European Training Foundation

Rapid Education sector Diagnosis methodology (RED)

Analysing critical elements of EU partner countries' education systems to help target EU financial assistance and to inform policy dialogue

Guidelines

Version 2022

Contents

Preliminary remark: How to read this document

The present document is articulated around three main chapters:

- As its name indicates, the first Chapter provides an overview of the “Essentials of the RED methodology” focusing on its very specificities and added value. It is mainly targeted at high-level EU officials and policy-makers in order for them to understand the basics of the approach and support the initiative.
- The second Chapter, “Main features of the methodology”, introduces a more in-depth overview of the main features of the methodology, including its objectives, scope, key principles, deliverables and outcomes, and essential tools. It is targeted at technicians of the sector, who need to have a clear understanding of the methodology, without necessarily being responsible for its implementation themselves.
- The final Chapter, “Guidelines for RED implementation”, is the most practical part of the document. It covers both the process and the content of RED methodology: it explains what each module of the implementation process may entail, and lists the key topics, questions and data under each dimension of the analytical framework. It is primarily targeted at the operational experts tasked with the execution of the RED.

Essentials of the RED methodology

The “Rapid Education sector Diagnosis” or RED methodology is a framework developed by the European Training Foundation (ETF) in order to support European Union (EU) services, in particular EU delegations (EUD) to partner countries, to target their financial assistance to the education sector. RED offers a modular approach, allowing for both the scope and depth of the exercise to be tailored according to the needs, resources and time available: at a minimum, it provides an evidence-based analysis of the critical issues and challenges of a given country’s education sector; in its complete scheme, it combines data use and qualitative evidence to determine priority areas for support and policy, as well as recommendations for financial support.

The principal features of the methodology are presented below, both in terms of process and content.

Noticeable features of the RED methodology

- Thematic alignment behind the **EU’s strategic priorities** including tackling *inequality*, improving the efficiency of *financing* and promoting *resilience* and good governance
- Ultimate **objective: to inform the EU support programme’s design** and inform policy dialogue
- **EU delegation** to the concerned country both as main recipient and as ‘political’ lead
- Education **sector-wide potential**, but a **context-specific tailored coverage**
- **Modular approach** linked to different deliverables
- Sense of urgency (“RED”): focus on **critical issues** and **action-oriented** analysis (recommendations)
- Robust **evidence base**, with a focus on consolidating existing knowledge and combining:
  - Quantitative evidence: massive use of data, including disaggregated data
  - Qualitative: broad consultations through individual interviews or thematic focus groups
- “**Crisis/fragility-sensitiveness**”: on-line implementation, focus on resilience, update on recent years, qualitative evidence from different perspectives to supplement missing data
- **Flexible but demanding resources**: multi-disciplinary team, variable funds and adjustable time frame
- A participatory but simple governance

An initiative for European Union services first and foremost

The Rapid Education Diagnostic methodology has been designed by the European Training Foundation at the request of the DG NEAR. The primary objective is to provide evidence-based analysis that would ensure effective and efficient targeting of the EU financial support to the education sector of the partner country (PC) concerned.

This initiative has been designed in full **respect of EU priorities, in particular**: **fighting against inequality, reinforcing resilience and the efficient use of financial resources**.

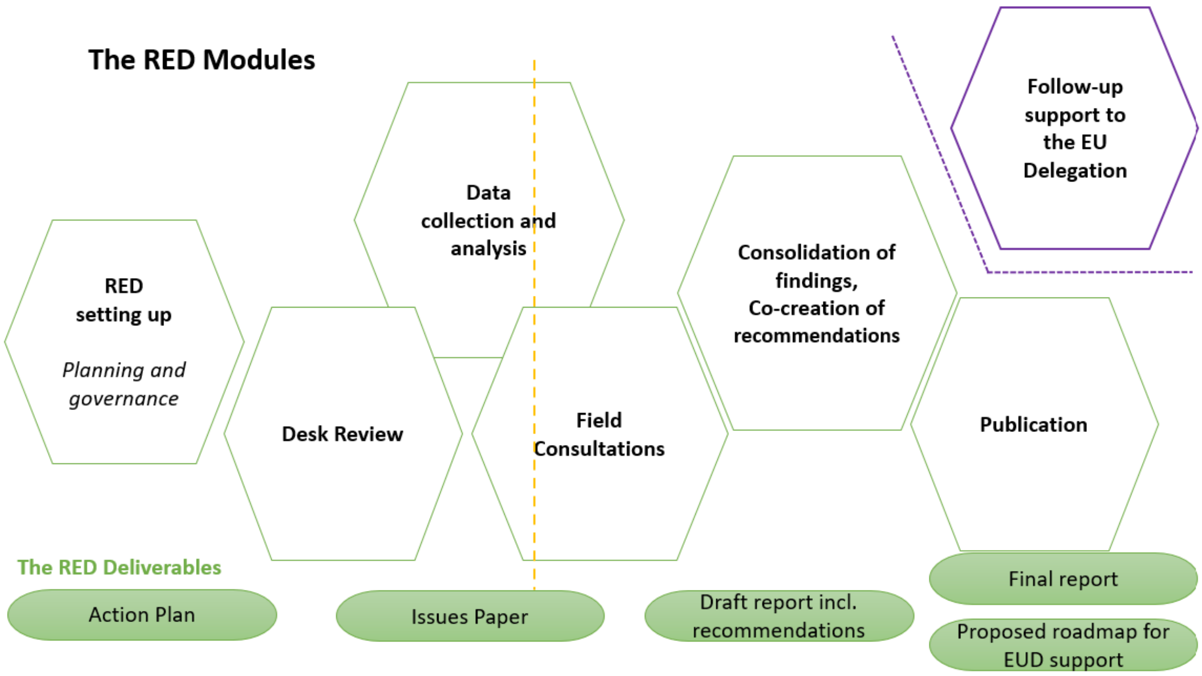
In the decentralised context of EU financial assistance, its very purpose **is to inform, in a timely manner, the design of new EU support programmes managed by the EU delegation** to the country concerned by providing a clear picture and recommendations for priority funding. RED can also help to structure and inform the policy dialogue between the EUD and the PC.

Given this service-based orientation, the action plan for the implementation of RED, including the exact scope, the governance framework and timeline, is decided from the outset of the initiative in close relationship with the EUD concerned. Upon request, the assessment may even be immediately followed up by the elaboration of a roadmap proposal specifically designed for the EUD.

Modular implementation linking to various deliverables

This methodology offers a **modular implementation designed to identify** critical issues of an education system to a variable degree **depending on the actual analytical needs, as well as on the time and resources available**.

In "ideal" or "normal" conditions, the entire process, from setting up to final recommendations lasts **between 8 and 12 months**.



Schematically, there are **seven modules** that may be organised as indicated above, considering that assessment **relies on an iterative process:** modules can be activated several times, at different stages, according to requirements. These modules have relatively self-explanatory names and are presented in detail in the RED implementation guidelines.

Their combination leads to a number of **deliverables**, which are indicated in the green capsules under the modules.

In order to make the best use of the RED methodology, **there are two logical scenarios to frame this analytical exercise**, as indicated by the yellow dotted line. Each leads to a different deliverable, has its own time frame and resource implications:

- **Scenario 1 to the delivery of an 'issues paper'**: this contributes and informs the government's strategic reflection but is not forward-looking nor does it develop solutions or recommendations. It consists primarily of a desk review and basic data analysis, possibly complemented with a limited number of interviews.
    - *Depending on the national context, this may take **2 to 4 months, provided that a multi-disciplinary team is mobilised**, including at least the expertise of a statistician, a policy analyst and an education finance specialist, with a competent national resource facilitator for guidance and fact-checking as well as strong administrative support for document processing. These needs imply a combination of ETF internal expertise and external consultants.*
- **Scenario 2 to the production of a full-fledged report:** as a continuation of Scenario 1, Scenario 2 includes concrete and **realistic recommendations** to inspire the Government for its reforms and the EUD for its assistance in a more direct manner. Depending on the degree of sensitivity, the ETF and the EUD may decide to keep the report as an internal document or to make it an official publication. If the EUD so wishes, the report may be accompanied by a **roadmap proposal for the EUD**.
    - *This complete approach may **require 8 to 12 months** under "normal conditions", provided that a multi-disciplinary team is mobilised, including diverse expertise from a statistician, one or more policy analysts, an education finance specialist, with a competent national resource facilitator for guidance and fact-checking as well as strong administrative support for document processing, field consultation organisation and following up on the publication of the report. Mobilising an full-time intern on the RED, where possible, is a real asset, as it provides a very effective experience with a comprehensive view of the whole education sector as well as the support processes involved with cooperative assistance.*

Customised analysis, with standard thematic aspects

This type of analysis is in line with the **life-long learning** approach, which is now recognised and recommended for education and training policies as the most reliable way to ensure a sustainable development of human resources for the benefit of economies and people. Indeed, by analysing the formal education part, from pre-school to higher education, the focus is on the opportunities offered to young people, which will also constitute the basis for future learning in their adult lives.

Although the potential **scope** is the **whole education system**, each analysis can **identify specific sub-sector focus to be examined**, depending on the pressing issues and priorities of the policy agenda, e.g. primary education, or higher education, etc.

Common to all RED exercise will be the strong emphasis on three transversal thematic dimensions that are crucial for a well-functioning education system, namely:

Addressing inequality with regards **to access** to **and participation** in the education system, and in **quality** learning, is an essential requirement for any harmonious and inclusive development of human capital. This includes 'passive' availability of education services of equal quality, but also active outreach strategies through targeted support to specific populations.

The **financing** of the education system, which covers budgeting, resource mobilisation, resource allocation, public finance management regulations, policy costing and institutional capacity, the last two being key conditions for system sustainability and of policy credibility.

Governance as a key condition for the resilience of the education system, particularly crucial in fragile contexts, yet useful everywhere. This dimension includes in particular the distribution of roles and responsibilities between key stakeholders at all levels, from macro down to school level, transparency in teacher management, use of data for policy-making and accountability measures for quality assurance, monitoring and evaluation.

For each of these dimensions, particular attention is given to assessing the **institutional capacity** for their adaptive management**.**

Additional topics of attention can be decided in the context of specific EU or the government priorities (e.g. digital or green transition…) and then integrated into the relevant dimensions or become stand-alone elements of analysis.

Simple yet participatory governance for maximum effectiveness

The governance or implementation arrangements of RED relies of a number of actors and simple work processes:

- The **Steering Committee**, comprised of the main partners (DG NEAR, EUD to PC, PC's Ministry of Education (MoE), ETF) strategically directs the exercise, monitors progress and makes sure that results are properly disseminated and used. It meets at least three times, at the launch, mid-term and at the end of the RED.

- The **ETF expert team**, responsible for producing the RED, brings together international and national experts and works in collaboration with a national, multi-ministerial technical team set up by the MoE and in charge of contributing to the RED by collecting data and other evidence and contributing to the analysis. Both meet regularly (at least once every two months) to consolidate information and inform the analysis.

- A **national focal point**, a senior official nominated by the MoE, is responsible for the coordination of national stakeholders and ensuring that the field consultation process runs smoothly.

Key success factors of RED

While the foundations for the robust nature of the methodology have been described above, the full success of its implementation depends on a number of "soft" factors:

- Strong leadership of the EUD
- Presence of an experienced, reputable and competent local education resource person in the expert team.
- Strong interconnectivity of aspects: Teamwork (not a consulting job) based on regular exchange (team meetings) to develop collective intelligence, common understanding and flexibility
- Strong commitment and constant involvement of national technical team members is needed to help mobilise institutions, ensure access to data and interlocutors, provide feedback and protect neutrality
- Continuous ownership and co-management/leadership of the implementation process by the designated national focal point.
- Partnership/involvement of other development cooperation partners operating in the education sector in consultation meetings

Main features of the RED methodology

In addition to its background and rationale, the RED methodology is framed by its objectives, scope, key principles, deliverables and outcomes, and tools used. It also follows a very specific modular implementation process and uses an ad hoc and detailed analytical framework. Given their very practical nature, the latter two are presented in the next chapter.

Background and rationale

As a centre of expertise in human capital development policies, the European Training Foundation (ETF) has in recent years broadened its conceptual scope from vocational education and training to **lifelong learning**, reflecting an increased consideration of learning processes beyond initial education, including in adulthood. In addition, the ETF has a wealth of experience in developing **approaches and tools for diagnostic assessments**, for example through the biennial review of VET policies known as the Torino Process[1], the assessment of the credibility of VET strategies in relation to governance and financing[2], or the ongoing assessment of the credibility of strategies backed by budget support operations, or other analytical frameworks focusing on specific policy areas such as qualifications, governance, career guidance, labour market analyses, etc.

Since 2020, ETF has expanded the scope of diagnostic analysis to be sector-wide, including all sub-segments of education from pre-school to higher education, thus moving further upstream towards the concept of lifelong learning, and has developed the “rapid education diagnosis” (RED).

The RED methodology builds on a number of conscious choices:

i) Instead of digging into each sub-segment in depth, the approach pays particular **attention to the transversal dimensions** that make an education system functional, including inclusiveness (against inequality), governance (as key factor in resilience) and financing (as both an indicator and a driver for policy effectiveness and efficiency).

ii) Instead of trying to provide a complete and comprehensive picture of the education sector, which would require both a more descriptive approach and a longer time frame for implementation, the approach aims to identify critical issues that either affect outcomes negatively or could be strengthened in a positive manner in order to increase outputs: it **“sounds the alarm/calls for action” on critical and flagged elements** (hence the acronym “RED”).

This methodology is expected to be used on a national basis, upon request (from DGNEAR, the EU delegation or the partner country government). It was piloted in **Lebanon** in 2021, which resulted in a national report (available on request) that has suggested priorities for new EU financial assistance and has encouraged further policy discussions on education sector reform;

[1] https://www.torinoprocess.eu

[2] https://www.etf.europa.eu/en/publications-and-resources/publications/governance-and-financing-vocational-education-methodology

necessary improvements to the draft methodology were also identified and are incorporated into this document. A second implementation of RED is planned for **Kosovo** in 2022.

The RED methodology is also at the disposal of other international organisations: ETF believes in sharing analytical efforts as a contribution to improving the effectiveness of financial aid. If there is interest, a workshop could be organised on education sector analyses, in order to discuss strengths, weaknesses, complementarity and added value of respective methodologies, and possibly to harmonise tools and approaches.

Objectives and target audience

As per its objectives, RED is designed to **primarily serve the needs of the European Union** services, in particular the EU delegations or offices responsible for programming and implementing EU financial assistance to the partner countries, and the DGs in Brussels (incl. NEAR, INTPA, etc.) responsible for advising on proposals. However, the objectives can easily also be of interest to partner country governments, and in particular their Ministries of Education. Indeed, the primary objectives are:

- To **identify critical issues** in the education sector, whether pressing, urgent, or impeding its sustainable development,
- To inform EU decisions about financial assistance, by **formulating recommendations** on funding priorities,
- To inform a **coordinated policy dialogue** and agenda of education sector working groups with technical and evidence-based input.

Scope

RED is sector-wide: it covers all segments of the education sector, from early childhood to higher education, with a differentiated focus and depth that depend on the selected country's overall context, as well as most “pressing” issues of the sector.

As a backdrop, it seeks to link the identified challenges to the following key outcomes of a successful education system: Reducing inequality to ensure societal cohesion, ensuring youth employability, being resilient as a sector and building resilience as a country and a people.

More specifically, the analysis is intended to document issues that are known to be of significance for the performance of education systems, and which have a transversal aspect, i.e. related to **equitable access to a quality and relevant education system, governance, financing**.

Resilience is seen as the ability of a system to resist and overcome disruptors and shocks (e.g. macro-economy, climate change, regional and national instability, refugee influx, health/pandemic crisis, etc.). It is considered in this exercise as a critical impetus for future education systems, and is mainly assessed through the lens of governance. **Digitalisation** is also addressed as a key element and analysed in terms of its contribution to the achievement of the various outcomes.

The adoption of this thematic scope is ensured by following an analytical framework organised around these issues.

Principles

Key principles include:

i) **Evidence-base and disaggregated data**: The RED programme relies heavily on data, not only at the national level but also, as far as possible, at micro, local and regional levels. To address the data reliability issue, it uses different sources. This "unpacking of data" not only provides an understanding of how the education sector functions and delivers but also adds value to other available assessments and provides a solid basis for analysing different elements of the system such as educational inequality and equity in access to a quality system.

ii) **Participation/consultation**: RED's implementation process relies on consultation with stakeholders beyond the "usual suspects", in order to gather their knowledge, perceptions and experiences of what works and what does not. This complements the abovementioned use of data and integrates qualitative evidence into the analysis. The on-line modality, which may be used for carrying out a set of focus groups or "targeted consultation meetings", makes it effective and relatively easy[3]. Participation is also reflected in the organisation of the RED process, which foresees the establishment of a national technical team, or at least the contribution of key institutions to the analysis, through initial input and co-creation of recommendations.

iii) **Independence and political neutrality**: The RED draft report is submitted to national counterparts for comment, through the agreed governance framework. However, in the case of sensitive findings, the final report does not need to be approved by Partner country representatives, although widespread dissemination is ensured.

iv) **Outcome orientation**: The RED approach aims to produce findings related to the key expected outcomes of education sector interventions, as well as actionable recommendations that inform the policy dialogue and the reform agenda. To this end, the recommendations combine different levels, both in terms of timeframe (from short and mid to long term) and in terms of level of implementation (applying to the macro/system level as well as to the meso/subnational or micro/school levels).

Deliverables and outcomes

In the first Chapter, an infographic presents the modular implementation of RED, and the various deliverables associated with the various stages. Below are some details so that users know what to expect from each deliverable:

[3] For example, in Lebanon, 8 TCM enabled to reach out to more than 80 people, including from remote regions or schools, and from small civil society organisations.

Action plan

- The **action plan,** relating to the implementation of the analysis, is produced at the launch of the RED exercise. Sometimes also referred to as a **concept paper or roadmap**, it defines the scope, objectives, expected results and deliverables, establishes the governance framework, with roles and responsibilities, the time frame and the main areas for analysis – possibly including a refined analytical framework and desired data, customised to the national context. It is the **key document for the common understanding, support and collective agreement of partners**, namely the government concerned (Ministry of Education) and the EU delegation, the ETF, and the requesting DG.

Issues Paper

- The **issues paper** comes after the desk review, sometimes overlapping with the first activities of additional data collection and field consultation. It provides a **fair and comprehensive overview of the current situation**, based mainly on a thorough consolidation of existing documentation and readily available data. The issues paper highlights **critical challenges**, especially in terms of equity in access to quality education provision, system governance and system and policy financing.

  In scenario 1 of the modular approach, the issues paper is the final deliverable of the exercise and can inform the policy dialogue between the EU delegation and the partner country government: It is then up to them to explore possible recommendations. But if RED's implementation has been agreed as a process in its own right, as per scenario 2, then the issues paper becomes the reference point for further analysis and reporting, and the **guidance document of the RED expert team** for further research. In this case, for each hypothesis or critical challenge, which will have to be verified by the RED team, and then translated into actionable recommendations to policy makers, the issues paper should identify the outstanding questions, information or data gaps that will be explored during the field consultation phase.

  In other words, at this stage one makes assumptions on "what" the problems are, however they remain untested and proposals are not yet made on "how" to solve them. These issues still need to be analysed further and recommendations drawn.

  In any case, the issues paper **should not exceed ten to fifteen (10-15) pages** in order to be useful (by the expert team or by the policy makers, if this is the end of the process)

Draft Report incl. recommendations

- The **draft report including recommendations** is the result of an in-depth exploration of the challenges identified in the issues paper, thanks to field consultations (both through individual interviews and focus groups / thematic group meetings); based on this analysis, the draft report proposes some provisional recommendations for discussion and co-creation with the national stakeholders. These recommendations may be addressed to the policy makers as well as their development partners, and should clarify the (short, mid, long) term and the (macro, meso, micro) level of their desired implementation.

Final Report

- The **final report** is the result of editing and formatting the draft report, once the draft has been discussed and additional information or shared suggestions have been incorporated. It may lead to an official publication, hence be a public document, or remain a working document, depending on the agreement upfront or during the implementation process with the EUD. N.B.: The final report does not need to be endorsed by national counterparts, as its primary readership is the EU.

Roadmap for EUD suport

- A **roadmap proposal for EUD support** may be derived as a by-product, to define in further detail areas for financial support, technical assistance, priority topics for policy dialogue, or even to help organise joint monitoring of the education system and policy. It may include a proposal for ETF expertise support to the EUD and/or to the Government in the framework of the report recommendations.

Outcomes include **documented analyses** that help guide decisions (as per the abovementioned deliverables), but also **process outcomes** that initiate renewed and strengthened dialogue with diverse stakeholders (domestic and international) and at different levels (local, regional, national): the opportunities for exchange created by RED implementation, either face-to-face or on-line, may be replicated or even transformed into more sustainable spaces for discussion, in particular at local and regional level, or with actors who may not be systematically involved in the policy-making cycle, such as civil society organisations (representing users of education system, for instance).

Tools

Over and above the key principles, the originality and added value of RED relies on **two main tools that frame the implementation**. The iterative nature of the process combined to the use of these tools ensures a proper collection of quantitative and qualitative evidence as well as guaranteeing the reliability of the analysis. This process is important for gaining mutual trust through stakeholder engagement and thereby the credibility of the products.

- The **analytical framework** is the key tool to providing guidance to the analysis and to ensure that it is fully informed by the data. The analytical framework is designed to provide a broad picture of the sector, attempting to identify patterns and issues along the three main dimensions under assessment (inequality, financing and governance). For each dimension, the research questions to be addressed are grouped into key themes and reflected in a set of data and indicators informing the analysis.

  This analytical framework is a support to the collection and analysis of evidence during field consultation – it does not form a binding reporting framework.

- "**Focused consultation meetings**" are an interesting tool for gathering collective qualitative evidence. It is **inspired by the focus group methodology**, yet does not strictly follow it, as it is more flexible in terms of maximum number of participants or number of topics/themes to be discussed (hence the different name). This consultation technique enables the inclusion of different voices, those "unusual suspects" who are not always included in a formal consultation process, by grouping them into groups of stakeholders according to their age, region, social status, profession.

Guidelines for RED implementation

As previously introduced, the RED methodology draws its distinctive features from two levels:

- **In terms of process, the RED methodology offers a number of modules** that need to be combined in order to ensure both the quality of analysis and its appropriation by the stakeholders who are expected to use it.

- **In terms of content, the RED methodology covers systematically three dimensions that are explored using an analytical framework** combining research questions and indicators/data needs for each one. Additional focus areas, customised to EU or national needs, may complement the analysis.

This chapter offers a detailed and practical guidance for the implementation of the RED methodology, both in terms of process (modules) and content (thematic dimensions for analysis, analytical tools).

Modular approach and time frame

The exercise is called “Rapid”, mainly because it aims to highlight the main critical issues rather than to be comprehensive. The implementation of such an evidence-based analysis, however, still requires a certain amount of time, which obviously also depends on the human resources mobilised.

As explained in the first chapter, the modular approach recommends two main scenarios, based on the expected outcome and the level of effort (in terms of human resources, time and funds) possible.

Although it is an iterative process that may mobilise different modules, basically :

- Scenario 1, which leads to the issues paper, mainly engages modules A, B, partially C and possibly D for some targeted interviews.

- Scenario 2, which leads to a full-fledged report, includes recommendations that involve modules A, B, C, D, E and possibly F and G.

Based on the involvement of a policy analyst, a statistician, a public finance specialist (with some experience in the education sector), an assistant and a knowledgeable resource person from the country under analysis, one could expect, as indicated in the chapter on the ‘Essentials’, **two to four months for scenario 1 and four to eight months for scenario 2.**

Implementation modules

Below is a detailed description of each module.

RED set up

Module A	RED set up
Objectives	• Contextualise the exercise • Create interest and consensus, Secure support • Ensure clarity of outputs, requirements, deliverables, resources and timeframe • Discuss implementation risks with EUD • Establish governance framework ensuring the quality of implementation - data and information collection, shared analysis- and to provide actionable recommendations.
Outputs/Deliverables	• **Action plan for RED implementation** agreed with EUD and authorities • **Short concept paper presenting RED** in the country as a baseline document for common understanding among all stakeholders to be involved • **Terms of reference** for the steering committee and the technical team (could be part of the action plan or stand-alone).
Main activities	• Official communication to EUD, MoE by the EC offering a RED • De facto establishment of the steering committee and first meeting: Discussion of scope and purpose, governance, publication, access to data and people • Establishment of the RED analyst team (incl. recruitment) • Establishment of a steering committee (SC) composed of the main institutional partners (EUD, ETF, MoE, DGNEAR or other EU service involved) and the first SC meeting • Nomination of the national focal point (NFP) • Constitution of a national technical team, drafting of its terms of reference (roles and expected contribution) and initial meeting • Initial customisation of the analytical framework to main contextual elements • Drafting and approval of the action plan (also called concept note/roadmap) specific to the PC concerned
Who	Partner institutions: ETF, EU, EUD, MoE
Useful tips	• Building trust, agreeing on the concept note and on the expected use of the results • National technical team should be multi-ministerial • Do not under-estimate the time needed for the political support (incl. the national consultation process) • Use pre-identified elements of the country context as an incentive for support • Share, in the following modules, the country-specific concept note as a reference document for raising awareness, common understanding and mobilisation among all stakeholders to be involved

Module B	Desk review
Objectives	• Carry out a first general analysis to identify main issues • Identify information and data gaps • Collect and organise relevant documentation (national documents, donor reports, etc.)
Outputs/main deliverables	Issues paper, no longer than 10-15 pages, emphasizing pending questions for further analysis Bibliography that will be put in annex of the products
Main activities	• Internet research for documentation collection. • Communication with technical team and donors to ask for the sharing of relevant documents. • Desk review : screening of documents, identifying relevant information to be included in the issues paper and/or report, grouping information and data by thematic dimension (equality – in access, quality and relevance-, financing, governance) • Drafting of the bibliography. • Analyse the overall coordination and governance framework (coherence vs fragmentation), and the decentralised structures/actors to be included for all dimensions.
Who	The ETF team of experts, with an important role for: • the administrative assistant to help collect documentation and prepare the bibliography in the agreed academic format • the national resource person to help select most relevant information
Useful tips	• Use desk review output as an opportunity for engagement: Ensure that key stakeholders can share and contribute to the analysis by developing a common understanding of approach and issues: issue framing is both a technical process and a stakeholder engagement. • Create the bibliography from the beginning according to the international editorial standards

Building trust, agreeing on the best way to express “analytical questions”, the first issues raised after mapping and literature review

Determining “Who should be met?” requires mapping the flow of financing, as it may come through multiple sources (budget, extra-budgetary funds, private, DPs), which should be done early on so it guides the literature review and then engage.

Module C	Data collection and analysis
Objectives	To ground the analysis in evidence To collect the data on financing (IMF, UN, National data, broken down by item, education levels, geography), on systems (existing PFM diagnostics), on educational outputs and outcomes (existing education assessments and diagnostics)
Outputs/main deliverables	Indicator grid and/or visuals to present key data to be annexed to the draft report (e.g. Infographics, PowerPoint)
Main activities	Data collection from national and international sources in order to obtain the indicators and itemised data necessary to support the analysis and properly answer the research questions. It should draw from a wide range of data, from international data sources (UNESCO, World Bank, ILO, IMF, ETF database, Eurostat,etc.) to administrative and school micro-data. Data analysis will depend on the research needs and on the type of data collected. It could be based on simple summary statistics like means and variances, or involve more elaborate methods such as regression models, principal component analysis, geospatial analysis and so forth.
Who	A statistician should be responsible for data collection and analysis The assistance of a national expert may be required in order to facilitate communication with ministers and any public bodies that can provide the requested administrative data. Additionally, a knowledgeable national expert is crucial get the right research input.
Useful tips	Be prepared to take into account that time and resources vary, as some countries already have accessible data, that can be aggregated and disaggregated (provinces, gender, income) while others do not. Some of these data are not openly available and may be difficult to obtain. Particularly with regard to micro-data, it may be necessary to go directly to national and administrative sources in order to gain access. This process could be time-consuming and it could be shortened and facilitated with the help of a national expert. It is difficult to have a pre-built and comprehensive list of indicators valid for all future RED projects: each country has his own peculiarities; the focus of the analysis will be at least partially different and data availability differs from country to country and year to year. However, a partial list of indicators is available under each guidance note below, to give at least a sense of the basic structure of this tool. Depending on the sources and on the quality of data provided, some time may be required to clean up the datasets or when applicable to create them (e.g. when copying data from pdf or jpg files into a worksheet).

Field consultations

Module D	Field consultations
Objectives	• Testing hypotheses identified in the issues paper • Filling information gaps • adding qualitative information (complementary angle) • Identifying final focus/ key messages and structure the report around them
Outputs/main deliverables	Targeted consultation meetings (TCM) and interviews' summaries, capturing stakeholders' views on the issues Outline and draft of the RED report integrating the qualitative new inputs
Main activities	• Drafting of interview guidelines • Drafting of focus groups guidelines • Sharing of the concept note of the RED initiative for a common understanding prior to the consultations • Planning and conducting of interviews and focus groups / TCM • Taking minutes (for solid evidence) • Factoring the results of these consultations into the analysis
Who	Team of experts, with emphasis on a good facilitator in the country's native language. Wide range of stakeholders; potentially (depending on the objectives of the research):All education institutions - public and private, from the ministry (central level and decentralised levels - regional offices -) to education providers of all segments (schools, training centres, universities,...), all education segments. Other ministries to be defined within context, incl. Ministry of Finance, Ministry of Public Administration/Governance/Decentralisation, Ministry of Planning, etc. Sector stakeholders: NGO, parents, teachers' unions, development partners.
Useful tips	When developing focus groups/ Targeted Consultations Meetings : seek to engage as many stakeholders as possible and to create opportunities for dialogue between them, framed around key/targeted issues. Collect results and compare them to the analysis done based on data and interviews. Consolidate findings in situ: as the module develops, build on previous interviews and focus groups to further the analysis and complement the information already gathered rather than repeating it. Ensure access to data that has been validated by Ministry of Finance. TCM should be safe "space" for dialogue, in the preferred language of the stakeholders, facilitated by native speakers to ensure process, time, respect, yet without intervention from team/analysis perspective.

Module E	Analysis of findings and co-creation of recommendations
Objectives	• To finalise the analysis by triangulating findings obtained by different (quantitative and qualitative) methods. • To share findings for comment to a wide audience (after sharing with the technical team). • To gather different views and possible recommendations at different levels of governance and from different institutions/stakeholders. • To "co-create" recommendations drawing from very preliminary proposals. • To prepare the final key messages.
Outputs/main deliverables	Analytical report and synopsis, including shared conclusions and recommendations. Graphic representation of the issues.
Main activities	Final grouping of the key issues by dimension and by outcome: • Inequality (in access and in quality) • Financing • Governance and resilience of the education sector Translation of the main findings of the analysis into recommendations for action. Official sending of the report for official feedback to the authorities Discussion workshop whose agenda would include sharing and discussion of the findings on critical issues and co-identification of recommendations.
Who	Technical team/public authorities/national education stakeholders.
Useful tips	It is essential to find agreement, as this anchors the dialogue and future acceptance of the report. Profile the report as one step or picture of the situation at a given time and focus on the process of dialogue and proposing changes.

Module F	Publication
Objectives	Ensure visibility and dissemination of RED beyond its direct users Provide input to donor coordination and further discussion on external support. Promote replication of RED in other countries.
Outputs/main deliverables	Published report. Two-page leaflet presenting RED results in the country (in terms of findings, recommendations, process and follow-up). Dissemination plan.
Main activities	Finalisation of the final report through: • Peer review • Editing • Layout • Translation • Publication in PDF format Plan for national dissemination of the report. Identification of the opportunities for international dissemination (events, websites, networks, etc.). Dissemination via ETF website or other channels.
Who	ETF Comm team, RED team leader and ETF country liaison officer.
Useful tips	Ensuring widespread access in terms of language and length (not too long). Prepare a two-page accompanying document for policy makers.

Module G	Follow-up support to EU delegation
Objectives	To ensure that the EUD is well equipped to follow-up operationally on the RED.
Outputs/main deliverables	Roadmap proposal including: priorities for financial support, priorities for technical assistance, key issues for policy dialogue, and possibly an organisation/workplan for the latter.
Main activities	Discussion with the relevant EUD programme officers on plans and requirements for technical support (through technical assistance or other), as well as expectations vis-à-vis ETF. Development of a support plan consistent with the EUD time frame and ETF resources.
Who	ETF RED team, EU delegation.
Useful tips	Key messages should be oriented to actionable conclusions and recommendations that can be followed up in sectoral dialogue and by CSOs.

Analytical framework and key thematic dimensions of analysis

The analytical framework is organised around three pillars or research dimensions, which reflect the expected outcomes of a well-functioning education system.

Based on a thorough mapping of general national context, it involves the analysis of:

1. Inequality in access to quality and relevant education
2. Efficiency of the financing
3. Resilience through governance

Exploring these various dimensions can help to understand how well the education system is functioning, as well as identifying principal challenges or weaknesses. Beyond this context-specific focus, each aspect can be linked to international standards and a Sustainable Development Goal (SDG) if this baseline is an important element of policy-making.

Each dimension guides the search for information by listing key issues to be studied and the corresponding indicators.

Three thematic dimensions are analysed in depth in the RED, due to their strategic importance for EU support, and therefore subject to detailed methodological guidance as described below: financing (V), governance/resilience (IV), and equity/inequality (II).

For the record, the analytical framework aims to provide a general picture of the sector, in an attempt to identify patterns and issues: it does not form a binding reporting framework

(although it is recommended that the format of the reports and their dissemination be agreed in the Concept paper).

The national context is the first aspect of the analytical framework. It is activated very early in the RED process as per Module B 'Desk review' but also sometimes as per Module A 'RED setting up'. The reasons for this are that:

i) the context findings are relatively stable over the period of RED implementation, so they do not need to be significantly revisited during the exercise;
ii) understanding the institutional context helps define the governance framework of the RED;
iii) understanding the national context prior to the sectoral context allows the analytical framework to be customised to the country's most pressing issues (which influences the formulation of research questions related to the three thematic dimensions)
iv) in addition, they serve as a simple and typically easily accepted baseline/starting point and can help build the initial consensus needed for fruitful discussions with stakeholders (as per Module E).

AF guidance: country context analysis		
What for?	**Objective:** Know and understand the key contextual elements that impact the dimensions of education.	
What? *Key elements to consider*	**Aspects/issues/topics** 1. Demographic and social context 2. Economic context 3. Political context, Policy and legal frameworks 4. Macroeconomic and public financing frameworks	**Indicators (when relevant)** Real GDP Public revenues % of GDP Public revenues % of GDP (excl. Grants) Tax revenues %GDP Debt to GDP ratio Inflation DSA risk analysis Poverty Rates
Who? *Stakeholders concerned*	RED team members with the support of ETF country liaison officer and EUD programme managers	
How? *Advice/Guidance for completing the task(s)*	• Desk review / bibliography analysis • Press release • Initial informal conversations with key actors	
Caution! *Tips, key success factors or points of attention*	Allow sufficient time for context analysis, as this is useful not only for the analysis of the sector, but also for the correct design of the RED governance and implementation process.	

AF guidance : inequality analysis		
What for? *Objectives and expected results*	Identify the main patterns of inequality in access to an education system of equitable quality	
What? *Key elements to consider*	This dimension, i.e. measuring inequality, takes the student as the main point of entry for analysis, and seeks to unpack the analysis from different characteristics related to the student's situation in terms of access to a quality education provision. To do so, the analysis will cross-reference and triangulate data regarding: • Student characteristics (Family socio-economic background, gender, language/ethnicity/minority/nationality/religion, place of residence, disabilities/health status). • School characteristics (level of education offered, type of school (e.g. private or public), location, characteristics of the teaching staff, financial and material resources, etc.)	
Topics	Issues / questions	Indicators / data
		As far as possible the indicators below are disaggregated along different criteria: by sub-sector, by region (rural/urban, or richest/poorest), by household income, etc.
1. Inequality in access	• **School enrolments**: What are the main disparities in access and retainment (drop-outs) from the school system and what are the causes of these disparities? • **Supportive instruments**: Is the education system adequate to support the more disadvantaged students? • **Digitalisation measures**: In case of distance learning, are there remedial measures for those who are not equipped at home?	• Enrolment rates. • Drop-out rates. • Repetition rates. • Horizontal/vertical mismatch indicator. • Participation in training/lifelong learning. • Student/teacher ratio. • Occupation rate of school buildings (in relation to maximum capacity). • Student-to-Laptop ratio (for school equipment). • Average price of broadband internet connection. • % of households with personal computers.
2. Inequality in quality	• **Teaching staff**: Do all children benefit from the same type of education (qualifications and working hours, remuneration, seniority of teachers). • **School Resources**: In addition to teachers being the primary contributor to quality, are all students receiving adequate	• Administrative data on schools (capacity, quality of infrastructure, number of digital tools, etc.). • Administrative data on teachers/civil servants • Students' and international scores (e.g. PISA, TIMMS). • Employment rate by level of education. • Employment rate of recent graduates by programme orientation.

	educational resources? (access to digital tools, decent school buildings, school transport, school meals, etc.). • **Learning outcomes**: Which students are lagging behind in educational performance? • **Transition to and within the labour market**: Does the school system provide all students with the necessary skills to find (and retain) a job?	
Who? *Stakeholders concerned*	The Minister of Education should be contacted to obtain detailed administrative data on schooling. Where labour market data is required but not available in international databases (e.g. ILO), the national statistics office should be contacted to obtain data on labour force surveys. Teachers', parents' and students' associations can be involved in Target Consultation Meetings in order to gain a perspective on education inequality that doesn't come from authorities.	
How? *Advice/Guidance for completing the task(s)*	Key Modules : Data Analysis + Field Consultation to triangulate and refine information. Identification of current policies for addressing inequality and of opinions coming from articles and Target Consultation Meetings: these qualitative information should provide research input and be confronted and validated by the data analysis. In addition, the results of the data analysis will provide new input and will raise new questions to be asked in the TCMs. Data collection will be based on disaggregated data and indicators coming from administrative sources, reports from the Ministry of Education, labour force surveys and international sources (UNESCO, ILO, etc.). A priori, it is difficult to pre-define a statistical analysis adapted to this dimension. An analysis focusing on the comparison of different groups (e.g. students by nationality, gender, income, type of school, etc.) could nonetheless become a consideration.	
Caution! *Tips, key success factors or points of attention*	Inequality in education is often linked to sensitive issues, sometimes voluntarily ignored or underestimated by central and local authorities: when possible, it is preferable to compare data from national sources with data collected and validated in international databases (UNESCO, ILO, etc.) or with opinions deriving from TCMs. Complementarity between quantitative and qualitative evidence is crucial. In this context it is easy to accumulate many different inputs and many indicators/datasets: keeping an up-to-date list of collected data (indicators' framework) could avoid confusion.	

AF guidance : financing analysis	
What for? *Objectives and expected results*	This dimension seeks to assess the level of financing for the education sector, its distribution across the education sector (public/private, levels of education, geographical, income levels) and the extent to which the Public Financial Management systems allow for effective and efficient allocation of resources. The overall funding of the sector and distribution across the levels of education and institutions, budgetary management and accountability of all public resources, including external funding, are indeed crucial to all education outcomes. This dimension should also include whether the sector's funding is sufficient to sustain its objectives and invest in its renewal and resilience, and if itis politically secure and economically sustainable, making the links to governance and quality to ensure responsiveness to labour requirements and innovation. In planning, costing helps to determine the extent to which funding for the sector: • is based on a plan • is based on a costing framework (including those that use an incremental basis for budgeting) • is sufficient to support the sector and invest in its renewal and resilience • is politically secured and economically sustainable (links to governance and quality to ensure responsiveness to labour requirements and innovation).
What? *Key elements to consider*	The analysis is therefore akin to an examination of public expenditure, including an understanding of the funding streams towards schools, which allows for connections to be made to governance, quality and inequality. **Getting a picture of the current situation and identifying trends** 5 aspects of analysis are proposed and further detailed in the associated tool (see annex). It is structured around key questions and data to develop indicators. The framework is not prescriptive: the questions will vary according to context and issues, and the indicators will depend on the data available. Regarding the 5 aspects, the questions and indicators are suggested to provide comprehensive perspective into the sector and help to understand its financing. 1. Budgeting in terms of fiscal space for education, key historical data on budget and results as well as the current budgetary framework for the education sector compared to plan. 2. Resources mobilisation, both public and private, including development partners for education funding, historical trends to understand sources and their sustainability. 3. Allocation of resources across the sector by levels of education, economic items, and distribution by (geographical) regions and by income groups to link to governance, education results and inequality. 4. Policy-costing in terms of formulae and basis for costing (e.g.; type of costing), allowing an analysis of the variance between costing, plan, budgetary framework and current funding levels, and between public and private (this is particularly relevant in countries where there is a large amount of private education, for all levels or for TVET and higher education). 5. Capacity: adequacy of funding for the sectoral management and teaching staff (including training of teachers). As a baseline, it is recommended to start with an understanding of public finance and its management, as may be described in a PEFA assessment. Such questions and indicators are not repeated here.

Topic	Issues / questions	Indicators / data
1. Budget fiscal area key historical data on the budget the current the budgetary framework and results for the education sector compared to forecasts	• What is current total domestic spending on education? • What is the current budgetary framework for education (MTEF, ceilings), and how do they compare to the budgetary plan and execution? • How has government spending on education shifted over time? • To what extent do external factors to education negatively affect its funding and the budget execution? • What are the proportions between public, private and external funding (Development Partners, other sources)?	**Possible indicators** • Education expenditure (last 5-10 years) - Nominal value; % of total expenditure; % of GDP • % change year-to-year • Variance between plan, MTEF, budget and budget results (e.g. budget N allocation variation compared to MTEF N-1, N-2, sector plan, budget N results deviation from budget ; can be broken down by level, geography) • Share of external financing and private funding (tuition and private funding sources)
2. Resource mobilisation public and private development partners historical trends	• What are the levels of private funding (privately funded education, parental tuition)? • What are the levels of external donors? • Are both of these funding streams fully accounted for and tracked (public to private subsidies, registration costs, exams costs, etc.)? • How are the different segments of public education funded? For TVET, what are the arrangements to mix public and private funds for schools, the qualification and certification mechanism and exams? • What are the calculated resources mobilised for each child per segment in public and private education? Can a break-down be done by region or other significant categories (gender, income, spatial distribution in cities, nationals/refugees/IDPs)? • To what extent can the budget classification and process (as well as tools) and the Chart of Accounts and accounting process (and tools) allow to fully capture income and expenditure, including IGF and ODA (all forms, including in-kind)? • To what extent can off-budget expenditure (e.g. aid-funded expenditure) and income (e.g. development assistance or user fees) be estimated? • To what extent are projects (including for the education of refugee /IDP children) reinforcing or unbalancing the national funding system?	**Possible indicators** • Total ODA to education as % of education budget and share of ODA to education (last 5-10 years) (can be broken down by level, geography) • Privately funded education as % of education budget (last 5 to10 years) (can be disaggregated by level, geography) • Average expenditure per school and per pupil /student (plan, budget, results, should be broken down by level, geography) • Estimated average private school funds generated by parents, known as Internally Generated Fund (IGF).

3. **Resource allocation**	• Does expenditure correspond to the policy priorities? • Are there significant variations between the approved plan, medium-term budgetary framework, annual budget and actual expenditure (overall and for different levels of education)? • Are there significant variations between budget releases and the levels of spending by different ministries or agencies that receive transfers? • Do the budget preparation and formulation processes reflect needs, costs and expected available resources? • Which budget planning tools are used (existing/used)? Detail the annual and multi-annual budget planning and how it is applied to the sector. • How are intra-sectoral allocations decisions made? Are they transparent, based on documented needs and costs? • How does funding flow through the system, from funding units to intermediary units, to producing units (i.e., schools) and beneficiaries (i.e., students)? • Are medium-term projections consistent with the macroeconomic budget constraint, the policy priorities and historical implementation trends? Are the implications of capital expenditure on recurrent costs considered? • If the sector is decentralised (deconcentrated), do allocations and transfers mechanisms ensure coherence with competencies, policies and needs? (Is there coherence between budgetary allocations to sub-national entities and their functional mandates in accordance with the legal framework underpinning fiscal decentralisation?) • What is the level of household contributions to education, including tuition fees, contributions to school funds, and supplementary items (i.e., textbooks, school uniforms, etc.)? • Use the data collected to perform an analysis of who gets the most benefits (at the household level). • Is the education budget entirely the responsibility of the central government or is it shared with regional governments? How does it affect the full funding? How does the budget process provide for private sector allocation (subsidies)?	**Possible indicators** • Total subsidies, shares by education level, by beneficiary, by income group and/or regions • Tax expenditures for the sector (e.g.; exemptions for private schools) • Analysis by economic items (payroll, including contractual teacher payroll, other recurrent expenditure, capital including renewal), subsidies (broken down by beneficiary institutions or eligible persons), educations levels including ECD, adult and special needs education, regions (or other) • See also indicators for Budget on variations across plan, MTEF, budget and execution • Existence of budget planning tools used • Average school budget in the plan, in the annual budget and in the results • Average school tuition or contribution paid by parents

4. **Policy costing**	• What is the process for determining the cost of policies, programmes and activities? How are costs expressed: per results? per pupils? per school? • Is there a formula for subsidies? Provide its expression • Is the allocation of resources based on a unit cost/funding formula? What is the level of unit cost (recurrent cost per pupil) per education level for the public system? How does it compare with the unit cost in other countries in a similar economic/demographic situation? • Do sector strategies have multi-year costing of recurrent & capital expenditure, and links between investment budgets and expenditure forecasts? • Have the recurrent-cost implications of investments been considered? Are any potential savings considered? • Is costing applied on an incremental basis (number of students, cost + inflation) or through more complex methodologies analysing cost drivers, unit costs, cost of new activities? • How is financial management data collected to analyse costs and inform relevant financial decisions? • How do asset management plans (school buildings and others) affect resource allocation? • What is the relative importance of each of the main factors affecting unit cost (e.g., average teacher salary, by status (civil servants and contractual – different types) PTR, percentage of recurrent expenditure, teacher/pupil ratio school/pupil ratio, number and salaries of non-teaching and training staff, other than teaching salaries)?	**Possible indicators** • Extent to which the Forward Spending Estimates (FSE) and future recurrent costs implications from investments (including development partners) are used. • Operationality of financial data collection system • Per capita cost of pupils in public school/institutions by education level • Per capita cost of pupils in private school/institutions by education level • Unit cost per pupil in primary education • Unit cost per pupil in secondary education • Unit cost per pupil in TVET • Subsidy per capita • Basic allocation for school • Pupil per Teaching Hours Ratio (not Pupil Teacher Ratio) • Pupil per School Ratio
5. **Capacity**	• What is the impact of the current teacher management system on the budget? • Is it linked to a strategy and/or a plan (establishment staff list/school needs, payroll control/Right Sizing)? • What are the internal control mechanisms for payroll? (looking from the school and upwards) • What is financially managed at school level, at regional level? • Are there rationalisation/optimisation efforts being made through the management of teachers, infrastructure, clustering of schools or specialisation according to equipment costs, etc.? Are they guided by plans ?	Possible indicators • Estimation of share and impact of teachers/contractual teachers on budget • Operationality of internal controls evidenced through walk-through tests and/or internal audit reports and PFM reviews (such as PEFA) • Operationality of clear instructions and templates for school management • Operationality of the school management system and school inspection

	• Is there an asset management plan linked to the regions? How is it managed and how does it ensure efficiency between central and deconcentrated/decentralised management? • Would the education system be able to absorb more resources? • How well does it integrate DPs support? • To what extent are the planning, data/monitoring and supervision functions funded to allow implementation of national/international standards? • To what extent do externally funded projects add or require capacity? • Does the functional plan and analysis of the ministry and agencies make establishment decisions and budget allocations? Are there gaps and how are they are the being filled? • To what extent are the governance arrangements allow for deconcentrated/decentralised appropriation of policies, programmes and activities? • To what extent are the governance arrangements allowing for deconcentrated/decentralised decision-making on resource mobilisation and management (staff, assets) and financial management (school expenditure)? Is it controlled and efficient? • How are subsidies to families/scholarships/subsides to private schools governed (legal/regulatory), supervised and reported? • Does the education system (or some sub-sectors) have effective mechanisms and tools for resource mobilisation, resource allocation, and management of the funding flow (e.g.: contract-based funding for schools to enrol specific target groups, formula funding, training funds, etc.)?	• Operationality of the governance mechanism established to support school and regional management • Analysis of performance on procurement and asset management (reference to PEFA and PIMA)
Who? *Stakeholders concerned*	A significant portion of the data and information can be drawn from existing analyses by the Government, its institutions or partners. It will also be necessary to obtain official budget data (appropriations, releases, audited accounts) from the Ministry of Finance and the Ministry of Education (sometimes they are different data sets, and sometimes different levels of disaggregation). Data can be also collected from: • Annual or multi-annual performance assessments: Ministry of Education, Sector Working Groups/DPs, Supreme Audit Institution • Ministry of Finance and Ministry of Education data: placing a clear request using existing budget classification is necessary to facilitate the work, requesting appropriations, releases and results (audited or presented to auditors) • Public expenditure reviews and monitoring surveys: typically by the World Bank but also Sector Working Groups/DPs • Others public standard financial management assessments such as PEFA and PIMA	

	The data collection and its analysis should ideally involve sector stakeholders towards a co-creation of the findings, through technical consultations, notably beyond the ministry and its agencies: school levels and SNGs, parents, students' and teachers' associations, private sector providers, in order to understand what the figures means in the national context and to gather their views.
How? *Advice/Guidance for completing the task(s)*	**Desk review** • At the Desk Review stage, it is essential to initiate data collection, as well as to also establish a practical understanding of the institutional architecture and the budget classification as key elements of the data request. The questions and indicators of the five sub-aspects are a guide to structuring this phase, using the available documentation to populate a bibliography database. • Documentation: PER/PETS, PEFA, PIMA for the PFM implementation, IMF/WB reports and national accounts, collection of economic indicators, sector reports and analysis by national institutions, NGOs, private sector. **Data collection and Analysis** • It is necessary to take the time to learn « the system » from all available information. Time and resources will vary as some countries already have accessible data, which can be disaggregated (public and private sector, education levels, instruments, decentralised structures/sub-national governments, income quintiles, gender). Data Collection is the primary necessity in order to: • Create the national education and economic portrait (draft); • Create the country's institutional architecture relevant to the fiscal, budgetary and regulatory aspects applicable to the education sector • Formulate a data request based on points 1 and 2 and based on the country's budget classification for both budget and outcome • Formulate a request for interviews by institutions with the key topics to be covered; • Make an initial analysis of the general economic, fiscal and budgetary and institutional figures. Subsequently, the analysis and field consultations should lead to: • A detailed analysis for all sub-aspects of funding to identify or confirm issues, possible causes and proposed recommendations. • Finalise the economic portrait of education in the country using data and visuals, highlighting trends where possible in terms of funding, budgeting models and issues (teacher wage bill, investments, maintenance, subsidies, budget execution rate, etc.). • Summary of key findings with a power-point presentation, linking funding to other aspects of education.
Caution! *Tips, key success factors or points of vigilance*	• In view of the importance of analysing trends, take a 5-year (at least) historic time span • It is crucial to create interest and consensus and to get support. It can be very useful to build trust through early exchanges to agree a concept note and then a discussion paper to express the 'analytical questions'. These initial questions should be raised after the planning and the literature review. • Establishing a simple but clear governance for the quality of RED implementation will have an impact on the data collection and creation of a shared analysis with actionable recommendations • Determining "Who needs to be met?" requires mapping the financial flow as it may come from multiple sources (budget, extra budgetary funds, private, DPs), which needs to be done early so it guides the bibliography review, and then engage with the stakeholders. This needs to be clear from the outset, as it will help to secure the different perspectives and gain acceptance, as a means of triangulation.. • Time and resources will vary as some countries already have accessible data, which can be aggregated and disaggregated (provinces, gender, income) • Take time to ensure that the report is user-friendly, readable and accessible

AF guidance : governance and resilience analysis		
What for? *Objectives and expected results*	This aspect seeks to assess the extent to which education sector governance arrangements are effective, resilient, fit for purpose, have effective planning and policy-making processes and adequate accountability mechanisms, promote effective administration practices based on the appropriate human, technical and financial resources, including the involvement and management of different levels of administration (national, regional, local or provider level), and the extent to which they are responsive to the needs of the sector. In order to achieve the desired result while analysing this aspect, it is vital to take into consideration the impact of new hybrid forms of work, the implications of fragile contexts and the scarcity of resources.	
What?	**The governance dimension should be assessed primarily against the transversal criteria of transparency, accountability and capacity.** Overall, this dimension assesses the extent to which the governance of the sector: • is well-defined and sets clear processes and procedures • is participatory and engages the different levels and types of stakeholders • ensures accountability and transparency • is based on M&E (monitoring and evaluation) protocols that inform the reform process and policy planning • relies on adequate institutional capacity • is effective and highly efficient in accordance with the existing resources and conditionalities	
Topic	Issues / questions	Indicators / data
1. Responsibilities and accountability	Institutional arrangements: • distribution of authority and responsibility between different actors and levels • decentralisation model and patterns • public service management: rules and practices Administration (with a focus on policy, planning and management functions) • mandate and mission vs. structure, authority, and resources • internal functioning: collaboration, communication • legitimacy	Number and type of institutions responsible for the governance of the education system
2. Strategic vision and role of partners, incl. donors	• existence and knowledge (application?) of sector-wide vision and strategy and of other national policy frameworks • Leadership capacity of the highest level	Amount of external aid compared to the national budget Donor support modalities (project/budget support)

	• involvement of partners (private sector, civil society etc.) in education policy development, planning and management • effectiveness and impact of partnerships, including influence and alignment of donor support with the national policy	
3. Use of data along the policy cycle	• existence of mechanisms /use of data for good planning of education provision and teacher allocation • Guiding principles for managing change/policy reform processes • Policy monitoring and evaluation practices: data systems, M&E tools and mechanisms, remediation measures • System resilience: emergency/sustainable development continuum of the policies and programmes	M&E procedures related indicators
4. Institutional capacity	• Are human resources adequately allocated (in terms of numbers and skills) to the needs of the various institutions according to their responsibilities • Is the sense of commitment assured, encouraged or hindered? • Is there digitalisation of the administration and of management of the education system (e.g. distribution of textbooks and other materials to schools, procurement procedures, etc.). Do the staff in charge have the required digital skills?	Organisational audits / functional reviews Number of staff by level of governance (directors, teachers, ratio students/teachers); types of contracts; distribution by region/school Number and type of infrastructures and equipment available in the education system (ratios/teacher and ratios/students); distribution by region/school Equipment rate and connectivity of the administration
Who? *Stakeholders concerned*	Government (i.e. ministries in charge of education systems and policies); national and public institutions responsible for implementing the educational policies; regional education bodies; schools and other education providers; parents', teachers' and students' associations; municipalities or other regional administrative bodies in charge of education policies; international donors and other development cooperation agencies	
How? *Advice/Guidance for completing the task(s)*	The analysis of this dimension should be developed mainly through qualitative techniques (i.e. individual interviews, focus groups, targeted consultations), combined with a desk study and a literature review. A multi-level approach is recommended, starting with the review of key and official documentation on the structure of the education system and the administrative organisation; desk-review of previous analyses and studies to identify existing/remaining issues/solutions to be implemented; followed by individual interviews with high-level government officials (ministers, deputy-ministers, directors-general, heads of departments at national level, regional directors, mayors or head of education in municipalities, and selected school directors) to identify/confirm the "pressing issues"; and a final level of consultations to discuss with a wide range of stakeholders, including beneficiaries and/or key-actors in the education	

	system (school directors, teachers, parents, partners – NGOs, international donors, employers and trade unions -, academic experts and the research community, among others). For each country, there is a need to identify who are the “right” stakeholder groups to involve in consultation meetings in order to obtain the widest possible range of views.
Caution! *Tips, key success factors or points of vigilance*	• Keep in mind the sensitive nature of the topics discussed (transparency, accountability, political and governmental choices, corruption, etc.).Avoid biased referrals of contacts "snowballing". • Involve as many stakeholders as possible in order to gather different views and voices on the governance of the education system. Address issues using appropriate research techniques (individual interviews for senior officials, focus groups at regional level with a wide range of participants, or targeted groups to discuss a particular topic in depth).Involving “local experts” as main focal points for contacting the different levels of administration. • Establish a relationship of trust between the evaluation team and the representatives of the administration, clearly informing them of the objectives of each consultation, the methodological steps and the general objectives of the evaluation of the education system.

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FURTHER INFORMATION

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