocacy, education, sanitation (which has a substantial effect on health prevention), house upgrading and employment and income. Within the education component the project aims to ensure integration of RAE communities' children into the mainstream education system at all levels (pre-school, elementary school, secondary school, vocational education and university). This is done through 1) promoting pre-school and school enrolment of RAE children by direct involvement of parents and community groups, 2) provision of supplementary education support (pre-school activities, after school classes, scholarships schemes), and 3) promoting best practices and advocating for institutionalization of the project approaches and activities.

Most of the education activities are conducted in education centers operated by TdH and VoRAE. The majority of these centers are located within the mainstream school and are accessed by all children and not just RAE children. Some centers are located outside the schools and efforts are made to invite non-RAE children to attend education activities at these centers. In recent months, the project has increased its activities in promoting best practices by developing material for the Ministry of Education, Science and Technology to include in its future policy on RAE integration. The most important aspect of this has been the operation of education centers within school to provide pre-school education and supplementary education activities to all children needing extra support.

3 Social Network Analysis for Romania

For the purpose of understanding collaboration and diffusion of innovations amongst organizations working in the four countries, the interview protocol included a social network instrument that is based on the roster method (see Annex 1). Each responding organization was asked to indicate collaborators in the field as well as organizations with important qualities to policy implementation (e.g., reliability, innovative, effective, sustainable impact, responsive to local needs, etc.). The social network instrument consists of a list of 32 pre-identified organizations in the field. However, responding organizations were able to nominate other organizations – that is, to expand the boundaries of the network – in their responses.

In this section we present the results of the social network analysis for Romania, where individuals from 6 different organizations were interviewed. Interviews identified a total of 56 organizations for the various questions.

3.1 Collaboration Network and Communities of Best Practice

The findings of the social network analysis focus on two emerging patterns in terms of collaboration networks and role models in Roma education and inclusion in Romania.

3.1.1 Collaboration Network

Participating organizations were asked to indicate up to three organizations with whom they have worked very closely. Figure 2 presents the organizational network based on the information provided by the organizations. Actors (organizations) are marked in square, where blue squares are those organizations that were interviewed and red squares are those organizations that were mentioned in the interview. The edge (link) between organizations represents past or current collaboration. The size of each node

(actor/organization) reflects the “in-degree” centrality of the organization; that is, the number of organizations that identify the organization as a collaborator.

Overall, the network is sparse, with 20 active actors and small number of edges (links) between them. The network includes two components: the large one includes organizations that collaborate with SDC/SCO and the small one includes one organization that collaborates with the Norwegian government. As illustrated in Figure 2, SDC/SCO and the Norwegian government collaborate with different organizations.

There is a substantial amount of concentration (or centralization) in this whole network. The in-degree graph centralization is 4.4%, which means that less than five percent of all possible links are actually reported by organizations. Five organizations were mentioned by two organizations: AR (Amare Rromentza), HEKS, PCF (Pestalozzi Children's Foundation), Caritas, and TdH (Terre des Hommes Geneva).

Importantly, none of the organizations implementing the regional programs (ex. REF, UNDP, ERIO) were mentioned by participating organizations. In other words, this analysis suggests that regional organizations are not part of the collaboration network.

3.1.2 Communities of Best Practice

In a second step, the interviewees were asked to name organizations that have a good reputation in terms of the following positive characteristics: being a reliable partner, innovative, effective, culturally sensitive, gender sensitive, have sustainable impact, and being sensitive to governance issues. We refer to such networks as “communities of best practice” because they select each other based on positive attributes or best practices in Roma education in Romania. Figure 3 presents the organizational network in which link between two actors represents that one organization identify another organization as having at least one positive quality. The size of each node (actor/organization) reflects the “in-degree” centrality of the organization; that is, the number of organizations that identify the organization as having quality.

Similarly to the previous network, the network of “communities of practice” is also sparse (24 organizations are active) and centralized. The in-degree graph centralization is 7.0%; there is a substantial amount of concentration (or centralization) in this whole network signaling a high level of agreement among the interviewees on organizations with the reputation of following best practices. Five organizations are found to be central, that is, have an excellent reputation: Agentia Impreuna (3), Caritas (3), HEKS (3), TdH (Terre des Hommes Geneva; 3), and PCRM (Policy Center for Roma and Minorities; 2). Three out of the five organizations are indeed Swiss consortium partners.

Although the network consists of one component (that includes all organizations within the network), Figure 3 suggests that participating organizations draw on different communities of practices. In other words, there is little opportunity for diffusion of ideas/practices between different organizations. For example, most of the organizations (7 out of 9) identified by the Norwegian government as having excellent reputation are not identified by other organizations. The two organizations that are identified by both the Norwegian government and Swiss organizations/agencies are: PCRM (Policy Center for Roma and Minorities) and Agentia Impreuna. Further, most relationships in this network are non-reciprocal, that is although one organization identifies as the other having best practices, the other does not reciprocate this perception. This could be an indication of competition between the organizations (ex. Swiss partners HEKS, TdH and Caritas) rather than participation in cooperative communities of practice.

The central location of PMU (Programme Management Unit) in the network is interesting. It shows that the PMU indeed coordinates and supervises the three main contractors or institutional partners of SDC: HEKS, Caritas, and TdH. The network of the partners is held together by PMU. However, there are no connections between the local partners of the three consortia (ex. Agentia Impreuna, Amare Rromentza, Diakonia Amare Rromentza).

Once funding for the project ends and the work of the PMU is completed, the network of institutional partners, but also the subgroups held together by each institutional partner, is unlikely to survive. In other words, it is a donor (SDC) funded network that is vulnerable and dependent on external funding.

Figure 2: Collaboration Network

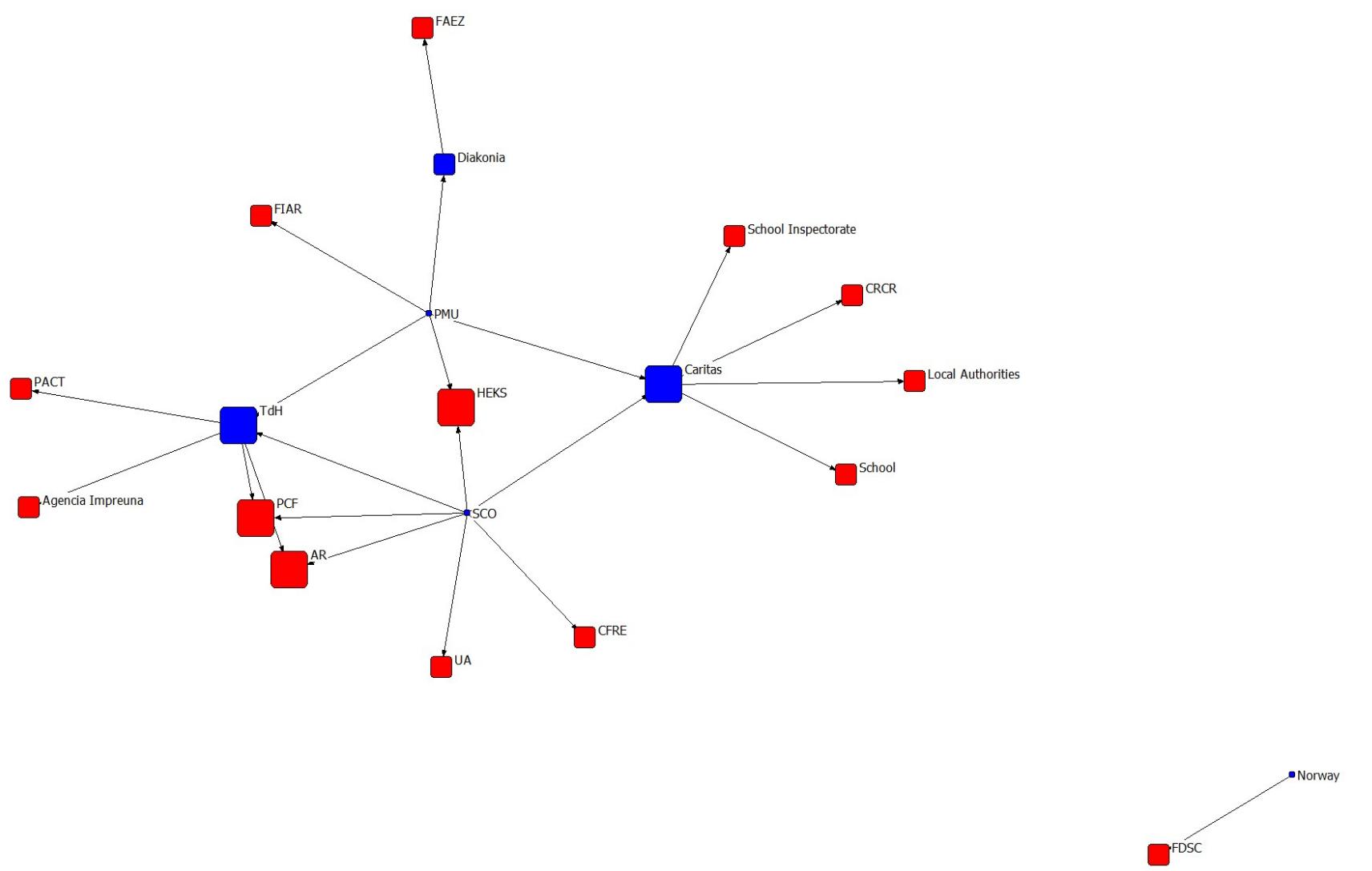
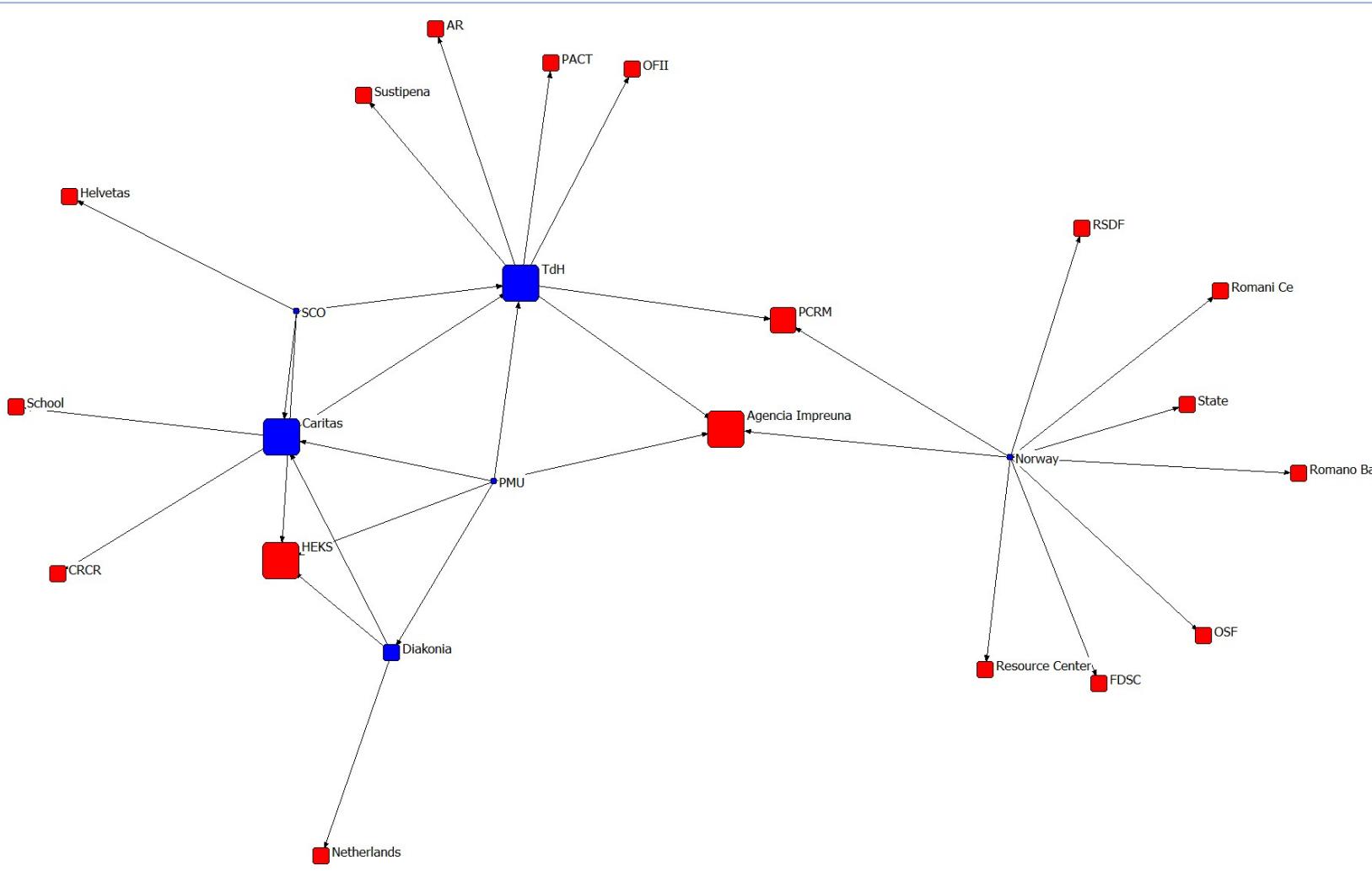


Figure 3: Best Practice Network



4 Similarities across Country and Regional Programs

Despite utilizing varied funding modalities, separate regional programs, and alignment with different Framework Agreements (Romania)/Swiss Cooperation Office Strategies (Albania, Serbia, Kosovo), Roma education programs in the Western Balkans have many common features. These common features across programs reflect not only the collective problems faced by the Roma communities in the different countries, but also SDCs approach to improving education conditions of the most vulnerable and marginalized populations of society.

4.1 Long-term Commitment and Reliable Partnership

With the exception of the Humanitarian Aid Division of SDC and the Enlargement Contribution, education programs in SDC are typically long-term. SDC takes a long-term planning view for all its programming with a programmatic phase approach. Programs are designed with Frame Credits using approximately 4-5 year program phases. Roma education program partners cited SDC as a reliable partner because of this long-term commitment to program goals that could last up to 10-15 years. As compared to other donors, SDC is not viewed as a donor agency that would change its funding due to changes in agency strategy.

SDC was one of the founding donors for Roma Education Fund in 2005 and has continued the funding for the last 10 years. In Serbia and Albania, through different programs, SDC has funded Roma education for over a decade. In Romania and Kosovo the Roma programs funding is more recent. In Romania, the support to Roma education has come through the Swiss Contributions to the EU Enlargement, which was only approved in 2009. In Kosovo, the Roma inclusion programs are funded exclusively through the Migration Partnership with Kosovo, which started in 2010.

SDC's long-term commitment and the image of a reliable donor however, could also cause problems with some contract partners not being well prepared for exit phases of the programs. The reliance on SDC for continued funding could make the government and NGOs not pursue more sustainable funding sources or make the activities sustainable beyond external donor funding. A few examples of this came up during the field visit: In Serbia, a local NGO that stopped receiving SDC funding was ill-prepared to pursue other funding sources. SIPRU, which is a unit within the Deputy Prime Minister's office, has always been co-funded by SDC even when other international donors stopped funding the unit. In Kosovo, the Ministry of Education, Science and Technology welcomes SDC funding for RAE pre-school activities as the Ministry itself is not able to allocate funds to ensure inclusive education at this level.

4.2 Supporting Grassroots Interventions

In all countries, SDC funds grassroots interventions through local NGOs. This has allowed SDC to remain relevant to the needs of the Roma community. In Romania, social inclusion programs existed prior to Swiss Government funds becoming available through the Framework Agreement of the Swiss Contribution. After funds became available through the Swiss Contribution, the Swiss Government chose to fund local NGOs through consortiums to build on existing programs rather than starting completely new initiatives. In Serbia, SDC funded several small programs on Roma education since 2002 that operated within the local communities. SDC was able to experiment with several approaches and bring innovations into the field through these programs. Similarly, in Albania, SDC funded NPF over several phases to implement Roma education programs at the local level. NPF is able to work directly with the school and the Roma community to deliver the most relevant programming. The Social Care Reform program in Albania also works with local NGOs to deliver grassroots programming in order to immediately counteract marginalization and exclusion, until the systemic reform start to produce results for

vulnerable and needy. In Kosovo, both programs work directly with the local community and the schools through local partners.

4.3 Alignment with National Strategies and Support to the EU Integration Strategy

While all programs are ensuring that they meet the specific needs of the local community and are relevant to their situation, they are also completely aligned with the respective national strategies and the EU Integration Strategy. SDC programs, to a great extent, work within the established government education systems rather than setting up parallel structures. All programs aim to support the Government in expanding their reach to the most marginalized, focusing on the Roma communities. In Serbia and Albania, SDC also supports programs that directly work with the Government in developing and improving the national strategies for social inclusion. The regional funding to UNDP and REF for supporting national governments in social inclusion and Roma integration policies complements these country specific efforts for policy dialogue.

4.4 Multi-Sectoral Approach to Roma Inclusion

Each country has taken a multi-sectoral approach to Roma inclusion either within single programs or within the SCO strategic approach to social inclusion. Within the whole group of activities funded by SDC, Roma education is only one component. A simultaneous intervention in education, employment, healthcare and housing is similar to SDC's "holistic" approach in other basic education programs but moves beyond it by incorporating non-education sectors. Only three programs, REF (regional), Joint Program (Serbia) and to an extent NPF (Albania) have Roma education as primary focus.

In Romania and Kosovo, a multi-sectoral approach is built within each program. The various consortia in the two countries implement activities in multiple sectors: housing, health, employment and education. In Serbia, two programs include multi-sectoral approach within the program, with HEKS/EHO working mostly at the community and local institutional level and SIPRU working with all line ministries and their local institutions in improving policy development and implementation. The Joint Program in Serbia works primarily in the education sector both at local level and at policy level, but also includes health sector and employment issues at the local level in order to tackle social exclusion problems at large.

In Albania, the SCO approaches all country programs and the SDC regional programs as part of its social protection and inclusion strategy. All three country programs take a multi-sectoral approach, while UNDP and ERIQ also use a multi-sectoral approach. REF is the only program that exclusively operates within the education sector.

4.5 Mainstreaming Roma Children into Regular Public Schools

Almost all programs with education components aim to mainstream Roma children into the regular schools. This is in line with the European Union's 10 Common Basic Principles of Roma Inclusion.¹⁴ This approach is meant for ensuring long-term impact of policy and program activities that work towards desegregation (explicit and implicit) of schools and classrooms. Inclusion of Roma children in the mainstream schools is balanced by explicit but not exclusive targeting of Roma children. All pre-school programs and supplementary education programs supported by SDC are open to and encourage participation from children of the majority population. Most programs also provide school administrators and teachers with inter-cultural training to help them integrate Roma children with the children from majority population. This element is also laid out in the 10 Common Basic Principles.

¹⁴ http://www.coe.int/t/dg4/youth/Source/Resources/Documents/2011_10_Common_Basic_Principles_Roma_Inclusion.pdf

Even programs that are not located in the mainstream schools and initially may have supported Roma-only activities are now including activities to ensure participation from all ethnic groups. In Serbia, UNICEF with its local partners is supporting activities at community centers in the South that were built within Roma settlements and were originally meant only for the Roma community. Now some of these centers operate programs for all Serbians, like Hip Hop classes that is attractive to youth of all ethnicities. VoRAE in Kosovo operates some education centers that are not located within the mainstream schools and it is making all efforts to invite non-RAE students who live close to the center; however full integration will require some time due to existing social discrimination issues. Caritas operates a community center in the Ali Ibra settlement in Gjakova where all the programs welcome non-RAE children as well. However, since the non-RAE population around the settlement is low, attendance of non-RAE in the program is also low, which invariably be leading to unintentional segregation.

4.6 Focus on Early Integration and Drop-out Prevention

Programs that have specific education activities at the local level all focus on improving access to pre-school for Roma children and provision of supplementary support to school going children. The rationale behind the pre-school enrollment is to begin integration of Roma children into formal schooling at an early age, which would help them be better prepared for school at the primary level and increase their chances of remaining in school to the end of the cycle. Similarly, the supplementary support to children who are already attending school through after-school programs and homework support is to ensure that weaker students are not discouraged and do not drop out before the completion of primary and/or secondary schools. REF (in the region) and the RAE Integration program (Kosovo) also provide scholarships to minority students to attend secondary and university education while removing financial barriers to pursuing further education.

4.7 Use of Roma Liaison Staff

It appears that most education programs, working directly with schools and Roma communities, utilize some kind of liaison staff to improve communication between the Roma families and the school. As liaison staff, usually individuals from the Roma community are being hired. In Romania, most of the programs work with Roma pedagogue assistant or a social worker that advocates for the needs of the Roma children or the communities with the government authorities. In Serbia, several programs introduced pedagogue assistants in schools where Roma children were being integrated to work with the schools on meeting the specific needs of the Roma children. These pedagogue assistants also work with the families of the Roma children to problem solve any issues that hinder their school attendance. In Albania, the NPF program utilizes social workers to help families navigate the legal system of state social services. The social workers also work with the school administrators and teachers to help them better integrate Roma children with other Albanian children in the classroom. In Kosovo, the RAE HIP and RAE Integration program also employ tutors or facilitators who belong to the RAE community to teach the pre-school and supplementary education classes.

5 Differences within Projects and Country Approaches

Some differences were also observed between the programs and the strategic approaches of the SCOs. These differences could have existed not only due to the specific context of the country and the needs of the Roma population, but also due to the management approach of the NPOs and the Swiss Cooperation or Contribution strategies.

5.1 High Macro Level Policy Support

SDC's regional funding to UNDP, for regional support facility for improving stakeholder capacity for progress on Roma inclusion, is meant to support policy dialogue and policy implementation on social inclusion of the Roma communities. The SCOs in Serbia and Albania have gone a step further and have started funding country specific programs to advance policy dialogue on Roma inclusion. Through these efforts SDC has been able to scale-up or institutionalize innovations developed within grassroots programs.

Since 2009, the SCO in Serbia has re-focused its Roma programing towards policy level support and institutionalization. Through SIPRU and the Joint Program, SCO supports policy dialogue, development and implementation of Roma inclusion strategies. It has continued its grassroots interventions through the Migration Program and some activities of the Joint Program, but has increased its efforts at the macro level policy support. The Joint Program with its policy dialogue and capacity building activities has institutionalized the system of employing pedagogue assistants within the Serbian education system. The program has also institutionalized the use of Local Action Plans for children at the municipal level in many municipalities across the country. Some of the successful efforts in institutionalizing Roma education program approaches could be due to the long-term presence of key individuals. Several partners mentioned two individuals as key to pushing for institutionalization of Roma inclusion. Lidia Vujicic, the NPO has been working at the SCO on Roma issues since 2002. Dr. Tinde Kovac-Cerovic, has been a staff member of Roma Education Fund and has held high-level positions at the MoESTD and played a key role in Roma education policy development.

In Albania, efforts to institutionalize program efforts, specifically in education, are more recent than in Serbia, which could be a reflection of the political context in the country. Many partners discussed the lack of political will of the previous administration in Albania to develop and implement actionable plans for Roma inclusion. UNDP has been working with the Ministry of Social Welfare and Youth on the Roma inclusion strategies since 2008, but has struggled to get traction from other ministries to make Roma inclusion a priority.

In its exit phase NPF has engaged the local school directorates on institutionalizing approaches to Roma and Egyptian children's integration into the mainstream schools. After the municipal level government restructuring is completed in Albania, the local government will adopt tools and approaches developed by NPF. The Social Care Reform program implemented by UNICEF engages in policy dialogue with Ministry of Education, Science and Technology and uses its early childhood care activities to demonstrate successful social inclusion approaches to the Ministry.

The situation in Romania, a new EU member state, is different from other countries in the region that have candidate status or aspire to become EU member in the future. In the past, social inclusion policies were a conditionality for admission to the EU. In the absence of such externally imposed conditionalities, alternative measures of policy dialogue need to be sought. Two measures, implemented in Romania, deserve special mention here: (1) Local governments must assume ownership and commit to cost-sharing the SDC and thus to co-sponsor its social inclusion program, starting out with a small financial commitment at the beginning of the project and increasing the government's share over the course of the program. In Romania, SDC has rigorously enforced this practice. (2) Persuasion of government officials and coalition-building with so-called "like-minded" embassies in Bucharest, represent other means to advocate for social inclusion in Romania.

5.2 Strong Monitoring & Evaluation Plans and Indicators

Each of the country level programs has a well-established logic framework. In most projects indicators in the logic framework go beyond a mere measuring of outputs, but

also include measurements specific for program outcomes. However, programs in Romania and SIPRU in Serbia have much stronger Monitoring & Evaluation (M&E) plans.

The three consortia in Romania were required to provide a detailed context analysis, produce baseline studies, and develop a monitoring framework with clear indicators. The inception period was six months, enabling the three consortia to carry out a data-based contextual analysis and hopefully use the baseline as a foundation to examine changes over time.

In Serbia, the SIPRU program has moved to a “theory of change”-approach to program monitoring and evaluation, which measures progress towards the program outcomes rather than activities and outputs. This requires the program to make its assumptions explicit and measure the progress of the program through these assumptions. If the program is not on track to reach the expected outcomes, activities are modified accordingly.

The SCO in Kosovo also utilizes a “theory of change”-approach in most of its programming, however this has not yet been used in Roma inclusion programs.

5.3 Collaboration with Western Balkan Regional Programs

Although Roma inclusion programs are funded at both the country and Western Balkan regional level, very little evidence was found on collaboration or interaction between these programs. Coordination and collaboration between the regional and country program was only discussed in Albania as a feature of the social inclusion strategy.

The regional Social Inclusion Program implemented by UNDP also engages in policy discussions at the national and local level in Albania. This program is able to use innovations developed by NPF in the CEFA program to engage the local level government institutions on social inclusion within the education sectors. The in-country UNDP program works together with the regional UNDP program to achieve results in improving social inclusion in Albania. The REF representative works closely with the SCO in Albania to plan country level projects and ensure that the projects are complementary to and do not overlap with other SDC projects. The NPO also mentioned some information sharing activities with ERIO in Albania.

In Serbia, UNDP has worked with SIPRU in engaging the government on Roma inclusion policy dialogue. Several partners mentioned REF during the social network analysis as an important actor in Roma education in Serbia; however, REF did not appear to collaborate with any of the SDC programs.

In Kosovo, REF is a partner within the RAE Integration project and provides scholarship to students with support from other project partners. Both the Roma Integration program partners and the Ministry of Education, Science, and Technology, considered REF as a crucial partner in improving Roma education conditions in Kosovo.

Projects in Romania did not mention any collaboration with the regional programs. In fact, REF was never mentioned as an important actor by any of the partners during the social network analysis exercise.

5.4 Contract Partners

SDC in this region has used some atypical contract partners to reach the project goals. In Serbia and Albania, SDC has utilized UN organizations as contract partners to implement Roma inclusion activities. UNICEF is a contract partner both in Serbia and Albania, managing Roma education and policy support activities. In Albania, SDC also funds the UN country office to support “One UN”-approach through the Social Inclusion program. In Serbia, SDC also directly funds the government through the SIPRU partnership and by having Ministry of Education, Science and Technological Development as one of the contract partners under the Joint Program. In Romania, where all three programs have a

Swiss institutional partner as the lead selected through an invitation for proposal process carried out in Switzerland, which is more typical for SDC, the fund request for proposal required the inclusion of local NGOs as consortium partners.

6 Recommendations

All the individual programs in Roma education have achieved good results based on the various goals and objectives set out for them. This study did not evaluate individual program outcomes or the SCO strategies in improving education conditions for the Roma. However, based on the observations made during the field visit and an understanding of the Roma education programs across the four countries and the region some recommendations can be made to further maximize the impact of SDC's regional support to the issue.

6.1 Institutionalization of Program Initiatives

As discussed above, the SCOs in Serbia and Albania have started supporting programs to institutionalize initiatives and innovations developed within SDC's grassroots activities. This approach could prove to be extremely important in encouraging government ownership for social inclusion of Roma children into the mainstream education system. Approaches developed in the programs like supplementary educational support and use of pedagogue assistants will also ensure long-term sustainability of program approaches beyond the period of SDC funding.

SDC can utilize a three-level approach in each country for Roma education programs:

1. *Micro level*: provide specific programs like pre-school and supplementary education at individual beneficiary level
2. *Meso level*: support local government institutions in ensuring that they are reaching all citizens, including the typically marginalized populations
3. *Macro level*: engage national and sub-national government institutions in policy dialogue to develop strategies and actions plans to implement social inclusion policies

Currently programs in Romania and Kosovo are actively working at the micro and meso level. In Romania, projects have partnership agreements with the local government to eventually co-finance and take over project initiatives. The RAE HIP project in Kosovo also has co-funding from the municipal government to support project initiatives. To further improve scaling-up and institutionalization of efforts, Romania and Kosovo could learn further from the efforts made in Serbia and Albania on how to best engage government institutions at the national and sub-national level for policy dialogue. It is possible that without a macro level national government commitment/ownership to social inclusion activities, SDC might be filling the funding gap left by the government for a long time. Institutionalization of country level program activities into the overall government policy will also support the efforts of regional programs like REF and UNDP on policy dialogue.

6.2 Administrative Efforts and Costs of the Consortium Model

The evaluation recommends putting a ceiling on the maximum number of project partners in a consortium. The administrative efforts and the administrative costs for consortiums with more than three partners may be significant. In the same vein, synergies are seriously hampered leading consortium partners to divide their labor or divide up geographic districts rather than learn from each other and build capacities as a result of their collaboration.

As the Collaboration Network in Romania (see Figure 2) shows, the frequently used contracting modality of SDC—contracting Swiss institutional partners (e.g., HEKS, Caritas, TdH) who in turn build a consortium or subcontract local partners—is effective from a diffusion of innovation perspective but limited in terms of systemic change. However, since these organizations (both institutional partners as well as local partners) tend to compete with each other over securing external funding, there is little transfer of best practices, mutual learning, or coalition building going on for the sake of social inclusion and systemic change.

6.3 “Theory of Change” Approach to Program Monitoring & Evaluation

Given that majority of the project aim to achieve social inclusion of the marginalized groups, a “theory of change” approach would be a more beneficial approach to program monitoring and evaluation in place of the traditional logframe matrix. Theory of change is useful for measuring results in complex contexts where conditions are constantly evolving and changing. Social inclusion is a complex goal and difficult to measure by measuring program level outputs or even outcomes. A theory of change approach maps out a causal pathway between program activities, outputs, short-term outcomes and long-term goals. Theory of change approach is not necessarily a deviation from the logframe approach, as the theory on the causal pathway is meant to inform the specificity of the logframe matrix. In practice, a logframe matrix exercise often ends up becoming a bureaucratic requirement to be fulfilled rather than an exercise to be used for program process or theory framework.

Theory of change requires detailed articulation of underlying assumptions in this causal pathway that can be tested and/or measured through the course of program implementation. It requires the program teams to shift their thinking from what they are doing (activities) to what they want to achieve (outcomes). With this approach the activities can be modified mid-course, if assumptions about the pathway to outcomes are not valid once the program activities have commenced.

Social inclusion, i.e. a social change is the long-term goal of most SDC Roma education programs in the region, therefore, theory of change approach would be a better alternative than a logical framework. SIPRU in Serbia has already implemented this approach and can be used as a model for other Roma programs. In Kosovo, the SCO also uses a theory of change approach in most of their programs except for the Roma programs as they fall under the Migration Partnership Strategy.

6.4 Swiss Vision on Roma Inclusion and Regional Coordination

Several participants during the regional workshops highlighted the need of a Swiss vision on Roma inclusion. The vision would integrate the various Swiss agendas currently pursued in this area of intervention: migration-related, political, economic, and social aspects. Currently, Serbia and Albania have incorporated the Roma inclusion programs within the Swiss Cooperation Strategy, however this is more complicated in Romania and Kosovo. In Romania, the programs are funded from the Thematic Fund of the Framework Agreement and in Kosovo both programs are aligned with the Migration Partnership Strategy. A common Swiss vision for Roma Inclusion would not only help the SCOs harmonize approaches within all their Roma programs but also enable the ambassadors of Switzerland to engage in a more effective policy dialogue at national level. Furthermore, it will also help the Swiss Ambassador participating in the Roma Education Fund board to advocate for approaches that are aligned with other Swiss government programs in Roma inclusion.

There is evidence that most of the programs in the region are already utilizing common approaches to Roma inclusion and Roma education, namely: multi-sectoral approaches, mainstreaming Roma children, early integration and drop-out prevention and use of Roma community liaison. These approaches could be incorporated in a regional vision that could

be utilized by all SCOs and regional programs. Given that many of the approaches are aligned with the EU's 10 Common Basic Principles for Roma Inclusion, SDC could use that as a starting point for developing a vision document.

6.5 Increase Regional Coordination

During the field visit it was evident that country program coordination with the regional programs (UNDP, ERIQ and REF) is not uniform. UNDP has coordinated with SDC programs in Serbia and Albania, especially with the existence of country level policy programs. UNDP is present in Kosovo and has made some progress in improving data collection on RAE communities at the municipal level. However, the program does not interact with the two other Swiss Government programs also operating in country. There is also room for UNDP to plan its country level activities in Kosovo that support the grassroots efforts being made by the two other programs.

REF has a strong presence and coordination with Swiss Government programs both in Albania and Kosovo. The REF representative for Kosovo and Albania works closely with the SCO in Albania to plan out country level projects and ensure that the projects are complementary to and do not overlap with other SDC projects. In Kosovo, REF is a partner within the RAE Social Inclusion project and provides scholarship to students with support from other project partners. In Serbia, it does not appear that REF collaborates with any of the SDC projects but that it operates a separate set of activities.

ERIO was only mentioned in Albania as a regional program that coordinated and collaborated with the SCO in country. The ERIQ project report also does not indicate any coordination and collaboration with other SDC funded programs. In fact, ERIQ's one mandate under the SDC funding was to include more NGOs of the Western Balkans in its network, however, none of SDC's local partners have been listed by ERIQ as their Western Balkans member or part of their organizational network. SDC's local partners are implementing innovative approaches to Roma inclusion and are also moving towards institutionalizing some of those approaches. Although SDC's funding for ERIQ has ended, it could still use some of the grassroots voices from SDC-supported programs in its advocacy work with the EU.

During the meetings several local NGOs suggested knowledge sharing between SDC partners within the region. Many of these NGOs were aware of innovations implemented by local NGOs in other countries and were interested in learning more about them. Similarity in approaches by the various NGOs was evident during the field visit. Roma communities face some similar conditions in each of the countries and lessons learned in one context could help other NGOs in other contexts to a certain extent. At the moment Swiss NGOs like HEKS and Caritas are able to transfer knowledge from one context to another, but the local NGOs are not able to take advantage of this multi-country presence. Possibly, under the Swiss vision for Roma inclusion umbrella, SDC could bring together all contract partners, including local NGOs, for knowledge sharing on best practices in Roma inclusion.

6.6 Explore Roma Inclusion as a Transversal Theme

SDC could explore having Roma inclusion as a transversal theme in all programs in the region in addition to having targeted programs. This could require setting a specific financial benchmark (ex. 10-15% funding) for ensuring inclusion of Roma communities in program outcomes. Programs would need to disaggregate beneficiary data by ethnicity like they currently do with gender. Although, some culturally sensitive data collection methods for identification of Roma populations will need to be adopted as many Roma community members do not want to be identified as Roma. Some lessons can be drawn from REF and UNICEF on data collection and disaggregation in the region. This approach was discussed during the regional Roma Education seminar in Bucharest and was inspired by a similar approach used by the Norwegian Government.

This approach will allow for improved synergy between Roma inclusion approaches and SDC programming in all other sectors. For example, in Albania, at the local level the Social Care Reform program is able to take advantage of other SDC decentralization programs. These programs are able to work together in helping the local government institutions coordinate the implementation of national level policy. On the other hand, in Kosovo, the SCO implements several water, sanitation and health programs. All of which are extremely relevant for the RAE communities, but the RAE programs do not coordinate with these programs. Including Roma inclusion as a crosscutting theme could also ensure mainstreaming of Roma communities in the overall population.

ANNEX 1: Social Network Analysis Survey Instrument

Note to interviewers: complete the list of organizations in collaboration with the interviewees (see question 1).	2. Which 3 organizations are the ones with which you worked very closely?	3. Which 3 organizations are considered to be reliable partners?	4. Which 3 organizations have the reputation of being very innovative in their approach?
DFID			
EU Commission/Aid			
GTZ			
SIDA			
SDC			
USAID			
Norwegian Ministry of Foreign Affairs			
Austrian Development Agency			
World Bank			
GPE			
Roma Education Fund			
UNICEF			
UNDP			
UNESCO			
WHO			
Fundamental Rights Agency			
Council of Europe			
OSCE			
European Roma Information Office			
Serbia European Union Integration Office			
SIPRU			
National Government Offices			
Sub-national Government Offices			
Open Society Institute			
Red Cross			
Pestalozzi Children's Foundation			
Helvetas Swiss Intercooperation			
Terre des Hommes Genève			
Caritas			
HEKS			
Voices for Roma			
HEKS			
Ndihme per Femijet" (NPF)			

Note to interviewers: complete the list of organizations in collaboration with the interviewees (see question 1).	5. Which 3 organizations have projects that are very effective, that is, benefit the target group(s)?	6. Which organizations have clear plans on how to ensure sustainable impact beyond the duration of the actual project?
DFID		
EU Commission/Aid		
GTZ		
SIDA		
SDC		
USAID		
Norwegian Ministry of Foreign Affairs		
Austrian Development Agency		
World Bank		
GPE		
Roma Education Fund		
UNICEF		
UNDP		
UNESCO		
WHO		
Fundamental Rights Agency		
Council of Europe		
OSCE		
European Roma Information Office		
Serbia European Union Integration Office		
SIPRU		
National Government Offices		
Sub-national Government Offices		
Open Society Institute		
Red Cross		
Pestalozzi Children's Foundation		
Helvetas Swiss Intercooperation		
Terre des Hommes Genève		
Caritas		
HEKS		
Voices for Roma		
HEKS		
Ndihme per Femijet" (NPF)		

Note to interviewers: complete the list of organizations in collaboration with the interviewees (see question 1).	7. Which 3 organizations are culturally sensitive and are responsive to local needs?	8. Which 3 organizations use gender sensitive approach?	9. Which 3 organizations are known for including good governance principles in their approach?
DFID			
EU Commission/Aid			
GTZ			
SIDA			
SDC			
USAID			
Norwegian Ministry of Foreign Affairs			
Austrian Development Agency			
World Bank			
GPE			
Roma Education Fund			
UNICEF			
UNDP			
UNESCO			
WHO			
Fundamental Rights Agency			
Council of Europe			
OSCE			
European Roma Information Office			
Serbia European Union Integration Office			
SIPRU			
National Government Offices			
Sub-national Government Offices			
Open Society Institute			
Red Cross			
Pestalozzi Children's Foundation			
Helvetas Swiss Intercooperation			
Terre des Hommes Genève			
Caritas			
HEKS			
Voices for Roma			
HEKS			
"Ndihme per Femijet" (NPF)			

Section 4

Desk Study Plus Report on SDC's Contribution to International Partners in Basic Education

Author: Gita Steiner-Khamsi

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List of Abbreviations and Acronyms

BACK-UP	Building Alliances, Creating Knowledge and Updating Partners
BMZ	Bundesamt für wirtschaftliche Zusammenarbeit
CCM	Core Contribution Management
CONFEMEN	Conférence des Ministres de l'Education des États et Gouvernements de la Francophonie
EFA	Education for All
EPLF	L'Ecole Polytechnique Fédérale de Lausanne
FTI	Fast Track Initiative
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GPE	Global Partnership for Education
GMR	Global Monitoring Report
IBE	International Bureau of Education
ICAE	International Council for Adult Education
IDA	International Development Association
IIEP	International Institute for Planning
MOOC	Massive Open Online Courses
NORAD	Norwegian Agency for Development Cooperation
NORRAG	Network for International Policies and Cooperation in Education and Training
OIF	Organisation Internationale de la Francophonie
RECI	Réseau Suisse pour l'Education et la Coopération Internationale
RECIF	Réseau d'Excellence des Sciences de l'Ingénieur de la Francophone
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
TVET	Technical-Vocational Education and Training
UIL	UNESCO Institute for Lifelong Learning
UNDP	United Nations Development Programme
UPC	Universal Primary Completion
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East

1 Preamble

This desk study report is based on a review of documents (credit requests, evaluations, strategies, annual reports), received from SDC and its key international partners, as well as on interviews. It is important to keep the context and the objective of the desk study in mind: in an attempt to capture the global portfolio of SDC a representative sample of cases (such as this one) was selected that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs and partnerships.

Upon request of SDC, the five largest international partners in basic education sector were analyzed in greater details and their representatives were interviewed. The interviews helped to clarify questions that arose from the desk review and also gather information on how international partners perceive the cooperation and communication with SDC. The interviewees were directors or senior managers and the interviews lasted 30-60 minutes. The following representatives were interviewed:

- Swiss Agency for Development and Cooperation (SDC): Valérie Liechti, Philippe Puyo, Nicole Gantenbein, Marie Brüning
- Global Partnership for Education (GPE): Karen Mundy, Chief Technical Officer
- UNESCO International Institute for Educational Planning (IIEP): Suzanne Grant Lewis, Director
- UNESCO Institute for Lifelong Learning (UIL): Arne Carlsen, Director
- UNESCO Global Monitoring Report (GMR): Aaron Benavot, Director
- Network for International Policies and Cooperation in Education and Training (NORRAG): Michel Carton, Executive Director and Joost Monks, Managing Director

2 Financial Portfolio Analysis

According to the SAP-based portfolio analysis, SDC contributed over the period 2007-2013 approximately CHF 209.4 million to educational programs of multilateral organizations. Bilateral BE (basic education) support to international partners was about CHF 84 million over the same time period (see Inception Report, 2015). As Table 1 shows, Switzerland disbursed in 2014 a total of CHF 13,772,093 in support of ten international organizations in education. In SDC's SAP database, these global partners are entered as multilaterals that receive bilateral aid.¹

Table 1 shows that over half (53.1%) of SDC's contribution to international partners in education was allocated to the Global Partnership for Education. The four UNESCO or UNESCO-associated institutes GMR, IIEP, UIL, and IBE absorb one-third (32.7%) of SDC's budget for international partners in education. The remaining is granted to three civil society organizations (NORRAG, ICAE, RECI) as well as two intergovernmental organizations with a focus on francophone countries (CONFEMEN and MOOCS).

This study exclusively focuses on the first eight global partners in education listed in Table 1. The last two organizations (CONFEMEN and MOOCS) are not directly related to basic education and are therefore not addressed in the case study. Furthermore, the case study does not include multilateral organizations that operate in multiple sectors such as the International Development Association (IDA), UNDP, UNRWA, etc. However, there is a

¹ For this reason, these organizations are sometimes abbreviated in internal documents as "multi-bi" global partners.

Table 1: International Partners in Basic Education, 2014

Type	Description	Annual Contribution	Annual Contribution %	By Group	Total %
UNESCO					
UNESCO	EFA GMR - Global Monitoring Report	600,000	4.4	4,514,635	32.7
UNESCO	IIEP - International Institute for Educational Planning	1,674,418	12.1		
UNESCO	UIL – Institute for Lifelong Learning	1,565,217	11.4		
UNESCO	IBE – International Bureau of Education	675,000	4.9		
Civil Society					
Civil Society	NORRAG – Network for policy research, review and advice on education and training	800,000	5.8	1,246,274	9.0
Civil Society	ICAE – International Council for Adult Education	337,500	2.5		
Civil Society	RECI – Réseau Suisse Education Coopération Internationale	108,774	0.8		
Fund					
Fund	GPE – Global Partnership for Education	7,312,500	53.1	7,312,500	53.1
Francophonie					
Intergovernmental	Francophonie (CONFEMEN)	225,000	1.6	698,684	5.1
Intergovernmental	Francophonie (MOOCS)	473,684	3.4		
		13,772,093	100.0	13,772,093	

Source: Marie Marie Brüning, SDC, July 2015

separate desk study report that specifically addresses SDC's contribution to UNRWA given that 58.6 percent of UNRWA's budget is spent in the education sector.

A more detailed examination of funding pattern reveals that NORRAG and RECI—the two civil society organizations based in Switzerland—financially depend in great part on SDC funding. More than three-quarter of their budget currently relies on SDC support. Less pronounced, but still clearly SDC dependent, are two multilaterals that operate in adult education and lifelong learning. ICAE and UIL are unlikely to survive without financial support from SDC.

Table 2 presents the credit requests, lists the other main donors, and highlights the share of SDC financial support as a percentage of the budget of the multilateral partners in education

Table 2. SDC's Contribution to Key International Partners in Basic Education

SAP ID#	Name	Duration			Partner(s)	Total Budget CHF	SDC	Other	% SDC	Other Donors
		From	To	Total						
7F-02691.05	Global Monitoring Report	11/1/13	12/31/15	2 years 2 months	GMR	14,250,000	1,300,000	12,950,000	9.12	UK, Australia, Denmark, Canada et al
7F-03593.11	International Institute for Education Planning	6/1/14	12/31/17	3 years 7 months	IIEP	74,385,000	6,000,000	68,385,000	8.07	Norway, Sweden and others
7F-03880.07	NORRAG - Network Research, Review & Advice on Educational Training	3/1/13	2/28/15	2 years	IHEID	1,950,000	1,600,000	350,000	82.05	Open Society Foundations, Oman
7F-04095.04	UNESCO Institute for Lifelong Learning	3/1/14	12/31/17	3 years 10 months	UIL	15,000,000	6,000,000	9,000,000	40.00	Sweden, Germany, Norway, Nigeria
7F-05822.03	ICAE Intl Council for Adult Education	5/1/12	12/31/14	2 years 8 months	ICAE	N/A	900,000	N/A	35.5 – 65.5 *	NORAD, international NGOs
7F-06223.03	GPE / PME Education	5/1/13	12/31/15	2 years 8 months	WB	N/A	19,500,000	N/A	1.4 **	UK, Australia, Denmark, Canada et al
7F-06356.03	International Bureau of Education	5/1/12	12/31/14	2 years 8 months	IBE	19,250,000	1,800,000	17,450,000	9.35	Many
7F-06522.03	RECI contribution	6/1/14	12/31/16	2 years 7 months	Pestalozzi	373,200	281,000	92,200	75.29	N/A

* SDC's contribution in 2014/15 was exceptionally high due to an additional credit;

** Estimate

3 Qualitative Analysis of the Portfolio

An analysis of the portfolio suggests distinct funding patterns that reflect three types of organization that SDC is supporting: (1) GPE, (2) UNESCO institutions, and (3) civil society organizations. In addition, there is OIF that does not fit any of the three groups.

3.1 Global Partnership for Education

Global Partnership for Education (GPE) – Contribution of Switzerland: The largest contribution of SDC is for GPE (CHF 19.5 million over the period 2013-15). SDC increased significantly its contribution to GPE in 2012. From 2008 – 2011, the annual contribution was only CHF 1.4 – 1.5 million. Starting in 2012, the amount quadrupled to CHF 6.5 million per year. In 2012, Switzerland's contribution amounted to 1.4% of GPE's total budget. The ratio improved over the past years, but remains modest as compared to the large donors. Even though Switzerland's financial contribution to GPE is small as compared to other donors, Switzerland is, according to the GPE representative, considered an active and engaged donor.

GPE Intervention Modalities and Objectives: GPE raises funds from bilateral and multilateral donors as well as from the private sector to financially support those governments in developing countries that demonstrate the willingness and capacity to implement Education for All. Established after the creation of the Millennium Development Goals and the G8 Meeting in Monterrey under the name EFA-Fast Track Initiative, GPE tends to focus on Universal Primary Completion (UPC).² As a result, the focus is on formal basic education and on quality of primary education; albeit narrowly defined. In the past few years, GPE expanded its scope of activities into pre-primary and lower secondary education. Finally, in a few cases GPE also funded education sector strategies that included second-chance formal education for dropouts. Overall, however, the focus is on funding the implementation of EFA education sector strategies, or rather UPC reforms, rather than the broader approach that the other SDC partners are pursuing. Even though the global post-2015 SDG agenda will only be approved in early fall 2015, it is likely that GPE will be able to increase its sphere of influence over the next few years. The Single Education Fund, demanded at the last World Education Forum in Incheon, is likely to be affiliated in one way or the other with GPE.

GPE Board: GPE is governed by a board of 19 individuals which represent the following constituents:

- 6 representatives of governments from developing countries
- 6 representatives of governments from donor countries
- 1 representative of the private sector and philanthropies
- 3 representatives of civil society organizations
- 3 representatives of multilateral organizations (UNESCO, UNICEF, multilateral and regional development banks)

Switzerland is hosted in a cluster (also referred to as Constituency 1) with three other donors (Netherlands, Belgium and Luxemburg). Currently, the Chief of the West Africa Division of SDC represents both Switzerland and the cluster and thereby serves as one of the six board members reserved for donor countries. According to GPE, the Donor 1

² It is important to bear in mind that the Millennium Development Goals (2000) were established by decision makers at ministries of finance and ministries of foreign affairs. In contrast, Education for All (1990) was propelled by ministries of education and governmental as well as non-governmental organizations in the education sector. As a result, the EFA goals comprise a more holistic vision of education as compared with the MDGs.

Constituency is vocal in calling for a more comprehensive notion of education and for advocating for a more participatory approach to establishing reform priorities.

GPE and the BACK-UP Initiative: The participatory approach, propelled by the delegate from Switzerland, has already yielded first positive results, not least due to the BACK-UP Initiative (Building Alliances, Creating Knowledge and Updating Partners). BACK-UP was created by BMZ (Bundesamt für wirtschaftliche Zusammenarbeit) and is administered by GIZ. Switzerland is the only other donor who supports to date the initiative with a contribution of CHF 2 million over the period October 2014 until December 2015. The initiative aims at building the capacity of local, national, and regional partners from African countries, both from governments and civil society organizations, to actively participate in identifying reform priorities and to speak up during GPE board meetings. According to the interviewed GPE representative, the BACK-UP Initiative has had a great impact on board members from developing countries; they now speak up during meetings and actively participate in shaping the agenda of GPE.

It is important to bear in mind that SDC's vision and guidelines of education is in many aspects quite different from the narrow focus on universal primary completion, rigorously pursued by GPE and most other donors. It is therefore important to develop and write-up a Swiss cooperation and development strategy in education and make the SDC vision and strategy visible to others. Switzerland could help shape new directions within GPE by advocating for several best practices that SDC implemented in its programs. It is important to bear in mind that GPE is narrowly focused on formal basic education. In fact until 2015, it was—as repeatedly pointed out—focused on universal primary completion. In the post-2015 environment it is likely to remain in the formal sector but expand into pre-primary and post-primary as well as skills development (but not TVET). Therefore a medium-term SDC strategy is needed as to how influence the global agenda in basic education, starting out with sharing best SDC practices that were gained in community participation, bilingual education, education for sustainable development, and vocational skills development within a formal education framework. In addition, it could start sensitizing GPE members for the need to have a single education sector strategy reflecting lifelong learning rather than the more common practice of developing several strategies (often reflecting different ministries in charge of education), such as, for example a strategy for basic education, another for TVET, and yet another for higher education. Finally, in countries where SDC constitutes a major donor in education (Benin, Burkina Faso, Chad, Niger) it could garner additional donor support from GPE members for youth and adult alphabetization programs in the non-formal education sector.

3.2 UNESCO Institutions

UNESCO Institutions – Financial Situation. Four of the nine multilateral organizations in basic education that SDC supports are UNESCO institutions: GMR (Paris), IBE (Geneva), IIEP (Paris), and UIL (Hamburg). In fact, close to sixty percent of SDC's budget for multilateral organizations is allocated for UNESCO institutes or UNESCO affiliated organizations. Of the six UNESCO education institutions, three are financially supported by SDC. In two of them (IBE and UIL), Switzerland is the largest donor; and in the third (IIEP) SDC ranges among the top five donors. Finally, SDC was with a financial contribution of CHF 500,000 in 2015 the fourth largest contributor to the UNESCO-affiliated organization GMR, preceded in support volume by the United Kingdom (approximately USD 1.1 million), the Netherlands (approximately USD 1 million), and Sweden (approximately USD 620,000).

Following the withdrawal of US funding from UNESCO affiliated institutions in October 2011 (as a response to the UN granting Palestine a seat in the United Nations), several of the institutions experienced a major financial crisis: UIL was hit hardest and would not have survived had SDC not come to their rescue. In fact, it had accrued substantial deficits that SDC helped to recover. In 2012 and 2013, SDC was the largest supporter of

UIL. IBE has not averted the crisis and recently had a change in leadership. Nevertheless, IBE suffered until 2013 from a governance structure that consisted of a huge number of council members (28 in total) negatively impacting the efficiency of IBE. SDC actively supported the reorganization of IBE's governance structure, leading in 2013 to a smaller board of 12 members. At UIL, the new director managed to reposition UIL in 2012 and also shaped the medium-term strategy 2014-17. The strategy seems to resonate with several donors and it seems that UIL has survived the crisis with the help of the new director who is well networked and experienced.

In contrast, GMR and IIEP have remained in good financial health and have been consistently supported by the same group of reliable donors over the past few years.

UNESCO Institutions – Evaluations. As part of this desk study, the evaluations of the UNESCO Internal Oversight Service were reviewed. The evaluations of IIEPO, IBE, and UIL were carried out in March 2013. The evaluations of IBE and UIL are negative highlighting major issues that need to be addressed over the next few years. According to the evaluators of UNESCO's Internal Oversight Service, IBE clearly missed to be a Center of Excellence for research and capacity building in curriculum studies, lacks focus, and is inefficient. UIL was criticized for having had enormous administrative cost but little impact. The evaluators made over hundred recommendations on how to remedy the ineffectiveness of UIL. The leadership change at UIL came at a good time enabling the new director (assumed the position in 2012) to act upon the recommendations. In stark contrast, the evaluation of IIEP was very positive. The report repeatedly highlights IIEP's growing significance in today's era of evidence-based policy planning and decision. The EFA Global Monitoring Report (soon to be renamed Global Education Monitoring Report), is able to draw on the same positive reputation as IIEP.

Medium-Term Strategy of UIL (2014 – 2021) and IIEP (2014 – 2017): As part of this desk study, the medium-term strategies of UIL and IIEP were also reviewed. The evaluators at UNESCO's International Oversight Service had recommended a more rigorous results-framework with the use of clear targets and benchmarks. In addition, they proposed continuous monitoring and periodical evaluations. The credit requests of SDC redouble these requirements and in fact also provided additional funding to help some of these organizations develop solid data-based strategies. The mid-term strategy 2014 – 2021 of IIEP is impressive and reflects a high level of expertise in core activities of policy and planning in education.

The medium-term strategy of UIL is also professionally done, but is too broad and therefore lacks coherence. A critical yet constructive comment is in order here: The UIL medium-term strategy is characterized by a wide range of lifelong learning objectives that are not related to each other, that is, they address completely difference objectives, beneficiaries, socio-economic contexts, and mobilize totally different donors and proponents. Lifelong learning is broadly defined, ranging from adult learning at the workplace in Korea to youth alphabetization in Benin. As a corollary, the validation of non-formal education and the qualifications framework must be sufficiently broad and abstract to ensure that the huge variety of contexts fit the framework.³ The only two commonalities of various forms of lifelong learning are (i) that learning is not reduced to the period of childhood and youth, and (ii) the acknowledgment that schools do not constitute the only site where learning takes place. UIL's strategic plan uses outdated language (e.g., differentiation between formal, informal, nonformal education) and reiterates the importance of lifelong learning, a concept from the 1990s to which each and every government nowadays gives lip service. The incoherent framework and the broad spectrum of unrelated activities of UIL may very well constitute the largest barrier for

³ Over hundred countries have started to develop frameworks that, according to UIL Director, recognize or validate nonformal education; more information is available here:
<http://uil.unesco.org/fileadmin/keydocuments/LifelongLearning/en/NQFInventoryVol1.pdf>.

mobilizing additional donors. The term “lifelong learning”—used in target 4 of the SDGs—is ambiguous to the extent that many experts in the community of comparative and international education researchers anticipate that the inclusion of the term in the post-2015 Sustainable Development Goals (goal 4) will very soon be framed as entrepreneurship and vocational skills development at lower secondary school level, an interpretation that is strongly advanced by the World Bank and the private sector.⁴

3.3 Civil Society Organizations

In addition to IBE that is a UNESCO organization based in Geneva, there are two more civil society organizations in education that are based in Switzerland: NORRAG and RECI. NORRAG is hosted by the Graduate Institute of Geneva but is international in orientation. RECI is an organization that is oriented towards public awareness building, networking, and capacity-building in Switzerland. As a result, RECI is likely to remain dependent on funding from Swiss sources. NORRAG used to be almost completely dependent on SDC, but managed to mobilize additional resources, notably from the Open Society Foundations (Soros Foundation) and the Sultanate of Oman. The new network RECI will help garn public support in Switzerland for international cooperation and development and NORRAG is an international network of professionals in which Swiss conceptions of cooperation and development (as noted in NORRAG’s designation “education and training”) are made visible in the form of newsletters, publications, online discussions, and participation in international conferences. Both organizations fill important gaps.

Lack of Swiss expertise in international education or in education and development: It is noticeable that international education is neither considered a professional career at SDC nor an object of graduate study at any university of Switzerland. For this reason, there are very few trained experts in education and development at SDC. The three organizations—the Graduate Institute, NORRAG RECI—would be ideally suited to advocate for and promote the study and professionalization of education and development, comparative and international education, or international educational development (called differently in different countries) at universities of Switzerland.

3.4 SDC and the Global Development Agenda

Starting in 1990 with the Education for All declaration in Jomtien, the global development agenda moved away from nonformal education and adult literacy to formal education of children and youth. A decade later, with MDGs (2000) and the Monterrey Meeting of G8 leading to the establishment of EFA-Fast Track Initiative, the focus was further narrowed to a focus on formal primary education. It is too early to state whether the narrow focus will be replaced with a more comprehensive notion in the post-2015 development era. Even though there is explicit mention of lifelong learning in the draft post-2015 development agenda, the answers to the questions of what lifelong learning really entails in practice and whether the target will be backed up with financial resources are at this point inconclusive. The international meeting in Addis Ababa, held over the summer 2015, in which funding of the agenda is scheduled will be a first indication of what target goal 4 of the post-2015 development agenda entails in practice. The World Education Forum, held in Incheon in May 2015, was purposefully inclusive and accommodated a wide range of proposals. The final version of the education goals, targets, and indicators will be decided later. The opinions among the interviewed persons vary widely, ranging from SDC and UIL representatives clearly seeing the post-2015 development agenda in line with what they had been promoting for years to the other interviewees who are skeptical

⁴ Goal 4 is formulated as follows: “Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.” Targets 4.1 and 4.2 preserve the focus on formal basic education (including pre-primary and post-primary) and targets 4.3 – 4.7 address issues that are closely related to SDC’s development framework. Goal 4 also proposes three implementation modalities (see World Education Forum 2015).

and believe that the post-2015 will merely expand formal basic education to lower secondary school level and at best to the pre-school level. Even more disappointing is the expectation that the post-2015 development agenda is not likely to include TVET—one of the priority areas of SDC—but at best will introduce skills development, broadly conceived, at lower secondary level.

Addressing the fundamental dilemma: The question therefore becomes: how does SDC deal with the situation of continuing to promote an agenda (notably, nonformal basic education and lifelong learning) that is fundamentally different from the global development agenda? How does it ensure that it is not one of the few, or the only donor, supporting national priorities in developing countries and thereby creating dependency on Swiss funding? This is a fundamental strategy question that deserves analysis, deliberation, and consensus building within SDC. An evaluation is not the appropriate tool for providing answers to this fundamental dilemma. This question needs to be addressed with urgency: it is noticeable that SDC, despite its small financial volume as compared to other bilateral and multilateral donors, often ends up becoming the largest or, even worse, the only donor in nonformal education projects because other donors discontinued their support. This was the case in the Burkina Faso case study where SDC had to fill the financial gap left behind by other bilateral donor. Among the multilateral donors, there are four organizations that are SDC-dependent: two organizations based in Switzerland (NORRAG and RECI) and two adult/lifelong learning organizations (UIL and ICAE). Judging from the CCM reports and the credit proposals, SDC is well aware of the vulnerability that such a dependency generates. It supported these organizations, in particular NORRAG and UIL, to come up with a strategy and clearly defined measures to mobilize additional financial resources over the next few years. However, it will be difficult for UIL and for ICAE to secure the support of additional bilateral donors given that adult literacy and lifelong learning are not inscribed in the global development agenda.

Strategic alliances and coalition building with other donors. A donor analysis is very much needed as part of the SDC education strategy development, in particular, an analysis of other donors' global education strategies as well as their country assistance strategies. There needs to be a coalition of like-minded bilateral donors or, more specifically, an issue-centered coalition with other donors. For example, the Netherlands used to commit themselves to nonformal education, Norway to social inclusion, or Germany to indigenous education and technical-vocation education; only to name a few of the foci pursued by other bilateral donors that resonate with SDC's development agenda. BACK-UP is a good example of coalition building between Germany and Switzerland around an issue that is of importance to both donors: empowerment and active participation of voices from the global South and from civil society organizations. The concept of partnership is key in SDC. However, the partnerships are currently focused on local, national, regional, and global partners. It is an opportune moment to think of other bilateral donors as potential partners for advocating for, and funding, specific issues that are not aligned with the global agenda but rather represent priorities of the bilateral donors. To avoid political divisions in development work, the coalitions need to be issue-centered, that is, coalition with different donors depending on the issue pursued.

Time line that differentiates between desirable and feasible goals: A mentioned repeatedly in this report, what is needed is a SDC Education Sector Strategy that lays out the SDC vision of educational support in developing countries, fragile states, and in EU enlargement and other countries. Such a strategy would also need to differentiate between what is desirable and what is feasible in the short-term, medium-term and long-term.

4 Observations and Recommendations

The interviewed representatives of the five largest international partners in education had only praise for SDC's intervention, cooperation and communication approach. Not one negative comment was uttered. They appreciate the close collaboration with SDC representatives, notably, with Chantal Nicod (Chief, West Africa Division and Education), Valérie Liechti (Education policy advisor), and Nicole Gantenbein (program officer). They used flattering languages such as, "SDC has a relationship of trust with us," "SDC is involved but not interfering," "SDC is attentive" and "SDC always provides prompt feedback on our proposals; in fact sometimes in too much detail"; all expressions of the high regard for SDC as a reliable, professional and active partner. This report ends with five observations and recommendations.

It is noticeable from the reviewed credit requests and from the interviews that SDC has insisted over the past few years on international organizations adopting a results-based logical framework with measurable target and benchmarks and engaging in continuous monitoring and periodical evaluations. In several cases, SDC provided either an additional grant for carrying out these tasks or made SDC funding contingent on having a coherent and results-based strategy in place. In return for a coherent strategy framework, SDC provided (non-earmarked and non-results based) core contribution to multilateral organizations. The Core Contribution Management (CCM) funding modality is greatly valued by the multilateral partners as it cuts down enormously on minute book keeping and bureaucratic reporting. It enables organizations to focus instead on implementing their strategies for which they received funding from SDC.

The number of bilateral donors who fund the same type of multilateral organizations in education at the same level (or more) as SDC is relatively small. Judging from the desk review of SDC support to multilateral organizations in education, Norway, Sweden and Germany are the three bilateral donors that in the year 2015 share similar development agendas as Switzerland and therefore fund similar multilateral organizations. Naturally, the timing matters a great deal and the constellation of like-minded bilateral donors changes depending on the political priorities in the donor governments. As mentioned above, the post-2015 development era constitutes an opportune moment to assess the possibility of coalition-building with other donors on specific issues that are key to Swiss conceptions of cooperation and development.

SDC developed an impressive roster with criteria or standards for evaluating the collaboration with multilateral organizations.⁵ In the credit request for GPE, for example, a thorough "analysis and justification of engagement with partner organisation" was carried out taking into account a few criteria/standards such as, for example: (1) comparative advantage, track record, transparent governance and results reporting of partner organization; (2) programmatic framework of the partner organization, etc. (see CCM-Sheet for GPE, CCM cycle 2013-15; 7F-6223.03). It is recommended that such core contribution management (CCM) standards are used both for justifying the engagement of new or continuing partners as well as for evaluating them periodically by means of an internal review.

Different from several other donors, SDC does not engage in tied aid nor does it apply "hard" conditions for funding in the form of conditional support (attached to programmatic conditionalities), results-based funding (in the extreme case: contractual arrangements or aid-upon-delivery), or broadly speaking in a bilateralization of multilateral aid. It does, however, make additional grants available when opportunities arise to fund initiatives that are in line with, and advance, the SDC development agenda. It has done so in recent years on two occasions: additional credit request for BACK-UP and additional credit

⁵ See "Fiche technique de la proposition de crédit pour des contributions générales à des organisations multilatérales."

request for ICAE to advocate for lifelong learning and adult education at the preparatory stages of the global post-2015 development agenda. These “soft” forms of influencing its partners are greatly much appreciated in the development community.

SDC is known among the interviewed multilateral organizations for advocating for (1) a holistic notion of education that is lifelong and includes both formal as well as nonformal, (2) a unified sector strategy in education rather than multiple education sub-sector strategies (typically, one for basic education, one for TVET, one for higher education; and in rare cases also one for adult education), and (3) the development of a results-based framework with clear measurable targets and benchmarks which would be accompanied by continuous monitoring and periodical evaluations. These three features of SDC cooperation and communication modality are both reflected in the credit requests that were reviewed as well as in the interviews. However, it is striking that SDC requires from its international partners to closely follow these three features of a results-based, lifelong education strategy but does not apply these quality standards with the same rigor in its own work, notably:

- there exists no medium-term or long-term education sector strategy of SDC covering all levels of education (pre-primary, primary, secondary, vocational, higher, adult), all forms of education (formal and nonformal), and in all contexts (developing countries, fragile states, EU enlargement and other countries);
- the education programs of SDC use broad logical frameworks for planning which are clearly less data-based (often without baseline studies and without outcomes indicators) than monitoring/evaluation instruments used nowadays in development work;
- the education programs are widely dispersed within the organization of SDC: even though there is a commitment to lifelong learning at SDC, basic education is hosted in a different division than TVET, and programs that merely use education as a second or third priority theme are completely disconnected from education experts in SDC; putting the reputation of SDC educational programs at risk.

It is recommended to bring the organization of educational programs within SDC in sync with what is expected, in terms of best practices, from its multilateral partners in education.

ANNEX 1: Inventory of Reviewed Documents

GPE

SDC: CCM-Sheet for Partenariat Mondial pour l'Education/Global Partnership for Education, former EFA-FTI, 7F-6223.03.

SDC: Global Partnership for Education – Crédit supplémentaire pour l'initiative allemande BACK-UP pour l'éducation en Afrique, 7F-06223.03.

SDC: Fiche technique de la proposition de crédit pour des contributions générales à des organisations multilatérales. Titre du project: PME – GPE, 7F-6223.03.

ICAE

SDC: Contribution to the International Council for Adult Education (ICAE), 2012-2015, 7F-5822.03.

SDC: Contribution to the International Council for Adult Education (ICAE), Additional Credit (01.01.2015 – 31.12.2015).

OIF

SDC: Contribution à l'Organisation Internationale de la Francophonie OIF, 7F-03652.

UNESCO IBE

SDC: UNESCO – BIE Bureau International d'Education, contribution 2012-14, 7F-06356.03.

SDC : Additional Credit Proposal for UNESCO – BIE, 01.01.2015 – 31.12.2015, 7F-06356.03.

UNESCO Internal Oversight Services, Evaluation Section (2013). Review of the International Bureau for Education.

UNESCO IIEP

SDC: Contribution to the UNESCO International Institute on Educational Planning (IIEP), 7F-03593.11.

IIEP (2014). Medium-Term Strategy 2014-2017. Planning Education, Building for the Future.

Abby Riddell, Muriel Visser-Valfrey & Noel F. McGinn (2012). Evaluation of IIEP's Research. Final Report.

UNESCO Internal Oversight Services, Evaluation Section (2013). Review of the International Institute for Educational Planning.

Anna Haas & Sourovi De (2013). Cost and Effectiveness Study of IIEP Training Modalities.

IIEP (2015). Fifty-third session of the IIEP Governing Board, Paris, 8-10 December 2014. Item 4 of the Agenda, Part 1: Programme implementation.

UNESCO GMR

SDC: Proposition de credit RMS 2013-2015.

SDC: Fiche technique, titre du project: Rapport Mondial de Suivi sur l'Education pour Tous (RMS), 7F-2691.05.

UNESCO UIL

SDC: Contribution générale à l'Institut de l'UNESCO pour l'apprentissage tout au long de la vie (UIL), 7F-04095.04.

UNESCO Internal Oversight Services, Evaluation Section (2013). Review of the UNESCO Institute for Lifelong Learning.

UIL (2013). Annual Report 2013.

UIL (2014). Medium-Term Strategy 2014-2021. Laying Foundations for Equitable Lifelong Learning for All.

UIL et al. (2015). Global Inventory of Regional and National Qualifications Frameworks Volume I: Thematic Chapters; Volume 2: Country Chapters. Available: <http://uil.unesco.org/fileadmin/keydocuments/LifelongLearning/en/NQFInventory/Vol1.pdf>

NORRAG

NORRAG (2015). NORRAG Activity Report (2013-15) and Perspectives (2015-18).

SDC: Contribution to Network for Policy Research, Review and Advice on Education and Training, 7F-03880.07.

SDC: Contribution to Network for Policy Research, Review and Advice on Education and Training, 7F-03380.08. 15.04.2015 – 14.04.2018.

RECI

SDC: Contribution au Réseau Suisse pour l'Education et la Coopération Internationale (RECI), 7F-06522.03.

Other

SDC : Cours massifs en ligne en Afrique et dans les futurs pays émergeants MOOCs, 7F-08605.

SDC: Asia South Pacific Association for Basic and Adult Education (ASPBAE), Overview.

Richard Walther (2013). Revue du portefeuille international des partenaires en éducation de la Direction du Développement et de la Coopération (DDC).

UNESCO (2014). UNESCO Education Strategy 2014-2021.

World Education Forum (2015). Technical Advisory Group Proposal: Thematic Indicators to Monitor the Post-2015 Education Agenda.

Section 5

Desk Study Report

Afghanistan

Author: Arushi Terway

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List of Abbreviations and Acronyms

AEP	Afghan Education Project
BALEDU	Enhanced Balanced Education
BBC	British Broadcasting Company
BE	Basic Education
BEPA	Basic Education Program Afghanistan
CRS	Catholic Relief Services
DED	Districts Education Department
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GSSP	Government School Support Program
IDP	Internally Displaced Persons
IRC	International Rescue Committee
MoE	Ministry of Education
MTS	Medium Term Strategy
NESP	National Education Strategic Plans
OTCD	Organization of Technical Cooperation for Community Development
PED	Provincial Education Departments
RESP	Rural Education Support Program
TTC	Teacher Training Colleges
SCS	Swiss Cooperation Strategy
SDC	Swiss Agency for Development Cooperation
YEP	Youth Education Program

1 Preamble

This brief report on SDC's basic education programs in Afghanistan is part of the global evaluation of basic education program. In an attempt to capture the global portfolio of SDC a sample of cases (such as this one) was selected that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs.

2 Background

Afghanistan has a long history of conflict that has left the nation's population with numerous economical, political and social developmental problems. With the fall of Taliban rule in 2001 and Bonn Accord in the same year, the international donor community came together to support the Government of the Islamic Republic of Afghanistan in its efforts of nation building. SDC, although not one of the top 20 donor agencies for Afghanistan, has funded humanitarian aid and development programs in Afghanistan for more than 20 years. Since 2002 SDC has concentrated its activities on meeting the enormous needs of the most vulnerable population groups, such as internally displaced persons (IDPs), returnees and refugees (MTS 2008-2011).

Education in Afghanistan suffered greatly under Taliban rule for the whole population but even more so for its female population. In 2002, 41% of primary school age boys and 13% of primary school age girls were in school. Great progress has been made in increasing access to primary education since then. In 2001, only one million children were in school whereas the enrolment numbers had increased to nine million by 2014, out of which 60% were boys and 40% were girls. Between the years of 2007-2013, five major education programs, along with several small actions, were support by SDC with various implementing partners - 1) Government School Support Program (GSSP), 2) Afghan Education Project Organization (AEPO), 3) Basic Education Program (BEPA), 4) School Infrastructure Program (OTCD), 5) Youth Education Program (YEP). Table 1 below shows program funding, duration and provinces where these programs were implemented within Afghanistan based on credit proposals. Section 4 will discuss GSSP more in depth as it is the longest running program and is representative of general SDC approach to basic education programming in Afghanistan.

Table 1: Program Funding and Duration Based on Credit Proposals

SAP Number	Program Title	Credit Proposal Amount CHF	Duration	Province
7F-03069.02	Government School Support Program	4,867,000	01.10.2006 to 30.10.2009	Badakhshan, Baghlan, Bamyan
7F-03069.03	Government School Support Program	4,383,000	01.11.2009 to 31.10.2013	Badakhshan, Baghlan, Bamyan
7F-03069.04	Government School Support Program	5,460,466	01.12.2014 to 30.11.2018	Badakhshan, Baghlan, Bamyan

7F-03543.04	BBC Afghan Education Project (AEP)	625,000	01.07.2010 to 30.06.2013	All of Afghanistan
7F-03543.05	Healthy Families, Healthy Societies	624,497	01.07.2014 to 30.06.2017	All of Afghanistan
7F-08158.01	Enhanced Balanced Education (BALEDU) (BEPA- Basic Education Program Afghanistan. "Girls'	3,392,040	01.07.2012 to 31.08.2014	Badakhshan, Balkh, Takhar
7F-08158.02	Enhanced Balanced Education (BALEDU) (BEPA- Basic Education Program Afghanistan. "Girls' Education and Promotion of Women in Teacher Education.")	5,985,674	01.09.2014 to 31.12.2016	Badakhshan, Balkh, Takhar
7F-08631.01	Schools' infrastructure improvement in Samangan and Takhar Provinces	472,446	15.12.2012 to 30.04.2014	Samangan, Takhar
7F-08650.01	Youth Education Project in Nangarhar	500,000	15.12.2012 to 1.03.2014	Nangarhar

3 SDC's Cooperation Strategy and Basic Education

Basic Education portfolio in Afghanistan between 2007 and 2014 was aligned with three Swiss cooperation strategies- 1) Swiss Medium-Term Strategy for Afghanistan 2004-2007, 2) Swiss Medium-Term Strategy for Afghanistan 2008–2011, and 3) Swiss Cooperation Strategy for 2012-2014. MTS-A 2004-2007 had a special focus on transitioning funding based on Humanitarian aid to Development cooperation. It included two main strategic objectives 1) to promote good governance and human rights at government and civil society levels and 2) to improve livelihood in selected disadvantaged groups. Both the GSSP program and BBC Afghan Education program were part of the Development cooperation portfolio and fell under the second objective of improving livelihood.

The overall goal of the Swiss Medium-Term Strategy for Afghanistan 2008–2011 was “to contribute to a sustainable poverty reduction and a secure environment ensuring inclusion and equal access for all men and women to rights, goods and services through strengthening of public and private actors (MTS 2008-2011, p 10),” focusing on two programming component 1) Governance and Protection, 2) Livelihood Improvement. Education programs that focused not only on service delivery to the Afghan community, especially girls and rural population, but also on improving education sector governance and management. However, as with the previous strategy, education programs fell under the second component of Livelihood Improvement.

As a result of deterioration of social, economic and safety conditions in Afghanistan, the Swiss Cooperation Strategy for 2012-2014 “formulated in terms of resilience of the Afghan population to external stress (conflict and natural disasters (SCS 2012-2014, p 12)). All SDC programming in this period operated within two main domains: 1) Resilience of Rural Livelihoods and 2) Enhancement of Good Governance and Human Rights to spur socially inclusive development. During this time period, number of education programs and funding for basic education programs increased as will be shown in the next section. However as with MTS 2008-2011 period, basic education programs contributed to

improving governance but were primarily managed under the Resilience of Rural Livelihood component

4 Portfolio Analysis-At-a-Glance

This section will give a quantitative review of all Afghanistan SDC projects as outlined within the portfolio analysis based on the SAP database.

4.1 Trends in SDC Bilateral Contribution to Basic Education in Afghanistan

From 2007 to 2013, SDC's education sector bilateral spending to Afghanistan totaled CHF 12.97 million. The sub-themes in which SDC contributed include vocational training/skills development, teacher training, tertiary education, education policy, and formal and non-formal basic education. For the purposes of this desk review, basic education (BE) refers to the sub-themes of education policy and formal and non-formal basic education. Within the SAP database, 99% (CHF 12.87 million) of the expenditure was on BE with education policy, formal basic education and/or non-formal basic education listed as sector priority 1, 2 and/or 3. In some cases programs with education policy, as one of the subthemes, also included teacher training or tertiary education as an additional sector subtheme. Figure 1 the budget expenditure as distributed across the BE subthemes.

As can be seen in Figure 1, between 2007 and 2009 majority of the BE funding expenditure was in formal basic education with some funding going to non-formal basic education. This was primarily channeled through the GSSP and some small action programs. In 2010, funding expenditure for education policy was included through both

Figure 1: Funding Distribution by Education Sector Subtheme, 2007-2013

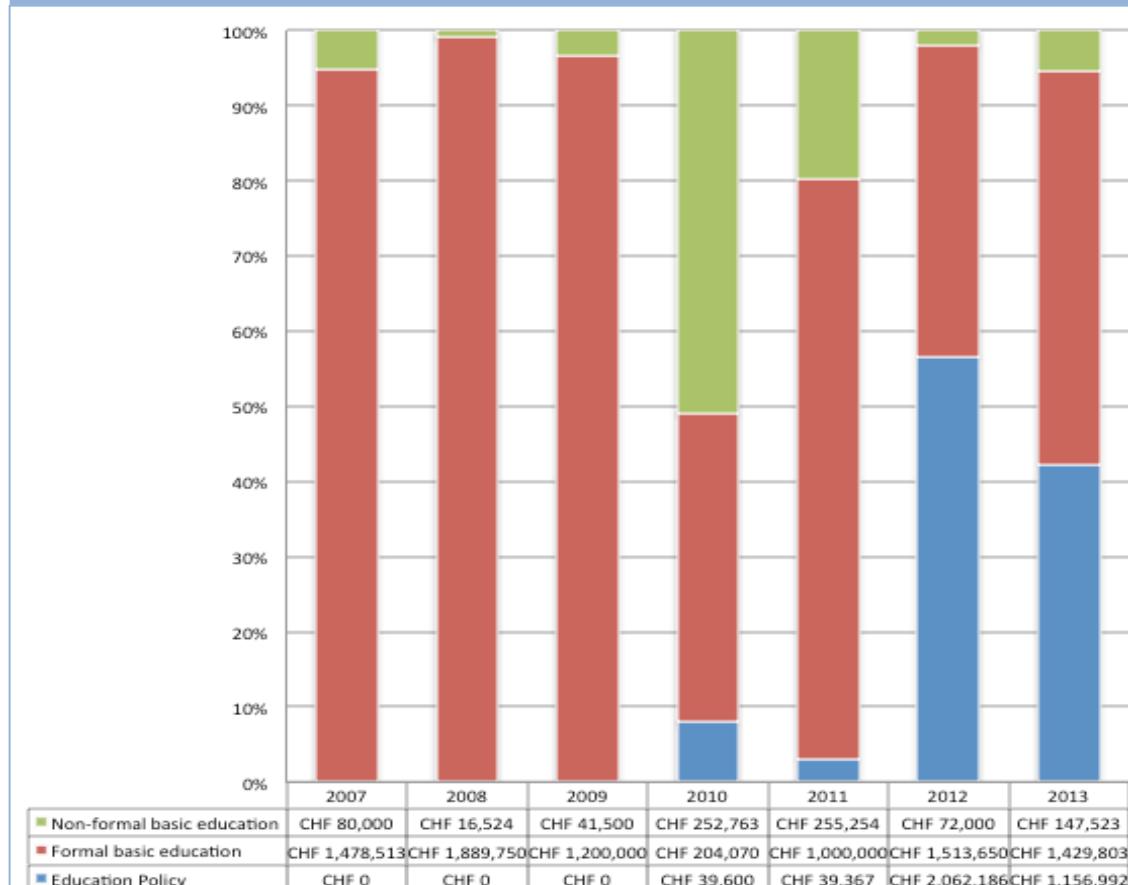
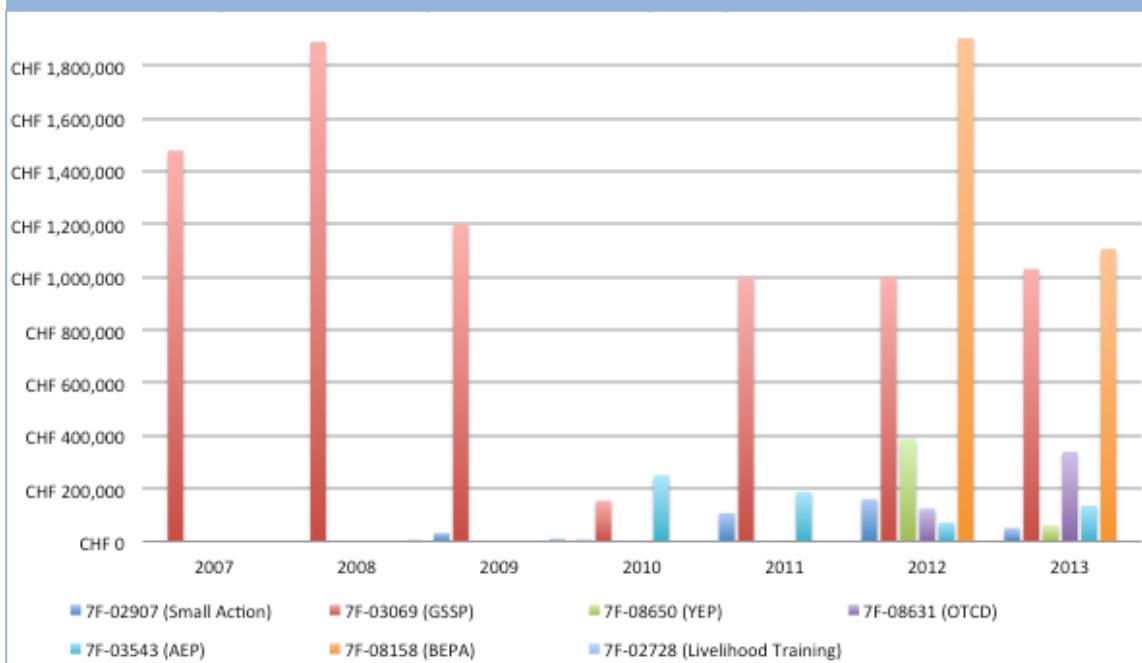


Figure 2: Funding Distribution by Program, 2007-2013

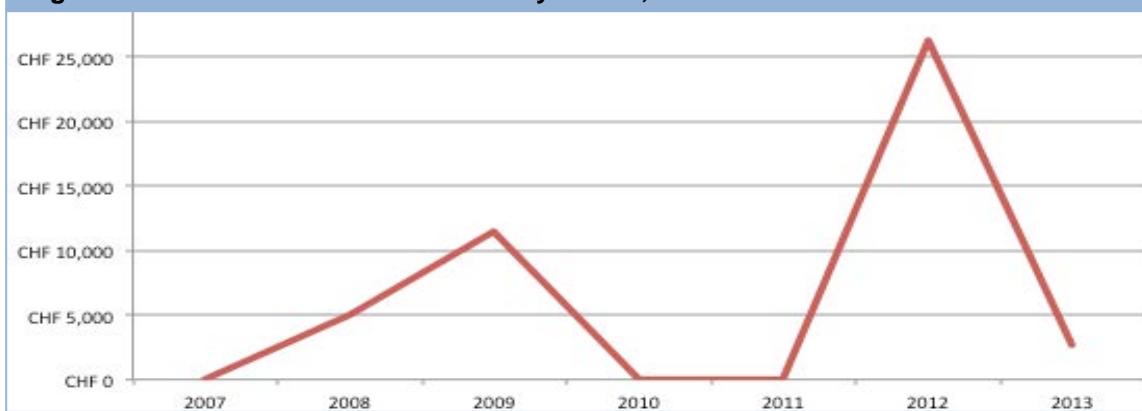


the GSSP and the BEPA, and this funding increased substantially by 2012. In 2010, BBC AEP funding was also categorized as non-formal basic education explaining the increase in funding. Figure 2 shows the funding expenditure distribution from 2007 to 2013 for each of the BE programs. GSSP received funding in all years, whereas the second largest program BEPA started receiving funding in 2012. Other programs, including programs categorized as small actions, had much lower levels of disbursement as compared to the two largest programs.

4.2 Basic Education Bilateral Spending within Non-Education Sectors

Only two programs in Afghanistan listed basic education as second and/or third priority and they were both small action funding. One program listed reconstruction and rehabilitation as the first priority and the other listed agriculture and value-chain. SDC expenditures for basic education as second or third priority totaled CHF 45,420. Figure 3 shows the expenditure in these programs between 2007 and 2013.

Figure 3: Education as 2nd and 3rd Priority Sector, 2007-2013



4.3 Basic Education Bilateral Spending by Institutional Partnerships

Basic education programs were contracted to various institutional partners in the six-year period analyzed. Figure 4 shows the distribution of funding expenditure through the contract partners as categorized in the SAP database. The highest expenditure was for International NGOs category comprising of funding to Aga Khan Foundation and National Refugee Council. The second highest funding expenditure was through GIZ under Other International Organization. Lowest funding expenditure was on small actions to Sub-National government agencies.

Although SDC was not one of the top donor agencies in Afghanistan, within the BE portfolio four out of the five major programs had joint funding from other donors; SDC funded specific components or activities in specific provinces/district. Table 2 shows the list of other donors for these four programs.

Figure 4: Funding Distribution by Contract Partner Type and Program

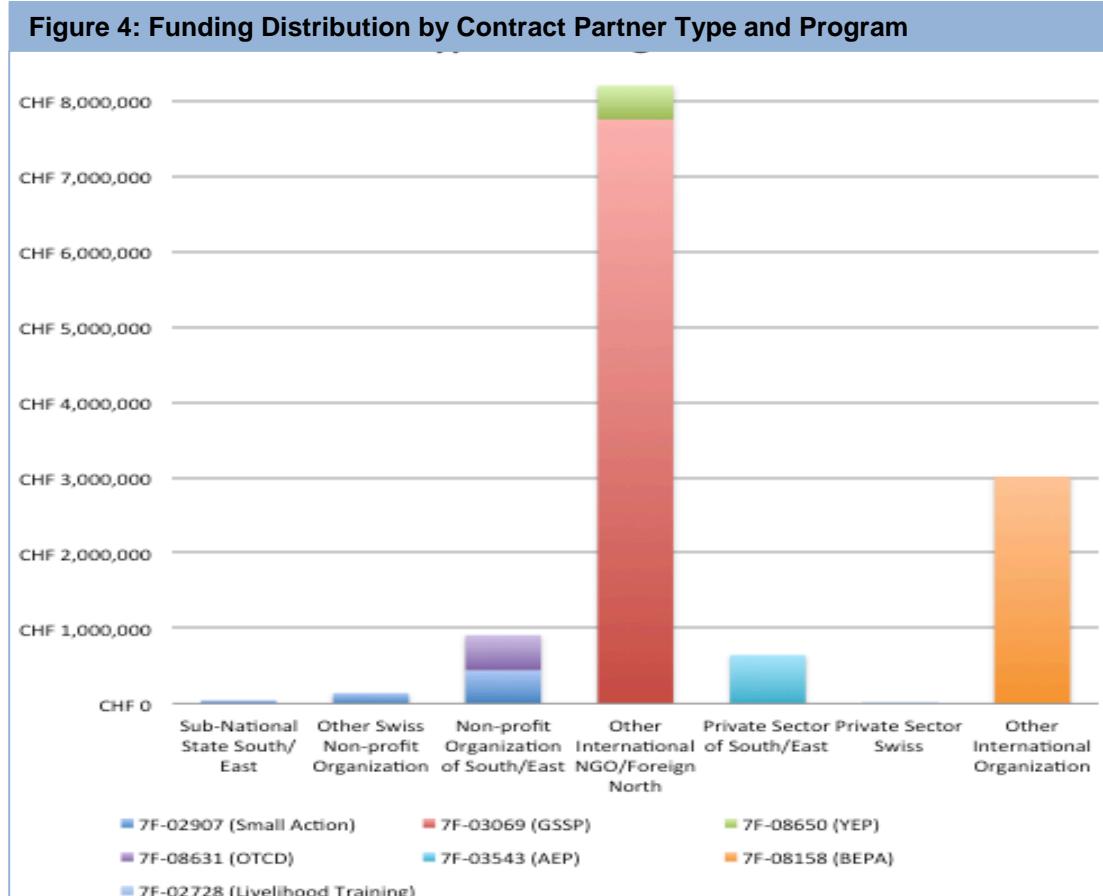


Table 2: SDC Joint Contribution to Multi-Donor Education Programming

Program	Additional Donors	SDC Actual Expenditure (CHF)	Approximate Total Committed Funding ¹
GSSP	AKF, CIDA, Norwegian Embassy, NZAID, USAID	7.75 Million	USD 15 Million
BEPA	German Federal Ministry for Economic Cooperation and Development	3.01 Million	EUR 19.7 Million
AEPO	AKF, Belgian PO, DFID, Dutch Embassy, EC, EU, Norwegian Ministry of Foreign Affairs, NRC, UNICEF, UNHCR, UNIFEM	644,699	USD 6.8 Million
YEP	Norwegian Government, SIDA	450,000	CHF 2.8 Million

¹ Exact disbursement data from other donors is not available. The numbers have been derived from SDC documents.

5 Qualitative Project Description

SDC education programming in Afghanistan covered varied areas including repair and materials provision to rural schools, capacity building of teachers, communities and ministry official, promotion of girls education, non-formal education for youth and adult, along with civic education and awareness through wide reaching radio programs. Majority of the programs took a holistic approach to program implementation by investing in grassroots efforts to improve access and quality of education while also building capacity of both formal and non-formal education system. With this holistic approach, the programs aimed at both ownership by the Afghan community and also long-term sustainability of system level changes.

All major programs have gender equality either as a primary focus or a crosscutting component, with the aim of improving access to quality education for girls. GSSP, AEPO and BEPA program credit proposal documents even include a gender checklist to ensure gender equality measures are included in program activities. Afghanistan Annual Programme Reports indicate that the SCO dedicated staff to mainstream gender sensitivity into all programs in Afghanistan. With the exception of OTCD, all programs include substantial governance and management capacity building activities for community members and government officials to support education sector management.

GSSP is the largest SDC supported basic education program in Afghanistan and could serve as a “typical” program to demonstrate SDC approach in basic education. The following section describes the approaches and achievements of this program.

5.1 Government School Support Program

GSSP program is part of Aga Khan Foundation-Afghanistan's (AKF-A) larger Rural Education Support Program (RESP) funded by multiple donors, which has been operating since 2003. RESP has two components Government School Support Program (GSSP) and Community Based Education, both implemented primarily by AKF-A with some components supported by IRC, CRS and CARE. SDC funds 75% of the GSSP with AKF International funding the remaining 25%. Community Based Education component is funded by other donors without any SDC funding, however the two components share knowledge and lessons learned.

GSSP's overall goal was to improve teaching and learning environment for primary and secondary school children in rural government schools of three provinces Badakhshan, Baghlan and Bamyan. The initial phases of the program (2003-2009) focused more on provision of services to government schools, but since 2009, to ensure sustainability, GSSP has shifted from direct service provision to facilitation of provision. The program uses a holistic approach by simultaneously building capacity of schoolteachers, communities and government officials to reach project results. Examples of program activities include teacher training through Accelerated Learning Courses, focus on teacher training for effective early grade teaching, capacity building of Teacher Training Colleges (TTC), provision of classroom materials and repairs, capacity building of newly formed Parent-Teacher Associations, involvement of community school committees in Whole School Improvement, capacity building of Provincial and District Education staff in management and supervision of rural schools, and adult education through Mothers' Literacy Classes.

GSSP reached 19 Districts Education Department (DEDs), 3 Provincial Education Departments (PEDs), 210 schools (government primary, lower secondary and higher secondary schools), 3 TTCs, and 210 Shuras/Parent-Teacher Associations. The programme approximately served 127'058 school children, 2'618 student teachers, and 4'443 mothers (through literacy courses) and reached to 5'954 teachers. Program evaluations have shown that program has been fairly successful in reaching the expected

outcomes. Following are some of the program achievements as reported in program Final Report, program evaluation and country Annual Programme Reports:

- 73% of the school management teams are actively involved in developing Whole School Improvement plans while incorporating the inputs from school administrators, teachers, parents, students and community members
- More than 60% of school management teams were providing improved school management practices through increasing support for teachers to deliver effective teaching, reducing student absenteeism, attracting parental contributions for school improvements, providing an increasingly safe and child-friendly environments for students, increasing capacity to deliver constructive feedback to teachers for improvement, and delivering model teaching examples
- 76% of 4'443 trained mothers through literacy courses are utilizing their knowledge on child development
- Girl's enrolment considerably increased to 47% in 2013 from 42% in 2009, specifically at the lower primary grade across the three provinces

Grade 1 students in GSSP School had larger gains in their learning outcome in literacy and numeracy than non-GSSP school students.

6 Tentative Observations

This section provides tentative observations of SDC's engagement in basic education projects in Afghanistan.

6.1 Strengthening and Supporting Government Systems

Through all the major programs, SDC stands out in its support for basic education from other donors. SDC is supporting formal education and government school systems, while most other donors are supporting community based schools. This approach would help Afghanistan national government to build their capacity and eventually be the primary service provider, instead of donors setting up parallel or alternative education systems.

Supporting the government in post-conflict or fragile states to build their education system from early stages and continuing this support is an important recommendation made by the Global Monitoring Report in 2011². Government being able to provide education to its citizen not only helps in improving education conditions, but also supports the peacebuilding process by improving the trust in the government.

Overall, SDC education programs are also aligned with Afghanistan's National Education Strategic Plans (NESP) and often with the draft plans for relevant program components. GSSP, BEPA and OTCD together have supported almost all aspects of the NESP II:

- Program 1- General and Islamic Education
- Program 2 - Curriculum Development, Teacher Education and Science and Technology Education
- Program 4 – Literacy
- Program 5 - Education Management

YEP, although not directly supporting the government Technical and Vocational Education and Training system, is providing refugee-returnee and IDP youth with income generating

² UNESCO. (2011). *Education for All Global Monitoring Report 2011. The Hidden Crisis: Armed Conflict and Education*. Paris: UNESCO.

and life skills. YEP does not use government training facilities but it uses literacy and numeracy curriculum that is based on the government's curriculum.

6.2 Holistic Approach with Grassroots and Policy-Level Support

Two major programs, GSSP and BEPA, take a holistic approach to program implementation. Both programs do this by getting the buy-in for program objectives and activities from the community where the school is located and from MoE, Provincial and District officials. Beyond the primary activities of teacher training and material distribution, both programs conduct capacity building activities for school stakeholders within the community and the government. GSSP supported rural schools and local community involvement in government schools from the beginning. Local level achievements in the program prompted education policy support by SDC through GSSP in 2010 and BEPA in 2012 (Afghanistan Annual Report 2011).

6.3 Support to Existing Programs for Efficiency

In three out of the five major programs, SDC supported existing efforts to improve education in Afghanistan. With this approach, SDC was able to take advantage of existing infrastructure and reach of the programs to target population, instead of setting up program structure from scratch in an extremely expensive context. The German government in 2010 started BEPA with SDC contribution starting in 2012. SDC was able to leverage the existing reach of the program in Takhar province. AEPO, initially BBC/AEP, had been broadcasting in Afghanistan since 1994 with support from various funding stream. SDC has been able to leverage the popularity of AEPO's programs and maximize the reach of SDC support to a wide audience base. YEP, was supported by the Norwegian government for five graduation cycles in Faryab province before SDC supported the expansion of the program to Nangarhar province. SDC was able to leverage the lessons learned by NRC (implementing partner) by supporting an existing initiative.

6.4 Strategic Partnership for Ownership and Sustainability

In general in Afghanistan, SDC leveraged strategic partnerships with implementing partners that had demonstrated long-term support and acceptance within the Afghani community. GSSP, the largest program, is implemented by Aga Khan Foundation (AKF), a well-known organization in Afghanistan, and contributed its own funds to the program. AKF has built a strong working relationship with the MoE, Provincial/District authorities and the communities. However, evaluations of GSSP recommended the program to reduce the community dependence on AKF providing services but instead increasing activities to facilitate service provision.

Initially BBC World Trust Services implemented AEPO and later it became an independent organization registered in Afghanistan. The program has high levels of listenership and a strong reputation for producing radio programs that were culturally relevant and entertaining. BBC continues to broadcast the AEPO programing on its bandwidth and has a wide reach. Through the radio programing, SDC is able to reach populations that are otherwise difficult to access due to security and terrain. Funding for programing to OTCD, an NGO registered in Afghanistan also establishes support to local organizations rather than only funding international organizations.

6.5 Donor Harmonization

Although SDC is not a major donor in education in Afghanistan it plays a role in donor coordination and aligns its programs with other major donors. As discussed above, SDC co-financing several of its major education programs (GSSP, AEPO, BEPA and YEP) with other donors. All these programs have common overall goal that all donors support and

knowledge is shared among them. GSSP and BEPA further share knowledge on program approaches and activities since some aspects of the program function in the same district.

In 2014, SCO-A also had a seat in the Human Resource Development Board of Afghanistan, which is the main platform for government-donor dialogue and Afghanistan's government to set education priorities with the international donor community.

ANNEX 1: Documents Reviewed

Swiss Medium-Term Strategy for Afghanistan 2008–2011
Swiss Cooperation Strategy for 2012-2014
Annual Programme 2007 Afghanistan
Annual Programme 2008 Afghanistan
Annual Programme 2009 Afghanistan
Afghanistan Annual Report 2010
Afghanistan Annual Report 2011
Afghanistan Annual Report 2013
Afghanistan Annual Report 2014
Fischer, R and Naimova, G. (2006). Rural Education Support Programme (RESP) Afghanistan Implemented by the Aga Khan Foundation. Evaluation mandated by the Swiss Agency for Development and Cooperation (SDC).
GSSP Final Report 2006-2009
Ferreira, E. (2013). Review of the 3rd Phase of the Government School Support Programme.
Allardice et al. (2009). Case Study on Parent-Teacher Association. GSSP.
Allardice et al. (2009). Case Study on Whole School Improvement. GSSP.
Allardice et al. (2009). Case Study on Early Grade Learning. GSSP.
GSSP Final Report 2009-2013.
Credit Proposal 7F-03069.02
Credit Proposal 7F-03069.03
Credit Proposal 7F-03069.04
Credit Proposal 7F-03543.04
Credit Proposal 7F-03543.05
Credit Proposal 7F-08158.01
Credit Proposal 7F-08158.02
Credit Proposal 7F-08631.01
Credit Proposal 7F-08650.01

Section 6

Desk Study Report

Haiti

Authors: Gita Steiner-Khamsi and Whitney Warner

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List of Abbreviations and Acronyms

CaCH	Caritas Switzerland
CAD	Centre d'action pour le développement / Contribution au centre d'accueil de Ganthier
Caritas	Contribution to Caritas Switzerland for the Sustainable Reconstruction of the School St. Vincent de Paul in Gressier
CCR	Centre de Compétences à la Reconstruction
CCR+R	Centre de Compétences en Reconstruction et Réduction des Risques
CREP	Centre rural d'éducation populaire
DGGS	Direction du Génie Scolaire
DRR	Disaster Risk Reduction
EPER	Entraide Protestante Suisse
HA	Humanitarian Aid
HEKS	Projet de Réhabilitation des infrastructures communautaires de base, Département de la Grand'Anse, Haïti
IADB	Inter-American Development Bank
INFP	Institut National de la Formation Professionnelle
MENFP	Ministère de l'Education Nationale et de la Formation Professionnelle
NGO	Non-governmental organization
PARIS	Program d'Appui à la Reconstruction des Infrastructures Scolaires
RC	Regional Cooperation
SDC	Swiss Agency for Development and Cooperation
ToT	Training of the trainers
UEH	Université d'Etat d'Haïti
UNDP	United Nations Development Programme
VSD	Vocational skills development

1 Preamble

It is important to note that the desk reviews are supposed to capture the global portfolio of SDC that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs selected for desk review.

2 Context

The Swiss Agency for Development and Cooperation (SDC) has a presence in Haiti since 2005. Unsurprisingly, the 2010 earthquake required an immediate reorientation and a new focus on emergency relief (immediate response, survival assistance, early recovery). An earlier evaluation of SDC's humanitarian aid identifies Haiti as the country where development priorities were early on included in emergency relief (SDC 2011, Evaluation 2010/11). A good case in point is SDC's support for rebuilding schools: the program moved beyond rehabilitation or infrastructure project, typically found during the recovery period, but instead within a few months only started to design pilot programs for safe construction standards as well as for improving the vocational training in masonry. Haiti is additionally an interesting case because SDC acts both as funder and implementer of programs, reflecting its dual orientation in humanitarian aid and in development work. In the latter type of programs, typically hosted in regional cooperation units, SDC mainly coordinates, contracts, or participates in pooled funding, but rarely exerts the role of implementer.

The comprehensive aid approach, integrating Humanitarian Aid (HA) and Regional Cooperation (TC), was first addressed in the 2011-2013 mid-term Haiti cooperation program¹ and is also reflected in the in-country organization (referred to as "integrated Embassy"). It prioritized the following three domains:

- Domain 1: Sustainable, safe, and reliable social infrastructure
- Domain 2: Improvement of living conditions
- Domain 3: Sustainable management of natural resources and reduction of natural disaster risk

The 2014-2017 Cooperation Strategy confirms the integrated approach and spells out its systematic approach to overcoming fragility in the long term, one that requires a dual commitment to post-earthquake reconstruction and sustainable development. This approach complies with the New Deal for Engagement in Fragile States, put forward at the Fourth High-Level Forum on Aid Effectiveness in Busan in 2011. The New Deal attempts to overcome the root causes of fragility and violent contexts by systematically involving civil society and by gradually building the capacity of governments to ensure equal rights, social inclusion and equitable services. SDC's decision for long-term development support in Haiti, manifested in the relocation of the vocational skills development component of the CRR (Centre de Compétences à la Reconstruction) program in Haiti from Humanitarian Aid to Regional Cooperation, is in line with the international "best practices" promoted by OECD Development Assistance Committee and the International Network on Conflict and Fragility. Even though humanitarian aid is in principle—but not always in practice—short-lived, the new approach or the New Deal takes on a fragility perspective in which reconstruction efforts in emergency contexts are gradually supplemented with longer-term development programs that help to reduce fragility and conflict.

¹ Referred in the SDC documents as *Programme de coopération à moyen terme 2011-13*.

The current strategy has budgeted a total of CHF 79 million for the period 2014-17, that is, annual disbursements in the range of CHF 18-22 million. It lists the various channels that SDC uses to fund projects in Haiti: direct project support, contributions to national and international partners, and mandates to promote public-private partnerships (see Stratégie de la Coopération Suisse en Haïti 2014–2017, p. 7). The 2014-17 Cooperation Strategy identified the following three priority domains:

- Domain 1: Rule of law and governance
- Domain 2: Agriculture and food security
- Domain 3: Reconstruction and disaster risk reduction

In addition, the 2014-17 specifies how the transversal themes, gender and governance, translate into the context of Haiti (p. 17). In line with SDC's overarching principle of serving the most marginalized, the strategy also reconfirms its focus on rural areas and also identifies the geographical areas that will be primarily targeted.

Clearly, SDC's Basic Education (BE) and Vocational Skills Development (VSD) programs/projects in Haiti are carried out as part of domain 3. This desk review provides a brief overview of domain 3 with a somewhat narrow focus on BE and VSD. Given the focus of the Independent Evaluation, other components within the education sector (preschool, vocational-technical education, higher education) or in other sectors are not addressed in this brief review. The desk study has also incorporated the findings from two previous evaluations, notably:

- Evaluation of the emergency programs in Haiti, published in June 2011
- Evaluation of the CCR and PARIS programs in Haiti, published in January 2015.

Overall, the desk review draws information from strategy documents, credit proposals, program progress reports, evaluation reports, annual reports, management responses and meetings with an SDC informant. Over thirty documents were reviewed for this study. However, the list of references only includes those texts that are explicitly mentioned in the report. Furthermore, given the larger focus on SDC intervention and cooperation modalities program-level activity reports and evaluations which analyze challenges and opportunities of program implementation (e.g., SDC SCO Haiti, 2011, or report by Tom Schachter, 2012), were consulted but only partially incorporated in the report.

3 SDC's Humanitarian Aid and Regional Cooperation in Haiti: A Focus on BE and VSD

Following the 2012 parliamentary approval of the *Dispatch on Switzerland's International Cooperation in 2013–2016*, Switzerland's overall aid for fragile and conflict-affected states was increased by 15 to 20 percent.² SDC estimates that about one-half of the countries and regions in which the agency is active are considered fragile and conflict-affected.³ Haiti is considered a priority target and it consistently ranked among the top three countries that received assistance for humanitarian assistance over the past few years. The other two countries have been South Sudan and the Central African Republic.

According to the credit requests, SDC provided funding for BE and VSD programs in Haiti in the amount of CHF 18.1 million over the period 2007 through 2016. The approved credit requests cover the seven largest BE and VSD programs and projects. They include the

² Source: SDC website: <https://www.eda.admin.ch/deza/en/home/themes-sdc/fragile-contexts-and-prevention/engagement-fragile-contexts.html>

³ Source: SDC website: <https://www.eda.admin.ch/deza/en/home/themes-sdc/fragile-contexts-and-prevention/sdc-work-fragile-contexts.html>

programs and projects of PARIS (from 2011 to 2015), CCR/CCR+R⁴ (from 2010 to 2015), IADB Secondment (2012 to present day), HEKS (2007 to 2011), CAD (2008) Caritas (2010 to 2012), and Micro-actions (2011 to 2015).⁵

The PARIS program included two components – the “hard” component known as “PARIS Construction” and “soft” component known as “PARIS Etude et Pilotage.” It received the highest amount of accumulated funding of CHF 11,007,000, followed by the CCR project (CHF 5,030,970). The other SDC funded BE and VSD programs were under CHF 1 million: Funding from the IADB Secondment project was provided in conjunction with the Inter-American Development Bank (IADB) and received the third largest accumulated budget share of CHF 690,000. The HEKS project received the fourth amount of total budget allocation (CHF 647,470), followed by Microactions (CHF 400,000), then Caritas (CHF 250,000), and lastly, the CAD project (CHF 148,000). A full list with a phase breakdown of SDC’s budget allocation and duration periods to projects in Haiti from 2007 to 2015 is presented in Table 1.

Table 1: SDC Credit Requests for Haiti, 2007 – 2016 (period of the general evaluation 2007 – 2013)

Project Title	SAP Number/ Phase	Credit Proposal Amount (CHF)	Duration
PARIS: Construction	7F-07845.01	1,683,000	15.12.2010 to 31.12.2013
	7F-07845.02	8,677,000	06.11.2012 to 30.09.2016
PARIS: Etude et Pilotage	7F-08051.01	1,500,000	01.07.2011 to 31.12.2014
	7F-08051.02	1,350,000	01.06.2014 to 31.12.2015
CCR	7F-07630.01	995,000	01.05.2010 to 30.06.2011
	7F-07630.02	3,138,000	01.06.2011 to 31.03.2014
	7F-07630.03	1,420,970	01.04.2014 to 31.08.2015
IADB Secondment	7F-08471.01	230,000	30.07.2012 to 29.07.2013
	7F-08471.02	460,000	18.11.2013 to 17.11.2015
EPER/HEKS	7F-05290.01	350,000	01.05.2007 to 31.12.2008
	7F-05290.02	297,470	01.07.2010 to 31.10.2011
CAD	7F-05624.01	148,000	01.03.2008 to 30.10.2008
CARITAS	7F-07855.01	250,000	15.12.2010 to 31.03.2012
Microactions	7F-08134.01	200,000	15.08.2011 to 15.08.2013
	7F-08134.02	200,000	15.11.2013 to 15.03.2015

The two largest programs are PARIS (Program d’Appui à la Reconstruction des Infrastructures Scolaires) and CCR (Centre de Compétences à la Reconstruction). The breakdown is as follows:

PARIS Construction: accumulated budget of all phases - CHF 10,177,00.

PARIS Etude et Pilotage: accumulated budget of all phases – CHF 2,850,000.

CCR: accumulated budget over all phases – CHF 5,553,970.

⁴ Since the beginning of the CCR project’s third phase in April 2014, the “Risk” component was added, altering its title to *Centre de Compétences en Reconstruction et Réduction des Risques* or (CCR+R).

⁵ The initiative, led by Regional Cooperation, “Appui au gestionnaires des centres de formation professionnelles” (7F-08588.01) amounted to CHF 170,000 and is not included in the list of credit requests submitted by Humanitarian Aid.

As shown in the table, both programs started in 2010, the year of the earthquake. The PARIS and the CCR will phase out by the end of 2017. From 2018 onwards the RC will take over the VSD component of the CCR and extend it to a general program. As will be explained below, the CCR also includes a “Disaster Risk Reduction” component carried as a direct action by the HA. It is planned to be pursued by the HA as a middle term program also after 2018.

4 Qualitative Program and Project Descriptions

The SDC funded programs and projects in BE and VSD may be classified in three groups:

- four reconstruction programs: PARIS, IADB Secondment, HEKS, and Caritas
- one vocational training program: CCR
- one rehabilitation program: CAD.

These six programs are briefly described in the following.

4.1 Program d’Appui à la Reconstruction des Infrastructures Scolaires (PARIS)

The *Program d’Appui à la Reconstruction des Infrastructures Scolaires* (PARIS) program focuses on the reconstruction of cyclone and earthquake-resistant public educational infrastructure. It includes a “soft” component, known as the *PARIS Etude et Pilotage* that has developed three school prototypes so-called “Plans-types”, to include standard procedures and guidelines... it is more than that, please refer to the comment for the correct definition. It includes the whole institutional reinforcement, capacity building of stakeholders. In April 2014, the Ministère de l’Education Nationale et de la Formation Professionnelle (MENFP) declared the prototypes as mandatory national standards for all reconstruction school infrastructures. The PARIS project also includes a “hard” component known as *PARIS Construction* or “hard” that consists of the planning and the school reconstruction itself according to three sets of standards, each representing a different school prototype. The three school prototypes (so-called “plans-types”) are as follows:

- Reinforced concrete prototype: two or three floor buildings designed for urban areas
- Confined masonry prototype: single floor buildings that are designed for rural areas
- Timber frame prototype: one floor buildings that are designed for remote and difficult-to-access areas

As of June 2015, three PARIS schools have been completed, six are under construction, and three are at the planning stage. SDC & MENFP signed a Cooperation agreement in March 2014, by which SDC committed to reconstruct a certain number of schools and to reinforce the capacities and the role of the MENFP.

4.2 Centre de Compétences à la Reconstruction (CCR)

The Centre de Compétences à la Reconstruction (CCR) project pursues three objectives:

Second, it has made a systemic impact by developing a new VSD qualification framework for masonry. At first designed and implemented outside the regular vocational-technical system of Haiti (in the “non-formal” sector), it was adopted by the formal sector. Thanks to results shown at local level in the local training centers in which the CCR was active through its vocational training programs and a close collaboration at central level with the INFP, fostered by the coordination group organized by the SDC, the confined masonry modules are about to be

integrated in the curricula of the INFP. Over the period 2011 – 2015, INFP certified 55 technical-vocational trainers, 595 master masons, 242 former trainees trained on the job/construction site, 134 engineers, and 72 masons with a specialization in the prototype MC.

Finally, CCR offers technical and structural advice as well as training to NGOs, national stakeholders and professionals involved in reconstruction. It is a great achievement that CCR was adopted and institutionalized by the formal sector. Not only is the CCR work institutionalized in vocational-technical education, but also the University of Haiti adopted CCR material and modules for its engineering students in Port au Prince.

The following summarizes a few key activities of the CCR project:

- Provide technical support and guidance (engineering) for the development of the “plans-types” of the PARIS
- Offer technical support and institutional facilitation to prepare the PARIS school reconstruction project, and support NGOs
- Create public awareness campaigns on good practices for earthquake and cyclone-resistant constructions that are targeted towards an audience of the general public, builders, technicians, and decision-makers
- Develop a pilot risk reduction project (CCR+R) in the south-east district that is used for the training of local experts and authorities in multi-hazard mixed risk analysis and in Disaster Risk Reduction (DRR). The particularity of this analysis combines the scientific expertise and the community-based perception of hazards and risks and concludes to the definition and implementation of prevention and mitigation measures
- Provide practical and vocational training for the Direction du Génie Scolaire (DGGS) and MENFP engineers
- Train engineers, university students, and artisans in knowledge and/or skills related to disaster proof masonry.

A review of the relevant project documents suggests that the achievements of the CCR are too many to enlist in this report. As mentioned above, masonry construction training was initially tailored towards on-the-job training of low-skilled workers, referred in the documents as “nonformal training.” These trainings have since been extended over the past years to include training of the trainers (ToT), civil engineering students at the Université d’Etat d’Haïti (UEH), and also engineers who work for the local municipal technical offices.

4.3 Secondment d'un expert en infrastructures scolaires (IADB Secondment)

In 2010, the Inter-American Development Bank (IADB) committed a grant of USD 500 million to support MENFP’s education reform plan in Haiti for five years (see Credit Proposal, No. 7F-08471.02). To join forces, SDC’s HA entered an institutional partnership with IADB. As a result, SDC was able to make its technical expertise available to IADB and thereby ensure that the national authorities use the construction standards developed in PARIS. In 2014, 17 new school construction projects were launched and 50 additional ones are being planned for 2015-2016. More recently, the World Bank expressed an interest to use the timber-frame prototype for the construction of 30 schools.

4.4 Projet de réhabilitation des infrastructures communautaires de base, Département de la Grand'Anse, Haïti (EPER/HEKS)

Access to education in Haiti is seriously hampered and the challenge with access becomes further exacerbated for those living in rural and isolated areas. Traditionally, the churches play an important role in the education sector. For years, the Methodist Church, in partnership with *Entraide Protestante Suisse* (EPER; German: HEKS), constructed so-called CREPs (*Centre rural d'éducation populaire*) or community schools in remote rural areas of the country (EPER, May 2012). In 2010, the CREP schools were inspected and they were found to be over 30 years old (Proposition de Crédit, 7F-05290.01, p. 3). Accordingly, the *Projet de réhabilitation des infrastructures communautaires de base, Département de la Grand'Anse* (HEKS) targeted five CREP schools, with an overall goal to improve the quality of education in these schools. The SDC-funded BE component of the project started in 2007 and ended in 2011 (EPER, May 2012).

Its primary objectives included rebuilding and repairing five CREP schools, restoring latrines and building water tanks to facilitate storage of water (Proposition de Crédit, 7F-05290.01, p. 3), using the new post-Earthquake standards. The project promoted active community participation. It signed agreements with parents committees and involved them for the purchase, transport and storage of construction materials (Proposition de Crédit, No. 7F-05290.01, p. 8).

4.5 Centre d'action pour le développement / Contribution au centre d'accueil de Ganthier (Haïti) (CAD)

The CAD project is a rehabilitation project that targets poor and marginalized children. The number of street children (known as *Enfants des Rues*) throughout cities and villages in Haiti has been growing since 2008 (Proposition de Credit, p. 3). To address this situation, the *Centre d'action pour le développement / Contribution au centre d'accueil de Ganthier* (CAD) project works in conjunction with *Le centre d'action pour le développement* or "CAD", which is an institution with over 25 years of experience in supporting marginalized children. The project targets the social reintegration of street children by providing them access to basic education and medical services. The rehabilitation/reconstruction component of the project began in March 2008 and ended in October 2008 (Proposition de Credit, No. 7F-05624.01, p. 1).

The primary project objective of the Ganthier Center is to provide education, sanitation and health services, and psychological support to street children (Proposition de Credit, No. 7F-05624.01 p. 3). In addition to SDC's support, the center also receives financial support from other sources; in particular, for its school meal program and for paying the salaries of teachers and one social worker (see Final Project Report, No. 7F-05624.01).

4.6 Sustainable Reconstruction of the School St. Vincent de Paul (Caritas)

The 2010 earthquake destroyed or damaged one-third of the 13,599 schools in the country. The majority of affected schools were in the "Département de l'Ouest" (see Credit Proposal, No. 7F-07855.01, p. 5). It is important to bear in mind that only 12 percent of all schools in Haiti are public schools. CARITAS, an institutional partner of SDC that has been engaged in Haiti for over thirty years (Caritas, August 2011), runs schools in Haiti. In conjunction with Caritas Switzerland (CaCH), the *Sustainable Reconstruction of the School St. Vincent de Paul* project targets children and youth in the semi-urban earthquake-affected area of Gressier in west Port-au-Prince. CARITAS improved access to education for Haitian children and youth by building durable, earthquake and hurricane-resistant schools for 21,000 children.

SDC assisted with the reconstruction of school facilities in Gressier accommodating 450 students, ranging from pre-school to secondary school age. Another key activity was to pilot an effective school management system which, upon successful completion, could be replicated and scaled up by the government. SDC also co-financed four other schools in collaboration with other donors (Credit Proposal, No. 7F-07855.01, p. 2).

5 Lessons Learned from the Desk Review for the Evaluation

There are six features of SDC programs/projects in Haiti that are noticeable and relevant for consideration in the Independent Evaluation of SDC's BE programs:

First, the comprehensive approach that integrates humanitarian and development assistance both in terms of programming as well as organizational structure in the Swiss Cooperation Office.

Second, the combination of infrastructure/rehabilitation support and quality improvement in education as reflected in the vocational-skills development of construction workers.

Third, SDC's dual role as an implementer and a funder of programs carried out in one and the same country.

Fourth, the implementation of the New Deal for Engagement in Fragile States to overcome fragility, establish peace and stability, and to ensure equitably access to resources and services.

Fifth, the close collaboration with government institutions from the onset of the project (notably with the MENFP for the PARIS and the Institut National de la Formation Professionnelle in the CCR program) that ensured a successful scaling-up and institutionalization of the programs.

Finally, the success with scaling-up and institutionalizing standards and training programs nationwide that were first funded as innovations or pilot programs (see SDC Evaluation 2015/1, p. 51).

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Section 7

Desk Study Report

Mongolia

Author: Gita Steiner-Khamisi

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List of Abbreviations and Acronyms

BE	Basic Education
CHF	Swiss Franc
CODEP	Coping with Desertification Project
ESD	Education for Sustainable Development
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
ISO	International Organization for Standardization
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
STST	Short-Term Skills Development Training
TVET	Technical-Vocational Education and Training
VET	Vocational Education and Training
VSD	Vocational Skills Development

1 Preamble

This brief report on SDC's basic education programs in Mongolia is part of the global evaluation of basic education program. In an attempt to capture the global portfolio of SDC a sample of cases (such as this one) was selected that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs.

2 Background

Mongolia was traditionally a subsistence economy with more than half of the population engaged in animal husbandry and agriculture. The abolishment of the communist system of agricultural collectives and state-owned factories, the privatization of livestock, the lifting of residential restrictions in the wake of the 1991 political reforms, resulted in a collapse of the infrastructure in rural areas and triggered a mass migration from rural areas to province-center and eventually to the capital. As the Mongolians say, clearly the capital "Ulaanbaatar was at the end of the road."

Nowadays, the country's population is 2.8 million, of which over half live in the capital Ulaanbaatar. For a brief period between 2010 and 2012, Mongolia benefited from a double-digit economic growth due to the mining sector. The peak was in 2011 with a growth rate of 17.5%. Besides gold, the country had a booming economy from the export of coal and copper. For a short while, Mongolia was compared to Gulf countries and considered the New Qatar of Asia. Starting in 2012, however, economic growth slowed visibly, dropping in 2012 from the peak of 17.5% to 12.3% in 2012.¹

Over the period 2007 – 2015, the country has undergone a major transformation, characterized by the following:

- Economic growth lifting its status from a lower income to a lower-middle income economy accompanied by growing inequality in the population
- Massive urbanization leading to urban poverty, shantytowns and huge problems with pollution in Ulaanbaatar
- Desertification, drought, and other natural catastrophes due to climate change
- Land degradation due to mining, endangerment of wild life and other ecological changes
- Boom in the higher education sector and collapse of vocational-technical training

Under the communist regime, the government managed to ensure universal access despite challenging conditions: until 1991, it was a vast territory with no paved roads but a well-functioning air transportation system covering rural areas, a sparsely populated country with two-thirds of the population working as nomadic pastoralists, and extreme continental climate with short and hot summers and long and cold winters. The communist government had a well-functioning boarding school system in place for children of nomadic pastoralists and provided all kinds of support for the rural population, including scholarships for children of herders to attend higher education. What followed in the wake of the political reforms of 1991, was a "long decade of neglect of rural development" (from 1991 – 2002), leading to a collapse of the infrastructure in rural settlements (Mongolian: *bagh*) and districts (Mongolian: *soum*), an impoverishment of the boarding school system, a shutdown of small schools, and creation of large regional secondary schools in province

¹ World Bank. (2013). *Mongolia Economic Update April 2013*. Washington, DC: World Bank.

centers (Mongolian: *aimag*).² At the same time, the new government strongly promoted privatization generating a host of private universities that lowered admission requirement, charged high tuition fees, and produced graduates with diplomas for which the labor market had little use. The boom in higher education enrollment coincided with the period of youth unemployment, especially among the graduates from university, leading some researchers to investigate the phenomenon of “over-education” in Mongolian higher education.³

Against this backdrop, it is understandable that SCO Mongolia focused its support in education, as will be described later, in two areas:

- vocational skills development (VSD)
- education for sustainable development (ESD)

3 Swiss Cooperation Strategies Mongolia and Education

The Swiss Cooperation Strategies Mongolia are almost a perfect mirror of the changes that the country experienced over the past few years suggesting that the Swiss Cooperation Office (SCO) has had a firm understanding and accurate foresight of the country context, needs, and challenges. Over the evaluation period, there were two cooperation strategies: 2007-2012 and 2013-2016.

Table 1: Summary of Swiss Cooperation Strategies 2007-2012 and 2013-2016

Cooperation Strategy 2007 – 2012			Cooperation Strategy 2013 – 2016		
Domains of Intervention			Domains of Intervention		
Income and Employment	Natural Resources and Environment	Governance	Agriculture and Food Security	Basic Education and Vocational Training	State Reform, Local Governance and Civic Participation
Budget			Budget		
6.4 million	3.7 million	1.1 million	24.7 million	14.9 million	25.6 million

Sources: Swiss Cooperation Strategies Mongolia

A comparison of the two Swiss Cooperation Strategies shows that SDC has provided continued support to Mongolia in the areas of income and employment (with a stronger focus on TVET in 2013-16) and governance reform. The domain Natural Resources and Environment (2007-12) included both rural development (combatting pasture and land degradation, climate change and desertification, sustainable development of the mining sector) and urban development (air and water pollution in cities). In contrast, the domain Agriculture and Food Security of the current strategy 2013-16 focuses entirely on the rural population, notably, on farmers and herders.

² See Gita Steiner-Khamsi and Ines Stolpe (2006). *Educational Import. Local Encounters with Global Reforms*. New York: Palgrave.

³ Satoko Yano (2012). *Overeducated? The Impact of Higher Education Expansion in Post-Transition Mongolia*. New York: Columbia University, Dissertation.

4 Portfolio Overview at a Glance

SCO Mongolia administered in 2010 twelve projects with a budget of CHF 11 million and aimed at increasing its portfolio to twenty projects in 2015 comprising a total budget of CHF 65 million. Only starting with the current Swiss Cooperation Strategy Mongolia 2013-16 education is explicitly listed as a domain,⁴ even though SCO Mongolia successfully supported continuous professional training or skills development programs for veterinarians, farmers, artisanal miners, owners of small and medium enterprises, and others. In fact the projects in the domain Income and Employment were so successful in 2012 that the SDC Management lifted the score of the internal rating from “satisfactory” to “very satisfactory.”⁵

There have been four education-related programs over the past ten years. Three of them—Scholarship Program, VSD, ESD—are ongoing, and the fourth one (AltaiPort program) ended in 2008. The earlier AltaiPort program lasted from 2002 until 2008 and was funded as a humanitarian aid program geared towards improving the living conditions in school dormitories (see SAP ID 7F-02446). The project paid for repair of windows and roofs, purchasing of furniture, and installation of heating systems. In addition, SCO Mongolia supported Small Action programs such as, scholarship programs, school libraries, and other smaller projects. The SDC Scholarship Program was launched in 2006 and is currently in its third phase. It is a well-known program that grants scholarships for students from rural areas to study at a university in Mongolia (in any major and for any university). The implementation partner is the reputable Zorig Foundation, based in Ulaanbaatar. By the end of 2014, a total of 428 disadvantaged students (188 males, 240 females) benefited from the program.⁶ The budget for the SDC Scholarship Program (2006 – 2018) is CHF 600,000. For the current phase (October 2014 until May 2018), CHF 200,000 is budgeted. Since the evaluation focuses on basic education (including vocational skills development), the SDC Scholarship Program, which is geared towards higher education, has been excluded from the desk study.

As Table 2 shows, SDC funds between 2008 – 2020 two major basic education programs in Mongolia: one is related to vocational skills development and the other to education for sustainable development.

Table 2: SDC Supported Basic Education Programs in Mongolia, 2008-2020

Project Name	Duration	CHF	Domain	Description
Vocational Education & Training Project VET)	2012-2014	3.6 million	Income and Employment	Supports 7 vocational-technical schools located in the western region.
Vocational Skills Development (VSD)	2013-2016	4.5 million	Basic Education and Vocational Training	Short-term skills development training in construction and mechanics
Eco-School Project (component 3 of Coping with Desertification Project- CODEP	2008-2013	11.1 million (entire program)	Natural Resources and Environment	Promotion of eco-schools, raising public awareness about desertification, development of environmental education material.

⁴ The domain was first labeled Vocational Education and Training, then renamed Basic Education and Vocational Training.

⁵ See SDC Management Response to the Mongolia Annual Report 2012, 19 December 2012, p. 1.

⁶ See SDC Credit Proposal 7F-00930.02, p. 2.

Education for Sustainable Development for All (ESD for All)	2014-2020	13.3 million	Basic Education and Vocational Training	Integration of ESD in the curriculum of all the schools in Mongolia & ecological awareness building among leaders, people, businesses, and organizations.
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Sources: SDC credit requests.

5 Brief Project Descriptions of the Twin Programs

A brief description of the two “twin programs” (VET/VSD and Eco-Schools/ESD) helps to understand how SCO Mongolia managed to draw on networks, experiences, resources generated in previous SDC-funded programs to build new programs and thereby scale up and sustain program impact.

5.1 VET/VSD Programs

Both programs train adult men and women in “relevant” or “useful” (practice-oriented) vocational skills in order to increase their chances of employment and improved livelihood.

In the first vocational-technical program VET (2012 - 2014), SDC worked with six vocational education and training institutions in the Western provinces of Mongolia, the target region of SDC. The program supported the institutions in developing occupation standards and curricula for practice-oriented training in the following occupations: dairy production, fruit and vegetable preservation, subsistence mixed crop and livestock farming, auto vehicle mechanism, masonry, and road construction.

The second program (VSD, 2013 – 2016) is jointly funded by SDC and GIZ and includes several other smaller partners. The new program complements the VET program by providing short-term skills development training (STST) and vocational counseling and career guidance for vocational job seekers. The beneficiaries are adults who are not eligible to enroll in formal vocational education and training. They are trained in two occupations: construction and mechanics. The program also establishes partnerships with the industry, state and civil society actors to ensure practice-oriented training and enhance the employability of the trainees.

5.2 Eco-Schools/ESD for All Programs

Starting in 2008, SCO Mongolia began supporting schools in the western provinces and in Ulaanbaatar to teach environmental education to teachers and students and to transform their school into an eco-friendly school. The Eco-School project represented component 3 of the larger program Coping with Desertification Project (CODEP), lasted from 2008-2012, and had a budget of CHF 11.1 million. The main government partner of the Eco-School component/project was the Ministry of Nature, Environment and Tourism (reorganized later into Ministry of Environment, Green Development and Tourism).

Conceived as the successor program to the Eco-School Project, the Education Sustainable Development for All Program targets all three pillars of sustainable development: the environment, society and culture, and the economy. The ESD for All project targets all 628 schools (grade 1-12) in Mongolia. It uses an interesting school adoption dissemination model in which partner school mentor, train, and adopt neighboring schools. As a result, each and every school and the district in which the school is located is exposed to, has learned about, and has adopted knowledge, skills, and values of sustainable development. SCO Mongolia managed to engage both relevant ministries—Ministry of Education, Science and Culture and Ministry of Environment, Green Development and Tourism—to steer and co-finance the ESD for All program. The

total cost of the program (2014-2020) is CHF 23 million, of which SDC contributes CHF 13.3 million and the Government of Mongolia finances CHF 10 million.⁷

The ESD for All program recently attracted international attention for its holistic approach to educational development in which the partner schools are transformed into centers of community development and thereby function as catalysts for social/cultural, ecological, and economic change. UNESCO Paris is currently completing a costing study in which it used the examples of SDC's ESD for All program to calculate the cost of scaling-up and disseminating ESD in a country. It uses the program in Mongolia as exemplar of an outstanding project design that makes it possible to disseminate ESD efficiently, cost-effectively, and with sustainable impact.

6 Tentative Observations of SDC's BE Support in Mongolia

1. Until 2013, the Country Cooperation Strategy did not target education as a priority intervention domain. An earlier project (AltaiPortal) ended in 2008 and was very much focused on rehabilitation and infrastructure improvement in school dormitories. It was considered a project of humanitarian aid. Even though the second education project, the Eco-School Project (component 3 of the larger CODEP program, 2008-2012), targeted schools, the activities were mostly concentrated in extra-curricular activities (afterschool programs, clubs) and focused on organizational learning (certification of participating schools as eco-schools). Without any doubt, eco-schools in Mongolia were novel and constituted a first successful attempt to engage schools in creating ecological awareness. However, Eco Schools did not reach the masses of teachers, students, civil society and government authorities. The main beneficiaries were committed principals, teacher trainers as well as science teachers (mostly biology teachers) who believed in the value of environmental education. During that period, it was the Ministry of Environment, Green Development and Tourism who acted as the main government partner for SCO Mongolia. It was a typical SDC project, hosted outside the domain of education (in this case: natural resources and environment), in which school were merely used as a site for capacity and awareness building without any ambition to systematically mainstream environmental education in the school curriculum and in teacher education. As a corollary, the project activities tended to be, from a pedagogical perspective, peripheral to school life and mainly attracted volunteer students, teachers and teacher trainers as project participants. Nevertheless, it was the first environmental education program of its kind in Central Asia that used international standards to certify schools as "green schools."⁸
2. The move from extra-curricular to curricular activities also implied extending the radius of government partners. The new ESD for All program (2014-20) is steered and co-financed with the Ministry of Environment, Green Development and Tourism and the Ministry of Education, Science and Culture. The buy-in of two ministries is truly impressive and there is a clear division of responsibilities between the two ministries: The Ministry of Education, Science and Culture supports all ESD activities *inside* the school (curriculum revision, teacher training, textbook development, etc.) and the Ministry of Environment, Green Development and Tourism steers the change process *outside* the schools, that is, it co-sponsors public awareness campaigns in the community of the school, the larger district, as well as nationally. The close

⁷ See the Opening Proposal and Entry Proposal as well as the main credit for phase 1 of the Education for Sustainable program 7F-08784, listed in appendix 1.

⁸ In fact, the local partner of SDC's Eco-School Program, the Mongolian Nature and Environment Consortium was awarded the Energy Globe award in 2014 (granted by the Austrian Energy Globe Foundation) for "mobilising 166 schools and teaching young children about the importance of environmental issues and possible solutions to the challenges being faced. The project aims to improve the environmental education and knowledge of youth, and develop a national network focused on creating a better and healthier living environment" (Media release, 16.06.2014, downloaded from SCO Mongolia website).

collaboration of two ministries and the cost-sharing arrangement between SDC and the Government of Mongolia is exceptional and reflects the good relationship between the Swiss Consulate of Mongolia and the Government of Mongolia, a great sense of ownership by the government, and the belief of both partners in the importance of sustainable development for the country's future.

3. The ESD for All program recognizes the importance of schools as a center for the community, in particular in rural area. Therefore, the school is regarded as the nucleus for triggering a social/cultural, ecological, and economic change process that will support a sustainable development of the country. The program is sector-wide within education (includes policy support, curriculum reform, teaching reform, etc.) and inter-sectorial, that is, includes government partners, civil society organizations and companies from different public sectors. Finally, even though it operates within formal education, it draws on schools to extend into non-formal education and into the community. The new ESD for All program will continue with the organizational change feature that the Eco-School program had pursued: it applies the ISO14001 standards of environmentally responsible organizations to train and certify businesses and government organizations, along with schools, as green organizations.
4. In line with BE projects in other countries, the education programs of SCO Mongolia focus on useful skills and knowledge and adopt lifelong learning principle by targeting all age groups. This applies for both types of education programs: the ESD for All and the VSD program. The VSD program demonstrates how practice-oriented, short-term skills development training increases the employability of trainees. Different from BE projects in other countries, SCO Mongolia collaborates closely with VET institutions in the formal education system and attempts to reform the curriculum in ways that makes the training more practice-oriented, aligned with occupational standards, and responsive to labor market needs.
5. It is noticeable that SCO Mongolia makes use of baseline studies, clearly measurable mid-term targets and benchmarks for developing entry proposals but also for annually reporting on progress/setbacks experienced over the past year. It appears that Mongolia is more analytical and self-critical in monitoring its work than what is common in SDC annual reports. In the Annual Report 2008, for example, three response categories were provided:
 - On track – keep up the good work
 - Analysis and close monitoring needed
 - Corrective action needed

From the ten rated outcomes, four were identified as “on track – keep up the good work” and six as “analysis and close monitoring needed.” The excerpt from the 2008 Annual Report of SCO Mongolia is included in ANNEX 2 as a positive example of an internal review.⁹ As mentioned above, the SDC Management lifted the rating for the Income and Employment Program (see Annual Report 2012) from “satisfactory” to “very satisfactory” because it found the SCO to be too modest and self-critical.

In sum, the Mongolia case study is a good case in point to understand the positive changes that resulted from hosting the two large educational programs in their own domain, entitled Basic Education and Vocational Training. Both programs were previously based in other domains. In basic education, in particular, the relocation of the ESD for All Program is likely to show positive results including sustainable impact. The inception phase of the program has just ended in spring 2015 and it is too early to predict the actual

⁹ As shown in the evaluation report, 83% of the ratings, published in annual reports of five sample SCOs over the period 2011 - 2014, score the program outcomes as “satisfactory” or “very satisfactory.” There is a need to explore whether there is indeed a trend towards more positive self-evaluations over the past few years.

outcomes. By design, however the Education for All programs is likely to increase the ownership by two ministries, institutionalize ESD across the curricula and teacher education during rather than only after school hours, ensure a greater inclusion of educational expertise, and scale up ESD into a nationwide social movement. The ultimate goal is to sensitize not only school-aged children and teachers but the entire population on issues related to environmental responsibility, social inclusion, and equity as prerequisites for of a stable and sustainable development of the country.

ANNEX 1: List of Reviewed Documents

SAP Id number	Action Name	Document Title	Description
7F-08784	Education for Sustainable Development Program	Opening and Entry Credit Proposal	Opening Credit: 01.12.2013 to 31.03.2014 Entry Credit: 01.12.2013 to 31.05.2020
		Credit Proposal Phase 1	Official Credit Proposal format with no signatures. Covers Phase 1 from 01.12.2013 to 31.12.2017.
		Education for Sustainable Development – Main Credit (01.12.2013 – 31.12.2017)	Not an official Credit Proposal, but a very similar format with detailed program description
		Education for Sustainable Development in Mongolia: A Multi-Level Baseline Study Volume 1: Report (June 2013)	Report on the baseline study of mainstreaming ESD. The findings from this study serve as baseline for monitoring progress in the larger ESD project that is scheduled to begin in 2015 with joint funding from MES, MEGD, and SDC.
		Inception report covering the period from 01.12.14 to 20.02.15	First annual/operations report for the project.
7F-02446	Mongolia / 'AltaiPort' Schools	Credit Proposal Phase 1 (02 September 2002)	Official Credit Proposal format with no signatures. Covers Phase 1 From 01.09.2002 to 31.12.2002. It has a short program description and basic budget.
		Credit Proposal Phase 2	Official Credit Proposal format with no signatures. Covers Phase 2 From 01.07.2004 to 30.06.2005. It has a short program description and basic budget.
		Credit Proposal Phase 3 (14 July 2005)	Official Credit Proposal format with no signatures. Covers Phase 3 from 01. 07. 2005 to 30. 06. 2006. It has a short program description and basic budget.
		Credit Proposal Phase 4 (9 October 2006)	Official Credit Proposal format with no signatures. Covers Phase 4 from 01.10.06 to 30.09.08. It has a short program description and basic budget. Includes a summary evaluation of Phase 3.
		ALTAI PORT II –PROJECT (September 2005)	Financial Audit report for Phase 2
		ALTAI PORT III PROJECT (July 2006)	Financial Audit report for Phase 3
		ALTAI PORT IV PROJECT (October 2008)	Financial Audit report for Phase 4
		"Altai Port" Project evaluation report (June 2006)	Evaluation report for Phase 3.
		AltaiPort Project Final Report (September 2002)	Phase 1 final report

	<p>– December 2003)</p> <p>AltaiPort II - Mongolia Contributing to enhance the access of herder children to dormitories and thus to school Midterm report</p>	
	<p>AltaiPort II - Mongolia Contributing to enhance the access of herder children to dormitories and thus to school Final Report Revised November 2005</p>	Phase 2 Midterm Report
	<p>AltaiPort III- Mongolia Contributing to enhance the access of herder children to dormitories and thus to school Midterm Report</p>	Phase 2 Final Report
	<p>AltaiPort III- Mongolia Contributing to enhancing the access of herder children to dormitories and thus to school Final Report</p>	Phase 3 Midterm Report
	<p>AltaiPort IV-Mongolia Contributing to enhance the access of herder children to dormitories and thus to school First Quarter Report</p>	Phase 3 Final Report
	<p>AltaiPort IV- Mongolia Contributing to enhance the access of herder children to dormitories and thus to school Second Quarter (Mid-term) Report</p>	Phase 4 Quarter 1 report
	<p>AltaiPort IV-Mongolia Contributing to enhance the access of herder children to dormitories and thus to school Third Quarter Report</p>	Phase 4 Midterm Report
		Phase 4 Quarter 3 report

		AltaiPort IV-Mongolia Contributing to enhance the access of herder children to dormitories and thus to school Final Activity Report	Phase 4 Final Report
7F-04319	COOF Ulaanbaatar Small Actions	General list of the small projects: 1. Urban Nomads Project 2. Revival and preservation of ethnic folklore 3. Gender and politics training 4. Human Rights Day Campaign 5. Investigative reporting training 6. NAYAMI Zegt Naamal Development 7. Nomad Citizens lab 8. Support to Notary training 9. Occupational Therapy in Mongolia 10. Rehabilitation of Prison 419 11. Support to detention center 12. Internship program for Mongolian teachers of English language	
7F-06231	Sustainable Livestock Management Project	Credit Proposal Phase 1 (02.06.2008)	Formal signed credit proposal for Phase 1 covering period from 01.07.2008 to 31.12.2009. Has detailed program description.
		Planning Platform Livestock Sector Project Mongolia 01st January 2009 to 31st December 2011	Justification/Proposal for new 7 year project?
		Livestock Project, Mongolia (LP); Phase 1: 01.07.2008 to 31.12.2011	SDC's own program proposal for the duration of 2008-2011
		CP Livestock: Annexes: 1 to 11	Annexes to SDC's own program proposal for the duration of 2008-2011
		SDC Livestock Project Mongolia External Review Component 1 (11 to 23 October 2010)	External midterm project evaluation
		Credit Proposal Phase 2 (15.09.2011)	Formal signed Credit Proposal for Phase 2 covering the period 01.01.2012 to 31.12.2015. Includes detailed program description.

		CP AHP Annex 1-8	Annex to the phase 2 Credit Proposal. Includes: Problem tree, MOU, LogFrame, Org structure, partners, TORs, Budget, risk analysis among other things,
		CP AHP Annex 9-12	Annex to the phase 2 Credit Proposal.
		Mission Report Final Version 10.12.2013	Internal Mid-Term Review of the Animal Health Project (AHP) Phase II 16 October – 26 October, 2013
7F-00930.01	SDC Scholarship Program	Credit Proposal Phase 1: September 2006 – February 2011	Grants scholarships for disadvantaged students from rural areas to study at a university in Mongolia (in any major and at any university). Implementing partner is the Zorig Foundation.
7F-00930.02		Credit Proposal Phase 2: December 2010 – May 2014	Grants scholarships for disadvantaged students from rural areas to study at a university in Mongolia (in any major and at any university). Implementing partner is the Zorig Foundation.
7F-00930.03		Credit Proposal Phase 3: October 2014 – May 2018	Grants scholarships for disadvantaged students from rural areas to study at a university in Mongolia (in any major and at any university). Implementing partner is the Zorig Foundation.
Annual Reviews 2008, 2011, 2012, 2013, 2014			
Swiss Cooperation Strategy Mongolia 2007-2012, Swiss Cooperation Strategy Mongolia 2013-2016			

ANNEX 2: Positive Example of an Internal Annual Review (AR 2008)

Table 1: Monitoring the Delivery of Development Results of the SCS 2007-12 of the Mongolia Program

Country Outcome 1: Improved legal framework and implementation capacities for management and monitoring of rangeland at the herders and national level	07	08	09	10	11	12
1.1: Three key gender-responsive and equitable legislations actively developed.	1					
1.2: Herders are empowered to gain land tenure and to manage natural resources	2					
1.3: Capacity to effectively and efficiently implement policies & regulations developed	2					
Country Outcome 2: Strengthened resilience of herders to vulnerabilities in the livestock sector and improved disaster preparedness and environmental stewardship	07	08	09	10	11	12
2.1: Quality seeds available and appropriate planting technologies introduced	1					
2.2: Sustainable NRM practices introduced to stop desertification of rangeland	2					
2.3: Afflicted herders secure their livelihoods during and after natural disasters	2					
Country Outcome 3: Increased income of herders and ex-herders based on improved productivity of their livestock and income diversification	07	08	09	10	11	12
3.1: Quality of local resources, services, skills and technologies improved	2					
3.2: Regional and local economic development initiatives supported	1					
3.3: Livestock management and support services for herders strengthened	2					
Partnership Outcome 4: Deepened 'third neighbor' relations and improved governance & gender equality	07	08	09	10	11	12
4.1: Swiss Mongolian relations, Governance and Gender	1					

1) on track-keep up the good work; 2) Analysis & close monitoring needed ; 3) Corrective action required

Section 8

Desk Study Report

Niger

Authors: Estefania Sousa and Gita Steiner-Khamisi

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List of Abbreviations and Acronyms

FONENF	Fonds National pour l'Éducation Non Formelle
FOPROR	Programme d'Appui à la Formation Professionnelle
GANI	Gross National Income
HDI	Human Development Index
PAQUE	Programme d'Appui à la Qualité de l'Éducation
PDES	Plan de Développement Économique et Social
PEAJ	Programme d'Éducation Alternative des Jeunes
PENF	Programme d'Appui à l'Éducation Non Formelle
SDC	Swiss Cooperation Agency
SDRP	Stratégie de Développement Accéléré et de Réduction de la Pauvreté
WFP	World Food Program

1 Preamble

This brief report on SDC's basic education programs in Niger is part of the global evaluation of basic education program. In an attempt to capture the global portfolio of SDC a sample of cases (such as this one) was selected that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs.

2 Background

Niger is one of the biggest African countries, with more than 80% of the total area covered by the Sahara desert. The country gained its independence from France in 1958. Following over a decade of a single party regime, the first coup d'état, in 1974, set out a military regime that lasted until 1987, with the death of the then president, Seyni Kountché. In 1989, the first elections were held but two coups d'état, one in 1996 and another one in 1999 challenged the country's political stability once more. After the 1999 coup d'état, the Nigeriens lived a decade of political stability, interrupted in 2009 and recovered with the militia power in 2010. The 2011 elections, conducted in a more transparent way, seem to be leading Niger to a democratic path. However, the instability in neighboring countries is a constant threat to Niger's stability.

As a result of a history marked with instability and wars, in 2014 Niger was ranked last (187th out of 187 countries) in the Human Development Index, with a score of 0.337. Concomitantly, while the GNI per capita has decreased 33.6 percent from 1980 to 2013, the income inequality in Niger is less evident than in Sub-Saharan Africa or other countries in the region, with 17.9 percent of income inequality amongst Nigeriens. The Gender Inequality Index is, nonetheless, very low, at 0.674, when the average for low HDI countries is 0.586. Thus, with one of the highest population rates in the world, 50 births per 1000 according to the World Bank, increasing economic growth and development in this country requires an integrated strategy. SDC has been operating in Niger since 1978 and it's among one of the most important donors operating in the country. The evaluation covers the period from 2007 to 2013, Table 1 represents SDC's contributions to Niger from 2007 to 2013.

Table 1: SDC's Credit Requests in Niger, 2007-2013

SAP Number	Credit Proposal Amount in CHF	Duration
7F-03124	2,500,000	01.10.2011 - 30.09.2013
7F-06858.01	5,000,000	01.10.2011 - 31.12.2014
7F-06858.02	18,500,000	01.12.2014 - 30.11.2018
7F-07170.01	5,500,000	01.09.2012 - 31.12.2018**
7F-07791.01	1,800,00	01.12.2011 - 31.05.2013
7F-07791.02	6,500,000	01.10.2013 - 30.09.2016
7F-03738.02	4,940,000	01.09.2008 - 31.08.2011
7F-03738.02	580,000	01.09.2008 - 31.08.2011*
7F-03738.01	560,000	31.03.2005 - 31.08.2008*
7F-01185.04	988,000	01.01.2005 - 31.12.2008
7F-06268	195,000	01.05.2008 - 30.04.2009
7F-08298	4,500,000	25.12.2011 - 31.12.2012

* Additional Credit Proposal

**Entry Proposal and Main Credit Proposal.

Overall, the Swiss are the 13th largest donors in Niger, behind the US, France, Germany, Japan, Canada, Spain, Luxembourg, Italy, Great Britain and the European Union.

3 SDC's Cooperation Strategy and Basic Education in Niger

SDC's office in Niger gives support to development activities, humanitarian aid and peace promotion, while supporting multilateral agencies that work in those domains.

SDC's Niger Cooperation Strategy 2010-2014 aimed at improving food security and increasing rural Nigériens' purchasing power through supporting local production, trade as well as education and vocational training. Thus, rural development and education-vocational training constitute main domains of the SDC's intervention in Niger.

Looking specifically at basic education and vocational training, these domains are aligned with three-priority axis:

- Improving the quality of the formal education system, focusing on the scaling up of bilingual education and improving the national mechanisms for pre-service and in-service training of teachers and the increased access of girls. Girls are considered extremely important for achieving food security in households and contributing by participating in the agricultural activities.
- Support to the non-formal education programs for adults and youth left out of school or who abandoned it. This should be consolidated by the creation of a support fund for non-formal education, the FONENF.
- Offer vocational training for the rural population providing them the access to minimum knowledge, essential learning and useful contents to modernize the agricultural

4 Qualitative Dossier Description

From 2006 to 2013 SDC implemented nine programs—five that were education-specific and four with education as a component. All of the programs had BE as first, second and third priority, although the majority of them considered education as first priority. The non-education specific programs focus on food security, local governance, infrastructure building and rural development and a gender program as can be seen in Table 2.

Table 2: SDC's Basic Education Projects in Niger, 2006-2013

SAP Number	Program	Contract Partner	Project Goal
7F-03738	Programme d'Infrastructures locales dans la Région de Tillabéri Nord	Consortium Intercooperation+ Perreten&Mileret SA (IC+PM)	Build infrastructure with community involvement and decision-making. Improve access to resources and decrease gender inequality
7F-07170	Programme d'Éducation Alternative Jeunes – PEAJ	Nigerien non-profit to identify SDC	Alternative education formulas for 9-15 year olds in rural areas in order to provide them the skills and competencies to be fully integrated in the job market
7F-07791	Programme d'Appui à la Formation Professionnelle – FOPROR	SDC Fondation Swiss Contact	Provide quality vocational training in rural areas. It involves 15-30 year olds but also the training of trainers and actors working in vocational training and members of professional organizations in the regions of Dosso and Maradi

7F-01185	Programme Genre Niger	SDC National NGOs	Have a gender approach in all of SDCs programs and work towards a better decision-making power and participation in the community life by women
7F-02972	WFP-SDC Joint Pilot to support Basic Education	WFP	Improve access to education in rural and nomadic areas
7F-06228	Programme d'Appui à la gouvernance Locale à Tillabéri	SDC	Contribute to the improvement of the well-being of women, men and children by facilitating in the functioning of the structures, mechanisms and process that allow for locals to express their needs and interests, manage their conflicts and practice their rights and obligations in the Tillabéri region
7F-03124	Programme d'Appui à l'Éducation Non Formelle - PENF	VIE SDC	Improve the well-being and socio-economic integration of youth and adults in Niger
7F-06858	Programme d'Appui à la Qualité de l'Éducation Formelle- PAQUE	Regional directions: Dosso et Maradi Two Normal schools (ENI): Dosso et Maradi Three national directions for conception and monitoring	Improve the quality of learning of primary education students by supporting the National Education Strategy, bilingual education and strengthening the initial and in-service teacher training instruments
7F-08298	WFP Contribution to Country Programs in Benin, Burkina Faso, Mali WFP contribution to country programs in Benin, Burkina Faso, Mali and Niger	WFP	Reduce chronic food insecurity and hunger and support disaster prevention measures and emergency preparedness

4.1 Programme Genre

The Gender program started in 1993, named Programme National Femmes and aimed at promoting women's practical needs and their community' needs, and the defense of strategic women's rights. The lessons learned from this program showed that SDC's programs were not taking gender as a transversal theme in an effective manner and led to the design of the transversal programs from 1997 to 2003. The current goal of the program is taking into account women and men's interests in all of the SDC's programs in Niger, facilitating women's access to resources and decision-making mechanisms within the family and community and contributing to the improvement of women's social position in Niger, overall.

The final Report of phase 4 (ended in 2011) stated that except for an external evaluation in 2009, the program went on 5 years without any financial or operational progress report (Rapport de Fin de Phase 4, page 4). The lack of supervision of the poorly capacitated NGOs, lacking administrative, financial and management skills as well as competencies in planning and following up the results, led to a situation where the SCO had to intervene directly and start acting as implementer of the program.

An external evaluation of the phase 5 of the project¹ concluded that there aren't baseline analysis to define the correct logical framework and the activities that are more relevant to the context; most indicators are of quantitative nature; and although there have been positive outcomes in terms of girls schooling it is not possible to correlate them with the SDC's interventions in terms of gender as a transversal theme.

5 Tentative Observations

5.1 Relevance

SDC's education and professional training intervention domain is relevant and has many elements that can contribute to the Niger's strategic orientations of development.² Having the PSEF as the main guideline for this component, SDC's project portfolio also has a holistic approach to education and vocational training, including the quality of the subsectors of the formal education system as well as the non-formal sector. The cooperation strategy aims at contributing to the increased access to a quality education and vocational training programs, formal and non-formal, that are adjusted to the context and needs of the beneficiaries and can better young Nigeriens' integration in the job market.

5.2 Efficiency and Effectiveness

Program effectiveness and efficiency assessment has been affected by several challenges. First, almost all the projects take decentralization as a reality, while in practice it's still being implemented. Yet, the country's political instability has not been conducive for a real decentralization. At the state level, 62% of the 52.000 public servants are placed in Niamey and the same goes with resource allocation.³ Second, the fact that baseline studies do not have enough contextual analysis affects the relevance and quality of the planned outcomes and outputs.⁴ This is essential not only to have a global and integrated perspective on the thematic but also to have a deeper understanding the subjacent factors of Niger's challenges. Third, monitoring and evaluation processes and the formulation of outcomes and outputs need to be implemented in order to better track the targets and make mid-term reviews that lead to the attainment of the cooperation strategies the projects.⁵

The partnership with the Nigerien NGO VIE in the Programme d'Éducation Non Formelle (PENF) lacked strategic vision for SDC's contribution. In an evaluation conducted in 2011⁶ it was concluded that although the program had positive quantitative outputs, namely in terms of people enrolled and successfully trained in the alphabetization and DUDAL centers (centers for 9-14 year olds), there are many qualitative issues, with an abandonment rate of 60% of the participants. The percentage of female animators, another output of the program grew from 43.7% in 2009 to 45% in 2011. However, this was mostly due to the decrease in male animators than to the increase of female monitors in the alphabetization centers. In terms of supervising positions, the number of females decreased from 3 in 2009 to 1 in 2011, which shows that the gender components of the

¹ Laouné, E., Condat, G. (2012). Évaluation externe prospective du Programme Genre-Scolarisation des filles – Phase 5.

² As expressed in the poverty reduction strategy – Stratégie de Développement Accéléré e de Réduction de la Pauvreté (SDRP) and national development plan, the Plan de Développement Social et Economique (PDES)

³ Section Évaluation et Contrôle de Gestion. 2015. *Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015*. Berne: SDC

⁴ Idem

⁵ See Laouné, E., Condat, G. (2012). Évaluation externe prospective du Programme Genre-Scolarisation des filles – Phase 5 and Section Évaluation et Contrôle de Gestion. 2015. *Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015*. Berne: SDC

⁶ Ouedrago, G. Mallam, M. (2011). Évaluation de la Phase 5 du Programme d'Éducation Non Formelle PENF Niger

program were not met. The PENF also had negative outputs in terms of production and dissemination of didactic and pedagogic materials for the centers, as well as the creation of a standardized curriculum.

The gender program, on the other hand, provided positive outputs in terms of girls' schooling but did not manage to demonstrate positive outcomes in terms of women's improved position in the society. Another issue is related to the fact that some of the outputs cannot be fully attributed to SDC's programs in the sector.⁷

Finally, it is important to mention that the focus on two specific regions – Dosso and Maradi – is relevant and efficient. Nonetheless an extensive analysis to understand the socio-cultural and geographical diversity of the country, could be useful to define the areas of intervention of the future Cooperation Strategy.⁸

5.3 Holistic Approach to Education

With the goal of improving the quality of basic education and vocational training systems in the rural areas of Niger, SDC has a holistic approach to education, aiming at improving the adult literacy rates in the non-formal education and increasing girls' education at the formal level.

The four education programs implemented during the period of analysis have formal, non-formal and education policies as an SDC priority theme 1. One of them – PAQUE and PEAJ – focuses more specifically on the 9-14 age group while the others have a broader target. The outcomes and outputs expected for these programs are to increase the beneficiaries learning outcomes through training/schooling, and the development of skills set and competencies to integrate economic life and improve their food security and livelihood, especially in the rural areas.

5.4 Ownership

SDC has made an important contribution to the policy dialogue by placing education quality and non-formal education at the table with the Nigerien government and canvassing its support to strategies and priority activities, but there have been many issues at extending the programs benefits to a greater amount of beneficiaries. However, the main axis of the Swiss cooperation strategy for improving the quality of formal education, the scaling up of bilingual education to formal schools; and the instrument to leverage non formal education, the operationalization of, the Fonds National pour l'Éducation Non Formelle (FONENF) were not achieved.⁹ In what regards bilingual education, state agents did not work actively towards meeting their commitment in introducing a bilingual education curriculum and SDC had to drop it in the second phase of PAQUE. On the other hand, the political crisis prevented the operationalization of the FONENF; despite most of the groundwork being done in order to operationalize it and SDC now remains one of the only donors interested in the non-formal sector.¹⁰

⁷ Rapport Fin de Phase 4 Genre Niger

⁸ Évaluation et Contrôle de Gestion. 2015. *Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015*. Berne: SDC p.13.

⁹ Idem, p.11.

¹⁰ Évaluation et Contrôle de Gestion. 2015. *Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015*. Berne: SDC p.11.

5.5 Sustainability

SDC is recognized as a long lasting donor in Niger, present in the region since the 1970s and investing in the non-formal education even when other donors did not seem to consider this sector a priority. However, most programs cannot demonstrate sustainability strategies or results.¹¹

PAQUE is a good example of a program that wants to intensify the donor harmonization and therefore increase the impact and sustainability. In the first phase there is a limited number of contract and other types of partners. The second phase involves more donors and establishes synergies with PEAJ, FOPROR, the support program to territorial collectivities, PCT, all SDC's programs but also with programs of other development agencies.

The Faire-Faire strategy is considered by SDC has a way of assuring the sustainability of its programs. Yet, the lack of institutional capacity of the implementing partners, the insufficiency of funds from the government and an unclear definition of the roles and responsibilities of the stakeholders in the process may affect the effectiveness and consequent sustainability of the programs.

¹¹ Évaluation et Contrôle de Gestion. 2015. Évaluation de la Stratégie de Coopération de la DDC au Niger 2010-2015. Berne: SDC.

ANNEX 1: Niger Desk Study Report References

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Section 9

Desk Study Report

On SDC's Contribution to UNRWA

Authors: Samar Farah and Gita Steiner-Khamsi

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List of Abbreviations and Acronyms

BE	Basic Education
CCM	Core Contribution Management
CHF	Swiss Franc
ComGen	Commissioner-General
HDG	Human Development Goals
HQ	Headquarters
M&E	Monitoring and Evaluation
MLA	Monitoring Learning Achievement
MTS	Middle Term Strategy
OD	Organizational Development
SBTD	School Based Teacher Development
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
UNRWA	United Nations Relief and Works Agency for Palestine Refugees

1 Preamble

This desk study report is based on an analysis of documents as well as phone interviews with a SDC and a representative of the United Nations Relief and Works Agency for Palestine Refugees (UNRWA). The desk studies represent an attempt to capture the global portfolio of SDC in basic education. For this purpose, a representative sample of cases (such as this one) was selected that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs.

2 Background

Education is UNRWA's largest program, amounting to close to 60 percent of the Agency's General Fund. Within the context of basic education, UNRWA's strategic objectives as stated in its Middle Term Strategy (MTS) 2010-2015 are: (1) ensuring universal access to and coverage of basic education; (2) enhancing education quality and outcomes against set standards; (3) improving access to education opportunities for learners with special needs.

These are measured based on the following indicators: (1) survival rate for basic education for girls and boys; (2) dropout rates of boys and girls in elementary and preparatory schools; (3) student achievement in MLA (Monitoring Learning Achievement) tests administered by UNRWA for grade 4 and 8 students in Arabic and mathematics; and (4) enrolment of special education needs students in schooling (CCM Annual Report 2014, p. 5-10).

In addition to Switzerland's non-earmarked contribution in the General Fund of UNRWA, SDC supported UNRWA's Education Reform in the amount of CHF 2 million to help narrow the funding gap for implementing the education reform. The goal of the reform is to improve the effectiveness, efficiency, and quality of education systems and structures (Credit Proposal 7F-08256.02, p.3-4).

SDC's most recent commitment to UNRWA's institutional and operational reforms in education is laid out in the CCM (Core Contribution Management) Sheet 2010 – 2015. The CCM Sheet functions very much like a strategy document in that it lays out Switzerland's engagement strategy with UNRWA for the next few years. The current CCM cycle ends in 2015 and the new cycle will most likely cover the period 2016-19. The current CCM Sheet or engagement strategy was implemented over two phases. The goal of the first phase was to "promote reforms and new sources of funding to enable UNRWA to better implement its mandate and to provide quality services to Palestine refugees" (Credit Proposal 7F-08256.01, p.2). The goal of the second phase was "to ensure that Palestine refugees' girls and boys living in the occupied Palestinian territories (oPt) have access to quality education services" (Credit Proposal 7F-08256.02, p.2).

3 Portfolio of SDC's Support for UNWRA

UNRWA (United Nations Relief and Works Agency) was set up in 1950 to provide direct health, education, and relief and social services to the Palestine refugees in the occupied Palestinian territories, Jordan, Syria, and Lebanon. Since that time, Switzerland has been one of its main donors, supporting it with over CHF 321 million. In 2004, Switzerland organized and hosted the Geneva Conference resulting in UNRWA conducting a 3-year comprehensive Organizational Development (OD) Programme that has brought about significant changes to its work. From 2006, Switzerland became a member of its Advisory Commission and has therefore also played greater role in policy discussions and planning activities (Credit Proposal 7F-06956.01, p.5).

The Swiss Agency for Development and Cooperation (SDC) provides support to UNRWA in four areas:

1. Contributions to the UNRWA General Fund
2. Support to UNRWA reform process
3. Special ear-marked project contributions (based on priority areas of the Palestine Refugee Programme)
4. Secondments (Credit Proposal 7F-06956.01, p.7)
5. Emergency Assistance

4 SDC's Typical Support Activities in Education

SDC's contribution to UNRWA has encompassed a variety of activities focusing on formal education, non-formal education (vocational skills development), and education policy. This is for the ultimate benefit of nearly 500,000 pupils attending UNRWA's schools and technical vocational education and training centers.

In the context of formal education, SDC's activities include providing funding for teacher and principal development programs, such as Leading for the Future and School Based Teacher Development (SBTD): Transforming Classroom Practices; curricula development and training materials; as well as school reconstruction.

Under non-formal education, or vocational skills development, over the 2012-2014 period the SDC was involved in a range of activities, one of which was the provision of funding for market relevant courses to 400 vulnerable drop-outs and over-aged students in Lebanon and Jordan (CCM Annual Report, 2014).

The SDC also plays an important role in driving education policy in collaboration with UNRWA. In 2010, it funded an extensive review of its education programme consisting of five studies on: (1) organization and management of UNRWA education; (2) quality of UNRWA education; (3) UNRWA teacher education; (4) UNRWA's schools; and (5) Special Education Programming. Following this evaluation, SDC supported the implementation of the Education Reform for 2010-2015. Most recently, the SDC participated in discussions and supported the development of the latest Medium Term Strategy for 2016-2021 (CCM Annual Report, 2013 Final, p.3).

5 Achieved Results within Basic Education

UNRWA currently works with approximately 700 primary schools serving nearly 500,000 students and a teacher training centre serving 900 education staff. Over the period of 2012-2014, while academic achievement remains low indicating improvements needed in the quality of teaching and learning positive changes were observed within basic education particularly with drop-out rates falling in the West Bank and Lebanon. However, most targets were not achieved and there remains room for improvement. In addition, the data for certain indicators is incomplete and more indicators can be identified to better determine changes in access and quality in education.

Table 1 illustrates the changes observed for dropout and survival rates of males and females for 2013 and 2014 (no data was available for 2012). Dropout rates for both males and females are in most cases higher than the baseline rate as well as the target. While rates of female dropouts decreased significantly both at the elementary and preparatory

Table 1: Dropout and Survival Rates for Basic Education by Gender, 2013-2014

Indicator	Male		Female	
	2013	2014	2013	2014
Dropout rate (%)	Elementary	2.6	2.6	1.7
	Preparatory	5.9	4.0	5.9
Survival rate for basic education	89.8	89.8	94.1	94.1

Sources: CCM Annual Reports (2013, 2014).

level, those for males dropped only at the preparatory level. Over the same period, the survival rates stayed the same for both males and females.

While no data is available on student achievement in mathematics and Arabic for this time period, the 2014 annual report states that provisional results indicate that progress has been made in mathematics and Arabic in grade four.

Finally, in UNRWA's efforts to provide more inclusive education, the data shows a slight increase in the percentage of students with special needs attending schools (from 3.0% to 3.6% between 2013-2014).

6 OECD DAC Analysis

This section presents an analysis of UNRWA's programs as discussed in SDC reviews and documents. The evaluation teams used OECD-DAC criteria for evaluation: relevance, effectiveness, efficiency, impact and sustainability.

6.1 Relevance

UNRWA's Medium Term Strategy (MTS) for 2010-2015 states four human development goals (HDGs) for Palestinian Refugees in the West Bank and Gaza, Jordan, Syria, and Lebanon. These include (1) a long and healthy life (health); (2) knowledge and skills (education); (3) a decent standard of living (relief); and (4) human rights to the fullest extent possible (protection) (Credit Proposal 7F-08256.02, p.17).

In response to these four HDGs, SDC identified three strategic outcomes with UNRWA as part of its new Core-Contributions Management (CCM) tool. These are: (1) improving UNRWA's service delivery to meet the needs of refugees in the programme areas of Education and Relief and Social Services, as well as Infrastructure and Camp Improvement; (2) ensuring that UNRWA's External Relations and Communications Department secures the funds necessary for the Agency to effectively deliver its mandate; and (3) UNRWA successfully strengthens its internal management, building on the gains made by the Organisational Development (OD) Programme.

6.2 Effectiveness

In the years of 2012-2014, SDC's annual reports indicate that it attained at least between 60-80% of its objectives for its activities under outcomes 1 (improving UNRWA's service delivery) and 3 (strengthening its internal management), and 80-100% for those under outcome 2 (securing funds for UNRWA). These goals were achieved through promoting policy dialogue and active involvement within the Advisory Commission and its Sub-Committee on selected topics (ex. dialogue with hosts and donors to facilitate consensus building; funding of innovative projects; and active dissemination of lessons learned) (Annual Report 2013 Final).

However, these efforts are consistently hindered by one primary challenge and that is the dire financial situation that UNRWA is in. Despite the growing financial support for

UNRWA on an annual basis, its needs are “enormous – due to the increasing numbers of refugees, years of neglected maintenance, unhealthy living conditions etc. – which render the existing donor contributions negligible and UNRWA’s approach of limited impact considering the overall need” (Annual Report 2013, p.6).

6.3 Efficiency

It is difficult to determine the efficiency of the SDC’s support activities to UNRWA based on the documentation provided due to the lack of data on: the cost-effectiveness of the projects, the extent to which the objectives were achieved in a timely manner, and whether the activities were cost-efficient. There is evidence, however, that the SDC has been supporting reforms such as Enterprise Resource Planning and Resource Mobilization. In the latter reform, it was involved from the early stages of developing the strategy, supporting its endorsement, implementing it and funding it throughout the process (Annual Report, 2013, p.2). Given the precarious financial situation of UNRWA, SDC has continued its support in 2016 for a resource mobilization program.

6.4 Impact

SDC has been a supporter of UNRWA’s Education Reforms and has had a positive impact on a range of the Agency’s activities between 2012-2014. Some activities have had a direct positive impact, such as funding efforts to introduce improved teacher policies and two large scale professional development programmes for the Agency’s school staff (approximately 2,887 teachers and 353 School Principals have completed the programme) as well as student centred information systems in 2013. It also helped to fund infrastructure development within education by funding school reconstruction projects in Lebanon and Gaza Strip, which impacted over 2,000 students.

With the financial help of the SDC, in 2014 UNRWA introduced interactive learning material produced for its TV and YouTube channels - created to strengthen the education process and ensure continuity during emergency. It has been especially successful in Syria due to the conflict, although number of students who were impacted was not provided. It also utilized bilateral funding to offer market relevant courses to vulnerable drop-outs and over-aged students. 400 students graduated in Lebanon and Jordan.

Others activities have more indirectly impacted UNRWA’s work. For example, the SDC led discussions across partners to support and endorse the latest education strategy, including the endorsement of two key policies (i.e. Inclusive Education; and Human Rights, Conflict Resolution and Tolerance). The SDC also funded a comprehensive monitoring and evaluation (M&E) framework to monitor the reform currently in place, as a result strengthening evidence-based policy and strategic management. This effort was supported by secondees in Lebanon, who also helped to improve quality control in all UNRWA schools in Lebanon by introducing a school management system (CCM Annual Report 2012).

Nevertheless, this impact has been limited to some extent due to the significant financial difficulties facing UNRWA in light of its deficit, the rising poverty levels of Palestinian refugees, and the increasingly dire situation of the refugees in Syria. This has, therefore, hindered the education reform efforts and led to greater emphasis being placed on emergency support systems (CCR Annual Report 2013, p. 11). For example in 2013, only 68% of UNRWA’s Education Reform was funded.

6.5 Sustainability

Sustainability is likely the biggest challenge in SDC’s work with UNRWA due to the high dependence of UNRWA on its donors for financial resources to maintain its regular activities. This has been especially difficult in light of the growing political instability in the surrounding countries in which UNRWA operates, which has led to the Agency

experiencing a financial crisis that could potentially lead to a major reduction of its services (Credit Proposal 7F-08256). According to the interviewed SDC representative, there is a good chance that UNRWA schools in the West Bank and Gaza won't be able to resume the school year in September 2015 and have to stay closed until January 2016 when new funds are made available.

7 Tentative Observations of Comparative Advantages Disadvantages of SDC

This section provides a few tentative observations of SDC's comparative advantages and disadvantages based on its approach, activities and results. The following summarizes the main observations made by the evaluation team:

1. According to the 2013 Annual Report, "Switzerland has established a privileged and trust-based relationship with UNRWA's senior management, which allows it to raise matters in a way that other donors would not" (Annual Report, 2013, p.4). This assessment has also been confirmed in the phone interview with the UNRWA representative. The fact that SDC actively engages in a dialogue with UNRWA and funds what UNRWA identifies as most pressing areas of support, is very much appreciated by UNRWA. SDC also does not insist on excessive reporting and performance measurements that some other bilateral donors require.
2. Switzerland is the 8th largest financial contributor to UNRWA's General Fund and has historically been one of its top 10 supporters. This year, it ranked 6th as donor in the General Fund as a result of the shift in funding modality: decrease of SDC's earmarked project funds and simultaneously increase for the General Fund. According to the interviewed UNRWA representative, SDC ranks 12th as donor *if* the General Fund *and* project funds are taken into consideration because several donors choose to *only* contribute to special, earmarked programs or only fund programs in special region. There is a large deficit in the General Fund as well as in the fund for education reform. In recent years, Switzerland has been specifically active in supporting UNRWA with resource mobilization with the goal of narrowing its deficit. Measures such as public-private partnership or collaboration with new donors (e.g., from BRICS countries) are examples of activities supported in the SDC-supported resource mobilization program.
3. Since the mid-2000s, SDC has also played a greater role in advising on decision-making. Since UNRWA does not have a formal Governing Body, it has an Advisory Commission, which was re-established in 2006, and since then Switzerland has played a key role in governing bodies (Advisory Commission, Subcommittee). Finally, the current UNRWA Commissioner-General (ComGen) is a Swiss national.
4. The annual performance review is done collaboratively (typically in June) and entails reviewing select outcomes and outputs achieved in UNRWA's activities. In addition, there are periodically external evaluations carried out that review UNRWA's work as implementer. Reviews of SDC's performance (as a funder) are done internally and focus on management issues.
5. As mentioned above, UNRWA allocates close to 60% of its General Fund to education. Although SDC used to support specific educational programs, or broader support for the education reform, it will cease to do so starting in 2016. This is mainly due to the larger decision of focusing SDC's engagement on the General Fund rather than project-specific or earmarked funding.
6. SDC's support for Palestinian refugees is located within different divisions of SDC and there are three persons, situated in three different locations, in charge of the multi-sectoral programs for Palestinian refugees:

- SCO based in Jerusalem (125% human resources) for Gaza and West Bank as well as liaison/main interlocutor for UNRWA
- SRO based in Amman (40% human resources) for Palestinian refugees (UNRWA and non-UNRWA programs) in Jordan, Lebanon, and Syria
- HQ based in Berne (15% human resources), Desk Office for programs in Occupied Palestinian Territories.

In addition to these three posts and another post in Lebanon (reporting to the regional Office in Amman), there are programs for Palestinian refugees in Iraq and Syria carried out in the Multilateral Humanitarian Affairs division. In addition to this fragmentation of the organizational structure, it is noticeable that there is no expert at SDC in charge of the education programs for Palestinian refugees even though close to 60 percent of UNRWA's General Fund is allocated to education and many programs in Jordan, Lebanon, and Syria lend support to the education sectors of the three host countries.

7. From the perspective of the evaluation team, more educational expertise within SDC (given that 60% of the General Fund is spent on education), less fragmentation in the organizational structure of SDC, and a clear strategy for SDC's support of UNRWA (currently merely embedded in the multi-year CCM-Sheets) would be worth exploring and discussing in depth within SDC.

ANNEX 1: Inventory of Reviewed Documents

Annual Reports

Core Contribution Management (CCM) Annual Report - 2012: UNRWA. (October 2012).
Core Contribution Management (CCM) Annual Report - 2013: UNRWA. (March 2013).
Core Contribution Management (CCM) - Sheet for UNRWA. (November 2013).
Core Contribution Management (CCM) Annual Report - 2014: UNRWA. (September 2014).

Credit Proposals

Credit Proposal No. 7F-06956.01 (July 14, 2009). Review of UNRWA's Education Programme. Berne: SDC.
Credit Proposal No. 7F-08256.01 (November 15, 2011). oPT: Support to UNRWA institutional and operational reforms (Education and Resource mobilization). Berne: SDC.
Credit Proposal No. 7F-08256.02 (October 25, 2012). Support to UNRWA institutional and operational reforms (Education). Berne: SDC.

Evaluation Reports

LaGuardia, D., Talmon-L'Armee, A., Slits, P., and Riper, H. (January 7, 2013). UNRWA Mid-term Evaluation: Medium Term Strategy.
Van de Velde, M. (April 25, 2013). Independent Evaluation of Swiss Development Cooperation Project: Skills Development and Employment Services for the Construction Sector in the Gaza Strip.

Section 10

Desk Study Report

On SDC's Contribution to WSSCC

Authors: Estefania Sousa and Gita Steiner-Khamisi

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List of Abbreviations and Acronyms

ANEW	African Civil Society Network on Water and Sanitation
FANSA	Freshwater Action Network South Asia
GSF	Global Sanitation Fund
ILO	International Labor Organization
MDGs	Millennium Development Goals
OHCHR	Office of the United Nations High Commissioner for Human Rights
UNOPS	United Nations Office for Project Services
UNPFA	United Nations Population Fund
SLTF	Sanitation Leadership Trust Fund
SWA	Sanitation Water for All
WASH	Water, Sanitation and Hygiene
WSSCC	Water Supply and Sanitation Collaborative Council

1 Preamble

This brief report on SDC's participation in the Water Supply and Sanitation Collaborative Council (WSSCC) is part of the global evaluation of basic education programs. In an attempt to capture the global portfolio of SDC, a sample of cases (such as this one) was selected that would allow the evaluation team to understand the broad spectrum of SDC intervention modalities, cooperation models and thematic foci in different contexts, countries, and regions. Thus, the desk review is *not* meant to provide feedback or recommendations on particular programs.

2 Introduction

The Water Supply and Sanitation Collaborative Council (WSSCC) was created in 1990 with the goal of achieving sustainable improved water, sanitation and good hygiene for all people. The WSSCC is a collective entity currently hosted by the United Nations Office for Project Services (UNOPS) and based in Geneva. WSSCC donors are the Governments of Australia, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom and The Bill and Melinda Gates Foundation

The improved water and sanitation MDG goal is one of the most off track so far and has been hindering the achievement of other MDGs, thus the urgency in guaranteeing that access to basic sanitation as a universal human right.

SDC was one of the founding members of the WSSCC and subscribes the council's goals and missions, which are in line with its own Water strategies.

3 Qualitative Dossier Description

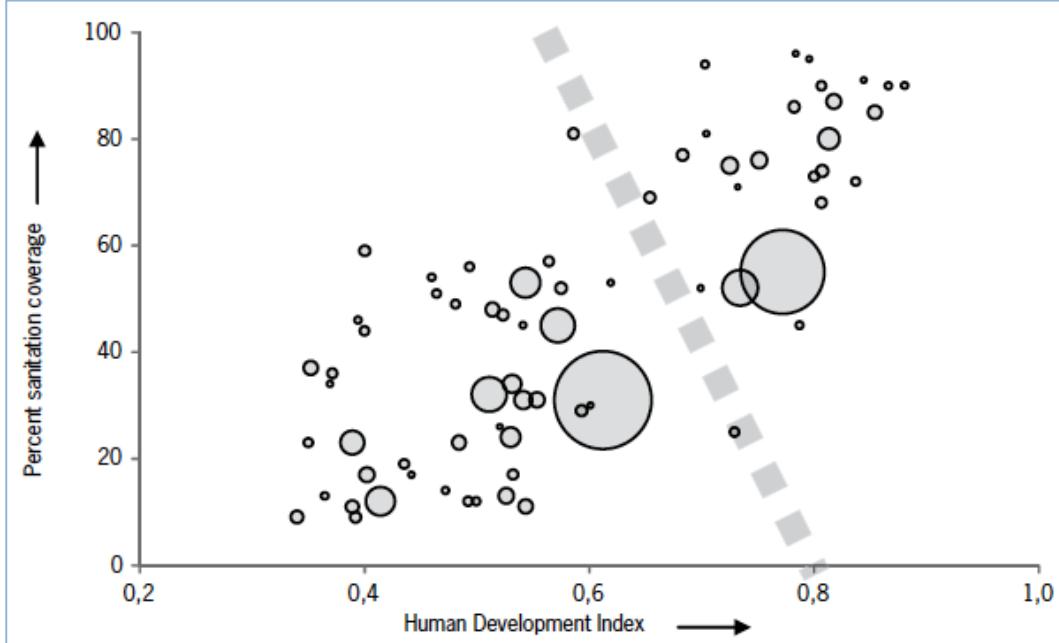
At the start of its operation in 1990 WSSCC work focused mainly in the improvement of water and sanitation for poor people. By the year 2000, with the launch of Vision 21, a document aiming the achievement of global water supply and sanitation coverage by 2025, the WSSCC scope of work was extended to the advocacy and communications towards sanitation. It was also the time of launching WASH (Water, Sanitation and Hygiene) campaigns at national and global levels. Today, WSSCC's work focuses not only on these issues but also in i) disaster response work, taking advantage of the experience of its members in emergency work; ii) the differences in access between rural and urban areas. Although most of the members work at a national level, there have been recent efforts to include regional sanitation work and global level policy and knowledge.

Recognizing that there is a considerable number of organizations that have similar goals to that of WSSCC, this organization believes that it should collaborate and not compete with comparable organizations such as UNICEF, WHO or Sanitation and Water for All Alliance. However, it has a clear position that differentiates it from the others. It has a special organizational character, which allows it to be more flexible; it concentrates on sanitation and hygiene while committed at serving the neediest and collaborating with other organizations to advocate for sanitation and hygiene for all.

WSSCC works in 35 countries, 4 of which are SDC's priority countries in West Africa Region (Benin, Burkina Faso, Mali and Niger) and in which there are National WASH coalitions and the 13 of them have a Global Sanitation Fund country program. The choice of countries in which to intervene is based on the number of people without sanitation, the percentage of people without sanitation and the Human Development Index.¹

¹ Water Supply and Sanitation Collaborative Council.(2011). *Medium-Term Strategic Plan 2012-2016*. Geneva: WSSCC.

Figure 1: Priority Countries for WSSCC: Analysis of People without Sanitation, Percentage of People without Sanitation and Human Development Index



Source: WSSCC Medium Term Strategic Plan 2012-2016, p. 9.

Figure 1 shows all the people who lacked sanitation in 2008, with the size of the circle representing the number of people without sanitation in that country (the smallest circle contains 2 million people). The countries on the left of the vertical line are the ones who require a fastest intervention.

The WSSCC has two funds to support its programs and initiatives: the Global Sanitation Fund (GSF) and the Sanitation Leadership Trust Fund (SLTF).

The GSF is the main financing device to improve people's access to sanitation and hygiene. It aspires to achieve the most off track from the Millennium Development Goals (MDG) targets and aims at increasing the funding and the number of agencies participating actively in promoting WSSCC's goals and mission. Since its creation in 2008 GSF has demonstrated cost-effective and wide-scale and inclusive approaches and has managed to increase contributors to the goal and mission of the WSSCC. GSF programs target poor populations in developing countries, working closely with the local governments and other partners. For a country to be eligible to the fund there has to be:

- Ownership, with the national government approving and welcoming the fund
- A large number of poor people without sanitation
- High incidence of disease attributable to poor water supply, sanitation and hygiene
- Low socio-economic indicators
- Existing but under-funded and under-implemented national sanitation strategy or policy
- An active WASH Coalition or other WSSCC partner
- Clearly defined institutional leadership for sanitation

4 OECD DAC Analysis

This section focuses on the OECD DAC criteria for evaluating development assistance. The analysis of the current WSSCC's programs shows that the council has been contributing positively and progressively towards the increase in access and use of improved sanitation and hygiene in millions of people's lives.

4.1 Relevance

Given the significant amount of people that are still prevented from having access and use improved sanitation in the world, the goals and outputs of the GSF funded programs are relevant and designed to sustainably be met. The equity principle in particular is key to assuring that the poor, historically disadvantaged and women².

A good example of the relevance of the GSF programs in 2013 was the support it provided to the finalization of the review of the sanitation MOU between line ministries in Uganda and the support for district planning and data harmonization, which contributed to the access and use outcome.³

4.2 Effectiveness

In 2014 two more countries – Benin and Kenya – established a National GSF country program, increasing the baseline of 10 countries in 2012 to 13 countries, with Kenya and Benin as the most recent countries to have a National Coordinator.

According to the latest WSSCC annual report,⁴ access and use outcome – defining a target output of 11 million people stopping defecating in the open and practicing safe sanitation and hygiene – is the most successfully WSSC met goal to date. In 2012, the program reached 1.4 million people who stopped defecating in the open and 1.3 million people having access to improved sanitation. In 2014 that number grew to 7 million people and 4 million people respectively⁵. This represented a growth of 350% of people who stopped defecating in the open and 150% of people who now have access to improved sanitation.

Another relevant output of the programs has been the production of informative materials to share knowledge and skills on sanitation and hygiene, from print, audio-visual to editorial production.

The equity outcome has resulted in a partnership with UN Women having as main outputs policy and practice instruments. However, the latest annual report states that with such remarkable target attainment, the exclusive focus on the disadvantaged can create other types of inequity issues.

WSSCC has also met important targets in terms of involvement with important stakeholders at the local, regional and global level, namely United Nations (UN) agencies such as Office of the United Nations High Commissioner for Human Rights (OHCHR), International Labor Organization (ILO), United Nations Population Fund (UNPFA).

² Water Supply and Sanitation Collaborative Council. 2013. Executive Director's Narrative Report 2012. Geneva: WSSCC.

³ 23rd Meeting of the Steering Committee of WSSCC. 2014. Executive Director's Narrative Report 2013 Geneva, Switzerland.

⁴ 25th Meeting of the Steering Committee of WSSCC. 2015. *Executive Director's Narrative Report 2014*. Antananarivo, Madagascar.

⁵ Idem.

4.3 Efficiency

WSSCC 5th outcome – assuring that there are enough resources and efficient management structures to assure the delivery outcomes- demonstrates the council's concern with the alignment of the strategic plan with the budget and human resources to attain progress at the results level.

In 2012 the program managed to secure supplementary funding from Sweden and the Netherlands and signed a new agreement with Finland for 3 years. Country programs are also finding innovative means of reaching more people by spending less. For example in Madagascar, a local engineer developed an affordable solution for the transportability of slabs.⁶

The improvement of the communications system, in order to increase WSSCC's visibility and share knowledge and resources are ways of reaching a bigger audience.

In 2014 there was an improvement in the cost controls, due to the rationalization of spending and search of innovative solutions with lower costs.

4.4 Impact

The biggest impact of the work that WSSCC has been doing for over 20 years is the policy and advocacy work that culminated with sanitation being considered a human right.⁷

The impact of programs of this nature is measured by behavioral change; which takes time and resources to evaluate. Still, looking at the hand washing in critical situations output, it is possible to see a behavioral change. In 2012 the country programs in Madagascar, Senegal and Uganda indicated that 511,000 people had reported washing their hands at critical times. In 2014, 8 million people wash hands with soap in the countries of intervention.

The WSSCC is currently planning a mapping of the behavior change related outcome in order to inform more accurately on the behavioral change and extract the lessons and recommendations for future strategies

4.5 Sustainability

Although the countries continue to depend highly on donor support, there have been some improvements in terms of the sustainability of the WSSCC programs.

The Madagascar GSF country program was affected by the change in the government in 2014 and the need to “restart” policy dialogue with the new stakeholders. However, Madagascar's innovative approaches not only contributed to the scaling up its activities, with quality and strong results delivery but are also gave place to peer-to-peer support in countries such as Togo and Uganda.⁸

Senegal, with a 5-year operation also continues to show positive results, having exceeded the five-year targets for improved “basic” toilets. It is expected that after the current phase the program will come to an end.

⁶ 23rd Meeting of the Steering Committee of WSSCC. 2014. *Executive Director's Narrative Report 2013*. Geneva, Switzerland.

⁷ Source: Credit proposal. Contribution to the Water Supply and Sanitation Collaborative Council: Contribution to the Sanitation and Leadership Trust Fund.

⁸ 25th Meeting of the Steering Committee of WSSCC. 2015. *Executive Director's Narrative Report 2014*. Antananarivo, Madagascar.

5 Aid Effectiveness

The MSTP was designed having in mind the commitment with the Paris Declaration principles. Therefore, although there are aspects of the WSSCC programs that require adjustments and reformulation, overall, the Council's projects and programs take into account these principles.

5.1 Ownership

This is one of the main principles of the WSSCC programs throughout the world. Looking specifically at the country programs funded by GSF, the countries have a direct responsibility of the on the ground delivery. National governments are active participants in the program implementation. Government counterparts help design and drive an agenda of change.

On the other hand, by promoting the involvement of the civil society, notably the African Civil Society Network on Water and Sanitation (ANEW) or the Freshwater Action Network South Asia (FANSA) and helping them build their capacity, WSSCC is giving them the power to influence policy development in the sector⁹. More, the program believes that it is essential that communities and local government make the assessment of behavioral changes such as washing hands in critical situations. Another example is Uganda where the ministry of Health is the Executing Agency (EA) of the program.

5.2 Alignment

GSF grant requesting countries must meet a certain amount of criteria in order to be eligible for the grant. One of the criteria is the existence of under-funded and under-implemented national sanitation strategy or policy that will guide the program implementation or that there is clearly defined institutional leadership for sanitation. Therefore, the country strategic plans are aligned with the main government priorities for the sector. In India, for example, the focus of the GSF program was neglected tribal areas.¹⁰

5.3 Harmonization

One of the main reasons why sanitation and hygiene have been neglected for so many years are the fragmented and unclear responsibilities of the stakeholder, along with shifting approaches and policies to advocate for those rights. Therefore, since 2012 the WSSCC has a multi-donor multi-year pooled funding relations' strategy in order to better harmonize the support to this thematic. This means that donors commit a significant amount of unrestricted funding and WSSCC is ascribed to spend it in line with the WSSCC medium term strategic plan.

Strong partnerships, including with Sanitation and Water for All (SWA) have been key at meeting the programs targets. Rather than competing with organizations working in similar sectors,

5.4 Managing for Results

WSSCC programs have three types of monitoring the attainment of the strategic goals, namely:

- Performance monitoring -which is integrated with the UNOPS standard monitoring system and is done through the reviewing of the activities implementation against work plans and expenditures of agreed budgets.

⁹ Idem.

¹⁰ 23rd Meeting of the Steering Committee of WSSCC. 2014. Executive Director's Narrative Report 2013
Geneva, Switzerland.

- Process monitoring – to check the qualitative dimensions and observance of WSSCC's principles and values.
- Results and impact monitoring – to measure and demonstrate the achievement of the results in the strategic plan. It starts with baseline information for defining the main goals and includes regular reporting.

There are also evaluations to assess the effectiveness and impact and define recommendations.

From 2012 to 2014 there have been strong efforts to improve planning and performance and reporting. In order to work towards a more results based management, in 2013 there was a revision of the results framework and a new set of intermediate outcomes and outputs was developed¹¹.

5.5 Mutual accountability

In terms of accountability, WSSCC projects have a governance document that defines the dual accountability to the donors from the Steering Committee and from the UNOPS standard monitoring systems.

6 SDC's Comparative Advantages/Disadvantages

The contribution to this organization seems to add value to SDC's cooperation strategies, especially in the countries in which SDC intervenes.

6.1 Advantages

The comparative advantages SDC might have as compared to other donors to these programs are the fact of being one of the founding members of WSSCC and sharing the same goals and vision in its own Water Initiatives Strategy. As a member of the steering group the Swiss Cooperation has been pledging for sanitation advocacy at the regional level. More, 4 of the WSSCC priority countries are SDC's regional priority countries – Benin, Burkina Faso, Mali in Niger. Therefore, the WSSCC attained targets will have a positive impact in other MDG goals SDC is trying to attain in these countries.

The fact that SDC permanently finances WSSCC's two multi-donor trust funds – SLTF and GSF – places SDC as a legitimate and credible partner in the goal of improving sanitation and hygiene in the world.

6.2 Disadvantages

Given SDC's "low profile" culture it might not take the visibility advantages of participating in this organism. On the other hand, although SDC's commitment to the funds is permanent and considerable, it is not exceptional. With the entrance of new donors, SDC could lose its privileged position.

¹¹ Idem.

ANNEX 1: WSSC Desk Study Report References

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Section 11

List of Interviewed Persons

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1. Pre and Post Field Mission Interviews and Meetings; and Desk Review Interviews

Participants: Gita Steiner Khamsi, team leader; Fenot Aklog, evaluation specialist

Date	Time	Interview No/Topic and Activity	Person interviewed	Function
Thursday 08/01/2015 Gita		1. Meeting on SAP database and portfolio analysis (Gita)	Alexandre Kobel	SDC, Controller, E + C Division
Wednesday 14/01/2015		2. Meeting on SAP database and portfolio analysis (Fenot)	Alexandre Kobel	SDC, Controller, E + C Division
Friday 16/01/2015	15:15	3. Meeting on Western Balkans field mission	Laurent Ruedin	SDC, Programme Officer, Western Balkans Division
Friday 23/01/2015		4. Telephone interview on SDC's collaboration with UNRWA	Giulia Pianigiani	SDC, Monitoring and Evaluation Officer, based in Jerusalem
Friday 06/02/2015	16:00	5. Telephone interview on institutional partners in Burkina Faso	Petra Winiger	SDC, Programme Officer, Department of Institutional Partnerships
Friday 27/02/2015		6. Telephone interview on SDC's education programs in Burkina Faso	Nicole Gantenbein	SDC, Programme Officer Education
		7. Telephone interview on SDC's education programs in Haiti	Corinne Conti	SDC Humanitarian Aid, Program Manager, Europe, Asia and America Division, Haiti Desk
Monday 02/03/2015	12:00	8. Interview Gilles Cerutti	Gilles Cerutti	SDC, Program Officer, Palestine Refugees Desk
	15:00	9. Interview on multilateral partners of SDC	Philippe Puyo, Valérie Liechti	SDC, Program Officer UNICEF SDC, Focal Point Education
		10. Telephone interview on the collaboration SDC - GPE	Karen Mundy	Chief Technical Officer, Global Partnership for Education, Washington, D.C.
Thursday 28/05/2015		11. Telephone interview on the collaboration SDC - UNESCO IIEP	Suzanne Grant Lewis	Director, International Institute for Educational Planning, Paris
		12. Telephone interview on SDC's collaboration with multilaterals in education	Nicole Gantenbein	SDC, Programme Officer Education
		13. Telephone interview on the collaboration SDC – UIL	Arne Carlsen	Director, UNESCO Institute for Lifelong Learning, Hamburg

Friday 29/05/2015	14. Interview on the collaboration SDC – UNESCO Global Monitoring Report	Aaron Benavot	Director, GMR, Paris
	15. Interview on the SDC collaboration with the Network for International Policies and Cooperation in Education and Training (NORRAG)	Michel Carton	Executive Director, NORRAG, Geneva
		Joost Monks	Managing Director, NORRAG, Geneva
Tuesday 16/06/2015	16. Meeting for feedback on draft report on multilaterals in education	Valérie Liechti, Marie Brüning	SDC, Focal Point Education SDC, Programme Officer Education
Monday 29/06/2015	17. Telephone interview on the SDC – UNRWA collaboration in education	Giulia Pianigiani	SDC, Monitoring and Evaluation Officer, based in Jerusalem
	18. Telephone interview on the SDC – UNRWA collaboration in education	Philip Brown	UNRWA, Senior External Relations and Projects Officer, Donor Relations Division
Monday 13/07/2015	19. Telephone meeting for feedback on draft report on Haiti	Corinne Conti	SDC Humanitarian Aid, Program Manager, Europe, Asia and America Division, Haiti Desk

2. Burkina Faso Field Mission Interviews, March 14 - March 26, 2015

Participants: Gita Steiner Khamsi, team leader; Estefania Sousa, team member; Almissa Sawadogo, national consultant; Thomas Knobel, SDC Headquarter, Evaluation and Controlling Division

Date	Time	Interview Nº/Topic and Activity	Person interviewed	Function
Monday 16/03/2015	08:30	B20. Entretien avec l'équipe en charge de l'éducation de base «Briefing»	Dominique Crivelli,	SDC, Deputy Director SCO
			Ambroise Tapsoba	SDC, National Program Officer Education
	10h	B21. Entretien avec l'Ambassade du Canada, Chef de file éducation de base	Louise Herbert	Secrétaire à l'Ambassade
			Luc Pincince	Chef de la coopération
			Félicité Sawadogo	Conseillère Education, Inclusion sociale, Genre
			Auguste Nébié	Conseiller: Finances publiques
	15:00	B22. Entretien avec le Ministère de l'éducation nationale et de l'alphabétisation (MENA)	Dr Yombo Diabouga	Secrétaire Général du MENA
			Suzanne Sidibé/Koné	Education non-formelle
Tuesday 17/03/2015	8:30	B23. Entretien avec le FONAENF	Alice Tiendrebéogo	Directrice Générale
			Emilienne P. Balima	Directrice Générale Adjointe
			Rouamba Emmanuel Malo	Financier
	10h	B24. Entretien avec le Ministère de la jeunesse, de la formation professionnelle et de l'Emploi (MJFPE)	Frédéric Kaboré	Secrétaire Général du MJFPE
	14h	B25. Entretien avec l'équipe en charge de l'éducation de base «Briefing»	Dominique Crivelli,	SDC, Deputy Director SCO
			Ambroise Tapsoba	SDC, National Program Officer Education
	17h	B26. Entretien avec le réseau ROCARE	Célestine Traoré/Palé	Directrice nationale Adjointe.
			Ouédraogo Hamado	Financier
			Etienne Yaro	Assistant
			Sandwidi Hamidou	Assistant, (Doctorant)

Wednesday 18/03/2015	8h	B27. Entretien avec Enfants du Monde	Tougma Téné Sankara	Coordinateur Régional Sahel
	10h	B28. Entretien avec Solidar Suisse	Dieudonné Zongo, Jeanne Nikiema	Représentant Pays Chef de la division comptabilité et ressources
			Valentin S. Ilboudo	Coordinateur Adjoint
			Louis Y. Nikiéma	Chef de la division Education de base multilingue
	14h	B29. Entretien avec le représentant de Helvetas	Jean-Marie Samyn Elizabeth Zerbo	Directeur Responsable Section Education
Thursday 19/03/2015 Gita and Estefania	16h	B30. Rencontre avec la BAD	Alfred Régis Ouédraogo	Spécialiste en Développement Social
	9h	B31. Entretien avec Terre des Hommes	M. Vincent Kaboré	Chargé de Programmes
	11h	B32. Entretien avec APENF	Germaine Ouédraogo Sonata Zabsonre Sylvie Ouédraogo Anatole Niameogo	Secrétaire Exécutive Chargé de Programme Gestionnaire et Administrative Président du Conseil d'Administration
	15h	B33. Rencontre avec Mme Boly	Mme Koumba Boly- Barry	Ancienne Ministre de l'Éducation Nationale
		B34. Entretien avec RIP	Aminata Diallo/Boly Clarisse Lankoandé	Chargée de Programmes Point Focal du RIP
Friday 20/03/2015 Gita and Estefania		B35. Visite de Terrain: ASIBA	Kondo Kaboré Julien Kaboré Sidone Simpose/Sawadogo	Coordonnateur de programmes Responsable du Suivi et Évaluation Chargée de la Formation Professionnelle
		B36. Visite de Terrain: FDC	Monsieur Sanaa	Coordonnateur de Programmes ?
		B37. Visite de Terrain : Centre polyvalent de	Gaston Sobgo	Coordonnateur de Programmes

		formation FDC	Roger Kaboré	Directeur du Centre de Formation professionnelle
Thursday 19/03/2015 Alamissa and Thomas	9h	B38. Visite de Terrain : Réunion le Gestionnaire DRENA et le CCEB	Yougbaré Fulbert Antoine Bambara Tankoano Félix Ouali Ali Innocent	Chef circonscription d'éducation de base Fada 1 Gestionnaire de la DRENA Responsable Statistique et Cartographie Inspecteur, Conseil pédagogique
	10:30	B39. Visite de Terrain : CBN2 de Komanpèlgou (Diapangou)	Dayamba Pascal	Animateur du CBN2
	14h	B40. Réunion à Tin Tua	Yembuani Yves Ouba Thiombiano Abdoul Karim Mme Lombo Nadinga Diabalou Emmanuel Yonli Jean Jacques Toé Diamou Sibidi	Directeur Exécutif Chargé des cartes éducatives Alphabétisation Formateur Journaliste en langue locale Chargé d'autonomie financière Journaliste
	16h	B41. Échange avec les opérateurs de Fada, financé par le FONAENF	Yembuani Yves Ouba et 13 opérateurs de l'éducation non formelle	Directeur Exécutif
Friday 20/03/2015 Alamissa and Thomas	8h	B42. Visite d'une école primaire de Bansouri (CEB Fada 1)		
	9:30	B43. Visite de l'Ecole Primaire Bilingue de Bougui (Tin Tua)	Martin Tambiga	Directeur de l'école bilingue
		B44. Visite CEFES de Kankantiana (Tin Tua)	Pierre Tamouaga	Formateur
		B45. Rencontre échange avec groupes de femmes bénéficiaires du programme « éducation et micro-finance) à Matiacoa		
		B46. Visite CENFA Nagré (Tin Tua)		

Saturday 21/03/2015 Alamissa and Thomas	8h	B47. Visite de terrain : Ecole du berger et de la bergère de Tiara (Andal et Pinal)	Aminata Diallo/Boly	Chargée des Programmes
	13h	B48. Echange avec le COGES de l'école du berger et de la Bergère	Rouga Bandé	Chargé de la gestion de la transhumance
		B49. Visite de terrain : PREPP de Potiamonga (Andal et Pinal)		
		B50. Echange avec les apprenants du PREPP		
Monday 23/03/2015	8:30	B51. Entretien avec l'AFD assurant la supervision du PME	Anne Marie Sawadogo/Zouré	Chargée de mission, éducation, formation professionnelle
	10h	B52. Entretien avec l'UNICEF	Tomoko Shibuya Adama Traoré	Cheffe du Domaine Education Education Spécialiste
	15h	B53. Entretien avec l'APESS	Ibrahima Aliou S. Albert Ouoba	Secrétaire Générale Resp. à la Décentr./ Gouvernance Locale
	17h	B54. Echange avec Conseillère régionale éducation	Mary-Luce Fiaux	SDC, Conseillère Régionale
Tuesday 24/03/2015	9h	B55. Entretien avec l'équipe du PDSEB (phase 2 et 3)	Ibrahima Kaboré Jean Edmond Zida Bruno Zongo Fatoumata Tall	Secrétaire Permanent Chef d'Analyse et Evaluation Chef de Accès et Education Cheffe de Mobilisation Sociale
	14h	B56. Débriefing de la mission	Dominique Crivelli Ambroise Tapsoba	
	8h	B57. Entretien avec la FDC	Maria Kéré/Sorgho	Directrice Exécutive
	15h	B58. Entretien avec le Groupe de travail sur l'éducation non formelle (GTENF) de l'ADEA	Ibrahima Bah-Lalya Eleonore Ouédraogo Yusuf Maiga Diallo Amadou	Senior Education Specialist, Coordinator Chargée de Programme Statisticien

3. Western Balkans Field Mission Interviews, April 26 - May 15, 2015

Participants: Gita Steiner Khamsi, team leader; Arushi Terway, co-evaluator; Vlera Kastrati, regional consultant; Thomas Knobel, SDC Headquarter, Evaluation and Controlling Division

3.1 Romania

Date	Time	Interview №/Topic and Activity	Person interviewed	Function
Monday 27/04/2015	9h	W59. Briefing and Meeting with Contribution Office education representatives	Thomas Stauffer Marie Louise Stoicescu Cristi Mihalache Dalma Janosi	SDC, Head of Swiss Contribution Office, Bucharest SDC, National Programme Officer Team Leader Expert
	10h	W60. Interview with representatives of the Programme Management Unit – Roma Inclusion Fund	Diana Sacarea	Norway and EEA Grants Officer
	13h	W61. Interview with representative of Norway	Kirsten Theuns Ionut Raita	Country Representative Programme Coordinator
	15h	W62. Interview with representatives of Terre des Hommes Lausanne		
Tuesday 28/04/2015	8h – 16h	W63. Project visit of Community Center, Caritas Project in Turulung W64. Interview with staff at Community Center of Caritas Project in Turulung W65. Interview with 2 teachers at local school in Turulung W66. Exchange with representative of Caritas Project	Orsoly Fülöp Noémie Magyar Agota Ilyés Andrea Sarosi Heni Kovacs Enikö Mayer 2 nd teacher Melinda Kardos	Project Implementer Pedagogue at Community Center Pedagogue at Community Center Pedagogue at Community Center Psychologist at Community Center Teacher Teacher Project Assistant

Wednesday 29/04/2015	13h	W67. Interview with representative of Diakonia (partner of HEKS)	Mihaela Onea	Strategic Development Director, Diakonia
Thursday 30/04/2015	12h	W68. Debriefing of field mission	Thomas Stauffer	SDC, Head of Swiss Contribution Office, Bucharest
			Thomas Krajnik	SDC, Programme Officer, Desk Romania
	15h	W69. Exchange with Swiss Ambassador to Romania	Jean – Hubert Lebet	Swiss Ambassador to Romania
	19h	W70. Exchange with Pestalozzi Foundation (partner of Terre des Hommes Lausanne)	Daniel Sorescu	Executive Director

3.2 SDC Regional Roma Workshop Informal Meetings/Conversations, April 27- April 30, 2015

Organisation	Participants	Position
HQ - SDC	Georgette Bruchez	Head of the Western Balkan Division
	Laurent Ruedin	Desk Officer
	Patrick Etienne	Programme Manager Division NMS (New EU Member States) & Head of the Swiss Contribution Office for Estonia, Latvia, Lithuania
	Anne Moulin	Policy Advisor Poverty and Social Development
	Kuno Schläfli	Head of the Knowledge-Learning-Culture Division
	Ueli Stürzinger	Head Division NMS (New EU-Member States)
	Mirjam Walser	Intern WLK
	Elena Tankovski	Intern WB
	Thomas Krajnik	Programme manager Division NMS (New EU Member States)
Bulgarian-Swiss Cooperation Programme	Irina Faion	Team Leader
	Lilia Gouneva	Expert Health/Social
Programme Management Unit – Roma Inclusion Fund	Dalma Janosi	Expert - Romania
	Cristi Mihalache	Team Leader - Romania
SDC Kosovo	Arjan Shabani	NPO for migration - Kosovo
Swiss Contribution Office in Budapest	Katalin Bábosik	Senior NPO
Swiss Embassy BiH	Azra Sarenkapa	NPO
Swiss Contribution Office Romania	Thomas Peter Stauffer	Head of Swiss contribution Office
	Marie-Louise Stoicescu	NPO
Swiss Cooperation Office in Albania	Christoph Graf	Ambassador - Director of Cooperation
Swiss Cooperation Office in Macedonia	Stefano Lazzarotto	Ambassador - Director of Cooperation
Swiss Contribution Office Bulgaria	Mattia Poretti	Head of Swiss contribution Office
	Daniela Dimitrova	Administrator
Swiss Cooperation Office Serbia	Lidia Vujicic	NPO
Swiss Contribution Office Slovakia	Lajos Szabo	NPO

Swiss Cooperation Office Moldova	Radu Danii	NPO
EEA and Norway Grants	Agota Kovacs	Senior Sector officer-Roma Inclusion
Institute of Development Studies	Joanna Howard	Research Fellow
	Violeta Vajda	Research Officer / Resident Program Manager
Teachers College, Columbia University	Gita Steiner-Khamsi	Professor, team leader, evaluation team
HQ - SDC	Thomas Knobel	Academic Intern E+C
Embassy of Switzerland in Bulgaria	Denis Knobel	Ambassador
Embassy of Switzerland in Albania	Alexander Wittwer	Ambassador
Embassy of Switzerland in Serbia	Jean-Daniel Ruch	Ambassador
Embassy of Switzerland in Romania	Jean-Hubert Lebet	Ambassador

3.3 Serbia

Date	Time	Interview №/Topic and Activity	Person interviewed	Function
Monday 04/05/2015	9h	W71. Briefing and Meeting with Cooperation Office and education representatives	Isabel Perich,	SDC, Director of Cooperation
			Lidia Vujicic	SDC, National Programme Officer
			Jovana Mihajlovic	SDC, National Programme Officer
	14:30	W72. Interview with 7M-00042 HEKS EHO Team in Novi Sad	Tanja Stojkovic	Project Coordinator
			Stanka Jankovic	Vocational Training and Education
		W73. Interview with Social Inclusion and Poverty Reduction Unit (SIPRU) team	Mirjana Maksimovic	Deputy Team leader
Tuesday 05/05/2015	8:30		Jelena Markovic	Education and Human Capital Development Coordinator
	10:30		Vesna Milenovic	Secretary General
			Sanja Drezgic	Team Manager
			Ivana Zubovic	Team Manager
	13h	W75. Project visit of Cukarica Red Cross branch	Biliana Mitro	President of Red Cross Branch, Former School Director
			Zlavko	School Director
			Edward Sinoni	Pedagogical Assistant
			Representative of Red Cross	Secretary Red Cross
			Rada Kojic	Teacher
Wednesday 06/05/2015	16h	W76. 2 nd Interview with Red Cross of Serbia	Sanja Drezgic	Team Manager
			Ivana Zubovic	Team Manager
	9h	W77. Meeting with UNICEF team	Severine Leonardi	Deputy Representative
			Tanja Rankovic	Education Specialist
			Aleksandra Jovic	Monitoring and Evaluation Specialist
			Slobodan Vapa	Programme Assistant
			Anne Maria Cukovic	Early Childhood and Inclusive Ed Specialist

	11h	W78. Meeting with national partners within UNICEF Policy Support	Mirjana Bojanic, Tinde Kovac-Cerovic Gordane Netkovic, + 3 other representatives	Ministry of Education, Special Adviser to the Minister Former State Secretary Head of Dept. of Inclusive Education
	13h	W79. Focus Group with CSOs, local partners. Supporting implementation of inclusive education in preschools and schools	Angelina Ficazey, Radmila Gosovic Gordane Netkovic Representative of MPHTP Lilijana Simic Tijana Mahieu	MPHTR Group MOST MPNTR, Head of Dept. of Inclusive Ed MPHTP MIO Translator
		W80. Meeting with NGO Pomoc deci	Ljiljana Vasic	Director
		W81. Visit to model school in Sremcica	School director + 5 staff	School director + 5 staff
Thursday 07/05/2015	8h	W82. Debriefing of field mission	Isabel Perich Lidia Vujicic Jovana Mihajlovic	SDC, Director of Cooperation SDC, National Programme Officer SDC, National Programme Officer
	12h	W83. Project Visit – Meeting with municipal representatives of Vladicin Han	Branislav Totic Sladan Dordevic Milan Voikovic Slobodanka Andrejvic	President of Municipality Coordinator Local Action Plan for Children Office for Local Economic Development Coordinator of the Community Center in Lepenica
	14:30	W84. Project Visit – Visit to Community Center in Nis, led by Group for Children and Youth "Indigo"	Tamara Simonovic Sadik Saitovic	Director of Indigo Coordinator of Community Center in Nis

3.4 Albania

Date	Time	Interview №/Topic and Activity	Person interviewed	Function
Friday 08/05/2015	9h	W85. Briefing and Meeting with Cooperation Office and education representatives	Silvana Mjeda	SDC, National Programme Officer
	10:30	W86. Meeting with Program Manager for CEFA project	Shpresa Spahiu	Executive Director NPF, CEFA Project Manager
	12h	W87. Project visit and meeting at School "26 Nentori"	Sheri Banushi Elvira Jonosi	School Director Social worker, CEFA
	14h	W88. Meeting with the representative of the Education Development Institute	Evis Mastori	Curricula Expert, Pre-university Directorate, Head of Teachers Qualif
	15:30	W89. Meeting with representative of Roma Education Fund (REF) in Albania and Kosovo	Marsela Taho	Coordinator for Albania and Kosovo
Monday 11/05/2015	9h	W90. Meeting with UNICEF	Vera Gavrilova Mirlinda Bushati Alketa Zazo	Deputy Representative Early Learning and Education Specialist Social Protection Specialist
	11h	W91. Meeting with representative of Ministry of Education	Nora Malaj Besnik Rama	Deputy Minister Focal Point Roma Education
	14h	W92. Meeting with representatives of partner NGOs for 7F-07020	Altin Hazizaj Representative of CRCA Donika Godaj Representative of YWCA Elma Tershana Representative of OCR	General Director of CRCA (NGO) CRCA (NGO) YWCA (NGO) YWCA (NGO) Executive Director of OCR (NGO) OCR (NGO)
	17h	W93. Debriefing of field mission	Silvana Mjeda	SDC, National Programme Officer
	9h	W94. Meeting with UNDP	Entela Lako	Cluster Manager Participation and Environment
Tuesday 12/05/2015				

3.5 Kosovo

Date	Time	Interview No/Topic and Activity	Person interviewed	Function
Wednesday 13/05/2015	9h	W95. Briefing and meeting with Cooperation Office and education representatives	Markus Bächler Arjan Shabani	SDC, Director of Cooperation SDC, National Programme Officer
	11:15	W96. Meeting with VoRAE representatives	Isak Skenderi Orhan Butic	Executive Director of VoRAE Programme Manager, VoRAE
	13:30	W97. Meeting with Ministry of Education (MEST) representatives	Enesa Kadic Gjyzel Shaljani	Head of Division, Communities & Gender Issues Focal Point RAE education
	15h	W98. Interview with Balkan Sunflowers representative	Muhamed Arifi	Director of Balkan Sunflowers
	16:30	W99. Interview with Kosovo Foundation for Open Society (KFOS) representative	Vera Pula	Program Coordinator for Minorities and Roma
Thursday 14/05/2015	10h	W100. Meeting with Caritas in Gjakova representative	Albert Bakalli	Project Responsible in Preschool Educ.
	11h	W101. Interview with Municipal Education Directory in Gjakov representative	Diana Qarkaxhija	Director of MED
	11:45	W102. Project visit in Gjakova, RAE community center of Caritas in neighborhood "Ali Ibra"	Negihane Xerxa	Caritas Kosova, Responsible for Community Center
	16h	W103. Project visit in Preoc, RAE community center of VoRAE	2 pedagogues	
Friday 15/05/2015	9h	W104. Meeting with Council of Europe representative	Giovanni Mozzarelli	Project Manager, EU/CoE JP-Supporting Access to Education and Intercultural Understanding
	10:15	W105. Interview with UNDP representative	Valbona Bogujevci	Programme Coordinator
	11:30	W106. Interview with Caritas representative	Kreshnik Basha	Head of Caritas
	13:30	W107. Meeting with Terre des Hommes Lausanne representatives	Alketa Lasku, Emin Redzepagic	Deputy Country representative Project Coordinator
	16:30	W108. Debriefing of field mission	Markus Bächler	SDC, Director of Cooperation