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Report No: 77419-UG

INTERNATIONAL DEVELOPMENT ASSOCIATION

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED GRANT

IN THE AMOUNT OF US\$100 MILLION

TO THE

GOVERNMENT OF UGANDA

FOR THE

UGANDA TEACHER AND SCHOOL EFFECTIVENESS PROJECT

July 23, 2014

Education Sector  
Country Department AFCE1  
Africa Region

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## CURRENCY EQUIVALENTS

(Exchange Rate Effective June 28, 2014)

Currency Unit	Ugandan Shilling
US\$1.00	UGX 2,598

## FISCAL YEAR

July 1 – June 30

## ABBREVIATIONS AND ACRONYMS

AfDB	African Development Bank
BOQs	Bills of Quantity
BoU	Bank of Uganda
BRMS	Basic Required Minimum Standards
CA	Coordinating Agency
CAO	Chief Administrative Officer
CAPE	Creative Arts and Physical Education
CAS	Country Assistance Strategy
CC	Coordinating Centre
CCCP	Community Child Care Program
CCTs	Centre Coordinating Tutors
CMU	Construction Management Unit
CPR	Classroom Pupil Ratio
DEMIS	District Education Management Information System
DEO	District Education Officer
DES	Directorate of Education Standards
DIS	District Inspectors of Schools
DLIs	Disbursement-Linked Indicators
DSC	District Service Commission
EA	Environment Category
EAs	Engineering Assistants
ECD	Early Childhood Development
ECE	Early Childhood Education
EDP	Education Development Partner
EEP	Eligible-Expenditure Program
EGM	Early Grade Maths
EGMA	Early Grade Numeracy/Maths Assessment
EGRA	Early Grade Reading Assessment
EIC	Education, Information and Communication
EMIS	Education Management Information System
EoE	Educators of Excellence
EPDF	Education Program Development Fund
ESC	Education Service Commission
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework

ESMPs	Environmental and Social Management Plans
ESSC	Education Sector Consultative Committee
ESSP	Education Sector Strategic Plan
F&A	Finance and Administration
FENU	Forum for Education NGOs in Uganda
FM	Finance Management
FY	Fiscal Year
GDP	Gross Domestic Product
GPE	Global Partnership for Education
HT	Head Teacher
IA	Implementing Agency
ICT	Information communication Technology
IG	Inspectorate of Government
ILO	International Labour Organization
IM	Instruction Materials
IMU	Instructional Materials Unit
IPF	Investment Project Financing
JBSF	Joint Budget Support Framework
JICA	Japan International Cooperation Agency
LEG	Local Education Group
LGs	Local Governments
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MoES	Ministry of Education and Sports
MoFPED	Ministry of Finance, Planning and Economic Development
MoLG	Ministry of Local Government
MoPS	Ministry of Public Service
NAPE	National Assessment of Progress in Education
NCDC	National Curriculum Development Centre
NECDP	Nutrition and ECD Project
NER	Net Enrollment Ratio
NPSC	National Project Steering Committee
NRM	National Resistance Movement
NWSC	National Water and Sewerage Corporation
OBT	Output Budgeting Tool
OP/BP	Operational Policy/Bank Procedures
OPM	Office of Prime Minister
ORAF	Operational Risk Assessment Framework
PAF	Poverty Action Fund
PCN	Project Concept Note
PCRs	Physical Cultural Resources
PDO	Proposed Development Objective(s)
PDU	Procurement and Disposal Unit
PETS	Public Expenditure Tracking Studies
PFAA	Public Finance and Accountability Act
PIM	Project Implementation Manual
PLE	Primary Leaving Exams

PPP	Public-Private Partnership
PRDP	Post Recovery and Development Plan
PRSP	Poverty Reduction Support Credit
PTC	Primary Teacher College
PTE	Primary Teacher Education
QEI	Quality Enhancement Initiative
RFQ	Request for Quotation
RPF	Resettlement Policy Framework
SABER	Systems Assessment and Benchmarking for Education Results
SACMEQ	The Southern and Eastern Africa Consortium for Monitoring Educational Quality
SFG	School Facility Grant
SIPs	School Improvement Plans
SMCs	School Management Committees
SoS	Scheme of Service
SRCs	School Report Card
TA	Technical Assistance
TIET	Teacher Inspection Education Training
TMIS	Teacher Management Information System
TMM	Top Management of the Ministry
ToTs	Team of Trainers
UN	United Nations
UNATU	Uganda National Teachers Union
UNEB	Uganda National Examinations Board
UNICEF	The United Nations Children’s Fund
UPE	Universal Primary Education
UPPET	Universal Primary Education and Training Project
USAID	United States Agency for International Development
USE	Universal Secondary Education

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**UGANDA**  
**Teacher and School Effectiveness Project**

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## PAD DATA SHEET

*Uganda*

*Uganda GPE Teacher and School Effectiveness Project (P133780)*

### PROJECT APPRAISAL DOCUMENT

*AFRICA*

*0000009057*

Report No.: PAD614

Basic Information			
Project ID P133780	EA Category B - Partial Assessment	Team Leader Andreas Blom	
Lending Instrument Investment Project Financing	Fragile and/or Capacity Constraints [ ]		
	Financial Intermediaries [ ]		
	Series of Projects [ ]		
Project Implementation Start Date 30-Sep-2014	Project Implementation End Date 21-Dec-2017		
Expected Effectiveness Date 03-Nov-2014	Expected Closing Date 21-Dec-2017		
Joint IFC No			
Practice Manager/Manager Sajitha Bashir	Senior Global Practice Director Claudia Maria Costin	Country Director Philippe Dongier	Regional Vice President Makhtar Diop
Approval Authority			
Approval Authority RVP Decision As per the World Bank guidelines			
Borrower: Republic of Uganda			
Responsible Agency: Ministry of Education and Sports			
Contact: Telephone No.:	Dr. Rose Lukwago Nassali (256-41) 425-7038	Title: Email:	Permanent Secretary nassalilukwago@education.go.ug/perma sec@education.go.ug

Project Financing Data(in USD Million)					
<input type="checkbox"/>	Loan	<input type="checkbox"/>	IDA Grant	<input type="checkbox"/>	Guarantee
<input type="checkbox"/>	Credit	<input checked="" type="checkbox"/>	Grant	<input type="checkbox"/>	Other
Total Project Cost:		100.00		Total Bank Financing: 0.00	
Financing Gap:		0.00			
Financing Source			Amount		
Borrower			0.00		
Education for All - Fast Track Initiative			100.00		
Total			100.00		
Expected Disbursements (in USD Million)					
Fiscal Year	2015	2016	2017	2018	
Annual	14.70	34.70	34.20	16.40	
Cumulative	14.70	49.40	83.60	100.00	
Proposed Development Objective(s)					
The proposed Project Development Objective is to support the Government in improving teacher and school effectiveness in the public primary education system.					
Aspects of effectiveness to be improved are:					
<ul style="list-style-type: none"> <li>• For teachers: pedagogical approach for early reading, use of instructional material for teaching, and presence in school.</li> <li>• For schools: improved school accountability and facilities.</li> </ul>					
Components					
Component Name			Cost (USD Millions)		
Component 1 Teacher Effectiveness			31.40		
Component 2 School Effectiveness			45.80		
Component 3 Technical Assistance			14.90		
Unallocated			7.90		
Institutional Data					
Practice Area / Cross Cutting Solution Area					
Education					
Cross Cutting Areas					
<input type="checkbox"/>	Climate Change				
<input type="checkbox"/>	Fragile, Conflict & Violence				
<input type="checkbox"/>	Gender				
<input type="checkbox"/>	Jobs				
<input type="checkbox"/>	Public Private Partnership				



<b>Sectors / Climate Change</b>				
Sector (Maximum 5 and total % must equal 100)				
Major Sector	Sector	%	Adaptation Co-benefits %	Mitigation Co-benefits %
Education	Primary education	100		
Total		100		
<input checked="" type="checkbox"/> I certify that there is no Adaptation and Mitigation Climate Change Co-benefits information applicable to this project.				
<b>Themes</b>				
Theme (Maximum 5 and total % must equal 100)				
Major theme	Theme	%		
Human development	Education for all	100		
Total		100		
<b>Compliance</b>				
<b>Policy</b>				
Does the project depart from the CAS in content or in other significant respects?			Yes [ ]	No [ X ]
Does the project require any waivers of Bank policies?			Yes [ ]	No [ X ]
Have these been approved by Bank management?			Yes [ ]	No [ X ]
Is approval for any policy waiver sought from the Board?			Yes [ ]	No [ X ]
Does the project meet the Regional criteria for readiness for implementation?			Yes [ X ]	No [ ]
<b>Safeguard Policies Triggered by the Project</b>			<b>Yes</b>	<b>No</b>
Environmental Assessment OP/BP 4.01			<b>X</b>	
Natural Habitats OP/BP 4.04				<b>X</b>
Forests OP/BP 4.36				<b>X</b>
Pest Management OP 4.09				<b>X</b>
Physical Cultural Resources OP/BP 4.11			<b>X</b>	
Indigenous Peoples OP/BP 4.10			<b>X</b>	
Involuntary Resettlement OP/BP 4.12			<b>X</b>	
Safety of Dams OP/BP 4.37				<b>X</b>
Projects on International Waterways OP/BP 7.50				<b>X</b>
Projects in Disputed Areas OP/BP 7.60				<b>X</b>
<b>Legal Covenants</b>				

Name	Recurrent	Due Date	Frequency
Project Implementation team	X		Yearly
<b>Description of Covenant</b>			
The MoES shall maintain, at all times during Project implementation, a fully operational Project implementation team, with a composition, mandate, terms of reference and resources satisfactory to the World Bank, to be responsible for day to day implementation, coordination and management of activities, including procurement, FM, safeguards, M&E, reporting, etc.			
Name	Recurrent	Due Date	Frequency
Designation of local government	X		Yearly
<b>Description of Covenant</b>			
The Recipient shall designate and enable, at all times during the implementation of the Project, the respective Local Governments, to be responsible for, inter alia, implementation of respective Subprojects under Part 2 (b) of the Project, all in accordance with the provisions of the Project Implementation Manual (including the School Facilities Grant Guidelines).			
Name	Recurrent	Due Date	Frequency
Verification of DLI Protocol	X		Yearly
<b>Description of Covenant</b>			
The Recipient shall, in each Fiscal Year during the implementation of the Project and prior to disbursing any payment for Eligible Program Expenditures (against the achievement of DLIs), carry out, in accordance with TOR acceptable to the World Bank and elaborated in the Project Implementation Manual, an independent verification of the delivery of said DLIs for which payment is requested.			
<b>Conditions</b>			
Source Of Fund	Name	Type	
EFAF	Adoption of Project Implementation Manual	Effectiveness	
<b>Description of Condition</b>			
The Recipient has prepared and adopted the Project Implementation Manual in accordance with the provisions of Section I.B.1 of Schedule 2 to the Grant Agreement.			
Source Of Fund	Name	Type	
EFAF	Adopted Annual Work Plan and Budget	Effectiveness	
<b>Description of Condition</b>			
The Recipient has prepared and adopted the Annual Work Plan and Budget for Fiscal Year 2015-2016 in accordance with the provisions of Section I.B.2 of Schedule 2 to the Grant Agreement.			
Source Of Fund	Name	Type	
EFAF	Established fully operational Project implementation team	Effectiveness	
<b>Description of Condition</b>			
The Recipient has established a fully operational Project implementation team in accordance with the provisions of Section I.A.1 of Schedule 2 to the Grant Agreement.			
<b>Team Composition</b>			

<b>Bank Staff</b>			
<b>Name</b>	<b>Title</b>	<b>Specialization</b>	<b>Unit</b>
Andreas Blom	Lead Education Economist	Lead Education Economist	GEDDR
Howard Bariira Centenary	Senior Procurement Specialist	Senior Procurement Specialist	GGODR
Adriana M. Da Cunha Costa	Program Assistant	Language Program Assistant	GHNDR
Amina Debissa Denboba	E T Consultant	ECD	GEDDR
Elizabeth Ninan Dulvy	Senior Education Specialist	Senior Education Specialist	GEDDR
Martin Fodor	Senior Environmental Specialist	Senior Environmental Specialist	GENDR
Paul Kato Kamuchwezi	Financial Management Specialist	Financial Management Specialist	GGODR
Agnes Kaye	Program Assistant	Program Assistant	AFMUG
Harriet E. N. Kiwanuka	Program Assistant	Program Assistant	AFMUG
Christine Makori	Senior Counsel	Counsel	LEGAM
Innocent Mulindwa	Senior Education Specialist	Senior Education Specialist	GEDDR
Constance Nekessa-Ouma	Social Development Specialist	Social Development Specialist	GURDR
Christiaan Johannes Nieuwoudt	Finance Officer	Finance Officer	CTRLA
Elijah Ayieko Osiro	Consultant	Consultant	GFMDR
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Priyanka Chandrashekhar Pathak	Consultant	ICT Policy	GTIDR
Shwetlena Sabarwal	Economist	Economist	GEDDR
Luis M. Schwarz	Senior Finance Officer	Senior Finance Officer	CTRLA
Yasmin Tayyab	Senior Social Development Specialist	Senior Social Development Specialist	GURDR
Qi Shen Young	Consultant	Operations Officer	GEDDR
<b>Non Bank Staff</b>			
<b>Name</b>	<b>Title</b>	<b>City</b>	
Sharon Kim	Teacher Motivation and Teaching Methodology Specialist		
Dr. Sri Ram Bhagut Mathe	Civil Works Specialist		
Richard Webber	Curriculum and Teacher Training Consultant		

<b>Locations</b>					
<b>Country</b>	<b>First Administrative Division</b>	<b>Location</b>	<b>Planned</b>	<b>Actual</b>	<b>Comments</b>

# I. STRATEGIC CONTEXT

## A. COUNTRY CONTEXT

1. **Uganda has one of the youngest populations in the world (53 percent under 15 years of age), due to a relatively high population growth rate (3.2 percent).** Around 80 percent of the population is rural, making Uganda the second most rural economy in Africa. Poverty in Uganda has declined over the last 20 years. The poverty headcount declined from 56 percent in 1992 to 24 percent by 2009/10. However, inequality persists within and across regions. Uganda may reach at least two of the eight Millennium Development Goals (MDGs) by 2015—the country is close to halving poverty and addressing gender inequality, and has made progress towards many others.

2. **The country has a record of impressive growth, prudent macroeconomic management and structural reform; however this has recently come under test.** Since 2009, growth has remained below historical trends as domestic and exogenous shocks weighed economic activity down. Despite an expansionary fiscal policy, economic activity in 2011/12 slowed down to about 3.5 percent.

3. **Uganda has decentralized its service delivery to a large extent.** Government's decentralization policy (announced in 1992) and a range of additional policy initiatives – have overtime devolved substantial powers, functions, and resources to Local Governments (LGs). LGs now run as fully fledged elected governments with legislative and executive powers. They have extensive service delivery responsibilities in areas such as health, education, water, transport, and environmental management, receive and raise significant fiscal resources, hire and fire staff and prepare and execute five year development plans and annual budgets.

4. **However, there is a perception of increasing corruption.** Despite a strong anticorruption legal framework, Uganda has struggled to translate its anti-corruption laws into practice. Local public opinion polls indicate that petty corruption is increasing. In addition, Uganda suffers from “quiet corruption”—the failure of public servants to deliver goods or services paid for by governments—such as teacher and health worker absenteeism.

5. **To return to sustained high growth and poverty reduction, Uganda faces a diverse set of challenges, including a renewed attention to education.** Uganda needs to address infrastructure bottlenecks, increase agricultural productivity and value addition, reintegrate northern Uganda, manage urbanization, and strengthen its human capital base. Renewed attention to education is particularly important in light of the considerable impact that human capital has on labor market income, youth employment, reduced fertility, and urbanization, which is the key factor for a substantial demographic dividend in the decades to come.

## B. SECTORAL AND INSTITUTIONAL CONTEXT

6. **Uganda has made great progress in expanding access to education.** The introduction of universal primary education (UPE) in 1997 led to significant gains in primary enrollment, which increased from about 3 million students in 1998 to 8.4 million students by 2010 (Annual School Census 2010). There were approximately 20,500 primary schools in Uganda in 2010, 62 percent of which were public schools. This expansion in primary education has been pro-poor. Studies indicate that the UPE policy effectively improved access to primary education for

children of poor families.<sup>1</sup> The expanded access to primary education has led to gender parity in primary enrollment. The 2011 World Development Indicators show the Net Enrollment Rate for Uganda to be at 94 percent, with parity between girls and boys.

7. **However, the progress against achievement of the MDG goal of universal primary education is slow due to low completion rates.** Although the absolute number of students completing gradually increases as a consequence of the growing sizes of each cohort, a significant percentage of those who enter primary school do not reach the final primary grade. Primary completion rates for Uganda -measured by the international definition of survival to the start of the last grade in primary - were at 55 percent for 2011, down from 58 percent in 2008. The national measurement for completion - cohort survival to end of primary grade 7 - showed a grimmer picture of only 33 percent completing primary education. These rates have not shown much improvement over the past decade. As a result, Uganda is unlikely to achieve the primary education MDG that was previously thought to be within reach. Low quality of education service delivery appears to be playing the important role in low primary completion. This is attested by high repetition rates (at about 10-12 percent p.a.) which are linked with high rates of discouragement and dropout at the primary school level.

8. **Many of those who remain in primary education do not achieve minimum levels of literacy and numeracy.** In 2012, less than half the Primary grade 6 students tested by National Assessment of Progress in Education (NAPE) were proficient in literacy (41 percent) and numeracy (45 percent). In cross-country assessments (SAQMEC), Uganda students scored in the lowest one-third of countries.

9. **Plausible explanations for low completion rates and low learning outcomes can be found at different levels of the education service delivery chain.** In addition, learning outcomes are driven by some factors that are outside the school system and manifest at the household level. Within education service delivery chain, issues can be identified at the teacher level, the school level, and the national level:

#### ***Teacher Level***

10. Teachers are key determinants of student achievement but there are several constraints to effective service delivery on the part of teachers in Uganda. These constraints relate to the three key dimensions of performance – competency, effort, and resourcing:

#### **Competency**

- **Teacher competencies are inadequate.** In order to deliver effective teaching, teachers must have adequate content knowledge and pedagogical skills. In Uganda, teachers appear to be deficient on these dimensions, particularly with respect to teaching of early grade literacy and numeracy, and knowledge on the primary curriculum introduced in 2008. Results from teacher tests conducted by Uganda National Examinations Board (UNEB) in 2011 show that 75 percent of the tested teachers were did not meet the expected proficiency level in numeracy and about half did not meet the proficiency level in oral vocabulary. In 2013, The World Bank's Service Delivery Indicators found similarly that 4 out of 5 teachers did not possess the minimum knowledge in English, Math and Pedagogy when tested.

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<sup>1</sup> Deininger 2003.

## Effort

- **Teacher time on task is low and absenteeism is high.** In 2013, the Service Delivery Indicators carried out representative, unannounced visits to schools and found that 27% of public teachers could not be found in the school at the time of enumerator visits. A further 26 percent of the teachers were not found in class and teaching. On the whole, teaching time loss in Uganda is estimated to be in the range of 30-40 percent of the officially scheduled teaching time.<sup>2</sup> Absence rates are even higher for head-teachers, with head-teachers being 13 percentage points more likely to be absent than regular teachers.<sup>3</sup>
- **Low teacher presence and effort can be linked to gaps in motivation, incentive, and accountability mechanisms for teachers, as well as poor management of teachers.** In a teacher survey (2007), when asked to provide information on important sources of low attendance, as many as 40 percent of teachers listed poor remuneration as being the most important issue, showing low motivation. Further, teachers in Uganda are poorly incentivized to exert effort given that teacher compensation is not directly linked to performance.<sup>4</sup> Staff performance appraisals have no direct impact on teacher salaries. In a 2012 survey, around 40 percent teachers claimed that they perceive no link between their performance and rewards in the education system. Key informant interviews reveal that there are often long periods delay between teacher appointment and confirmation which adversely impacts teacher motivation. Also, there are inconsistencies between the payroll, personnel data and the census data that plague the public service, including the education sector. Improving Human Resource management of teachers at the school level as well as district and central levels is important for higher teacher motivation, accountability, and performance. Further, increase inspections are desirable to raise accountability for teacher presence.
- **There are gaps in teacher supervision.** Only one in every four schools reported having been visited by a district inspector or a Centre Coordinating Tutor (CCT) during the 12 months prior to the 2009/10 UNHS survey. It was also found that district-level officers (District Education Officers and District Inspectors) were the least frequently reported visitors to schools in comparison to other visitors. This is unfortunate, since teacher absenteeism studies reveal that districts with higher levels of inspection generally have lower absence rates.<sup>5</sup>

## Resourcing

- **Teacher availability and distribution is improving.** By May 2013, Uganda registered about 131,800 qualified primary teachers on Government payroll, translating into a pupil to teacher ratio of 54:1 for public primary schools. This indicates improvements from 68:1 and 66:1 recorded in November 2011 and June 2012 respectively. A key contributor to this positive trend is the revision of the teacher allocation formula for primary schools which enables schools access a teacher per grade as a minimum threshold for respective school teacher ceilings. Inequitable teacher deployment across and within districts, as well as between lower and upper primary grades within same schools was also identified in FY2009/10 as one of the binding constraints to education service delivery through the

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<sup>2</sup> Okurut 2012.

<sup>3</sup> Habyarimana 2008.

<sup>4</sup> Uganda Teacher Policies, SABER Country Report, 2012.

<sup>5</sup> Habyarimana 2008.

development partners led Joint Budget Support Framework (JBSF) and the World Bank's Poverty Reduction Support Credit (PRSC) dialogue. Implementation of equitable teacher deployment norms with special focus on hard-to-reach/hard-to-stay (HTR/HTS) districts coupled with regular guidance to head-teachers to put equal emphasis to both lower and upper grades at school level for quality education has generated positive results over time. Between 2010 and 2012, all HTR/HTS districts registered significant improvements in PTR (e.g. from 97:1 to 68:1 in Kotido district and from 82:1 to 69:1 in Kaabong district); and average differences between pupil to teacher ratios of upper and lower primary grades are reported to be declining. Teacher recruitment and deployment continues to be monitored at the macro level through JBSF/PRSC efforts.

- **Teachers lack sufficient teaching and learning materials.** The availability of appropriate teaching and learning materials is a critical determinant of the quality of education service delivery. The student to textbook ratio was 14 in 2013 according to the Service Delivery Indicators for Uganda. In addition, while the new thematic curricula have been rolled out for primary education and the corresponding teaching materials have been developed; they have not as yet been purchased and distributed.

### *School Level*

- **Accountability channels at the school level need strengthening.** Analysis of teacher absenteeism in Uganda also shows that there is a negative association at the school level between parental involvement (parental contributions of resources and frequency of parent meetings) and teacher absence, attesting to the importance of accountability mechanisms.<sup>6</sup> This research is supported by qualitative evidence in the form of key informant interviews with District Education Officers and Head-teachers which suggests that cumbersome rules and lack of enforcement of standards lead to low teacher accountability for absenteeism and time-on-task.<sup>7</sup> Procedures for the appointment and dismissal of teachers are complex and unwieldy. Thirteen separate steps are required for the appointment of a teacher and the procedures for dismissal are almost as lengthy. There are no external evaluations of individual teacher performance. The inspectorate performs school inspections, but these inspections are meant to provide information on the overall performance of the school, rather than on the performance of each individual teacher, since not all teachers are observed during school inspections.<sup>8</sup>
- **At the school level, there is evidence of weak governance and support systems.** A 2011 study indicates that School Management Committees (SMCs) have limited capacity to execute the legislated functions - only one in four SMC members expressed awareness of key functions like planning and monitoring of education programs in school.<sup>9</sup> In addition, only 32 percent of interviewed SMC members considered school development planning a key responsibility of SMC members. Evidence from the Basic Required Minimum Standards (BRMS) baseline survey also points to low school compliance to established standards and procedures in a number of areas. This further attests to weak school governance systems.

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<sup>6</sup> Habyarimana 2008.

<sup>7</sup> Weber 2010.

<sup>8</sup> Uganda Teacher Policies, SABER Country Report, 2012.

<sup>9</sup> Mulindwa et al 2013.



- **Parental involvement in school management varies considerably.** The Joint Budget Support Framework (JBSF) has identified the low parental and community participation in education programs as one of the binding constraints to quality education in Uganda. However, focus groups discussions show that parental involvement can vary considerably, particularly among urban and rural schools (lower participation in rural schools). Policies have been put in place to ensure information provision for enhancing parental participation in school management. However, implementation of these measures is imperfect. For instance, based on 2010 QEI survey data, it is clear that not all schools issue child-specific performance report cards as required by law (only 40 percent of the sampled schools reported doing so).
- **Lack of facilities at the school level is also contributing to low student learning outcomes.** Uganda's population growth adds about 80,000 children of school entry age each year (a rate of about 1 percent per annum). At a rate of 50 students to one, this growth translates into an annual need of 1,600 additional classrooms and teachers per year, just to maintain class sizes. However, in 2010/11, only a little over 1000 classrooms were added. In a 2011 sample-based survey, 14 percent of schools were found holding at least some classes without any physical facilities; and an estimated 950 schools have more than 4 classes held in open air at the same time. For these classes, weather, noise and other disruptions severely impacts learning. Lack of physical facilities also manifests in terms of sanitation. The 2010 QEI report shows that there are some districts where less than 20 percent of schools have separate sanitation facilities for girls. This leads to higher drop out of girls, especially in the upper grades.

### *System Level*

11. **There are some notable constraints at the system level as well.** It appears that students enter primary school without adequate preparation. The net enrollment rate for early childhood education (ages 3-5) is estimated at 14 percent (2011). The Government recognizes the importance of early childhood education (ECE) and officially children aged 3 to 5 years old are expected to be enrolled in pre-primary institutions. The Government's policy is that provision of pre-primary education in Uganda is private sector led and self-financed. ECE enrolment is therefore constrained by limited household income. There is very low coverage of operations especially in the rural areas. However, a number of initiatives mostly led by UNICEF and non-state civil society actors, target disadvantaged areas, but none are large scale. There is need for clearly articulated strategic vision which identifies scalable models for ECD provision in the country. Further, key informant interviews also show that there are gaps in terms of ECE instructor competencies leading to low quality and children being less preparedness for school entry.

12. **The share of education within the national budget has shown a declining trend over the last six years from 18.8 percent in 2003/04 to 14.6 percent budgeted for 2012/13;** while the shares of infrastructure, public administration, and security have increased to meet urgent infrastructure shortcomings. Overall, the public investment in education in Uganda in 2012/13 was 2.7 percent of GDP, which places the country as one of the ten countries in Africa that invest the least of public funds in education. Further, competing priorities within the education sector including scaling up of secondary and tertiary education has led to a decline in per capita investment into primary education in real terms. The Government has committed to at least maintain the budget share going to education during the coming three years.

13. **The development partners support the ESSP and coordination is effective.** The Local Education Group (LEG) includes UN-agencies, such as UNICEF (current lead partner), UNESCO, ILO and UNFPA; multilateral partners, such as the AfDB, European Union and the World Bank; and bilateral partners, such as the Belgium Embassy and Technical Cooperation, Irish Aid (outgoing lead partner), Japanese Cooperation (JICA) and USAID. The proposed Global Partnership for Education (GPE) financed operation will build upon and scale-up existing and evaluated donor-financed programs and be designed and implemented in a coordinated manner. Annex 7 presents the most recent mapping of development partners support to primary and pre-primary.

### **C. RATIONALE FOR THE PROJECT**

14. Education is central for ending extreme poverty and boosting shared prosperity. In addition to the financing provided (US\$100 million), this project and the Bank will bring value-added to improve primary education in Uganda through technical expertise, implementation support, and global knowledge from a large number of similar support operations within primary education. The Bank, with the financial help of GPE, has equally invested in analytical work using the Bank's System Assessment and Benchmarking for Education Results (SABER) with tailored recommendations for the Ugandan system, which this project will help implement. This value-added is reflected in the innovative results-based financing model and the shift in focus from education inputs to improvements in the education system underlying this project. Secondly, this project is part of four on-going or planned projects in education, which yields substantial economies of scale within technical assistance, implementation support, and monitoring. For example, this project benefits from experiences from another project for substantially improved instructional material procurement and civil work contracting process. Lastly, the project has synergies with other Bank project for public service delivery, such as the Poverty Reduction Support Credits, the Public Service Performance Enhancement and the Local Government Management and Services Delivery Project.

### **D. HIGHER LEVEL OBJECTIVES TO WHICH THE PROJECT CONTRIBUTES**

15. **World Bank support to Government's program within education is contained in the Uganda Country Assistance Strategy (CAS) of FY10/11-14/15.** Similar to the National Development Plan, the CAS focuses on human capital development, together with infrastructure development, agriculture, as well as improving efficiency and value for money in public spending. The proposed GPE support is thus consistent with CAS Strategic Objective 3 – strengthening human capital development together with CAS outcome 3.1 – improved access to and quality of primary and post primary education. Budget support to the national program is provided through the Poverty Reduction Support Credit (PRSP) currently in its 9<sup>th</sup> cycle, complemented by sector funding through World Bank supported projects including the Universal Post Primary Education and Training (UPPET) Project phase I, the UPPET phase II project and the Skilling Uganda project which are currently under preparation.

16. **Government of Uganda's Education Sector Strategic Plan (ESSP) 2007-2015, updated in 2010, focuses comprehensively and candidly on the above sector challenges.** The key objective for primary education in the ESSP is improving the quality of primary education to help ensure pupils' mastery of basic numeracy and literacy. To achieve this objective, the ESSP emphasizes reducing high repetition rates in primary grades, teacher training and provision of

learning materials on the new thematic curriculum, and reducing teacher absence, while recognizing the need for efficient interventions and improved monitoring and evaluation and accountability for meeting standards. This project is designed within the objectives and implemented through existing national programs in the ESSP so as to achieve ownership, sustainability and build capacity.

17. **The proposed project is also aligned with the Bank’s education strategy – learning for all - which focuses on improving learning outcomes, early childhood development, and building a high-quality knowledge base.** The higher order objective of the program is improvements in students’ learning outcomes in literacy and numeracy for primary education. However, a three year time horizon might not be sufficient to significantly impact student performance in standardized tests. In light of this and in order to truly capture the pathways of change, PDO indicators include measurable outcomes that are predictive of education quality, particularly in relation to teachers. Student learning outcomes will, also, be monitored throughout the program.

18. **The project is built around the GPE priorities** in terms of focus on teacher effectiveness, early grade literacy and numeracy, enhancing aid effectiveness through a proposed result-based approach, and a focus on girls attending a safe and supportive learning environment.

## **II. PROJECT DEVELOPMENT OBJECTIVE(S)**

### **A. LENDING INSTRUMENT**

19. **The proposed Operation will be financed through the Investment Project Financing (IPF) instrument.** Credit disbursements will be made against selected key education budget line items referred to as Eligible Expenditure Programs (EEPs), up to capped absolute amounts. The event and amount of credit disbursements will be based on the achievement of pre-specified results, referred to as disbursement-linked indicators (DLIs), determined in partnership with the Ministry of Education and Sports (MoES). The project also includes a small technical assistance (TA) component which finances capacity building activities and strengthens fiduciary, safeguard and monitoring and evaluation systems.

20. The DLI approach within an Investment Project Financing instrument has been tried for over five years in the education sector with success. Experiences show that this results-based instrument increases focus on achieving results, strengthens the government’s own programs and project sustainability, which raises the development effectiveness of the support. The Program-for-Results (P4R) instrument was not pursued because it requires full assessment and reliance upon government fiduciary procedures, which the current governance situation suggests, is not advisable. The proposed lending instrument allows for detailed fiduciary monitoring of key programs supported under the project, which is preferable.

### **B. PDO**

21. **The proposed Project Development Objective is to support the Government in improving teacher and school effectiveness in the public primary education system.**

Aspects of effectiveness to be improved are:

- For teachers: pedagogical approach for early reading, use of instructional material for teaching, and presence in school.
- For schools: improved school accountability and facilities.

### **Project Beneficiaries**

**22. The project beneficiaries will be:**

- At least 2,000,000 students in primary education who will benefit from more effective and present teachers as well as improved teaching-learning inputs.
- Approximately 21,000 teachers in primary schools who will benefit through improved in-service training.
- Head-teachers and school management committee members who will receive training and resources for school improvement.
- Parents and communities with children in schools covered under the program who will indirectly benefit from higher quality education, greater information and enhanced voice in school management.
- Staff in the Ministry of Education and Sports as well as district staff managing teachers and education service delivery who will receive training.

23. The targeting of the project will be national for certain activities. For some activities, targeting will be confined to those districts that have weak performance indicators on learning outcomes.

### **PDO Level Results Indicators**

23. The PDO-level results indicators are provided in Table 1 with definitions in Annex 1.

**Table 1. PDO-level results indicators**

Outcome Indicator	Latest available baseline	Target
Number of teachers trained in early grade reading in local languages and English and at least two Early grade reading assessments	12,000	24,000
Number of Students per textbook in English / local languages and math during unannounced school visits in targeted districts	14	10
Percentage of teachers present in school during unannounced school visits in targeted districts	80.5 percent	84 percent
Number of targeted schools that have no permanent classrooms	950	670
Percentage of schools in targeted districts where information on UPE grants (receipts and expenditure) is made publically available to the community	65 percent	75 percent

Note: baselines are from a national sample and not only from targeted schools/districts.

### III. PROJECT DESCRIPTION

24. **This project is centered on improving education service delivery at the school and classroom level to realize meaningful gains in student achievement in primary grades.** It comprises of three components: Component 1 ‘Effective Teachers’, amounting to US\$39 million, which focuses on improving teacher quality and performance, because these are dimensions which are highly predictive of student achievement, and where considerable margins for improvement exist; Component 2: ‘Effective Schools’, amounting to US\$45 million, which seeks to improve the overall school environment – in the form of enhanced school management, accountability, and learning conditions. The complementary focus on schools is aimed at enabling improved teacher competencies to most effectively translate into improved education service delivery; and Component 3: ‘Technical Assistance’, amounting to US\$16 million, which will finance monitoring and evaluation, implementation, and capacity-building support.

25. Taken as a whole, activities are formulated to yield returns in the short term in terms of perceptible improvements in education service delivery. However, they are also expected to promote well-performing sustainable institutions and administrative systems that would generate returns over the medium to long term

26. Targeting of the project activities will take place at two levels – National and District. Two types of activities will be targeted nationally: Activities that help strengthen the overall learning environment at the school level; and activities aimed at system improvements. Other activities will be targeted at the district level; primary at the 69 districts where less than half the students meet proficiency levels in literacy and numeracy at the Primary 3 (NAPE 2011 data) will be the focus of the project’s district level activities.

#### A. PROJECT COMPONENTS

##### ***Component 1: Effective Teachers USD 31.36 million***

27. Under the project, teacher effectiveness will be promoted through: Implementing a program of actions designed to strengthen effectiveness of early grade literacy instruction at the classroom levels, including:

- (a) *Improving teacher and instructor competencies* (content, knowledge, skills and pedagogy) for the delivery of the numeracy and literacy curriculum, targeting:
  - (i) Primary teachers and instructors, through, *inter alia*: (A) scaling up the early grade reading program in primary grade 1-3. This EGR program will be implemented in 27 districts selected based upon the readiness of the local language for use as media of instruction. It will benefit approximately 1,000,000 students and 12,000 teachers and tutors; (B) conducting a national assessment of progress in education among in-service teachers; and (C) improving in-service tutors’ performance through: (aa) training and certification of 400 tutors and 300 teachers to the level of certification for teacher education proficiency program; (bb) strengthening the delivery of in-service teacher training by provision of motorbikes for mobility, technical assistance for strategic planning and for alignment of coordinating centers with administrative and primary teachers college zoning systems; and

- (ii) early childhood education (“ECE”) providers, through, *inter alia*: (A) rolling out of the community child care program targeting 4,000 in-service caregivers; (B) preparation of ECE instructors’ proficiency program targeting in-service ECE providers.

The result linked to disbursement is the numbers of EGR teachers trained, tutors certified, and ECE instructors trained (DLI 1).

- (b) *Improving teacher resources* and learner access to instructional materials through provision of an estimated 6.5 million pieces of instructional material, including: (i) local language and English instructional material and teacher guides for the above Early Grade Reading program (ii) Selected literacy and math textbooks for grade 1-7 nationally distributed; (iii) curriculum and related teacher guides to all public and private schools in the nation, (iv) brail and other material for children with disabilities. The result linked to disbursement is the numbers of verified delivered pieces of instructional material (DLI 2).
- (c) *Strengthening for teacher supervision and accountability* through enhanced capacity of the Directorate of Education Standards, in particular: (i) design, development and implementation of a ICT based reporting system; (ii) strengthening the capacities of district inspectors for carrying out school inspections; (iii) scaling up of the associate assessor’s model in selected districts. Inspections will be scaled up in 4,000 schools in approximately 30 districts. Districts will be randomly selected among the 30 districts already participating in the early grade reading program and the 27 lowest performing districts as measured through the 2013 Primary Leaver Exams. The result linked to disbursement is numbers of schools inspected at least once per term with reports filed in the real-time system (DLI 3).

### ***Component 2: Effective Schools USD 45.8 million***

28. The above initiatives are designed to directly improve teacher performance. To provide a supportive enabling environment for these changes to take root, the project will also include a direct focus on school effectiveness by:

- (a) *Increasing the capacity of School leadership and accountability to the community* through, *inter alia*: (i) implementation of a comprehensive training program targeting head-teachers; (ii) strengthening the capacity and effectiveness of school management committees through implementation of a comprehensive training program. An expected 2,000 schools in an estimated 30 districts will receive training. These will be selected among the lowest performing 50 districts, excluding districts where other school management programs are being undertaken. The result linked to disbursement is the number of schools with trained head-teachers and SMCs (year 1) and the numbers of schools with information on usage of school funding publically displayed (year 2 and 3) (DLI 4).
- (b) *Improve basic school facilities in schools without the facilities and that meet minimum effort criteria.* This will be achieve through provision of Performance and Needs-based School Facility Grants to Local Governments for implementation of Subprojects for construction of class-rooms, functioning girls and boys toilets, and access to water in the needy schools. Approximately 290 schools are targeted across the country. The results linked to disbursements are number of schools where procurement is concluded (year 1), construction

is completed (year 2), and finished construction meets pre-defined quality standards (year 3). (DLI 5) and timely and accurate financial management information (DLI 6).

**Component 3: Technical Assistance USD14.96 million**

29. This component will finance advisory, technical, and capacity-building activities, including:

- (a) Developing, reviewing and disseminating a new draft Early Childhood Education policy and operational standards, including associated capacity building and awareness raising activities.
- (b) Developing and implementing improved ICT-based school and supervisory data management system(s) designed to help enhance monitoring and evaluation, accountability and transparency, as well as planning.
- (c) Carrying out a technical assistance program to strengthen management of the teacher payroll system, scheme of service, and teacher management.
- (d) Strengthening the capacity of the MoES for implementing the project, including hiring of additional technical, administrative, and fiduciary capacity, and monitoring and evaluation of Project activities, including for student assessments and dissemination, independent verification of results, and unannounced school visits.
- (e) Preparation of the ESSP for the next cycle.

**B. PROJECT FINANCING**

**Project Cost and Financing**

Project Components	Project cost	IDA (GPE) Financing	% Financing
1. Teacher Effectiveness	31.4	31.4	100%
2. School Effectiveness	45.8	45.8	100%
3. Technical Assistance	14.9	14.9	100%
Unallocated	7.9	7.9	
<b>Total Costs</b>	100.00	100.00	
<b>Total Financing Required</b>	100.00	100.00	

**C. LESSONS LEARNT AND REFLECTED IN PROJECT DESIGN**

30. **The project design builds extensively upon lessons learnt given the emergent lessons from impact evaluation of education projects in Africa and the rich set of evaluations from Ugandan education projects:**

- (i) Lessons from a large number of education projects in Africa indicate a need to simplify project design and include only a limited number of activities into the project in order to achieve the full implementation with the prevailing capacity;
- (ii) Lessons from other GPE and primary education projects and analytical work question the impact on learning from more educational inputs, such as classrooms, without enhancing the effectiveness with which these inputs are being used. Therefore, classrooms are constructed in needy schools where teachers, the head teacher, and the School

Management Committee already demonstrate an acceptable level of efforts and functioning.

- (iii) Prior results-based financing projects demonstrate that focus on results increases substantially during design and implementation when disbursements are linked to results;
- (iv) On construction of schools and textbook procurement, the project in particular builds upon the experiences from the Uganda Post Primary Education and Training (UPPET), which indicates that the Local Governments have more fiduciary capacity than the school management. Also, the use of revised textbook procurement procedures and standardized bidding documents lowered the cost by more than half. Further, the UPPET experiences indicate the need to strengthen overall project coordination and construction oversight in the MoES. Therefore, school construction will be managed by the local governments with additional capacity at the central level for supervision, and textbooks will be procured using international best practice procedures.
- (v) Experiences from the Quality Enhancement Initiatives in the 12 lowest performing districts in Uganda which was financed by several development partners from 2009 to 2012 suggest that a combination of more educational inputs and improved accountability of teachers and school can yield substantial increases in key indicators. Lessons from this project and other education project in Uganda also point to the importance of consistently involving all stakeholders, including the District Education Officer (DEO) and the Chief Administrative Officer (CAO), in order to generate a focus and understanding for change; and
- (vi) Rigorous research has also been leveraged for designing specific project activities. For examples, empirical evidence shows that mere public provision of instructional material – even when they reach the schools – lead to unpredictable effects on learning outcomes.<sup>10</sup> This could be due to several reasons including: (i) ineffective because of their inherent (low) quality or the inability of teachers to use them,<sup>11</sup> (ii) public textbooks provision could crowd-out households’ own contribution and consequently not affect the overall availability,<sup>12</sup> (iii) textbooks could simply be sub-optimally utilized.<sup>13</sup> It was thus decided that, to maximize effective use, distribution of instructional material will be accompanied by: (a) public information on schedule delivery, and (b) monitoring of actual textbook access and use on the part of students.

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<sup>10</sup> Hanushek, E., and J. A. Luque (2003): “Efficiency and Equity in Schools around the World”, *Economics of Education Review*, 20, 481-502; Kremer, M. and A. Holla (2009). “Improving Education in the Developing World: What Have We Learned from Randomized Evaluation”, *Annual Reviews of Economics*, 1 (19); Glewwe, P. (2002). “Schools and Skills in Developing Countries: Education Policies and Socioeconomic Outcomes”, *Journal of Economic Literature*, 40, 436-482; Kreuger, A. (2003): “Economic Considerations and Class Size”, *Economic Journal*, 113, 34-63.

<sup>11</sup> This was the case in a randomized IE in Kenya where textbooks were written in English although this is only the third language for most students (Glewwe, P., M. Kremer, and S. Moulin. (2008). “Many Children Left Behind? Textbooks and Test Scores in Kenya”, *American Economic Journal: Applied Economics*.1(1), pp. 112-135.

<sup>12</sup> Such as phenomenon was reported in Zambia and India in the case of school grants (Das, J. et al. (2010) “School Inputs, Household Substitution, and Test Scores”, NBER Working Paper no. 16830).

<sup>13</sup> It is argued, in the context of a randomized evaluation in Sierra Leone (S. Sabarwal, D. Evans, A. Marshak (2012), “Textbook Provision and Student Outcomes: The Devil in the Details”, World Bank draft report), that the absence of impacts on student performance is a consequence of a large majority of the books being stored by school administrators, instead of being distributed to students. This behavior on the part of school administrator is shown to be partly due to smoothing behavior in the face of high uncertainty (future distribution) regarding Government policies and programs.



## IV. IMPLEMENTATION

### A. INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS

31. **Project implementation will be mainstreamed in the Ministry of Education and Sports (MoES) using existing institutional establishments.** The overall responsibility for project implementation lies with the Permanent Secretary, with day to day implementation under the aegis of the Department of Education Planning. The MoES shall maintain a fully operational implementation team, with functions and responsibilities agreed with the Bank, including, inter alia, the responsibility of to coordinate and monitor the carrying out of the Project. The implementation team shall: (i) at all times during Project implementation, be led by a Project Coordinator and a Deputy Project Coordinator that are assisted by focal points for each project activity from the relevant MoES units and from other relevant Ministries as well as adequate professional and administrative staff (including procurement, financial management, and civil work specialists) operating under terms of reference satisfactory to the Bank; and (ii) not be frequently replaced during implementation. Relevant units under the MoES will be responsible for specific project sub-components consistent with the statutory provisions that prescribe their mandates, notably:

- *The Teacher and Instructor Education Training department* will be the overall responsible for the teacher training and improved teacher support using the recently piloted model by MoES and supported by USAID. USAID will equally finance technical assistance for this scale-up.
- *The primary and pre-primary department will:*
  - Implement the instructional material procurement and distribution sub-component.
  - Implement the School Management and head-teacher training building upon delivery models by development partners and civil society.
  - Coordinate, support and monitor the implementation of the School Facility Grant, which will be implemented jointly by the District Education Office and the School Management Committee.
  - Carry out the policy review, policy studies, and evaluation of the Early Childhood Education activities under Component 3. Specifically, this will be the role of the Pre-primary unit.
- *The Directorate of Education Standards (DES)* will guide and coordinate the scaling up of the inspectorate, which will primarily be undertaken by the District Inspectorate of Standards (DIS). DES will also be responsible for the integrated ICT real-time school reporting, targeted beneficiary feedback, enhanced teacher supervision and inventory management system.

32. **Local governments will implement the school grants, teacher motivation, and the scaled-up inspections in line with the decentralized education service delivery.** As noted above, the Ministry of Education and, for the teacher motivation part, the Ministry of Public Service, will remain with the overall oversight and guidance. Adherence to the existing implementation guidelines by the local governments will be strictly monitored. These include the School Facility Grant (SFG) guidelines and the procedures for the implementation of the Scheme of Service.

33. **The Local Education Group (LEG)** comprised of development partners and civil society organization serves as an advisory and coordinating group as per the GPE institutional arrangements. Further, the LEG will monitor the Government's commitment to at least maintain the share of the budget going to education in the coming 3 years.

34. **Assessments undertaken in the course of project design indicate a need to strengthen the capacity of key units of the MoES.** These include: the Planning department which will coordinate the project, Procurement and Disposal Unit (PDU), finance and administration (F&A) as well as the Construction Management Unit (CMU) for timely and quality execution of project activities. Further, effort to strengthen capacity of respective local governments to execute their tasks will be undertaken. This is financed in Component 3. More detailed implementation arrangements and capacity assessments are described in Annex 3, while Annex 5 presents the planned implementation support from the Bank.

## **B. RESULTS MONITORING AND EVALUATION**

35. **There are four general monitoring systems that will yield information on PDO, intermediate, and higher-order indicators.** These systems are:

- (i) *Student and teacher assessments* of students in Grades P3 and P6 in English and local language literacy and Mathematics conducted by UNEB. Further, UNEB will carry out two Early Grade Reading Assessments. Results from these assessments will provide data on the higher order objective of the project – improvements in student learning outcomes;
- (ii) *Data from school inspections* which capture information in a standardized questionnaire on teacher, head-teacher, and student presence, teaching practices, school management and administration. This information will be used for improvement and accountability purposes at the district level. Frequency of inspections and provision of real-time inspection data to DEOs, schools, and other stakeholders is being facilitated under the project, in part through ICT-based platforms using smart phones for data collection, improving workflows of staff and creating automated reporting for quantitative information. These data will feed directly into the project M&E and provide information on several intermediate indicators.
- (iii) *Data from an Integrated ICT real-time reporting system and the EMIS.* The Integrated ICT system will be comprised of individual software components that will either be scaled up of existent pilots of new pieces of software. Pilots to be scaled include EduTrac which collects real-time school-level data directly from head-teachers, teachers, and SMC members and U-Report which collects data from project beneficiaries. New software will strengthen the DIS and create an electronic inventory system. These data sources will complement the EMIS data which has traditionally been collected annually in Uganda through an annual school census. This scaled-up data collection system will also be used as a source of M&E information for the project.
- (iv) *Data from unannounced school visits collected as a part of project-specific monitoring.* These school visits will gather information for teacher effectiveness indicators through classroom-observations, and will serve as the source of information on subprogram implementation progress and performance monitoring indicators, including relevant DLIs. Component 3 include support for this.

36. In order to spread-out program impact and at the same time build-in credible evaluation and learning opportunities for future programs and policy design, non-national activities will be

implemented in an estimated 67 targeted districts, see technical appraisal section for more information. This will allow for a rigorous measurement of the relative cost - and development - effectiveness of different intervention combinations.

37. Lastly, third-party assessments on a sample basis will be carried out to verify the achievement of the DLIs and satisfactory completion of large procurement contracts, notably textbooks and school construction. Annex 1 and Annex 3 have additional information on monitoring and evaluation for the project.

### C. SUSTAINABILITY

38. This GPE project support is towards the Universal Primary Education (UPE) program of Government that has been under implementation since 1997. The need to focus on teacher and school effectiveness for improved quality of education continues to dominate sector discourse, and is consistent with the Education Sector Strategic Plan (ESSP) 2007-2015. Program implementation has been mainstreamed into the work program of the respective departments and units of the MoES. This is likely to strengthen Government systems and procedures (planning, budgeting, financial management, procurement and M&E), and therefore make changes sustainable. Fiscal sustainability is expected to be moderate given a relatively low share of the project financing will go to recurrent costs. However, this also depends upon the government's ability to increase funding for primary education in the future.

## V. KEY RISKS AND MITIGATION MEASURES

### A. RISK RATINGS SUMMARY TABLE

Risk Category	Rating
<b>Stakeholder Risk</b>	Moderate
<b>Implementing Agency Risk</b>	
- Capacity	Substantial
- Governance	Substantial
<b>Project Risk</b>	
- Design	Moderate
- Social and Environmental	Low
- Program and Donor	Low
- Delivery Monitoring and Sustainability	Substantial
<b>Overall Implementation Risk</b>	Substantial

### B. OVERALL RISK RATING EXPLANATION

39. **Governance challenges are substantial.** In recent past, development grants have been suspended from Uganda citing irregularities with the way the grant funds were being used. Further, the Bank has experienced corruption in the education sector in Africa, including transfers to ghost teachers and transfers to schools diverted to government staff as well as

kickbacks for textbook and school construction contracts. To mitigate governance risks, including fraud and corruption that will be encountered during project implementation: (i) enhance transparency in the bidding process, notably by involving both district, school official as well as community members in the construction; (ii) revise and detail the national guidelines for the School Grant Facility, in particular around bidding and construction supervision; (iii) improve the procurement process and documents for procurement of instructional materials; (iv) use of third-party monitoring as well as unannounced school visits, (v) implementation of ICT solutions for reporting, notably for school inspections; (vi) provision of more information to all levels of the system (teachers, head-teachers, district officials and ministerial staff) in order to raise demand for accountability, and (vii) the technical assistance will include support to improve the timeliness and accuracy of the teacher pay roll system. Annex 9 provides a broader discussion on the country and sector specific governance challenges and proposes activities to be implemented alongside the project. This also takes cognizant of the new strategic approach to improving governance as agreed upon in the CAS progress report.

40. **Stakeholder risks are currently rated as moderate, but could increase due to a potential teacher strike.** A teacher strike over teacher salaries would have adverse impact on the sector and the project, not only in terms of the direct loss of instructional time, but also in terms of the negative impact on trust within the education sector affecting teachers accountability and motivation, which are two critical aspects that this project seeks to improve. Further, a substantial across-the-board salary increase could imply a reduction in budget to non-salary items, notably instructional material and teacher training, which could damage the sustainability of this project's activities.

41. **Capacity to implement the project is a substantial risk.** Project implementation will be fully mainstreamed in the Ministry of Education and Sports (MoES) using existing units and their capacity. This provides for sustainability, but also results in extra workload for the existing staff. Further, there is a need for proper inter-ministerial coordination to ensure effective implementation of the project. The potential risks affecting the proper and well-coordinated implementation of the project will be mitigated through: (a) additional staff or consultants as deemed necessary of which four departments have been identified; (ii) working with development partners to jointly provide implementation support to this project; (iii) reduce the number of project activities and keep project activities simple to reduce the capacity required, and (iv) scale-up existing programs and pilots.

42. **The risks related to delivery monitoring and sustainability are substantial** because of the challenge in monitoring delivery of education in large number of primary schools and because of the risk to sustainability from recent fiscal constraints have resulted in a decline in the budget share going to education in Uganda. The project will lower the risk of monitoring by strengthening the government's monitoring system for example through scaled-up inspections, and combine it with project-specific monitoring activities, notably unannounced school visits and 3rd party audits of textbook delivery and classroom construction as described in the section on M&E. Despite the commitment of the Government of Uganda to education, the share of education within the national budget has shown a declining trend over the last six years. A continued decrease in the budget allocation for the education sector could jeopardize the sustainability of the project activities, as these will to a moderate degree require continued financing. The risk of financial sustainability will be counted at the macro-level through the Development Partners Poverty Reduction Strategy Credit framework and the Joint Budget Support Framework to maintain or increase the share of the budget going to primary education.

## VI. APPRAISAL SUMMARY

### A. ECONOMIC AND FINANCIAL ANALYSIS

43. **Economic Analysis.** A cost-benefit (CB) analysis of the project is conducted using the present discounted value (PDV) method. The project interventions around teacher and school effectiveness are expected to improve primary completion rates. Accordingly, current and future economic benefits and costs are formulated in terms of increased primary school completion rates (from 67 percent to 90 percent). In line with the standard practice in CB analyses of education investments, the economic benefits are estimated by using lifetime adult labor earnings while the economic costs are estimated using schooling expenditures.

44. Based on these assumptions, the project is viable on economic grounds with an estimated Net Present Value (NPV) of USD 106.1 with corresponding internal rate of return (IRR) of 27 percent. The corresponding benefit cost ratio is 4.3. The relatively high benefit cost ratio is predominantly explained by the wide gap in economic returns between primary school graduates and those who do not complete primary school cycle.

45. Projected economic returns are expected to represent a lower bound, given externalities associated with improving quality of primary education are not taken into account. Likely important social benefits from the project include increased participation in public life, potential reductions in risky behaviour, inter-generational effects not considered in individual returns, and peer and neighbour effects in learning outcomes.<sup>14</sup>

46. **Financial Analysis:** Actual MoES education spending in 2011-12 was 1,332 billion Ugandan shillings of which about 47 percent was spent on primary education. Hence, the per year project budget translates into 5.5 percent of total MoES budget on primary education. Maintaining project activities beyond the life of the project is expected to increase annual recurrent costs by approximately US\$6 million (based on high assumed rates of depreciation for textbooks and motorbikes for inspections). This comes to about 1 percent of the MoES current yearly spending. This increase in recurrent cost is absorbable provided Government commitment to primary education is sustained beyond the life of the project, and projected economic growth is realized. However beyond the project lifetime, the projected growth in the student population will continue to increase demand for class rooms, new teacher hires, and instructional material, which will again require policy choices and renewed financial commitments to education.

### B. TECHNICAL

47. The project's technical design is informed by multiple data sources (EMIS, UNEB student testing data, DHS survey, school-level data collected as a part of background diagnostics); a considerable body of Uganda-specific research and analyses on primary education; and international evidence.

48. The design was influenced by a key technical consideration – focus on improving student learning outcomes through improved service delivery combined with increased inputs. The identified levers for change for service delivery are strengthened incentive and accountability mechanisms for teachers and head-teachers, combined with increased competences within areas of shortcomings such as early grade literacy instruction and knowledge of the curriculum. This

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<sup>14</sup> For a discussion of such effects in the context of other African countries refer to (respectively) della Porta (2000), Agüero and Bharawadj (2011), Nimubona and Vencatachellum (2007) and Duflo et al. (2011).

choice has been informed by both the identified gaps in education service delivery in Uganda and international empirical evidence. Hence, the links between the development outcomes and the service delivery improvements (i.e., DLIs) are based on plausible ceteris-paribus predictions that are in line with the latest research and development discourse.

49. **Targeting:** Targeting of the project will take place at two levels – National and District.

- *National level targeting* for activities that help strengthen the overall learning environment at the school level (instructional material and school facilities); and for activities that are aimed at system improvements (teacher inspections systems and improvement in teacher payroll system).
- *District level targeting* will be given the limited resource envelope and capacity. At this level, the targeting approach is to focus on areas that currently exhibit poor outcomes on early grade literacy and numeracy as measured with through the PLE 2013 exam or the NAPE 2011 student assessment. The specific targeting is:
  - (i) Teacher training on early grade literacy will be targeted to 24 of these 69 districts. These 24 districts are those that meet local language requirements for scale-up of the early grade literacy model<sup>15</sup>.
  - (ii) Enhanced inspection will be implemented in 4,000 schools from around 57 districts randomly selected from the 30 districts participating in the early grade literacy and from among the 69 lowest performing districts at the NAPE 2011 assessment.
  - (iii) SMC and head-teacher training will be implemented in 2,000 schools from around 30 districts randomly selected from a pool of 50 lowest performing districts at the PLE 2013 exam, excluding districts where other projects are training school leadership.

Note that there will be overlap between (i), (ii) and (iii). Which district gets which package will be determined through a process of random selection. This strategy allows for credible evaluation and learning opportunities within the project. Specifically, it allows for measurement of the relative cost-effectiveness of enhanced inspections, enhanced teacher professional management, and scaled-up teacher training in improving student outcomes, and combinations thereof.

### C. FINANCIAL MANAGEMENT

50. **Financial management capacity.** The Permanent Secretary of the MoES will be overall accounting officer, while the day-to-day accounting functions will be undertaken by the Accounts section headed by the Principal Accountant. An assessment of the financial management arrangements including guidelines and procedures has been undertaken to identify existing capacity gaps and how best they could be addressed to ensure quality and efficient project implementation. In addition, capacity of district level management teams for the schools construction has been reviewed to enable efficient management of the school level grants and district level inspections. The already established system funds disbursement mechanism to districts will be utilized, and a financial tracking system of all disbursements will also be instituted for timely reporting. At the district level, a separate project account will be used. Further, timely and accurate financial management reporting from the districts to the national government is a disbursement result. For audits, Ministry and LG internal auditors will be relied

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<sup>15</sup> Note that teacher training will also be scaled up in 6 additional districts which are not included in the 69 districts described above.

on in their work regarding internal control reviews while external financial audits and value for money audits will be carried out by the Supreme Audit Institution – Office of the Auditor General (OAG) as mandated by the law. A number of financial management risks exist, which are described along with mitigation actions in the detailed FM assessment in Annex 3 and in the risk analysis in Annex 4. Overall the financial management risk is substantial after mitigation measures.

51. **Disbursement of project funds will be a function of achievement of a set of indicators for Component 1 and 2.** These Disbursement-Linked Indicators (DLIs) are presented in Annex 1. They have been finalized based on the following criteria: (i) to the extent possible, the selected DLIs reflect the priority elements in the ESSP for the project interventions; (ii) they include intermediate results, implementation performance targets that build incrementally over the life of the Project to improve education service delivery, and (iii) they capture results that are critical to achieving the Project’s development outcomes. The DLIs are independent of each other from a disbursement point of view. Disbursement for Component 3 will be based upon expenditures. Under Component 1 and 2, the Bank’s indicator –linked disbursements will be against selected parts of the project’s budget of eligible activities. These expenditures are clearly identifiable in GoU financial management information system and are referred to as Eligible Expenditure Programs (EEPs). The eligible expenditure program consists of the major project activities, notably expenditures for school construction and textbooks, which constitute the largest activities and the areas of substantial fiduciary risk. Further, salaries to teachers are part of the EEPs. is

#### **D. PROCUREMENT**

52. The procurable Eligible Expenditures are: Instructional Materials (USD 15.0 million), the School Facilities (USD 43.0 million). Further there are procurable items within the Technical Assistance component (USD 16.0 million). Procurement of these eligible expenditures and within the TA component shall follow the World Bank guidelines while the other procurements for smaller project activities shall be conducted in accordance with the Government of Uganda procurement procedures.

53. At Central Government level, procurement shall be conducted by the Ministry of Education and Sports. In order to strengthen Ministry capacity, a Procurement Specialist shall be hired to conduct procurement under the project. The Ministry shall be responsible for hiring of the technical assistance and procurement of instructional materials.

54. For the School Facilities, Procurement and Contract management shall be the responsibility of the individual beneficiary districts. The district capacity shall be strengthened by: (i) developing standard bidding documents; (ii) the hiring of engineering firms to support the districts in procurement; (iii) hiring of additional engineers to supervise construction, and (iv) involving the School Management Committee in the construction supervision. Revised SFG guidelines has been prepared, and the beneficiary districts once selected shall be sensitized on these revised guidelines. The detailed description and process is provided in Annex 2 under the detailed description of sub-component 2.2.

55. The overall risk for procurement is high with a residual risk of Substantial after implementation of mitigation measures. The key risks to procurement are: (i) major delays in procurement due to lack of adequate staff with appropriate experience in procurement in both the procurement and technical departments; (ii) weak interdepartmental coordination which exacerbates these delays; (iii) weaknesses on contract administration resulting in cost escalations,

delayed or incomplete deliveries and substandard deliveries, (iv) corruption and kickbacks in contracts; (v) high costs as a result of delays in payments to providers; and (vi) inadequate review and oversight. These will be mitigated through: (i) hiring additional staff in the procurement and technical departments prior to project effectiveness; (ii) training in procurement and contract administration, (iii) establishing a contract management and reporting system including independent verification of quality, timeliness and completeness of delivery; (iv) regular Internal Audit of procurement processing and contract administration to assess adherence to agreed business standard and timely remedial action, and (v) requiring of transparency in reporting of beneficiaries and progress through posting on the web.

#### **E. SOCIAL (INCLUDING SAFEGUARDS)**

56. **The project triggered OP 4.12, Involuntary Resettlement** due to the potential need for resettlement for site specific civil works of basic school facilities envisaged to include: (i): construction of 3 – 7 classrooms, with an average of 1 – 2 classroom blocks; (ii): construction of two 5-stance pit latrines in each selected school. The number of schools to benefit is not expected be more than 300. The specific sites will be determined prior to project effectiveness based on performance based selection criteria drawing from a list of 962 schools that do not meet the basic minimum infrastructure standards for quality education, majority of which are rural based. Through the school facility grant program, the project will support an undertaking of low scale and limited civil works to existing public primary schools. However, there may be limited possibilities of displacement of land and land use. The School Facility Grant program will only be available to schools where land ownership and an absence of displacement issues have been verified. This seeks to reduce and avert possible conflicts in selected priority beneficiary schools. The Resettlement Policy Framework (RPF) from the on-going WB-supported UPPEP project, was reviewed, lessons incorporated and adopted to guide the implementation of this project. The RPF prepared was disclosed in the World Bank InfoShop on September 5, 2013, and in country on September 16, 2013. The RPF specifies the process of preparing, reviewing, approving and implementing the subsequent Resettlement Action Plans (RAPs) before relevant civil works are initiated. Should resettlement issues be identified, appropriate RAPs will be prepared in consultation with the affected individuals and communities to address specific impacts, proposed mitigation measures and compensation issues. Preparation and implementation of the RAPs will be based on the laws of Uganda and the World Bank policy on Involuntary Resettlement (OP/BP 4.12). Other social impacts will be addressed through the environmental and social management framework (ESMF).

57. The project triggered the **social safeguard policy OP 4.10 Indigenous Peoples**. The project is covering areas inhabited by the Ik in Kaabong District in Karamoja region and Batwa in four districts South Western Uganda; namely Kasese, Kisoro, Bundibugyo and Kanungu. A social assessment (SA) confirmed the existence of the IPs in all these 5 districts, with 20 priority identified schools (Kaabong 2, Kasese, 2, Kisoro, Bundibugyo and Kanungu 16). An IPPF to address the issues of IPs was prepared, consulted upon and was disclosed in the World Bank InfoShop on September 5, 2013, and in country on September 16, 2013. The IPPF sets out the measures that the government will ensure the IPs will receive culturally appropriate social benefits and any adverse effects are avoided, minimized, mitigated or/and are integrated in the project. Community empowerment tools will be specifically tailored to reach and impact the IPs in line with the action plans defined.



## **F. ENVIRONMENT (INCLUDING SAFEGUARDS)**

58. Environmental Assessment OP/BP 4.01 is triggered because the project will support civil works activities with a potential to generate localized, site-specific environmental impacts. The project will take place in selected public primary schools, where construction of classrooms and sanitation facilities will be done. During construction, the generic impacts may include, among others, dust and noise pollution, occupational safety of workers and the nearby members of the public, and construction waste management.

59. In order to comprehensively address and guide implementation of environmental and social aspects of the project, an Environmental and Social Management Framework (ESMF) was prepared. The preparation of the ESMF was largely consultative involving stakeholders at various national consultations, see Annex 6. The ESMF was disclosed in the World Bank InfoShop on September 5, 2013, and in country on September 16, 2013.

60. The ESMF provides the environmental screening process to be followed during project development, a framework for development of Environmental and Social Management Plans (ESMPs) where necessary, including monitoring and reporting formats. Grievance handling mechanism has been provided in the ESMF and this will be included in the Project Implementation Manual. Upon confirmation of the project locations, the sub projects will be grouped by district and respective sets of environmental and social impact assessments (ESIA) prepared by the Government. Simple ESMPs will be developed to guide site implementation of mitigation measures. All the structures to be constructed and/or rehabilitated shall follow standard construction norms, including gender and disability requirements.

61. At the MoES, an Engineer in the CMU has been assigned to oversee implementation of environmental aspects. The safeguards capacity of the MoES is recommended to be reinforced through involvement of the respective District Environment Officers, District Engineers and District Community Development Officers, who will specifically undertake environmental screening and participate in the development and implementation of the EMPs, including reporting. This however, calls for very good coordination and involvement of the District Officers. In addition, the CMU will be technically supported by an Environmental Consultant who will be hired on a retainer basis to ensure implementation of the ESMF requirements.

62. **Physical Cultural Resources OP/BP 4.11:** This is triggered because the project will support investments in civil works and may affect physical cultural resources during earthworks and associated excavations. A chance finds procedure has been included in the ESMF to take care of management of any physical cultural resources that may be found. The respective ESIA that may be undertaken will include site specific physical cultural resources investigation, assessment and management.

## **G. OTHER SAFEGUARDS POLICIES TRIGGERED (IF REQUIRED)**

Not applicable.

## Annex 1: Results Framework and Monitoring

Country: Uganda

Project Name: Uganda GPE Teacher and School Effectiveness Project (P133780)

### Results Framework

#### Project Development Objectives

##### PDO Statement

The proposed Project Development Objective is to support the Government in improving teacher and school effectiveness in the public primary education system.

Aspects of effectiveness to be improved are:

- For teachers: presence in school, pedagogical approach for early reading, and availability of instructional material for teaching.
- For schools: improved school governance, accountability, and facilities.

#### Project Development Objective Indicators

Indicator Name	Core	Unit of Measure	Baseline	Cumulative Target Values			Frequency	Data Source/ Methodology	Responsibility for Data Collection
				YR1	YR2	End Target			
Number of teachers for grades P1-P3 in targeted districts trained as a part of project interventions	<input type="checkbox"/>	Number	12,000	14,500	19,500	24,100	Once a year	Administrative data	MOES through Basic Education Department and Independent Verification
Number-of-students-per-textbook ratio in local language/English, and math for students in grades P1-P7, in targeted districts	<input type="checkbox"/>	Ratio	14	14	12	10	Once a year	unannounced visits to the school	MOES through M&E and Independent Verification

Number of targeted schools with less than 3 permanent classrooms	<input type="checkbox"/>	Number	962	962	900	672	Once a year	Visits to targeted schools	MoES through CMU and Independent Verification
Percentage of teachers present in public schools in targeted districts	<input type="checkbox"/>	Percentage	73	74	75	77	Once a year	School visit	MoES through M&E

### Intermediate Results Indicators

Indicator Name	Core	Unit of Measure	Baseline	Cumulative Target Values			Frequency	Data Source/ Methodology	Responsibility for Data Collection
				YR1	YR2	End Target			
Direct project beneficiaries	<input checked="" type="checkbox"/>	Number	0.00			2,000,000	Once a year	EMIS	MoES
Female beneficiaries	<input checked="" type="checkbox"/>	Percentage Sub-Type Supplemental	50	50	50	50			
Number of Certification for Teacher Education Proficiency (C-TEP)	<input type="checkbox"/>	number	0	0	350	700	Once a year	Administrative data	MoES through Basic Education and Independent Verification
Percentage of schools in targeted districts provided with standard kit of instructional material for grades P1-P3 or P1-P7 as a part of project interventions	<input type="checkbox"/>	percentage	0	0	20	90	Once a year	M&E reports	MoES through IMU and Independent verification
Number of schools in targeted districts for which at least two school inspection reports have been filed per year	<input type="checkbox"/>	Number	0	600	2000	4000	Once a year	DES online system	MoES through DES and Independent Verification

Number of schools in targeted districts where SMCs and Head-teachers have received training as a part of project interventions	<input type="checkbox"/>	Number	0	100	1200	2000	Once a year	M&E report	MoES through Basic Education Unit in MoES and Independent Verification
Number of schools in targeted districts where information on UPE grants is made publicly available to the community	<input type="checkbox"/>	Number	0	90	1080	1800	Once a year	School visits	M&E unit in the MoES and Independent Verification
Number of targeted schools with SMC approved School Improvement Plans on school facility grant under the project	<input type="checkbox"/>	Number	0	0	0	280	Once a year	School visits	MoES
Number of additional classrooms built or rehabilitated at the primary level resulting from project interventions.	<input checked="" type="checkbox"/>	Number	0	0	0	1960	Once a year	M&E Reports	MoES through CMU and Independent Verification
No. of focal points, Center Management Committees, and District Education Officers in targeted districts trained on the draft education sector ECD policy developed	<input type="checkbox"/>	Number	0	0	0	80	Once a year	Key informant interviews	M&E unit in the MoES
Draft ECE Policy developed	<input type="checkbox"/>	Number	0	0	1	1	Once a year		MoES
Payroll system Technical Assistance completed	<input type="checkbox"/>	Number	0	0	1	1	Once a year		MoES with MoPS
Draft ESSP prepared	<input type="checkbox"/>	Number	0	0	0	1	Once a year		MoES
Learning Assessments under the projects (Early Grade Reading Assessments and NAPE Grade 3 and 6)	<input type="checkbox"/>	Number	0	2	4	6	Once a year		MoES through UNEP

**Higher level objective indicators tracked during project implementation:**

	<b>2007/08</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>2011/12</b>	<b>2012/13</b>
NAPE Grade 3 Literacy	46	45	56	58	48	54
NAPE Grade 3 Numeracy	45	71	71	73	63	70
NAPE Grade 6 Literacy	50	48	48	50	41	41
NAPE Grade 6 Numeracy	41	54	53	55	46	45
Completion rate of Primary Education						
Dropout of primary education						

Note: no targets are set for the higher level objectives given that these objectives are influenced in substantial ways by factors outside the scope of the project.

## Annex 1: Results Framework and Monitoring

Country: Uganda

Project Name: Uganda GPE Teacher and School Effectiveness Project (P133780)

Results Framework

Project Development Objective Indicators	Description (indicator definition etc.)
<p>Indicator Name</p> <p>Percentage of teachers, grades P1-P3, in targeted schools that show improvement in pedagogical approach</p>	<p>Description (indicator definition etc.)</p> <p>Percentage of teachers, grades P1-P3, in targeted schools that show improvement in pedagogical approach (measured through objective classroom observation tool). Classroom observation will be a part of unannounced visits by enumerators from M&amp;E unit. These will be conducted in randomly-selected, statistically representative (at the district level) sub-sample of schools in targeted districts.</p>
<p>Number of targeted schools where classes are held in open due to lack of classrooms</p>	<p>Number of targeted schools where classes are held in open due to lack of classrooms.</p>
<p>Percentage of students, grades P1-P7, in targeted districts found using textbooks during unannounced visits to the school</p>	<p>Percentage of students, grades P1-P7, in targeted districts found using textbooks during unannounced visits to the school. Data collected through Classroom observation in randomly-selected, statistically representative (at the district level) sub-sample of schools in targeted districts</p>
<p>Number of schools in targeted districts where information on UPE grants (receipts and expenditure) is made publicly available to the community</p>	<p>Number of schools in targeted districts where information on UPE grants (receipts and expenditure) is made publicly available to the community. 'Publicly available' is defined as information displayed/reported in a way that is easily accessible to the general public. This does not include information displayed within the offices of school administrators. Data collected through school visits undertaken in randomly-selected, statistically representative (at the district level) sub-sample of schools in targeted districts.</p>
<p>Percentage of full-time teachers present in school in targeted districts during unannounced visits</p>	<p>Percentage of full-time teachers present in school in targeted districts during unannounced visits. At the time of the unannounced visit of the enumerator, the location of all the full-time teachers of the school will be verified and the percentage of full-time teachers found to be present in the school at the time of the visit will be reported. Data collected through classroom observation undertaken in randomly-selected, statistically representative (at the district level) sub-sample of schools in</p>

	targeted districts.
<b>Intermediate Results Indicators</b>	
Indicator Name	Description (indicator definition etc.)
Percentage of teachers, grades P1-P3, in targeted districts who have received direct mentoring and/or training from CCTs under project interventions	Percentage of teachers, grades P1-P3, in targeted districts who have received direct mentoring and/or training from CCTs under project interventions. Data collected through teacher interviews during unannounced school visits [ALSO A DLJ]
Percentage of primary teachers in targeted districts who perceive that performance has links to rewards	Percentage of primary teachers in targeted districts who perceive that performance has links to rewards. Data collected through teacher interviews during unannounced school visits
Number of targeted schools with SMC approved SIPs on school facility grant under the project	Number of targeted schools with SMC approved SIPs on school facility grant under the project
No. of focal points, CMCs, and District Education Officers in targeted districts trained on the reviewed education sector ECD policy	No. of focal points, CMCs, and District Education Officers in targeted districts trained on the reviewed education sector ECD policy
Number of targeted districts where real-time data on school functioning is being used for planning at the district level	Number of targeted districts where real-time data on school functioning is being used for planning at the district level
Percentage of schools in targeted districts provided with standard kit of instructional material for grades P1-P4 as a part of project interventions	Number of schools in targeted districts provided with standard kit of instructional material for grades P1-P4 as a part of project interventions. [ALSO A DLJ]
Number of schools in targeted districts where SMCs and Head-teachers have received training as a part of project interventions	Number of schools in targeted districts where SMCs and Head-teachers have received training as a part of project interventions
Direct project beneficiaries	Direct beneficiaries are people or groups who directly derive benefits from an intervention (i.e., children who benefit from an immunization program; families that have a new piped water connection). Please note that this indicator requires supplemental information. Supplemental Value: Female beneficiaries (percentage). Based on the assessment and definition of direct project beneficiaries, specify what proportion of the direct project beneficiaries are female. This indicator is calculated as a percentage.

Female beneficiaries	Based on the assessment and definition of direct project beneficiaries, specify what percentage of the beneficiaries are female.
Number of schools in targeted districts for which at least two school inspection reports have been filed per year	Number of schools in targeted districts for which at least two school inspection reports have been filed per year. Filed inspection reports must imply data from reports is available in the DES central database [ALSO A DLI]
Number of additional classrooms built or rehabilitated at the primary level resulting from project interventions.	This indicator measures the number of additional classrooms constructed or rehabilitated at the primary level through the Bank-funded program. In most cases, it is expected that the baseline value for this indicator will be zero ('0'). The baseline might not be zero, for example, for an additional financing II operation. This indicator will be used to calculate the "decline in shortfall of classrooms at the primary level". TTLS should report on the progress of this indicator only if it is relevant to the project, that is, if the project aims to reduce the shortfall of classrooms at the primary level. Please visit the EdStats database to view the shortfall of classrooms at the primary level by country.
Number of teachers for grades P1-P3 in targeted districts trained as a part of project interventions	Number of teachers for grades P1-P3 in targeted districts trained as a part of project interventions [ALSO A DLI]



### Disbursement Linked Indicators for Financing Agreement

Disbursement Linked Indicator (“DLI”)	Action to be Completed (Disbursement Linked Result (“DLR”))	Amount of the Financing Allocated Per DLI (expressed in USD)	Amount Allocated per DLR for the Disbursement Calculation (expressed in USD)
<b>DLI 1:</b> Enhanced effectiveness of early grade instruction through provision of training to in-service teachers.	<p><b>DLR 1.1:</b> Terms of reference for training firm developed, and training content and plan finalized.</p> <p><b>DLR 1.2:</b> Training firm contracts awarded, training materials procured.</p> <p><b>DLR 1.3:</b> In-service teachers, ECD providers, and C-TEP trained and names published online.</p>	13,700,000	<p>DLR 1:1,500,000</p> <p>DLR 2:1,500,000</p> <p>DLR 3: 10,700,000 (of which US\$637 per teacher trained)</p>
<b>DLI 2:</b> Provision of instructional materials for literacy and numeracy on the new thematic primary curriculum.	<p><b>DLR 2.1:</b> First request for expression of interest for instructional materials issued to bidders following issuance of no-objection.</p> <p><b>DLR 2.2:</b> Procurement contracts for instruction materials concluded and signed.</p> <p><b>DLR 2.3:</b> Delivery of textbooks and any additional items such as storage boxes published online.</p>	14,800,000	<p>DLR 1:500,000</p> <p>DLR 2:500,000</p> <p>DLR 3:13,800,000 (of which US\$2.12 per textbook delivered)</p>
<b>DLI 3:</b> Enhanced effectiveness and frequency of inspections.	<p><b>DLR 3.1:</b> ICT system designed.</p> <p><b>DLR 3.2:</b> Schools in targeted districts inspected and reports filed in the system and published online for the previous term.</p>	2,900,000	<p>DLR 3.1:1,000,000</p> <p>DLR 3.2:1,900,000 (of which US\$475 per report filed in the system)</p>
<b>DLI 4:</b> Strengthening the capacity of head-teachers and SMCs and stakeholders.	<p><b>DLR 4.1:</b> Term of reference for consulting firm developed and approved.</p> <p><b>DLR 4.2:</b> Contracts of training providers signed; training content and beneficiary school list agreed and published online; and MoES, LGs, and schools informed and list published online.</p> <p><b>DLR 4.3:</b> Schools with head teachers and SMCs trained; and information on universal primary education grants (revenue and expenditures) publically</p>	2,000,000	<p>DLR 4.1:250,000</p> <p>DLR 4.2:250,000</p> <p>DLR 4.3:1,500,000 (of which US\$750 per school)</p>

Disbursement Linked Indicator (“DLI”)	Action to be Completed (Disbursement Linked Result (“DLR”))	Amount of the Financing Allocated Per DLI (expressed in USD)	Amount Allocated per DLR for the Disbursement Calculation (expressed in USD)
	displayed at school.		
<p><b>DLI 5:</b> Provision of Performance and Need-based School Facility Grants to help meet prioritized basic input standards at the school level.</p>	<p><b>DLR 5.1:</b> Schools identified and communicated to LGs and regional workshops carried out.</p> <p><b>DLR 5.2:</b> Pre-construction site visits carried out to confirm ground conditions and site layout, all contractors procured and awarded.</p> <p><b>DLR 5.3:</b> Schools with construction progress certified and reported online.</p>	40,800,000	<p>DLR 5.1:2,000,000</p> <p>DLR 5.2:4,080,000</p> <p>DLR 5.3:34,680,000 (of which: US\$51,000 per school when construction reaches 30% completion; an additional US\$ 29,143 per school when construction reaches 70% and 90% completion; and an additional US\$14,571 per school when construction reaches 100% completion)</p>
<p><b>DLI 6</b> Strengthened financial management and timely reporting</p>	<p><b>DLR 6:</b> Adequate quarterly financial reports, including reporting on SFG and inspection, published online for the last two fiscal quarters by participating districts within 61 days after each quarter ends.</p>	3,000,000	<p>DLR 6:3,000,000 (of which US\$5,714 per district financial report)</p>

**Detailed Disbursement Linked Indicators: Planned disbursement and targets over time**

		Year 0		Year 1		Year 2			Year 3		Total		
		31-Dec-14	30-Jun-15	31-Dec-15	30-Jun-16	31-Dec-16	30-Jun-17	31-Dec-17					
<b>1</b> Early grade & ECD literacy training	Early grade teacher trained	(1) TOR for training firm developed. (2) Training content and plan confirmed	(1) training firm contract awarded (2) Training material procured	Disbursements are based on number of teachers trained		Disbursements are based on number of ECD caregivers trained, assessed, and accredited		Disbursement is based on no. of C-TEP trained, assessed, & accredited					
				2,500	2,000	3,000	2,100	2,500	12,100				
	ECD teacher trained			0		1,000		1,000		1,500		4,000	
				0	200	150	200	150	700				
	C-TEP trained			2,500	3,200	4,150	3,800	3,150	16,800				
				11%	14%	19%	17%	14%	100%				
	% completion			13%	13%	11%	14%	19%	17%	14%	100%		
				13%	25%	36%	50%	69%	86%	100%			
	Cumulative % completion			637	637	637	637	637	637	637			
				DLI Unit Price per teacher tra.									
Disbursement			<b>1,500,000</b>	<b>1,500,000</b>	<b>1,592,500</b>	<b>2,038,400</b>	<b>2,643,550</b>	<b>2,420,600</b>	<b>2,006,550</b>	<b>13,700,000</b>			
			Expected Output/targets	1st ReOI issued	Signed 1st contract	Disbursements are based on number of books distributed							
<b>2</b>	Semi-Annual Targets			100,000	500,000	1,000,000	2,500,000	2,400,000	6,500,000				
				% completion	3%	3%	1%	7%	14%	36%	34%	100%	
	Cumulative % completion			8%	15%	30%	66%	100%	100%				
				DLI Unit Price per textbook	2.12	2.12	2.12	2.12	2.12	2.12			
	Disbursement			<b>500,000</b>	<b>500,000</b>	<b>212,308</b>	<b>1,061,538</b>	<b>2,123,077</b>	<b>5,307,692</b>	<b>5,095,385</b>	<b>14,800,000</b>		
				Transfers (incl advances)	2,800,000	7,300,000	4,700,000						
	<b>3</b> Inspections	Expected Output/targets		ICT System design & piloted	Disbursements are based on no. of schools with filed inspection reports								
					Semi-Annual Targets	600	600	800	900	1,100	4,000		
					% completion	0%	0%	15%	15%	20%	23%	28%	100%
					Cummulative % completion	0%	0%	15%	30%	50%	73%	100%	100%
DLI unit price per inspection					475	475	475	475	475	475	475		
Disbursement	<b>0</b>	<b>1,000,000</b>	<b>285,000</b>	<b>285,000</b>	<b>380,000</b>	<b>427,500</b>	<b>522,500</b>	<b>2,900,000</b>					

		Year 0		Year 1		Year 2		Year 3		Total				
		31-Dec-14	30-Jun-15	31-Dec-15	30-Jun-16	31-Dec-16	30-Jun-17	31-Dec-17						
4 SMC and HT training	Expected Output/targets	TOR for the consulting firm developed and approved	(1) Training providers procured and contract signed (2) training content & school list agreed (3): MoES, LGS, and schools informed.	Disbursements are based on number of beneficiary schools that trained Head teachers and SMCs & UPE grants is made publicly available to the community	100	500	600	600	200	2,000				
					Semi-Annual Targets									
					% completion	13%	13%	4%	19%	23%	23%	8%	100%	
					Cumulative % completion	13%	25%	29%	48%	70%	93%	100%	100%	
					DL unit price per beneficiary school			750	750	750	750	750	750	
					Disbursement	250,000	250,000	75,000	375,000	450,000	450,000	150,000	2,000,000	
					Expected Output/targets	Beneficiaries schools identified and communicated to the local governments	Site Appraisals carried out to confirm ground conditions and site layout; Regional workshops carried out.	All contractors /suppliers procured and Contracts awarded(no more procurement after this date)	Disbursements are based on number of schools at:					
								30% completion (Foundation level complete, Floor slab and walls have reached window level)	70% completion (all facilities roofed, plastered, painted, windows and doors fitted, water systems installed)	90% completion (All furniture and water tanks supplied and installed)	100% completion (All defects corrected)			
					% Completion	5%	5%	5%	35%	20%	20%	10%	100%	
					Cumulative % completion	5%	10%	15%	50%	70%	90%	100%	90%	
Disb. per school			7,286	51,000	29,143	29,143	14,571	131,143						
Cumulative Disb. per school			7,286	58,286	87,429	116,571	131,143	131,143						
Number of schools			280	280	280	280	280	280						
Disbursement	2,040,000	2,040,000	2,040,000	14,280,000	8,160,000	8,160,000	4,080,000	40,800,000						
Transfer (incl advs)	2,040,000	2,040,000	16,320,000	20,400,000	0	0	0	40,800,000						

	Expected Output/targets	Year 0		Year 1		Year 2		Year 3		Total
		31-Dec-14	30-Jun-15	31-Dec-15	30-Jun-16	31-Dec-16	30-Jun-17	31-Dec-17		
<b>6</b> <b>Timely and accurate Financial Management</b>	Semi-Annual Targets			<b>105</b>	<b>105</b>	<b>105</b>	<b>105</b>	<b>105</b>	<b>525</b>	
	% completion			20%	20%	20%	20%	20%	100%	
	Cumulative % completion			20%	40%	60%	80%	100%	100%	
	DLI unit price per beneficiary district			<b>5,714</b>	<b>5,714</b>	<b>5,714</b>	<b>5,714</b>	<b>5,714</b>	<b>28,571</b>	
	<b>Disbursement</b>			<b>600,000</b>	<b>600,000</b>	<b>600,000</b>	<b>600,000</b>	<b>600,000</b>	<b>3,000,000</b>	
			Disbursements are based on number of districts (GPE SFG targeted) that submitted timely (within 30 days after the quarter) and accurate quarterly financial reports (SFG and inspection where applicable)							

## DLI protocol

DLI results in short	Detailed definition and list of documents to be submitted as part of the withdrawal process	Documents and information available upon request for verification
<b>DLI 1</b>	<b>Enhanced effectiveness of early grade instruction through provision of training to in-service teachers</b>	<b>DLI 1</b>
DLR 1.1 Training content and plan for P1 teachers	<ul style="list-style-type: none"> <li>• Certify that training materials is ready for print for teachers and learners, including teacher guides and primers for learners.</li> <li>• List of beneficiary primary schools identified per language group, and certify that the specific names of teachers to be trained per school has been identified.</li> <li>• Training schedule ready for P1 teachers in 2015</li> </ul>	<ul style="list-style-type: none"> <li>• Training materials ready for print</li> <li>• List of Beneficiary primary schools</li> <li>• List of P1 teachers by name to be trained</li> <li>• Training schedule</li> </ul>
DLR 1.2 Training material for P1 teacher training procured on-time	<ul style="list-style-type: none"> <li>• Contract for printing and delivery signed and the agreed scheduled delivery foresees delivery of material prior to January 10, 2015.</li> <li>• The final number of material procured, unit cost, total cost, suppliers' names are published online</li> <li>• Signed contracts with delivery schedule are published online</li> </ul>	<ul style="list-style-type: none"> <li>• List(s) of the trained teachers with the name, mobile phone, title, school of employment, and district. Each teacher should sign for his/her participation and completion.</li> </ul>
DLR 1.3 No. of teachers trained in early grade and ECD	<ul style="list-style-type: none"> <li>• Number of teachers trained in early grade reading instruction in Local language and English as per the length and content agreed in the Project Implementation Manual.</li> <li>• Names of teachers trained are published online by district</li> </ul>	<ul style="list-style-type: none"> <li>• List of teacher trainers (tutor) for each training sessions with name, title, CCT, and mobile phone.</li> </ul>
<b>DLI 2</b>	<b>Instructional material</b>	<b>DLI 2</b>
DLR 2.1 1st REOI	<ul style="list-style-type: none"> <li>• The first Request for Expression of Interest for instructional material under the project issued to bidders. The REOI must have received the Bank's no objection</li> </ul>	<ul style="list-style-type: none"> <li>• Copy of the newspaper advertisement and/or website with the REOI</li> </ul>
DLR 2.1 Signed 1st contract for printing	<ul style="list-style-type: none"> <li>• The first contract for printing of instructional material signed following the agreed procurement procedures</li> <li>• The signed contract is published online</li> </ul>	

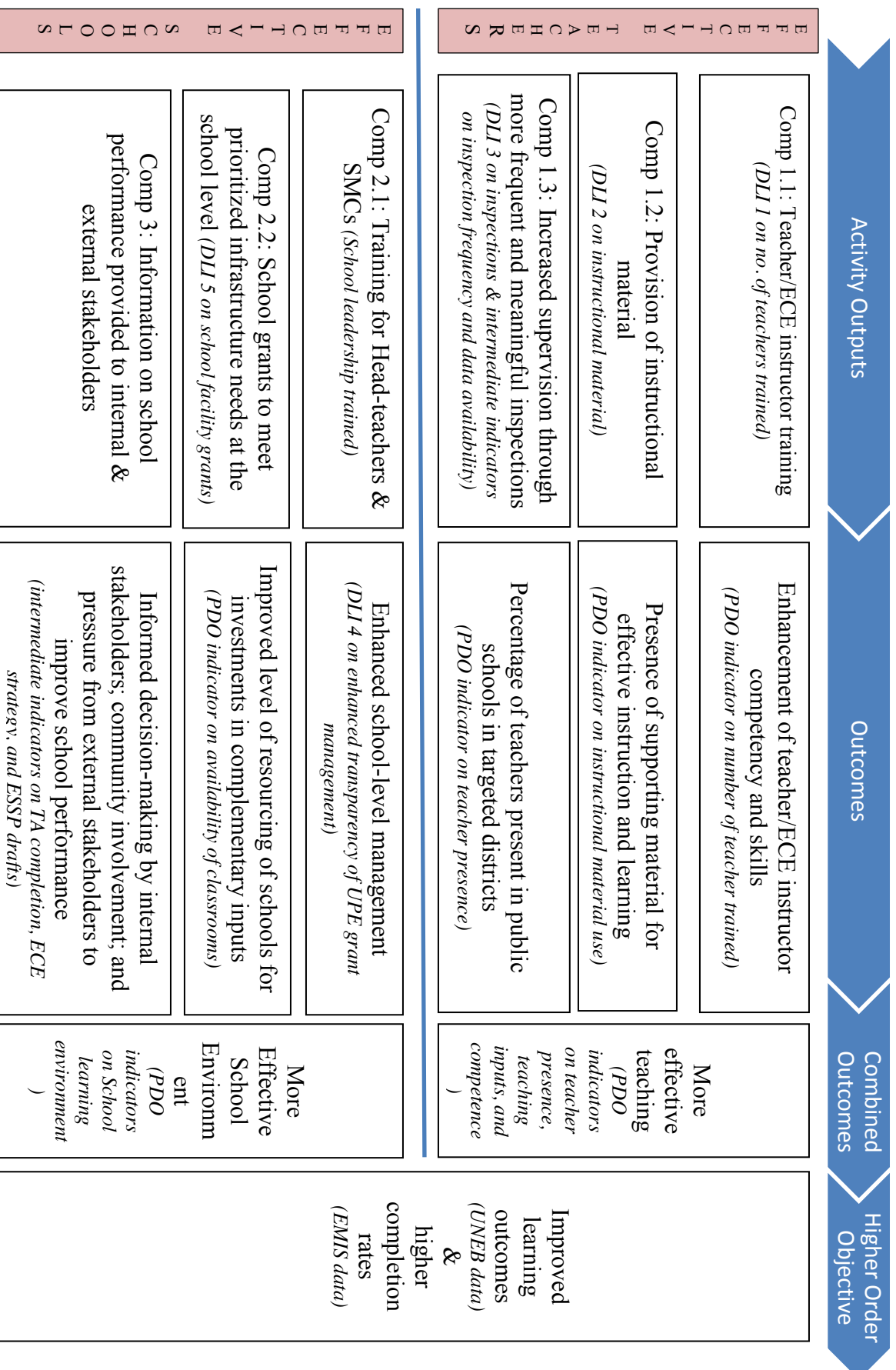
DLR 2.3 No. of books distributed	<ul style="list-style-type: none"> <li>Number of books distributed by school according to the contract, including a correct delivery of the number of specified books to the specified schools and any additional items, such as storage boxes (if required). This list is published on-line. An annual third-party verification of a sample of at least 10% of the beneficiary schools (or as otherwise agreed between the Bank and the government) where at least 90% of the sampled schools must have received the instructional material specified in the contract. The organization or firm carrying out the third party verification and the TORs must be acceptable to both the government and the Bank.</li> </ul>	<ul style="list-style-type: none"> <li>Certification by the printer and/or distributor that the work has been completed according to the contract</li> <li>Third party report including the overall assessment of the findings and a summary from each school visit.</li> </ul>
<b>DII 3</b>		
<b>Inspections</b>		
DLR 3.1 ICT-system designed and implemented	<ul style="list-style-type: none"> <li>Inception report, service level agreements, procurement documentation.</li> <li>Field testing reports, iterative software releases, feature backlog, updated process workflows.</li> <li>Usability and QA test plan, final software product.</li> <li>Training curricula, operational manual.</li> <li>Final report, technical and maintenance documentation, source code.</li> </ul>	
DLR 3.2 Number of Inspections filed in the system	<ul style="list-style-type: none"> <li>Online inspection reports filed per term for both previously filed schools and new schools.</li> </ul>	Inspection reports are filed online, the report includes necessary data, such as date of inspection, location, teacher present (with list of teachers and head-teacher's name), etc.
<b>DII 4</b>		
<b>SMC and HT Training</b>		
DLR 4.1 Training plan and content ready	<ul style="list-style-type: none"> <li>Training material and manual developed aligned to the BRMS and other relevant national policy framework, and including relevant training for the GPE project</li> <li>Draft RFP for contract training providers</li> <li>Training schedule</li> <li>Identified school leadership teams that will be trained</li> </ul>	
DLR 4.2 RFP	<ul style="list-style-type: none"> <li>The names of training providers are published online</li> </ul>	

issued for contracting training providers	<ul style="list-style-type: none"> <li>Signed contracts are published online</li> </ul>	
DLR 4.3 No of trainings and disclosed UPE grant	<ul style="list-style-type: none"> <li>List of trainings are published online by district by school,</li> <li>List of school disclosed UPE grant statements are published (online and visible at school property, which can be principals' office)</li> </ul>	
<b>D1.5</b>		
<b>SFG school construction</b>		
DLR 5.1 Schools identified	<ul style="list-style-type: none"> <li>The list of schools selected as per the process and criteria described in the PIM</li> <li>Report from a third party sample of at least 10% of the selected schools that confirm that at least 80% of the selected schools meet the eligibility criteria.</li> <li>Both criteria and selected schools are published online.</li> <li>Third party report is published online</li> </ul>	<ul style="list-style-type: none"> <li>The list of schools with the number of learners enrolled in each school</li> <li>Third party sample report</li> <li>At least 2 inspection reports from the preceding school term where the school met the required criteria</li> <li>Certification from the CAO that the district capacity is available, including names of the officers and contacts of the required staff</li> </ul>
DLR 5.2 Contractor procured	<ul style="list-style-type: none"> <li>Invitation to Bids are published online</li> <li>List of contractors are published online</li> <li>List of schools and contract value are published online</li> <li>Signed contracts are published online</li> </ul>	<ul style="list-style-type: none"> <li>Approved Bid Evaluation Reports recommending contract award</li> </ul>
DLR 5.3 No. of schools where the buildings are 30%, 70%, 90% completed respectively	<ul style="list-style-type: none"> <li>Supervision reports are published online by district, by school, and by contractor</li> </ul>	<ul style="list-style-type: none"> <li>Reports of site visits by construction supervisory staff</li> </ul>
DLR 5.3 Building verified completed	<ul style="list-style-type: none"> <li>Publish the List of completed schools with completed civil works online</li> <li>Certify that District and SMC/HT have certified school completion for all completed schools submitted for funding</li> </ul>	<ul style="list-style-type: none"> <li>Certification of school completion from District and SMC/HT for all completed schools</li> <li>Certification issued at end of Defects</li> </ul>



	<ul style="list-style-type: none"> <li>and publish the certified information online</li> <li>Certification that the website for school construction have photos of all completed schools submitted for funding and publish the certification online</li> <li>A third-party verification of a sample of at least 50% of the beneficiary schools (or as otherwise agreed between the Bank and the government) where at least 80% of the sampled schools must meet the quality stipulated in the contract building. The organization or firm carrying out the third party verification and the TORs must be acceptable to both the government and the Bank, and published it online</li> </ul>	Liability Period by SMC/HT for all completed schools
DLR 5.3. Verified Furniture installed and learners in classrooms	<ul style="list-style-type: none"> <li>District and SMC/HT certification of school furniture and published online</li> <li>Website with photos of the classrooms with furniture and learners</li> <li>A third-party verification of a sample of at least 10% of the beneficiary schools (or as otherwise agreed between the Bank and the government) where at least 80% of the sampled schools must meet the quality stipulated in the contract building. The organization or firm carrying out the third party verification and the TORs must be acceptable to both the government and the Bank, and published online</li> </ul>	<ul style="list-style-type: none"> <li>Certification of supply of furniture from District and SMC/HT for all completed schools</li> </ul>
<b>DLI 6</b>		
DLR 6 No. of SFG and inspection districts submitting accurate Qtr. Financial reports for SFG within 61 days	<ul style="list-style-type: none"> <li><b>Timely and accurate Financial Management for SFG</b></li> <li>Detailed report from MoFPED (and MoES) showing beneficiary Districts that have submitted quarterly reports either through the OBT system or Accountability “Form B” as per LG requirements.</li> <li>A third-party verification of a sample of at least 50% of the beneficiary districts with at least 75% of them meeting required reporting standards certified by the accounting officer of LG.</li> </ul>	Quarterly Accountability “Form B” reports or OBT report extracts

**Figure 1: Theory of Change / Results Chain**



## **Annex 2: Detailed Project Description**

### **UGANDA Teacher and School Effectiveness Project**

1. The Project Development Objective is to support the Government in improving teacher and school effectiveness in the public primary education system.
2. Aspects of effectiveness to be improved are:
  - For teachers: pedagogical approach for early reading, use of instructional material for teaching and presence in school.
  - For schools: improved school accountability and facilities.
3. In this section, details on each of the Uganda GPE components and activities are presented. For each component, information provided includes: primary objectives, detailed motivation, and detailed set of activities. Note that institutional and implementation arrangements are described in Annex 3, while Annex 1 presents the results chain, which delineates the main channels through which the proposed activities are expected to engender improvements in the PDO-level indicators. Further, the draft project implementation manual prepared by the government provides further descriptions of the project activities.

#### ***Component 1: Effective Teachers (USD 31.40 million)***

4. This project is centered on improving education service delivery at the *classroom level*. This objective necessitates a focus on improving teacher quality and performance because these are dimensions which are highly predictive of student achievement and where considerable margins for improvement exist. Largely building upon from ongoing and scalable programs, the project will promote teacher effectiveness through: (i) teacher competency, (ii) teacher resources and support, and (iii) teacher motivation and accountability.

#### **1.1 Improving teacher competencies (USD 13.70 million)**

5. This subcomponent will aim at improving teacher and instructor content knowledge and pedagogy to deliver the numeracy and literacy curriculum. The sub-component specifically focuses on teachers of the early grades (primary 1-3), and the transition year (primary 4) of the primary school cycle. This will be complemented with support to improve quality and frequency of in-service teacher support. Further, the sub-component will improve teacher/instructor competences in Early Childhood Education.
6. The subcomponent is motivated by evidence that indicates that primary teacher content knowledge is low. Results from teacher tests conducted by UNEB in 2011 show that about half the tested teachers did not meet the expected level in oral vocabulary and three quarters did not attain the expected competences in numeracy; while only 18 percent of primary 3 and 6 teachers scored in the highest performance category (90-100 percent) on the primary 6 literacy test which is the expected norm for teachers. Teachers should have full mastery of the curriculum they teach, and the low performance levels observed indicate a need to improve teachers' literacy and

numeracy content knowledge. Further, achievement levels of pupils are only half that of their teachers on the same test items drawn from the curriculum they are supposed to cover. This indicates low teacher effectiveness.

**1.1.1. Improving teacher competencies and instructional practices in early grade numeracy and literacy for the primary school curriculum (US\$11.64 million)**

7. This sub-component will scale-up an on-going early grade reading program to improve the reading ability of children in early grades in 12 local languages and English. The program aims to expand to benefit an additional 1,270,000 students in 2,600 primary schools in 27 districts through improved teacher knowledge and pedagogy of 12,000 early grade teachers. The local languages were selected by MoES based on language readiness criteria which include existence of orthography including dictionary and proportion of native speakers of the respective language; while for districts, the existence of an approved district language board was an additional consideration.

8. The specific goals of the EGR program are:

<b>Language</b>	<b>End of P1</b>	<b>End of P2</b>	<b>End of P3</b>
<b>Local Language</b>	Read & understand grade & age appropriate text	Read & understand grade & age appropriate text	Read & write grade & age appropriate text
<b>English</b>	Produce simple oral exchanges	Begin to read & write simple sentences	Ready to read & write in English

9. For standardization and quality assurance, the scale-up of the EGR will draw from the national team of trainers of trainers (TOTs) as well as instructional materials that have been developed by the technical assistance agency in partnership with the National Curriculum Development Centre (NCDC) in both English and the 12 local languages. The number of teachers trained in EGR will double from 12,000 to 24,000 teachers, a critical mass of teachers conversant with early grade literacy pedagogy; while the number of learners targeted will also be doubled.

10. The scale up of the EGR under GPE will entail: (i) Provision of EGR Materials, notably Pupil primers and Teacher guides in 12 Local Languages and English. Each student will receive her own primer. This is financed by sub-component 1.2; (ii) Teacher Training, which follows a cascading model; and (iii) Early Grade Reading Assessment (EGRA) as well as other monitoring and support supervision.

11. A central activity in the program is training of the Early Grade Teachers in how to teach reading effectively. A cascade model for teacher training will be used in the scaling up of Early Grade Reading. A cadre of Master Trainers will be trained, who will in turn train a trainers of trainers: (CCTs, Language Tutors, ECD Tutors, and NTC Lecturers) who will in turn train the EGR teachers. The master trainers will be drawn from MoES and Institutions of Higher Learning

such as Universities and National Teachers Colleges. Technical guidance will be provided on how to organise and conduct the early grade reading training at various levels. The trained and supported Master Trainers are expected to facilitate the training of trainers in the GPE districts and supervise and support the training of teachers by the trainers. The 3 cascading levels of teacher training specifically include:

- (i) Training of Master Trainers in EGR. The Master trainers will be coached by the Program to run a five day Training of Trainers (TOTs) that will follow. The Master trainers will be drawn from MoES and Institutions of Higher learning such as Universities and NTCs.
- (ii) Training of Trainers in EGR /CCT Orientation. CCTs, Language Tutors and ECD Tutors from the GPE EGR cluster Core PTCs will be trained by the Program as TOTs in EGR. This will be to prepare them for the teacher training that will follow. These trainers will be expected to facilitate a five – day training of EGR teachers. The TOT and that of teachers will take place during the school holidays.
- (iii) Training of teachers in EGR. Teachers from the GPE districts will be trained in EGR grade reading by the CCTs, Language Tutors and ECD tutors from the GPE Core PTCs. The Program will offer guidance on how to organise and conduct the EGR teacher training. The TIET Department is expected to play the leading role.
- (iv) Refresher teacher training. The EGR teacher trained will also get refresher training. This will help consolidate their techniques in Early Grade Reading following the initial training they received.

12. Support to improve the quality and frequency of the in-service teacher training will complement the Early Grade literacy program. This seeks to improve pedagogical approaches at the target districts of the early grade program and beyond. The following strengthening activities will be undertaken:

- Implementing tutors’ and teacher support for early grade numeracy to enable improvements in numeracy instruction with special focus on early grades. PTC tutors and district inspectors will be trained in targeted districts while a sample of head-teachers and in-service teachers will be trained per CCT catchment area, including the northern region which registers the lowest education outcomes in comparison with other regions.
- Scaling up Certification for Teacher Education Proficiency (C-TEP) program for teacher tutors providing in-service training and support to teachers. The CCTs will receive improved pedagogical mastery with sensitivity to gender; Certification for Teacher Education Proficiency (C-TEP) for improved pedagogical mastery that focuses on reflective practice, action research and gender responsive instructional norms amongst in-service tutors.
- Re-mapping of the Coordinating Centers for effective reach of the out-reach tutors (CCTs) to schools for enhanced teacher support, roll-out of the continuous assessment framework for teacher trainees as well as the

13. In specific terms, the following will be undertaken with support from the GPE using the established in-service teacher training system.

- (a) Assessment of teacher competencies in the numeracy and literacy curriculum they instruct by conducting national assessment of progress in education (NAPE) among in-service teachers; and teacher trainees exiting teacher training colleges.
- (b) Improving in-service tutors' performance by: (i) (ii) technical assistance towards the development of a strategic plan for the roll-out of the continuous assessment framework for teacher trainees; and remapping of coordinating centres (CCs) for alignment with both administrative and PTCs zoning systems; (iii) resourcing CCs with requisite materials and equipment to enhance the delivery of in-service teacher training programs; and (iv) logistical support to CCTs based on clearly identified need for improved in-school technical support to head-teachers and teachers.

***1.1.2 Improving competencies of early childhood education (ECE) providers for improved readiness to primary education among learners. (USD2.04 million)***

14. The objective of this sub-component is to improve the content knowledge and skills of instructors/care givers in ECD centers. This subcomponent will aim at improving school readiness for young children below 6 years of age through the provision of adequate training to of instructors to enable them acquire the expected skills. The latter will be equipped with the desired competences to enable them deliver quality care and education services.

15. Improving the provision of quality ECE is crucial to the realization of quality education in Uganda, particularly given the lack of readiness for formal school at grade 1 and current low rates of primary school completion. Early gaps in cognitive skills jeopardize children's capacity and motivation to learn upon primary school entry thereby leading to high rates of student drop-out, and low rates of primary completion. Evidence suggests that poor quality ECE teacher preparation in Teacher Education Institutions results in poor literacy and numeracy outcomes for young children and diminished readiness for primary school.

16. Uganda has 92 existing ECE Teacher Education Institutions which are managed by the private sector in terms of administration and funding. While the Government is responsible for policy implementation and operational guidelines, it has no control on issues related to employment, recruitment, and admissions of ECE instructors. A number of recent accomplishments are notable, undertaken with support from UNICEF: (i) national sensitization undertaken; (ii) harmonized curriculum on ECE Teacher Education developed and disseminated to all institutions; and (iii) registration and licensing process of caregivers, Teacher Education institutions, and ECD centers established. In many of these existing ECE centers, practical and child friendly learning experiences for holistic development and readiness for the children are lacking. Acquisition of desired emergent skills among young children is at risk.

17. TIET aims to ascertain that existing practitioners acquire the required qualification to meet the registration and licensing standards and to develop a bridging course for those who are significantly below the expected competences. The proposed activity will build upon ongoing efforts by the government, and using existing formal government structures, for training and registering of teachers.

18. The following will be undertaken to improve content knowledge and skills of ECE caregivers to effectively deliver early learning programs:

- Expanded roll-out of the Community Child Care Program (CCCP) for community ECD providers (i.e., Certificate in ECD Teacher Education program targeting caregivers - in-service); and
- Technical assistance towards the finalization and preparedness of Early Childhood Education (ECE) instructors' proficiency program targeting already practicing ECD caregivers engaged in the provision of pre-school education programs for children 3-5 years of age (i.e., Certificate in ECD Teacher Education targeting tutors/instructors - in-service).

19. The CCCP will target 4,000 caregivers in Faith-Based Organization supported community ECD centers, specifically those licensed. UNICEF is currently supporting the MoES to train national trainee of trainers (ToTs), attached to government core Primary Teacher Colleges (PTCs), who in turn will train caregivers in FBO ECD centers. Building upon this ongoing effort, the Project will support the expansion of the CCCP PTC catchment areas where the CCCP is currently being implemented.

20. The ECE instructors' proficiency program targets ECE tutors/caregivers with basic qualification in Teacher Education. The PTC-attached national ToTs will serve as the Master Trainers for the ECE instructors' proficiency program and the FBO trainee of trainers. The program will be implemented in close collaboration with Ugandan tertiary education (mainly Kyambogo University) using the regional TDMS in-service model. This model provides for face to face sessions, on job assignments and mentoring, and offers continuous assessment, summative assessment, reflective practice, assesses practicum, and material production.

## **1.2 Providing equipment and instructional materials (US\$14.80 million)**

21. The objective of this sub-component is to improve learner access to, and utilization of, instructional materials for enhanced teaching-learning processes.

22. The revised primary education curriculum was fully rolled out in 2012. However, adequate provision of requisite text book and non-textbook materials to facilitate curriculum delivery is constrained by the low resource allocations, compromising the quality of teaching-learning processes. The numeracy and literacy materials to support the delivery of the reformed curriculum (the P1-P3 learners' kits) consists of wall charts, math cards, math and English practice books, readers in English and various local languages; as well as textbooks for English and Mathematics. School observations reveal limited availability of instructional materials compounded by very limited access by learners due to weak utilization practices. In regard to the EGR program, development of primers and teacher guides for grades 1 & 2 (in English and the 12 local languages) has been prepared, while materials for grades 3 & 4 will be developed in 2014.

23. The support through this project will go towards the following:

- (a) Printing of instructional materials (English and the 12 local languages) for grades 1-2 in Year 1; and grades 3-4 in Year 2, as well as teacher guides for use in the scale-up of the EGR model (supported in component 1.1). This targets the GPE EGR program districts only.
- (b) Provision of instructional materials (textbook for grades 1-7) literacy (English) and numeracy materials for primary school pupils (primary 1 to 7); as well as teacher reference materials.

- (c) Provision of 2 copies of curricula, teacher's guides to both public and private schools.
- (d) Provision of brail and other learning materials for children with disabilities to improve their right to quality education.

24. Procurement processes for the instructional materials to be supplied by the project will be initiated in Year 1 and completed by the end of year 2 of the project, at the latest to ensure delivery of the material prior to project closure. No procurement of instructional material will be allowed under the project in the last year of the project.

25. The DLIs for this sub-component include: completed inventory of instructional material and agreement on procurement guidelines and standard bidding documents (Year 0); procurement of instructional material (Year 1); and number of textbooks delivered to the schools (Years 2 and 3).

### **1.3 Enhancing Teacher Supervision (US\$2.90 million)**

26. This sub-component aims at enhancing the effectiveness of teacher and school inspections as an instrument for teacher supervision and accountability. This will be accomplished through: (a) increased frequency (at least twice a year inspections in all schools in targeted districts) of inspections in targeted districts, (b) more efficient information recording and dissemination, and (c) creation of effective feedback-loops with teachers and other stakeholders.

27. The issue of insufficient and low quality inspections is noted in the ESSP as being an important factor in explaining low quality of primary education. This sub-component directly supports the ESSP strategy on addressing this gap.

28. The activities will include the following:

- (a) In Year 1, design and implementation of ICT-based system improvements that enable more effective and timely recording and dissemination of inspection reports. This activity will include provision of necessary equipment (in the form of smart phones) and corresponding training to District Inspectors, District Education Officers, and relevant staff from District Education Standards. All training will be carried out by DES. Some part of this activity will also be supported through Technical Assistance under sub-component 3.2. Details for this are provided under detailed project description of 3.2
- (b) In Year 1 and 2, training of DISs/MISs and DEOs on internal school based assessment, evaluation and education quality improvement in targeted districts. All training will be carried out by DES
- (c) In Year 1, provision of appropriate transport for DISs/MISs and DFPOs (34 districts)
- (d) In Year 1, 2, and 3, support implementation of the 'Associate Assessors' model: The Associate Assessor Model has been in existence since 2002 and was conceived as a way to increase the Directorate's capacity to monitor schools. Under this model, individuals are identified from the community or nominated by the community based on their experience/specialization in the education sector. This pool often includes retirees (teachers, head-teachers, CCTs) or current employees who serve in other capacities and



areas in the system. These individuals are trained in the inspection process and asked to provide inputs into the inspection reports for schools. They are used on a part-time basis as need arises in the inspection process, and their work is monitored by the inspectors. Under this project this model will be scaled up to enhance community supervision of schools and teachers through unannounced visits (34 districts).

29. The DLIs for this sub-component include: procurement of all training material and transport for DIS (Year 0); ICT-based system for real-time filing of inspection reports by District Inspection Officers in place (Year 1); and Number of schools in targeted districts where inspection reports were filed at least twice a year (Years 2 and 3)

### ***Component 2: Effective Schools (USD 45.8 million)***

30. The focus on teachers will be buttressed by improvements in the overall school environment – in the form of enhanced school management, accountability, and learning conditions. The complementary focus on schools is aimed at enabling improved teacher competencies to most effectively translate into improved education service delivery.

#### **2.1 Enhancing school leadership, management, and accountability (USD 2 million)**

31. This sub-component aims at strengthening school governance and results management. It will include the following activities:

- a) Head-teacher training: This training will be executed in the form of a comprehensive package designed to address the most critical gaps in head-teacher performance. The training package will include: (i) training on leadership, utilization of the UPE grant and school planning; (ii) training on HR management and payroll issues; (iii) training on school supervision/ internal school based assessment and evaluation; (iv) school learning outcomes and (v) for relevant schools, training on BRMS indicators, school grant application process, monitoring of construction etc. The training provider(s) will be contracted to carry out this training.
- b) Enhancing the effectiveness of School Management Committees: This activity will involve training and awareness program targeted at SMCs on: (i) planning for school development, including use of the UPE grant. (ii) preparing and managing budgets, (iii) monitoring teacher and pupil performance, (iv) school report cards (see below) and (iv) for targeted schools, basic technical training for carrying out supervision of construction activities under school facilities grants (see below). This will activity will also include phasing in of an ICT-based capacity development program (SMSs), coupled with regular provision of relevant written materials.

32. The DLIs for this sub-component include: finalization of training content (Year 0); number of schools where SMC members and Head-teachers have received training (Year 1), and impact of the training in terms of better and more transparent school management of the UPE grant by publicly posting the expenses and revenue of the schools (Year 2).

## **2.2 Providing needs-based performance linked school grants for basic school facilities (USD 43.8 million)**

33. This activity aims at enabling 290 well managed schools to meet prioritized basic requirements and minimum standards (BRMS) for quality learning.

34. This sub-component will be targeted at relatively well managed schools that fall below the minimum BRMS for learning environments. The minimum BRMS for safe and hygienic learning environments for primary schools constitute one permanent and furnished classroom block of 3 classrooms, a gender and disability friendly five-stance pit latrines, a water harvesting system, and an administration block with a library to enable effective execution of school duties by various duty bearers. Child friendly learning environments enhance student performance and completion of education especially for girls. Such environments have to be safe and hygienic, sensitive to the needs of girls.

35. *Selection process and criteria*

(i) Eligibility long list: All Government schools that have less than 3 permanent classrooms will be a part of the long list of eligible schools for SFG. These 962 schools located in 105 districts have been identified based on EMIS 2012 data and a school verification exercise.

(ii) Eligibility short list (effort-based): This long list of eligible schools will be visited by either the CCT, the inspectorate, or if desirable an independent firm to collect data on effort-based short-listing criteria. The visit will be unannounced. During these visits the following information will be collected:

a. Verification that the school meets the eligibility criteria:

- i. is a Government school
- ii. has less than 3 permanent classrooms,
- iii. More than 300 students, and
- iv. has valid proof of land ownership
- v. Head-teacher is hired and have reported at least 15 days in the previous 30 school days

b. Collection of effort data:

- i. The names of SMC members, whether Minutes of at least one SMC meeting for the last term are available, and existence of a school improvement plan.
- ii. Head teacher presence
- iii. Percentage of teachers (out of all permanent teachers in the school) present during the unannounced visits
- iv. Percentage of teachers that have a lesson plan or scheme of service (out of all the teachers present during the unannounced visit).

From the information collected, only verified eligible schools (those that meet the above four eligibility criteria) are maintain on the verified long list. The verified eligible schools will be ranked according above their level of effort following this formula:

<b>Effective SMC</b>	<b>Head teacher presence</b>	<b>Teacher presence</b>	<b>Teachers' preparedness</b>	<b>School and Teacher Effort score</b>
5 points for a list of names with the SMC members 10 additional points for a school improvement plan 10 additional points for minutes of a SMC meeting within the current or last term	Head teacher presence (0% or 100%) *0.25	Teacher presence in % *0.25	Percent of teachers present with a lesson plan *0.25	Sum of the four elements on a range from 0-100

(iii) Selection of schools from the long list will take place in two rounds.

- a. In the first round, one verified eligible school will be selected within each of the 105 districts. First, if there is one of these schools that is the only public school within the sub-county, then this school is selected. If there are several schools that are the only public school within the sub-county, then the school with the highest Effort score is selected. Second, the school with the best effort score within the district is selected. However, in all instance, all selected schools must meet an absolutely minimum level of efforts:
  - 50% teachers presence
  - Head teacher hired and present at least 15 days out the last 30 school days
  - Established School Management Committee with names of SMC members
- b. In the second round, the remaining estimated 188 school facility grants will be allocated. A share of the available grants will be allocated to each region of Uganda (Northern, Eastern, Western, and Central). The allocated share will be proportional to the region's share of verified eligible (needy) schools of the national total (962). Within each region, the verified eligible schools will be ranked according to the School and Teacher Effort score. The top scoring schools on the effort ranking will be selected until all School Facility Grants have been allocated for that region.

(iv) If there are less than 293 schools in the long list of verified eligible schools; then the entire list will receive the SFG, and the remaining funding will be freed up for other project activities.

43. *Communication and Monitoring*: There will be a three month period between the creation of the eligibility long list and the final selection of schools for SFG. This period will be used for a communication campaign to the long listed schools and districts to inform them about the effort-

based shortlisting criteria. During the three month period, school inspectors will visit the long-list of schools at least once and reinforce the effort-based shortlisting criteria.

### *SFG package*

44. The SFG package should enable a school to achieve the following:

- at least one furnished classroom per grade (P1-P7);
- two (2) gender and disability responsive 5-stance sanitation facilities;
- one 2-stance latrine for teachers
- a safe water source, which is expected to be two 5000 liter water tanks in most cases
- an administration block
- For schools in the HTR/HTS districts, the package will also include two teacher housing units, one 2-stance latrine, two kitchens, and one up to 5000 liter water tank

45. *Procurement and Contract Management Arrangements:* Procurement to be done by each beneficiary district following national competitive bidding and advertised at district level.

Further procurement arrangements are as follows:

- Engineering assistance will be hired and responsible for (a) support the districts in procuring the contractors; (b) supervision of works and take part in the certification.
- Contracts to be packaged at district level into sizable amounts, with the expectation that in the most cases, each district will have a single contractor for all schools in district rather than split them by school
- Funds to be released to districts in 2 tranches
- Involvement of SMCs in monitoring and certification of at least 2 key stages of work
- Disclosure of summary contract info on scope, duration and contract sum to allow monitoring by SMCs and civil society
- Independent /audit review of procurement and civil works quality as part of DLI verification

### *Issues addressed by this approach*

- Benefit from the quicker and more economic district procurement and contract management
- Management of costs by allowing contractors to quote by district rather than applying uniform rates across districts irrespective of individual district costs
- Independent supervision of works to increase bidder confidence at LG level, address risks of collusion with contractors at district level, and further strengthen quality of works
- Engineering assistance will beef up district capacity while also providing quick information provision at central level
- Engineering will assure stronger due diligence on selected contractors
- Single contractor at district level ensures a reasonable sized contract to attract well capacitated contractors

### *Making effective use of engineering supervisory capacity*

- Strong central level supervision by CMU after strengthening of CMU
- Clear performance targets will be designed for the MoES and supervisory engineers tied to demonstrated supervision visits
- Consideration of use of cellphone monitoring with website publishing of photos

*Key process steps and dates*

1. Sensitization of districts/local governments on the program –
2. Conduct data assessment of long listed schools –
3. Finalize designs and BoQ for the school facilities and prepare model bidding document December 2015
4. First tranche of funds released to districts - December 2015
5. LGs with support from CMU and SMC conduct procurement – January 2015
6. Civil works commencement – January 2016
7. Support to the supervision of school works by Engineering Assistants to reinforce the district engineering staff
8. Accountability for 1st tranche and release of 2nd tranche January 2016
9. Complete civil works – August 2017 latest

In all instances, procurement of civil works must have been completed and contracts signed and shared with MoES by December 31, 2015. This will substantially reduce the risk of no-completion of civil works by the closing date of the project. School Facility Grants for which the civil works contracts have not be signed and communicated by that date will be revoked.

36. *Implementation modality:* Disbursement of the school grant as well as implementation modalities will be consistent with the GPE School Facilities Grant Guidelines (SFG) for primary schools; under the overall supervision of district local governments. Standard MoES infrastructure designs and Bills of Quantity (BoQs) for respective facilities will be used. The revised SFG guidelines will be used to guide all operations of this sub-component. Lessons learnt from UPPET will be used to improve the effectiveness of implementation procedures for provision of primary school facilities. Safeguarding against weak contractors; enhancing school level supervision for quality and timely delivery by contractors; as well as ensuring consistency between specifications and BoQs prior to contracting processes. School level participation of SMCs and head-teachers in contract management will also be closely monitored.

37. The DLIs for this sub-component include: selection of construction sites (Year 0); procurement for construction concluded (Year 1); construction completed or contracts cancelled (Year 2); and quality control of completed construction undertaken (Year 3).

***Component 3: Implementation Support and Capacity Building (USD14.9 million)***

38. This component will finance advisory, technical, and capacity-building support in order to reach project objectives. It includes the following sub-components:

**3.1 ECD policy review and advocacy for improved enabling environment for the provision of quality early childhood education (USD 900,000 million)**

39. The objective of this sub-component is to enhance the enabling environment for quality ECE provision for improved school readiness for children aged 3-5 years.

A key challenge in mainstreaming and implementing ECD in Uganda is that key stakeholders are not sufficiently aware of what ECD is and its significance. One of the major gaps in attaining effective ECD outcomes is the need for a planned and systematic communication and advocacy effort to market ECD and to create the conditions for its acceptance and implementation in the country. To this end, GPE support will focus on preparing the foundation and policy environment to adequately meet existing gaps and increasing needs for early learning and to plan a potential scale up of the provision of quality ECE services.

40. The program will support the Ministry of Education and Sports to undertake the following:

- Review ECD policy (including the existing different models of delivery) and develop a costed implementation plan to harmonize experiences and competences among ECD practitioners and centers.
- Enhance capacities of national and district government staff and centre management committees (CMCs) to enable them effectively implement the revised ECD policy: guiding, supervising, monitoring and ensuring that basic requirements and minimum standards (BRMS) are maintained in the delivery of ECD services and programs.
- A planned and systematic communication and advocacy effort to market ECD and to create the conditions for its acceptance and implementation in the country.

### **3.2 Integrated ICT real-time school reporting, targeted beneficiary feedback, enhanced teacher supervision and inventory management system (USD 4 million)**

55. A critical part of this support is aimed at creating mechanisms for collecting real-time data on school functioning through mobile phones and display it in an integrated analyzed way both on the web as a single dashboard and in automated customized reports for district officials, ministry officials and development partners. This system will incorporate four sources of information: 1) real-time monitoring of school performance (EduTrac); 2) regular feedback from citizens (U-Report); (3) DES district inspectors enabled with smartphones; and 4) data from a District Grant Inventory System. The four sources of information will be triangulated to cross-verify each other and increase overall data accuracy. The information is intended to be used for monitoring and evaluation, management of the accountability of service delivery, and long term planning.

56. The integrated ICT real-time monitoring system will include four sources of information:

- **Real-time school reporting:** EduTrac will be supported to collect and analyze school performance data submitted by reporters in real-time. EduTrac is a mobile phone based, open-source, real-time data collection system. This data is submitted by head teachers, teachers or members of the School Management Committee and sent via SMS to the district office, where it populates a dashboard automatically. Because this system uses SMS, it can be used effectively in remote, rural areas. This activity includes the trainings of teachers, SMCs and districts and the provision of related telecom costs. UNICEF, to date, has rolled EduTrac out to 4,000 schools across 35 districts and this project intends to scale the system to the entire country within three years.
- **Citizen Feedback and Targeted Beneficiary Feedback:** Using U-Report, citizen feedback can be collected through engaging individuals in dialogue around subjects specific to Uganda- Teacher and School effectiveness project. U-Report uses mobile technology to amplify the voice of citizens and foster dialogue among themselves and

with parliamentarians on issues critical to their livelihoods. There are over 220,000 U-Reporters across Uganda who respond to a set of SMS polls or questions asking for information on specific issues, their experiences as well as opinions. The results are mapped at the district level, returned to the respondents, featured in traditional media sources like weekly television and radio shows and the newspaper, and shared with parliamentarians to inform their legislative work.

- **Improved ICT-Based Inspections:** School inspectors capture information in a standardized questionnaire on teacher, head-teacher, and student presence, teaching practices, school management and admin. The issue of insufficient and low quality inspections is noted in the ESSP as being an important factor in explaining low quality of primary education. This sub-component directly supports the ESSP strategy on addressing this gap. Smart phones running mobile applications will be used by inspectors to digitally replicate the survey forms. In year one, a digital system will be developed to integrate the data collected by the phones. This will move the inspectors from a paper based system to a digital one. This activity will include provision of necessary equipment (in the form of smart phones) and corresponding training to District Inspectors, District Education Officers, and relevant staff from District Education Standards. This activity will also be accomplished through: (a) increased frequency (at least twice a year inspections in all schools in targeted districts) of inspections in targeted districts, (b) more efficient information recording and dissemination, and (c) creation of effective feedback-loops with teachers and other stakeholders. This data can:
  - Reduce data entry errors and the time it takes to collect and analyze the data
  - Improve the effectiveness of inspectors by using images and geo-location (e.g. inspectors can record GPS coordinates of schools and take photos of the latrines)
  - Automatically compile and analyze information
  - Match M&E data and flag discrepancies
  - Enable paper/electronic reporting

Further, there is funding for improved integration of Data Management should needs, usage and capacity be present. The data collected from U-Report, EduTrac, and the school inspectors can be merged to provide district and federal government a platform for Integrated Data Management. The data could be both displayed as a web based dashboard and delivered as automated customized reports.

### **3.3 Support to Teacher Payroll and Information Management (USD 3.0 million):**

This sub-component aims to enhance teacher motivation and ensure salary payments goes to meritorious teachers only by supporting work to streamline management and transparency of the payroll process. These factors are viewed to have a significant effect on the promotion of a more positive and supportive professional environment for teachers.

Teacher pay in Uganda has become increasingly problematic as budget shortfalls have prevented pay raises throughout the sector. Compounding this issue is the fact that teacher salaries can be often delayed due to administrative inconsistencies and backlogs. Teachers can face delays in access to payroll and confirmation in post exceeds the expected 6 month period. At the school level, head teachers do not always have key tools for staff management such as updated school-

level payroll information, whereas possession of such information could significantly ease staff management and ensure only meritorious teachers are paid.

Technical assistance in the form of consultancies, workshops, training, capacity building and limited goods will be undertaken to:

- a. Teacher mapping: In order to generate a uniform accounting of teachers in the country by school and district, the project will finance a representative independent verification process of the current information in MoPS payroll system and staff lists generated at school level by the Head Teacher.
- b. Identify causes of delayed access to payroll based on dialogue with responsible players at district levels.
- c. Identify option for enhance information dissemination on teacher payroll right through to the school level for improved school level accountability.
- d. Following discussion on the above options with stakeholders, a further set of project activities will be agreed upon and implemented. This could for instance include improving the workflow and access of information between schools and district headquarters to central government level and improving the capacity of the District Service Commissions, Human Resources officers, and Head Teachers in the effective management and use of this information.

41. This sub-component could also support consultancies or initiatives to increase teacher motivation through enhanced implementation of an ongoing program (Scheme of Service (SoS)) that promotes high-performing teachers.

### **3.4 Support to M&E for project monitoring** (USD 3.77 million)

To enable effective execution of the M&E function for the project, support including consultancies, equipment, operational costs, will be provided to undertake M&E activities for the project and the sector This specifically encompasses consultancies for independent verification of results (DLIs) and M&E through unannounced school visits. This includes support to UNEB for undertaking the student assessments and strengthening UNEB's capacity.

### **3.5 Technical assistance and operational costs for implementation of project activities** (USD 2.21 million)

42. A number of project activities will require technical expertise to complement the MoES capacity, notable of which are: (a) the design of the early grade maths/numeracy module including appropriate instructional materials; and (b) implementation support for the Scheme of Service. This will also include Technical assistance for supporting implementation of school facility grants with special focus on supervision of the district based procurement and school level activities for compliance with procedures and established standards. This will financing additional consultants needed for project implementation, associated goods and operational costs.

### **3.6 Technical assistance for generating ESSP for the next cycle** (USD 1.0 million)

43. The project will support the development of the next cycle of the ESSP 2016-2020 that will be coordinated by the Education Planning Department.



## **Annex 4: Implementation Arrangements**

### **UGANDA Teacher and School Effectiveness Project**

#### **Project Institutional and Implementation Arrangements**

1. Project implementation will be mainstreamed in the Ministry of Education and Sports (MoES) and local governments using existing institutional establishments consistent with the decentralised governance system for Uganda that governs primary education service delivery.

#### *Project administration mechanisms*

##### **National level**

2. The overall responsibility for project implementation lies with the Permanent Secretary, who also oversees all technical heads of departments. The Planning unit will coordinate all Project activities on a daily basis. The MoES shall maintain a fully operational implementation team, with functions and responsibilities agreed with the Bank, including, inter alia, the responsibility of to coordinate and monitor the carrying out of the Project. The implementation team shall: (i) at all times during Project implementation, be led by a Project Coordinator and a Deputy Project Coordinator that are assisted by focal points for each project activity from the relevant MoES units and from other relevant Ministries as well as adequate professional and administrative staff (including procurement, financial management, and civil work specialists) operating under terms of reference satisfactory to the Bank; and (ii) not be frequently replaced during implementation.

3. Relevant directorates and departments under the MoES will be responsible for specific project sub-components consistent with the statutory provisions that prescribe their mandates, notably:

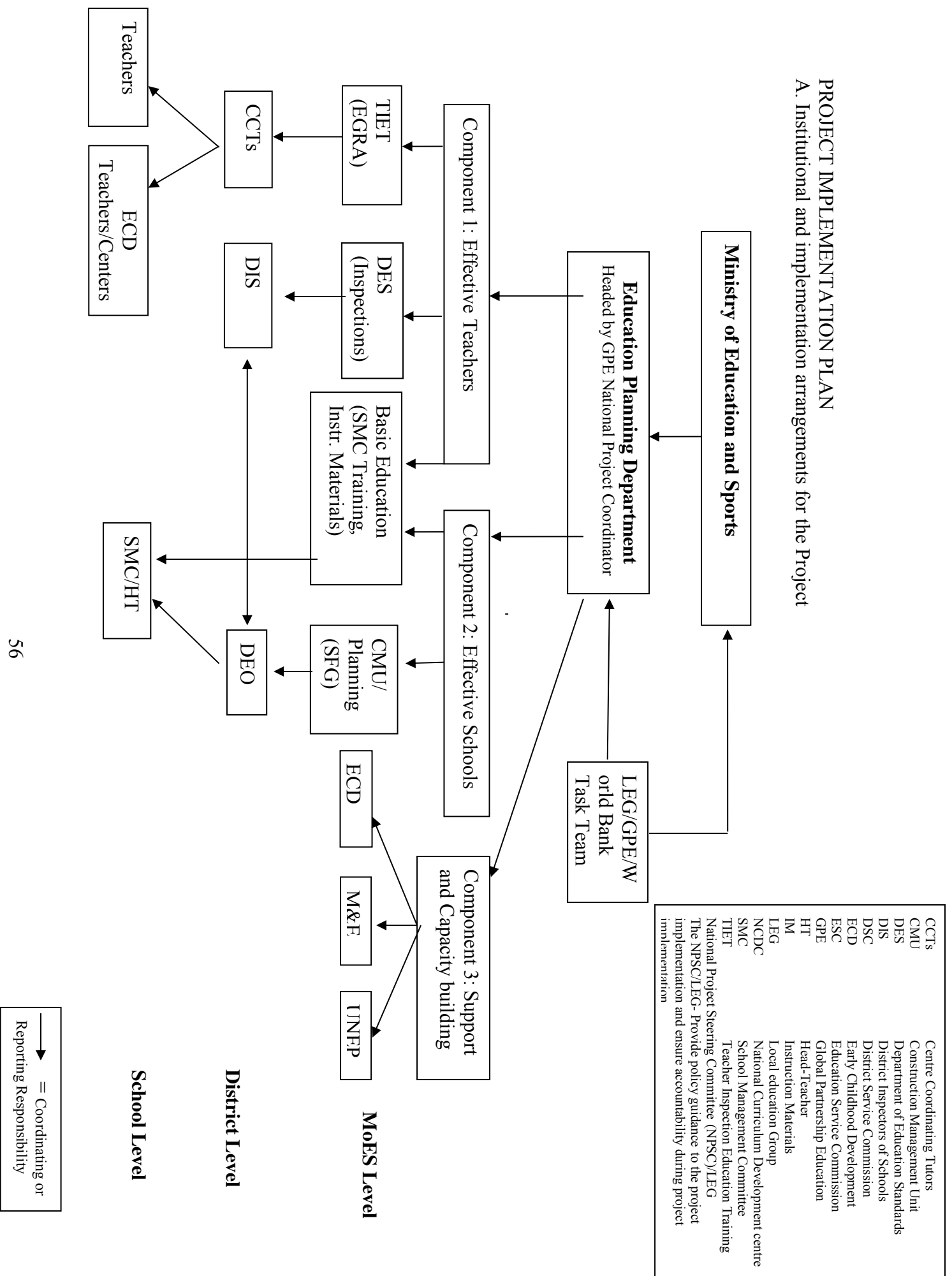
- *The primary and pre-primary department will implement:*
  - Guide and oversee the implementation of the Early Grade Reading program consistent with existing implementation arrangements. The implementation will be assisted by technical assistance financed by the USAID, and currently led by RTI, a technical assistance firm.
  - Implement the instructional material procurement, provision, and distribution sub-component through its Instructional Material unit.
  - Implement the School Management and head-teacher training building upon delivery models by development partners and civil society with assistance from the Directorate of Education Standards.
  - Carry out the policy review, policy studies, and evaluation of the Early Childhood Education activities through the ECE unit
  - Undertake development of the early grade mathematics module under Component 3.

- *The Teacher and Instructor Education Training department* will coordinate all in-service teacher support efforts provided through the Coordinating Center Tutors' (CCT) framework; and maintain collaboration with the pre-primary and primary education department for effective implementation of the EGR program. In addition, they will implement the teachers' continuous assessment and Certification for Teacher Education Proficiency (C-TEP) initiatives and lead the remapping exercise for CCTs all of which are targeted at improving the teacher development and support system. TIET will also be responsible for training of the ECE instructors under Component 1 in coordination with DES and NCDC.
  - *The Directorate of Education Standards (DES)* will guide and coordinate the scaling up of school inspection, which will primarily be undertaken by the District Inspectorates of Standards (DIS). The Integrated Data Management Platform will also be run out of the DES team due to its focus on improving management and accountability within the primary school system. The platform will be run by a team of people consisting of a program manager, regional coordinators, data analysts and IT support. The servers and IT support will sit within the IT Division of the MoES.
  - *The Education planning department* will implement the following:
    - Coordinate, support and monitor the implementation of the School Facility Grant in partnership with the Construction Management Unit (CMU). These programs will be implemented primarily by the District Local Governments in collaboration with the School Management Committees.
    - Overall implementation of Component 3 of the project through the Project Coordination Team.
    - Maintain close collaboration with all implementing departments to ensure timely planning and adequate resourcing of project interventions through the work plans.
    - Timely initiation of assessments to measure progress made against the agreed DLIs and project results in line with the results framework.
4. Further, support and facilitation from MoFPED and from MoPS will be important for overall implementation as well as timely and well managed flow of funds; and facilitation of the technical assistance for the teacher pay-roll system, respectively.
5. The 2010 institutional capacity assessment for the education sector indicates a vacancy rate of about 30 percent in the departments highlighted above in comparison to the revised and approved education sector establishment of 2009. The situation has not changed to date coupled with relatively high staff turnovers due to transfers to other sectors and retirement. Drawing from lessons learnt with ongoing development partner supported projects, capacity challenges will be mitigated against by extending technical assistance to especially the education planning department that houses the project coordination function, the pre-primary and primary education

department that coordinates most of the project activities and the Construction Management Unit to enable timely planning and implementation of project activities. Six positions have identified as critical and the hiring of these is a necessity for the project implementation team to be complete which is an effectiveness condition.

# PROJECT IMPLEMENTATION PLAN

## A. Institutional and implementation arrangements for the Project



## Sub-national level

6. District level. The delivery of primary education is decentralized with overall implementation of programs devolved to the district local governments under the overall management of the District Chairpersons (political head) and Chief Administrative Officers (technical head). Specific to education, the District Education Officer (DEO) manages the district directorate of education, and directly reports to the CAO. The DEO will coordinate the activities of the following organs involved in project implementation:

- *The District Inspectorate of Standards (DIS)*. The district inspectorate division constituted by district inspectors of schools will be charged with the day to day inspection of schools including training and deployment of the associate assessors to support the scaling-up of inspection in schools. The guidelines and standards used are set by the DES at the national level.
- *District Engineering Departments*. The departments oversee the civil works in schools that will be undertaken under the school grants sub-component with support from the Engineering Assistants hired directly by the MoES. Infrastructural designs and technical specifications used are developed by the MoES, and closely monitored by the CMU to ensure adherence.
- *District Procurement Units*. The units will take charge of contracting processes for the firms that will undertake the civil works in schools under the school grants sub-component, consistent with the School Facilities Grant (SFG) guidelines for primary schools.
- *District Human Resource Management Units – formally known as Personnel Officers* will be consulted as part of the technical assistance on the teacher pay-roll system.

## 7. Primary Teacher Training Colleges and Centre-Coordinating Levels

- *PTC tutors*. Teacher training will be undertaken by a national Team of Trainers (ToTs) constituted by tutors (pre-service and in-service) tutors drawn from Core Primary Teacher Training colleges.
- *In-service tutors also known as Centre Coordinating Tutors (CCTs)*. The CCTs will provide teacher training as well as mentoring and requisite teacher support to teachers of lower primary and transition grade from the schools that will be selected consistent with the EGRA implementation model.

8. All CCTs will report to their respective PTC- Deputy Principals Outreach (DPOs); and all PTCs report directly to the Commissioner TIET at the national level.

## 9. School level

- School Management Committees (SMCs) and Head-teachers will help oversee the performance of district contracted construction firms in schools, as well as the delivery of instructional materials.
- Monitor teacher improvements in attendance and instructional practices in the classroom.

## Financial Management, Disbursements and Procurement

### *Financial Management*

10. The operation will use the country financial management system for planning and budgeting, accounting and financial reporting, treasury management and flow of funds are internal controls, including internal audit. At the central government level, the Permanent Secretary will be the overall accounting officer to oversee all activities of the program assisted by the Under Secretary while the day-to-day financial management functions will be led by the head of accounts, in this case the Assistant Commissioner Accounts.

11. Since the program is targeting selected Primary Schools in the local governments across the country having aspects of civil works, the Bank had earlier carried out a diagnostic study to evaluate the three approaches to execute civil works, i.e., at central level MoES, District level and School level. The assessment evaluated the capacity and cost effectiveness at these levels and concluded that, though it was less costly at school level, there was little capacity to execute such works. It was more costly to execute works centrally using the MoES' CMU. Arrangements for the Project are that construction will be managed at the Local Government (LG) level in collaboration with School Management Committees (SMC). The District Chief Administrative Officer (CAO) will be the accounting officer at that level. This implementation modality is being used by government to mitigate risks of capacity and accountability at school level.

12. Funds flow arrangements between the World Bank, Ministry of Finance, MoES, Central Bank and to LGs are in place as per government systems and satisfactory for most programs.

13. The Ministry is currently implementing a USD150 million IDA project with a large civil works component which has given them good exposure to World Bank requirements. Implementation of this project has a number of challenges relating to fiduciary compliance at school level and more effective monitoring at the ministry level. These lessons learnt have informed the identification of risks and design of mitigation measures to ensure effective program implementation.

14. **Central Government:** Central Government transfers account for over 90 percent of local government budgets. The performance of the PFM system at the Central Government is therefore of critical importance to Local Governments. Progress in Public Financial Management in Uganda over the last decade has been mixed. Uganda has had a successful implementation of the Integrated Financial Management Systems (IFMIS) at the Central Government level; and has also completed successful pilots to use the IFMIS system for Local Government in 2012/13, but it still suffers from government weaknesses in financial management. That being said, the quality of Annual Accounts has improved. A locally developed budget preparation and reporting tool – Output Budgeting Tool – has been rolled out to all spending units; the National Audit Office has been provided with legislative and financial autonomy and is currently one of the strongest in Africa. Internal audit and procurement is improving and the Oversight Committees of Parliament are active and relatively effective. The independent Program audit is envisaged, tailored to the needs of the Program.

15. **Some of the key risks and challenges** that currently exist at the national and LG level are the following:

16. **Budget Execution:** There has been a decline in budget execution over the last few years. In FY 11 and FY12, the budget was subjected to many supplementary requests which amounted to over 27 percent of the total approved budget. Development partners and Civil Society organizations felt that the significant size and composition of recent years' supplementaries point to an erosion in the quality of planning, budgeting and accountability processes.

17. **Compliance with Administrative Rules and Regulations:** A major challenge to the PFM system in the country is the culture of impunity and weak compliance with rules and regulations. A study by MoFPED in 2011 came to the conclusion that "the Public Finance and Accountability Act (PFAA) 2003 and the Public Procurement and Disposal of Public Assets Acts 2003 / Local Government PPDA regulations 2006 were the most flouted laws at all levels of government. The type of PFM violations varied markedly between sectors with the most common being flouting of accounting procedures followed by irregular procurement practices; improper budgeting and implementation; false accounting and embezzlement respectively. It was also noted that despite the efforts to take action on recommendations against PFM violations, there were no mechanisms to stop recurrence. This was possibly the biggest challenge facing the PFM reforms". The findings of MoFPEDs study are concurred by repeated observations in both Internal Audit and External Audit reports that there is little follow up action taken on audit findings.

18. **Cash releases:** Even within the approved budget envelop, spending units find it increasingly challenging to receive cash releases on time. Recurrent spending is particularly affected by this. First there is under budgeting for recurrent items and then there are significantly lower releases for recurrent expenditures. The share of recurrent budgets not released has increased from 3.3 percent to almost 13 percent over a six year period. In 2011, MoFPED introduced increased accountability for release of funds through signing of performance contracts with Accounting Officers and with requiring spending units to submit physical and financial accountability reports (Form A and Form B) before new quarterly releases are made. A recent MoFPED analysis has documented that the proportion of releases being made in the first month of each quarter has fallen, while the proportion of the final month has increased.

19. **Staffing:** There is inadequate funding for staff positions in LG's – but there is also the challenge of the relatively low level of pay for critical skills needed. It is a serious matter of concern that around half of the positions of Chief Administrative Officers are vacant in districts as well as 43 percent of positions of Chief Finance Officers and 51 percent positions of Principal Internal Auditors. In most LG and the municipalities half the positions of Municipal Engineers are empty along with 50 percent of Principal Education Officer. The overall assessed FM risk rating is therefore, Substantial.

20. Despite these challenges, there are improvements in PFM in Uganda as documented in audit findings as well as through the initiative to introduce a new Public Finance Act that has provisions designed to address some current weaknesses such as the increase in supplementary budgets and through limiting reallocations between votes. At the Central Government level, the number of entities with a clean audit opinion increased from 40 percent to almost 60 percent in the last three years, and at the local government level the increase was from 26 percent to 45 percent.

21. **Project funds flow** – The Project funds will flow from the Treasury to the MoES and the LGs. Disbursement can take place on a semi-annual or annual basis, dependent upon the

frequency of the independent verification of DLIs. The Government's SFG and LGMSD programs currently use funds flow mechanisms to disburse funds to all LGs nationally and the Program will use these channels which have been well established over the years.

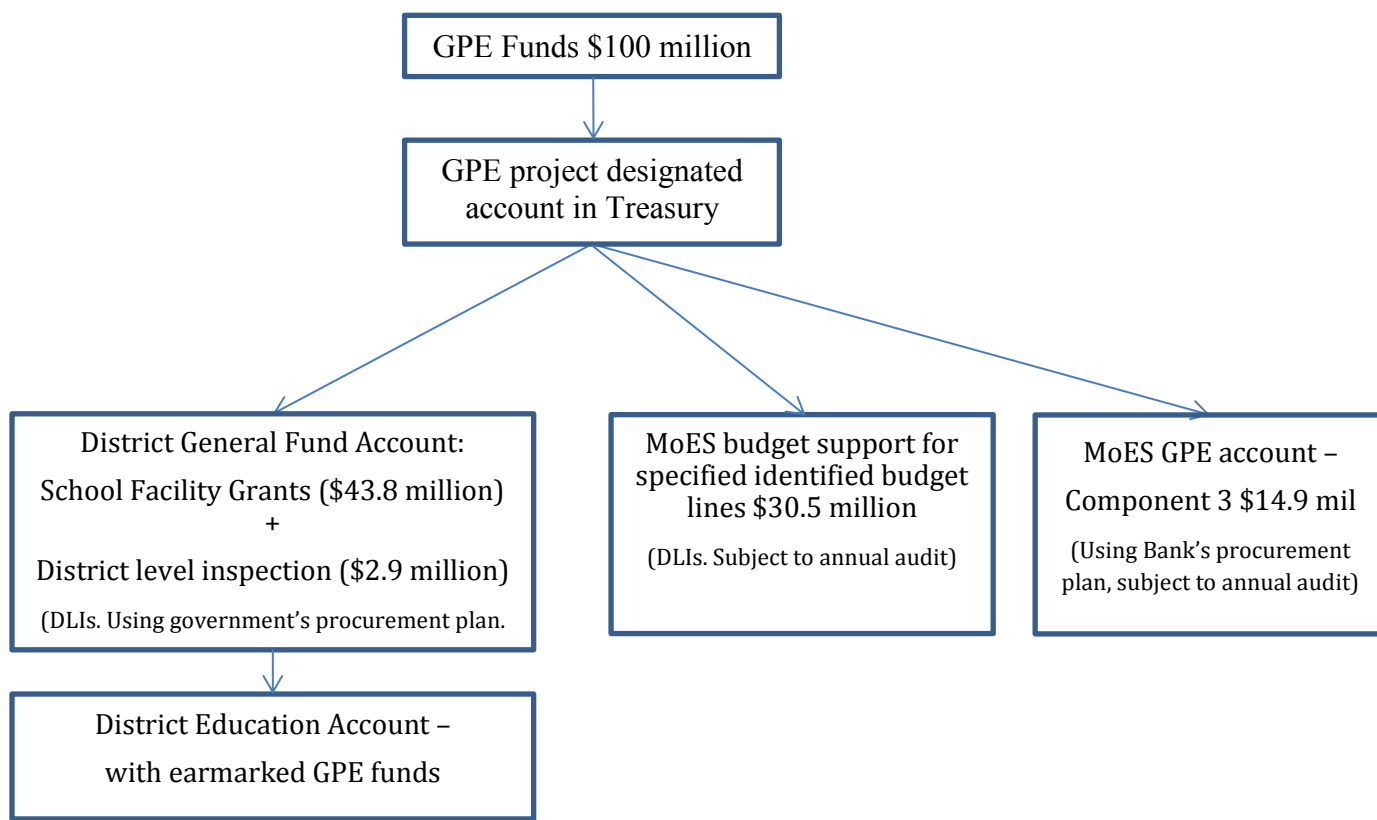
22. Once the Sectoral Steering Committee, in this case the Education Sector Consultative Committee (ESCC) has verified the assessment results by an independent assessment and the amounts to be disbursed for each of the DLIs determined, the World Bank will be notified. Once the Bank is satisfied, the total amount linked to each of the DLIs will be disbursed from the Bank to the GoU Treasury on the dollar account in the central Bank (Bank of Uganda - BoU) in a single tranche. The funds will be disbursed from the BoU to the selected LGs implementing the program on an annual or a bi-annual basis, on the advice of the MoES, as under the current government SFG program using the current funds flow mechanism which are well established under the government inter-government fiscal transfer system. The Treasury will also release funds related to project activities for the MoES. The following summarizes the steps to be followed for disbursing funds under the Program:

- i. Step 1 – assessment by an independent team and calculation of Program amounts for each DLIs, except for the initial advance disbursement to MoES to help provide funds for the government to achieve a first DLI value or disbursements not linked to any indicator (for Component 3).
- ii. Step 2 – verification by the ESCC of the assessment results and the DLIs amounts
- iii. Step 3 – PS/MoES through MoFPED, request for disbursement of funds from WB based on the verified assessments results, DLIs amount, and the Eligible Expenditure Program report.
- iv. Step 4 – the World Bank transfers funds to GoU Treasury dollar accounts in BoU and notifies the client through client connection.
- v. PS/MoES writes to the Accountant General, MoFPED (i) attaching a schedule requesting for transfers to each District/LGs based on their respective scores in each of the DLIs.
- vi. Step 5 – The Accountant General Office, MoFPED issues electronic telegraphic transfer (ETF) to BoU with a copy to MoES directing the BoU to transfer money from the GoU consolidated UGX account to (i) each District/LG general account in a commercial Bank, (ii) MoES for project activities that are centrally implemented, and (iii) MoES expenditure account under component 3.
- vii. Step 6 – each District/ LG transfers Program funds from its general account to dedicated Project account as under the current government SFG program.

23. **The funds flow chart below summarizes how Program funds will flow from IDA to GoU and then District LGs.** The GPE funds would follow a results-based financing modality with designated account at the Ministry of Finance. This would work as follows:

- There are a set of DLIs for each year of the project; starting with Year 0 (2014) - preparatory activities.
- At effectiveness – Year 0 (around November 1, 2014) amounts will be transferred to the Treasury in a designated GPE account.
- For every 6 months, the World Bank will disburse to the Government GPE designated account upon: (i) fulfillment of respective DLIs - independently certified; and (ii) fulfillment of its obligation/eligibility; and (iii) evidence of the eligible expenditure program.





24. **Audits:** Ministry and LG internal auditors will be relied on in their work regarding internal control reviews while external financial audits and value for money audits will be carried out by the Supreme Audit Institution – Office of the Auditor General (OAG) as mandated by the law. The results of these audits could form part of the annual performance assessments to inform DLIs.

25. **Disbursement Linked Indicators.** The disbursements for Component 1 and 2 of the Project are conditional on the achievement of agreed program implementation performance and progress targets that are presented in Table 2 in Annex 1. These are identified as Disbursement Linked Indicators (DLIs).

26. **Retroactive disbursement until the amount of USD 3 million will be available for expenditures undertaken under Component 3.**

27. **Advances for results to be achieved and eligible expenditures will be available as per agreement between the Bank and the government as a function of clearly demonstrated needs for advances during implementation.** In order to enable the Government of Uganda to fully and adequately fund the budget needs of the education program given cash flow constraints, Notably, an advance for contracting of construction companies will be necessary for the districts, and similarly an advance for the contracting of publishing companies will be required for the instructional material provision. This is standard for these procurement contracts. Actual

expenditures against the advance so made will be documented in the first Interim Financial Report to be submitted by the GoU upon effectiveness.

28. **Eligible Expenditure Program.** Under Component 1 and 2, the Bank will finance, up to a capped amount and subject to any deductions equivalent to the price of unmet DLIs, particular expenditures which are a part of the project's budget of eligible activities. These expenditures are clearly identifiable in GoU financial management information system and are referred to as Eligible Expenditure Programs. Following a sector-support program principle, the Bank/GPE funds would not be separately tracked and the Bank will accommodate withdrawal applications from the Grant as long as the overall expenditures eligible under the EEPs are more than or equal to the amount to be withdrawn from the Grant, and fiduciary oversight of the funding is acceptable to the Bank. However, unless otherwise agreed, not more than 70 percent of the amount to be disbursed will be applied against reimbursement of expenditures in the EEP for employee-related expenses and the remaining 30 percent will be applied against total expenditures in the rest of the EEPs so that the disbursements are not all applied towards salaries. This will only be applied when expenditures for the School Facility Grant and the Instructional material will start to be incurred, expected around mid-term review due to the time necessary to undertake procurement and make the first deliverables on construction and textbooks.

29. The expenditure mechanism satisfies Bank policy and in particular the three pillars in OP 6.00, namely, (a) the expenditures are productive and necessary for the success of the sector program; (b) they contribute to solutions within a fiscally sustainable framework; and (c) acceptable oversight arrangements are in place.

30. A brief description of EEPs under the Project is provided below.

*(i) School Facility Grant*

*Type:* Recurrent Budget

*Vote and Vote Function:* Vote 500 Vote Function 07 81 80-83

*Description.* School Facility Grant

*Oversight.* The grants are transferred directly to a LG special account for the SFG. Funds are spent in accordance with SFG guidelines for FM and procurement which have been agreed with the Bank.

*(ii) Eligible expenditures for Instructional Material*

*Type.* Recurrent Budget

*Vote and Vote Function:* Vote 13 Vote Functioning 07 01 02

*Description.* Instructional Material for Primary education

*(iii) Employee related expenses of primary and secondary education subfunctions of all district governments*

*Type:* Recurrent Budget

*Vote and Vote Function:*

*Description:* Pay and allowances for district and provincial employees of the School Education Department.

*Oversight:* Salaries are subject to overall payroll controls which are considered adequate with the implementation of the project’s technical assistance and financial management activities, including a teacher mapping exercise. Personnel records are maintained at the Ministry of Public Service

*Procurement*

31. As part of the project, Government of Uganda is expected to invest: (i) \$14 million for provision of instructional materials under Component 1, and (ii) \$41 million for construction of school facilities under Component 2. These have been defined as part of the Eligible Expenditure Program. Further, \$16 million from Component 3 will finance technical assistance. Only the procurement under Component 3, the instructional materials, and the school facilities construction procurement will be conducted in accordance with Bank guidelines.

32. The procurement under the grant will be conducted by the following agencies

Procurement	Responsible Agency
Instructional materials (USD 14.8 million)	Ministry of Education and Sports
Construction of School Facilities in up to 290 schools (USD43.8 million) that do not meet the basic minimum standards for quality service delivery.	The respective Local Governments except where they are deemed not to have functional capacity in procurement and contract management <sup>16</sup>
Technical Assistance (USD11.8 million)	Ministry of Education and Sports

Use of National Procurement Procedures

33. For the EEP and Component 3, all contracts procured at the national level following National Competitive Bidding (NCB) and other lower procurement procedures such as Shopping, may follow the national public procurement law (the Procurement and Disposal of Public Assets Authority (PPDA) Act, 2003) and attendant regulations. **These procedures have been reviewed by the Bank and found to be acceptable, except for the following provisions, which will not be applicable under this project:**

- (i) Application of Domestic Preference under NCB. Domestic Preference shall only be applied under ICB.
- (ii) Charging of fees for dealing with bidder complaints at procuring entity level. The procuring entities shall not be allowed to charge fees for dealing with complaints.
- (iii) Selection of Consultants: The procedures for Selection of Consultants under the PPDA Act shall not apply. Only the Bank’s guidelines shall apply for selection of all Consultants under the project.

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<sup>16</sup> Defined to include at least a Contracts Committee, at least 1 procurement officer and at least one graduate engineer

- (iv) Disqualification of Bidders for not purchasing the bidding documents from the Government shall not apply.
- (v) Ineligibility shall in addition to firms suspended by PPDA extend to firms debarred or suspended by IDA.
- (vi) Paragraph 6 (1) (b) of the 4th schedule of the Act restricting contract amendments to an aggregate amount of 25% of the original contract amount.
- (vii) Regulation 48 requiring the rejection of a bid submitted by a bidder obtained the bidding document directly from the procuring and disposing entity shall not apply.
- (viii) Regulation 53 (9) Restricting the use of bid securing declarations to restricted domestic bidding and quotations procurement. The declaration may also applied for National Competitive Bidding.

36. Under the proposed project, procurement processing under the project shall also in addition to the World Bank guidelines comply with the national approval system except where the two conflict, that is when the World Bank Guidelines will take precedence. Specifically, the Contracts Committees shall perform their oversight functions at every key procurement stage as required by the PPDA Act, and contracts shall be subjected to the Solicitor General's clearance where applicable.

37. ***Procedure for Shopping:*** Shopping shall follow the Request for Quotation (RFQ) procedures as defined in the PPDA Act and attendant regulations. These procedures have been reviewed by the Bank and found to be satisfactory subject to the exceptions under para above.

### **Arrangements for Procurement of Contractors for School Facilities Construction**

38. Procurement of contractors shall be conducted by the respective LGs in which they are located. The procurement shall follow National Competitive Bidding procedures and overall implementation shall be guided by the School Facilities Grant (SFG) Guidelines. The guidelines shall be revised to address recent implementation challenges. The following arrangement shall specifically apply in procurement of contractors and supervision of construction

- Procurement within a district shall be aggregated to the extent possible to ensure cost effectiveness and attract competent contractors to participate. In this regard there shall be only 1 lot for all schools within the district expect where the contract amount is estimated to be too large to attract the expected caliber of contractors
- Standard Bidding Documents and designs and BoQ shall be prepared by the Ministry and subjected to IDA review in one package before being customized for the respective districts.
- A joint invitation for bids shall be published by the Ministry across districts. Bids shall be received and opened in the respective schools.

- Bids shall be evaluated by a District evaluation team but including at least 1 Ministry member preferably an Engineer
- Supervision (including certification of payment) shall be done jointly by the Districts and the Ministry. .

**39. Procurement Thresholds to be applied in the Procurement Plan**

<b>Expenditure Category</b>	<b>Contract Value Threshold (US\$)</b>	<b>Procurement Method</b>	<b>Contracts Subject to Prior Review (US\$ )</b>
1. Works	US\$5,000,000 and above	ICB	All contracts
	Below US\$5,000,000	NCB	As specified in PP
	Below US\$100,000	Shopping	None
2. Goods	US\$ 500,000 and above	ICB	All contracts
	Below US\$500,000	NCB	As specified in PP
	Below US\$50,000	Shopping	None
3. Consulting Services <sup>17</sup> and Training	With firms above US\$300,000	Quality and Cost Based Selection	All contracts
	With individuals above US\$100,000	Individual	All Contracts
	With firms up to US\$200,000	Qualifications/Other	None
	With Individuals up to US\$100,000	Individual	None
4. Non-consulting Services	US\$500,000 and above	ICB	All contracts
	Below US\$500,000	NCB	As specified in PP
	Below US\$50,000	Shopping	None
5. All types of contracts	All contracts	Sole source / direct contracting and terms of reference	As specified in PP <sup>18</sup>

**Procurement Plan and Procurement Packages**

A procurement plan has been prepared and is available on the project file, A summary covering contracts subject to international competition is indicated below

**Goods and Works**

<sup>17</sup> A shortlist of consultants for services estimated to cost less than US\$300,000 equivalent per contract may consist entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

<sup>18</sup> Consultancy services estimated to cost below US\$5,000 equivalent will not be subject to prior review by the Bank subject to their inclusion in the agreed Procurement Plan.

<b>Contract Description</b>	<b>Estimated Amount in US \$</b>	<b>Procurement Method</b>	<b>Prior or Post Review</b>	<b>Bid Closing-Opening</b>	<b>Date Contract Award</b>	<b>Inspection Final Acceptance of goods</b>
printing of learner primers and teachers guides for EGR for P1 and P2 in clusters 1, 2 and 3	1,921,624.61	ICB	Prior	08-Dec-2014	05-Feb-2015	06-Nov-2015
printing of learner primers and teachers guides for EGR for P2, P3 and P4 in Clusters 1, 2 and 3	1,080,224.15	ICB	Prior	24-Mar-2015	22-May-2015	20-Feb-2016
Print of Non- textbook materials for P1 and P2 curriculum materials (Curr, TGs and TRBs) Lot 1 and printing of TIET modules for 45 PTCs Lot 2	509,245.50	ICB	Prior	08-Dec-2014	05-Feb-2015	06-Nov-2015
Procurement of Textbooks and Teachers' Guides: Lot 1: Mathematics P1-P7 and Lot 2: English P1-P7	10,297,727.84	ICB	Prior	12-Oct-2014	07-Jan-2015	07-Dec-2015
Procurement of Disability Friendly Materials (hearing assistive devices)	900,193.15	ICB	Prior	12-Oct-2014	07-Jan-2015	10-Jul-2015
Design supply and installation of Inspection information system	928,000.00	ICB	Prior	22-Oct-2014	20-Dec-2014	22-Jul-2015
185 motor bikes for TIET, DES and CMU	1,054,500.00	ICB	Prior	24-Mar-2015	22-May-2015	22-Nov-2015
Solar powered computer systems for PTCs and CCs (laptops, speakers, video camera, web- camera, projector screen, solar panel and batteries)	509,803.92	ICB	Prior	24-Mar-2015	22-May-2015	22-Nov-2015

<b>Consultants</b>						
<b>Description*</b>	<b>Selection Method</b>	<b>Estimated Amount in US\$</b>	<b>Prior/ Post Review</b>	<b>Submission/ Opening Date</b>	<b>Contract Award</b>	<b>Final Report</b>
Training of 4,000 school administrators Lot 1: Central, Lot 2: Eastern, Lot 3: Northern and Lot 4: Western	QCBS	740,000.00	Prior	27-May-2015	23-Sep-2015	18-May-2016
Training of 10,000 SMC members Lot 1: Central, Lot 2: Eastern, Lot 3: Northern and Lot 4: Western	QCBS	1,000,000.00	Prior	27-May-2015	23-Sep-2015	18-May-2016
Hire of independent firm to carry out bi-annual assessments for the project for the 3 years under PCU	QCBS	294,117.66	Prior	26-Apr-2015	23-Aug-2015	17-Apr-2016

Development of SBD and Guidelines for procurement of Instructional Materials	CQS	60,000.00	Prior	31-Oct-2014	29-Jan-2015	27-May-2015
Review of the existing and development of new Education Sector Strategic Plan	QCBS	400,000.00	Prior	26-Apr-2015	23-Aug-2015	17-Apr-2016

## Procurement Risks and mitigation measures

### *Ministry of Education and Sports*

40. The MoES has a long established Procurement and Disposal Unit (PDU) which is responsible for all procurement activities. While some capacity has been built over the years, this capacity has been eroded by the transfer of all procurement staff as part of the 3 year rotation. There are major delays in procurement and overall weak contract administration including major payment delays resulting in delayed or incomplete delivery and high costs. A summary of the key risks and mitigation measures is indicated below

### **Ministry of Education and Sports**

<b>Risk Factor</b>	<b>Risk</b>	<b>Mitigation Measure</b>	<b>Timing and Responsibility for Implementation</b>
<i>Internal Manuals and Clarity of the Procurement Process</i>	Insufficient practical experience among the procurement Unit and the Contracts Committees leading to delays or wrong implementation  Inadequate arrangements and packaging of procurement for instructional materials (IM) leading to high costs	Prepare manual to elaborate procurement arrangements as part of project preparation as a condition of project effectiveness  Organize mentorship or training programs to build confidence and skills in procurement  Project to support the development of manual and standard bidding documents for the procurement of IMs	Prior to Effectiveness / MoES  Within 6 months of effectiveness / WB
<i>Staffing</i>	Insufficient staffing within the Ministry to handle the Ministry and Project Procurement and insufficient skills and experience in IDA procurement leading to delayed implementation and poor procurement outcomes	Hire Procurement Specialist with experience and Skills in IDA procurement	Prior to Effectiveness / MoES
<i>Procurement Planning and Procurement Oversight</i>	Inadequate oversight on procurement and monitoring of progress against plan leading to delayed procurement and implementation	Conduct 6 monthly internal audit of (i) timeliness of procurement, (ii) timeliness of delivery, (iii) Quality of goods delivered and (iv) timeliness of payment. Audit to be done and reported on at least 6 monthly as a covenant in agreement. Thereafter	MoES Internal Audit / Every 6 months

<b>Risk Factor</b>	<b>Risk</b>	<b>Mitigation Measure</b>	<b>Timing and Responsibility for Implementation</b>
		monitor implementation of recommendations	
<i>Procurement Cycle Management</i>	Insufficient technical staff to support procurement leading to poor quality bidding documents, providers and contract management	Hire additional staff especially within the CMU (at least 4 Engineering staff) to augment Ministry capacity.	Prior to Effectiveness / MoES
<i>Contract Management and Administration</i>	<p>Delays in project or increase in claims due to slow contract implementation</p> <p>Delayed payments to providers leading to high costs and slow implementation</p> <p>Substandard goods or works, loss of benefits, shortened project life</p> <p>Poor management of performance and advance guarantees leading to weak mitigation measures for government</p> <p>Substandard goods and works due to Inadequate verification of delivery and adherence to standards and weak beneficiary involvement</p>	<p>Strengthen contract management and reporting schemes with PDU responsible for reporting on overall progress on contract implementation and recommending measures to address delays including (i) enforcement of penalties for delays, (ii) better management and enforcement of securities, (iii) timely payments</p> <p>Hire sufficient technical staff to support contract administration</p> <p>Partner with non-state actors to monitor delivery of instructional materials and construction of schools while providing sufficient information for monitoring of delivery.</p> <p>Conduct independent verification of works and instructional materials as part of DLI monitoring using an independent firm with terms of reference and qualification satisfactory to IDA</p>	Within 6 months of effectiveness and throughout implementation/ MoES
<i>Governance, Fraud and Corruption</i>	Falsification of bidder qualifications and bank guarantees leading to hiring of unqualified contractors	Due diligence to be conducted on veracity bidder qualifications prior to contract award. Also verify guarantees prior to release of funds	Through Implementation / MoES

### **District Local Governments**

<b>Risk Factor</b>	<b>Risk</b>	<b>Mitigation Measure</b>	<b>Timing and Responsibility for Implementation</b>
<i>Internal Manuals and Clarity of the Procurement Process</i>	Insufficient guidance on the procurement arrangements	<p>SFG Manual to be prepared to guide procurement and contract management</p> <p>Organize training and sensitization programs to build confidence and skills in procurement for the core participating district staff</p>	<p>Prior to Effectiveness / MoES</p> <p>Prior to commencement of procurement (January 2015) / MoES</p>



<b>Risk Factor</b>	<b>Risk</b>	<b>Mitigation Measure</b>	<b>Timing and Responsibility for Implementation</b>
<i>Oversight</i>	Inadequate audit of procurement b PPDA due to limited coverage	MoES shall hire consultants with ToR satisfactory to the IDA to conduct joint FM and Procurement at midterm and end of project	Mid Term and End of project
<i>Staffing</i>	Insufficient staffing within the Local Governments to support procurement and contract administration	Ministry to support procurement and supervision of works in the districts through Ministry Engineers and Engineering Assistants and to do joint works certification with LGs	Throughout implementation / MoES
<i>Procurement Cycle Management</i>	Inadequate advertising leading to a low bidder response  Alteration of pre-disclosed bid evaluation criteria during the evaluation	Ministry to run a central advert ensuring disclosure of adequate information. District Contracts Committees to be sensitized to check for adherence to criteria	Prior to commencement of procurement / MoES
<i>Contract Management and Administration</i>	Delays in project or increase in claims due to slow contract implementation  Delayed payments and inadequate supervision leading to high costs and slow implementation Substandard goods or works, loss of benefits, shortened project life	MoES to support LGs in management of contracts	Throughout implementation
<i>Governance, Fraud and Corruption</i>	Falsification of bidder qualifications and bank guarantees leading to hiring of unqualified contractors  Substandard goods and works due to Inadequate verification of delivery and adherence to standards  Lack of bidder confidence leading to low participation and high costs	Due diligence to be conducted on veracity bidder qualifications prior to contract award. Also verify guarantees prior to release of funds  Collaborate with non-state actors like the Uganda Contracts Monitoring Coalition to monitor procurement and contract management  Disclosure of Best Evaluated bidder notice on the noticeboard and the PPDA Tender portal to specify reasons for not selecting bidder  MoES to conduct road shows with Contractors Associations to build bidder confidence in the transparency of the process	Through Implementation / LGs  Prior to contract award  Prior to commencement of LG procurement

### **Frequency of procurement supervision**

**Supervision / Implementation Support  
Frequency:**

6 months

<b>Post Review Frequency:</b>	12 months
<b>Post Review %:</b>	20% of contracts

***Environmental and Social (including safeguards)***

41. Key Environmental Impacts. The project is envisaged to take place in selected public primary schools, where construction and rehabilitation of classrooms and sanitation facilities will be done. The civil works activities have potential to generate localized, site-specific environmental impacts. Environmental impacts associated with such civil works are encountered mostly during construction and very few during operation phase. During construction, the generic impacts may include among others dust and noise pollution, occupational safety of workers and the nearby members of the public, construction waste management, and so on. The impacts will be managed through provision of safety gear to all workers, minimization of dust by water sprinkling and regulating traffic at the construction site and neighboring establishments. The construction sites will be cordoned off to avoid access by the pupils and non-construction staff. The schools to be selected are in rural areas and the sanitation facilities to be constructed are pit latrines which will not require use of water. Provision of improved sanitation facilities in schools is expected to have a positive impact on improved health status of pupils and teachers resulting from proper disposal of faecal matter and reduced pollution of water sources through indiscriminate disposal of human waste. However, when the pit latrines get full, they will be emptied using cesspool emptier and the sewage taken to the nearest sewage treatment plant operated by National Water and Sewerage Corporation (NWSC) for treatment and disposal. The classrooms to be rehabilitated or constructed will provide conducive working and learning environment to teachers and pupils. After construction, all the construction debris will be removed from the sites and disposed of in accordance with guidance which will be provided ESMPs.

Environmental Safeguard Policies triggered and Safeguard instruments used

42. Because of the localized, predictable/known and readily mitigateable impacts, the project was assigned Environmental Category B. The following environmental safeguard policies were triggered:

- a. **Environmental Assessment OP/BP 4.01** is triggered because the project will support civil works activities with a potential to generate localized, site-specific environmental impacts. In order to comprehensively address and guide implementation of environmental and social aspects of the project, the Uganda Post Primary Education and Training (UPPET) project Environmental and Social Management Framework (ESMF) was adopted, revised by Ministry of Education and Sports and applied to this project. The adoption and revision of the UPPET ESMF for use in this project was largely consultative involving wide-stakeholder groups that included Ministry of Education and Sports, Ministry of Lands Housing and Urban Development, District Education Officers, District Engineers. The consultations also involved conduct of the GPE validation workshops in November 2012 and May 2013 and these involved government ministries, NGOs, CSOs, DPs and the World Bank.

The ESMF has identified environmental impacts generic to the proposed project developments and suggested environmental screening process to be followed during project development, prior to implementation. The ESMF has also provided a framework for development of ESMPs where necessary, including monitoring and reporting formats. Grievance handling mechanism has been provided in the ESMF and this will be included in the Project Implementation Manual (PIM). A chance finds procedure has also been included in the ESMF.

Upon confirmation of the project locations, the sub projects will be grouped by district and respective sets of site specific environmental assessments undertaken and project briefs prepared by the MoES. ESMPs will be developed under each project brief to guide site implementation of mitigation measures. Mechanisms for implementation of the safeguard requirements shall be included in the PIM and project financing agreements. Specific Management measures of the waste generated during construction and operation will be provided in the ESMPs.

- b. **Physical Cultural Resources OP/BP 4.11:** This is triggered because the project will support investments in civil works and may affect physical cultural resources during earthworks and associated excavations. In order to take care of any physical and cultural resource that may be found during the civil works, the project ESMF has included chance finds procedure and management. The respective ESIA's to be undertaken (compilation of Project Briefs & ESMPs) will include site specific PCRs investigation, assessment and management.

*Social (including Safeguards)*

43. The project is expected to have significant positive social impact especially lifting up long-term educational standards. The project targets to raise quality of basic minimum standards in schools including improving the learning environment in selected beneficiary schools, the majority of which are rural based including schools from vulnerable indigenous Peoples communities. The project will undertake low scale and limited civil works on classrooms, and pit-latrines in selected existing public primary schools, with limited possibilities of land acquisition/ displacement of land use. The project will also cause a concentration and presence of some construction workers at construction sites. The sites drawn from the 450 national public list of schools will be selected using agreed scientific criteria informed by infrastructure needs assessments that have been undertaken by the Ministry of Education and Sports; but also cautious of regional balance for equity. The project thus has a built-in selection criterion for final beneficiary schools for screening land ownership and use prior to the implementation and start of any constructions works.

44. **The project triggered OP 4.12 Involuntary Resettlement** because of the envisaged limited displacement of land use due to construction classrooms, and pit-latrines in existing public schools. There will be no land acquisition because schools without proof of land ownership will not be supported by the project. The design of this project was informed by: a) experience/guidelines of the School facility Grant (SFG) implementation model under which funds are channeled and construction is implemented through district structures; and b) lessons and experiences learnt from the implementation performance of the social safeguards under the World Bank funded to Uganda Post Primary Education and Training (UPPET) Project. The

UPPET resettlement policy framework (RPF) was reviewed and adapted to guide the implementation of this project.

45. Conclusions from the UPPET RPF review: The review of the project RPF is informed by the following lessons/conclusions from the performance of the implementation of the previous related project under MoES: (a) The MoES' implementation and reporting on UPPET RPF including basic screening of the projects before commencement of civil works was weak. No Resettlement Action Plans (RAPs) were prepared and no guided compensations were made according to the RPF in a few schools where involuntary displacement of land uses and livelihoods occurred. The schools resolved the compensation issues through informal community mechanism; (b) The implementation of GPE Teacher Effectiveness project will follow the school facilities grant (SFG) approach, whose implementation is by District Local government institutions and the School Management Committees (SMCs). This will require a structured chain of capacity to be developed (from MoES, the District Education Department, District Works Department as well as the SMC) to comply with implementing the RPF and other social issues identified; (c) The MoES as well as the Local Governments have capacity gaps to facilitate effective implementation of the Bank's social safeguard policies including involuntary resettlement policy (OP 4.12), and (d) That the failure to identify and appropriately deal with the land acquisition issues according to the Bank recognized system through application of the RPF under UPPET, MoES did not get the opportunity to experience the development of specific sub-project RAPs and using the recommended grievance redress mechanisms.

46. Key review recommendations: (i) through the financing agreement, it is MoES' legal commitment to adhere to the implementation of social safeguard requirements of the project. Social screening of each construction sub-project will be undertaken and documented prior to commencement of any civil works, and appropriately prepare RAPs where relevant; (ii) For effective implementation, monitoring and reporting of social issues including inequality gaps of regions/districts with schools below BRMS for schools infrastructure, with possible land use displacement, the MoES will require a designated staff or hired consultant on a retainer basis at the Ministry Headquarters to coordinate the implementation, monitoring and reporting. At Local Governments, MoES will involve relevant structures such as the District Education Officer, District Inspector of Schools and District Engineer in close collaboration with Community Development Officer and SMC in conformity with the SFG approach. These social safeguard focal persons from the relevant structures including the SMCs will require sensitization and on-job training in appreciating and implementation of the involuntary land displacement issues according the Bank policy OP 4.12 on Involuntary Resettlement.

47. The RPF specifies the process of preparing, reviewing, approving and implementing the subsequent Resettlement Action Plans (RAPs) before relevant civil works are initiated. Although the project aims at existing schools, during implementation for the project activities, should resettlement issues be identified, appropriate RAPs will be prepared in consultation with the affected individuals and communities to address specific impacts, proposed mitigation measures and compensation issues. This will be in line with selection criteria for beneficiary institutions and schools under component 2 (school effectiveness). Preparation and implementation of the RAPs will be based on the laws of Uganda and the World Bank policy OP/BP 4.12). Other social impacts resulting from construction of classrooms, and teacher's

houses have be addressed through the environmental and social management framework (ESMF).

48. The project triggered the **social safeguard policy OP 4.10 Indigenous Peoples**. The project is covering areas inhabited by the Ik in Kaabong District in Karamoja region and Batwa in 4 districts South Western Uganda; namely Kasese, Kisoro, Bundibugyo and Kanungu The total potential priority schools identified in the project are 28; with the following allocations: Kasese (2 potential schools); Kisoro (2 potential schools); Bundibugyo (6 schools) and Kanungu (16 schools), an Kaabong (2 schools).

49. A social assessment undertaken in the districts of Kaabong for the Ik and in Kasese, Kisoro, Bundibugyo and Kanungu districts for Batwa confirmed their existence. i) **Ik in Karamoja region**: Two schools were potential priority schools. However, district visits and consultations indicated that the Ik were only resident in Kamion subcounty but not Lolelia Sub-county, thus living only one priority school - Timu Primary School in Kamion subcounty. Further information established that Timu Primary school was a '**community**' school but not a **government/public** school as reported in the education management information system. This implied the school cannot be on the priority school as the project will only focus on public schools, disqualifying Timu Primary school by selection criteria. There, project will not affect school/community for the Ik of Karamoja region. ii) **The Batwa of south-western Uganda**: The Batwa are found in all the four districts and have potential priority schools identified by the MoE - Kasese (2 potential schools); Kisoro (2 potential schools); Bundibugyo (6 schools) and Kanungu (16 schools), with the biggest number being under Kanungu District. Results from the social assessment was integrated in the design of the project to ensure that the project avoids any potential adverse effects on the community and to ensure that any feasible effects are minimized or/and mitigated. The screening and social assessment was undertaken through an informed and consultative process, with full respect of the rights and cultures of the IPs people and other community stakeholders.

50. An indigenous People's Planning Framework (IPPF) based on the SA was prepared, consulted upon and disclosed before project appraisal. The IPPF sets out the measures that the government will ensure the IPs will receive culturally appropriate social benefits and any adverse effects are avoided, minimized, mitigated or/and are integrated in GPE project. Community empowerment tools will be specifically tailored to reach and impact the IPs in line with the action plans defined.

51. **Gender Mainstreaming**: The social assessment recognized the project's broader focus in addressing binding constraints to raising quality and standards to students' numeracy and literacy achievement as measured by their performance across of genders. However, the assessment recommends that the project will pay attention to peculiar gender based challenges contributing to low standards and quality of girls rather than boys in schools related to teachers including regional imbalances, hard to reach and post conflict areas in order to contribute to sustainable improvement. The challenges included: 1) Poor learner readiness for primary resulting from; a) gender disparity in numbers of male and female teachers in schools on a regional basis that has serious implications on enrolment and success of the girl children, b) poor performance of girls across all regions; c) high dropout rates of girls due to the sexual and gender based violence (even within schools). It is recommended that the project will encourage female role models in schools to promote pass rates for females; promote benefiting districts to take affirmative action to address gender imbalance in recruitment and training as well as

interventions to reduce absenteeism. 2) Low teacher effectiveness of female teachers due to: a) less time for in-service training; b) denial for maternity leave; c) inadequate training and qualifications as well as low job satisfaction for female teachers. It is recommended that the project promotes fair and equal distribution of teacher responsibilities in schools. 3) Weak school management manifesting in low representation of women on the committees and school/education related gender issues not articulated in SMCs. An assessment of the school management committees will be reviewed with the intention to improve representation of the women as well as promote training of SMCs on gender issues in the school setting. 4) The female teacher suffer more low teacher motivation because they are paid less due to less qualification, many do not have leadership positions in schools, less upgrading /in-service opportunities and poor school work environment including no accommodation. The project will support teacher houses including improving design and quality of accommodation in the selected schools which may resolve this challenge; and promote equal and fair distribution of responsibilities.

52. The arrangements for implementation and monitoring the resettlement and compensation activities (where applicable) will fit in the overall monitoring program (including the school selection criteria) of GPE, which will fall under the overall responsibility of the Construction Management Unit (CMU) of MoES in coordination with Social Development Consultant (to be recruited) and District Education Departments under the responsibility of the District Works Department (District Engineer). Periodical evaluations will be made to establish which schools were associated with displacement of land use and livelihood in order to determine whether project affected persons (PAPs) have been compensated and any grievances settled according to the grievance mechanism provided.

53. Successful implementation of the RPF, IPPF and ESMF will rely on the following: a) MoES designating a personnel /recruiting a social development consultant to work in close collaboration with District Education Department to ensure that the RPF, IPPF and ESMF are fully owned, activities are screened and appraised adequately; b) Regular monitoring and reporting on the track performance of activities (even when there have been no triggers in schools). The designated staff/social development consultant will provide technical advice on the social management and mitigation planning to ensure that the RPF and social aspects within the ESMF are fully implemented and reported upon. The GPE project will also provide necessary capacity building for the designated personnel in order for the staff to expand knowledge and understanding on resettlement issues within the Ministry and line implementing District departments.

54. Summary of Safeguard Policies Trigger Status

<b>Safeguard Policies</b>	<b>Explanation</b>
Environmental Assessment OP/BP 4.01	<p>OP/BP 4.01 is triggered because the project will support civil works activities, including earthworks, excavation, and provision of sanitation facilities.</p> <p>Compliance has been ensured through the ESMF and site specific ESIA's where need arises, and the chance finds procedure.</p>

	ESMPs will be developed to guide site implementation of mitigation measures. Mechanisms for implementation of the safeguard instruments shall be included in the PIM and project financing agreements.
Natural Habitats OP/BP 4.04	OP 4.04 is not triggered because the project will not support any work on natural habitats.
Forests OP/BP 4.36	OP 4.36 is not triggered because the project will not affect the management of forests and neither will it support forest logging operations.
Pest Management OP 4.09	OP 4.09 is not triggered because the project will not involve use of pesticides.
Physical Cultural Resources OP/BP 4.11	<p>OP 4.11 is triggered because project investments involve civil works and may affect physical cultural resources through the earthworks and excavations.</p> <p>Compliance will be ensured through the ESMF and site specific ESIA's where necessary and the chance finds procedure. The respective ESIA's that may be undertaken (compilation of Project Briefs &amp; ESMPs) will include PCRs investigation, assessment and management.</p>
Indigenous Peoples OP/BP 4.10	OP 4.10 is triggered because the priority schools identified fall with the IP inhabited areas of Ik in Karamoja region and Batwa and South Western region of Uganda. A screening and social assessment confirmed the existence of IPs the districts of project operation, namely Kaabong, Kisoro, Kasese, Bundibugyo and Kanungu, with a total of pre-selected 20 priority schools in the five districts. An IPPF was prepared to guide the subsequent development and implementation of Indigenous Peoples Plans (IPPs) during project implementation.
Involuntary Resettlement OP/BP 4.12	<p>OP 4.12 is triggered because the project has potential to cause displacement of land uses without resulting to physical relocation due to limited civil works for construction of classrooms, teachers' houses and latrines in already existing public primary schools.</p> <p>The PAD sets out that final selection of the schools to benefit will be based on agreed scientific criteria informed by infrastructure needs assessments that have been undertaken by the Ministry of Education and Sports.</p> <p>Compliance will be ensured through the Resettlement Policy framework (RPF) and site specific Resettlement Action Plans (RAPs). A Resettlement Policy Framework (RPF) used under</p>

	UPPET project was adopted, revised and applied to this project. The RPF specifies the process of preparing, reviewing, approving and implementing the subsequent Resettlement Plans (RAPs) before relevant civil works are initiated.
Safety of Dams OP/BP 4.37	OP 4.37 is not triggered because the project will not support or depend on dams.
Projects on International Waterways OP/BP 7.50	OP 7.50 is not triggered because the project will not affect any international waters.
Projects in Disputed Areas OP/BP 7.60	OP 7.60 is not triggered because the project will not be implemented in disputed areas.

55. All the structures to be constructed and/or rehabilitated shall follow standard construction norms, including gender and disability requirements.

#### **Disclosure of Safeguard Instruments**

56. The ESMF and RPF has been approved and disclosed in September 2013 both in-country and at Info shop. After confirmation of project sites selected, where necessary ESIA's and ARAPs will be prepared before any construction works begin and disclosed both in-country and at infoShop. In the event that ESMPs suffice as determined through the screening process provided in the ESMF, independent ESIA's will not be undertaken.

#### **Capacity for Safeguards Implementation**

57. Ministry of Education and Sports (MoES) will take lead in the implementation of the safeguard requirements of the project, and will be assisted by the relevant District Local Governments. At the MoES, an Engineer in the Construction Management Unit (CMU) has been assigned to oversee implementation of environmental land use displacement aspects. The safeguards capacity of the MoES is recommended to be reinforced and strengthened through involvement of the respective District Environment Officers, District Engineers and District Community Development Officers, who will specifically undertake environmental screening and participate in the development and implementation of the EMPs, including reporting. The District Level staff will be expected to submit progress reports to CMU who in turn will compile the environmental and social progress reports and submit them to the Project Coordination Unit. This however, calls for very good coordination and involvement of the district officers, who in most cases are not well facilitated resource-wise to undertake day to day work. In order to strengthen the capacity of CMU and/or any other unit designated for additional management of social safeguards, an Environmental/Social Development Consultant shall be hired on a retainer basis. The basic functions will include preparation of Environmental and Social Management Plans (ESMPs), RAPs, IPPs, monitoring and reporting implementation of environmental and social aspects. In addition the Environmental/ Social development consultant will undertake capacity building of relevant safeguard designated staff of MoES Planning Unit, CMU, Districts, SMCs and communities on implementation of the environmental and social aspects. In addition, monitoring exercises will also involve School Management Committees, whose capacity shall be developed by CMU, District staff and the hired consultants.



58. As earlier indicated, Town/Municipal or District Environmental Officers have requisite training and expertise to undertake necessary monitoring without added technical capacity enhancement. For social safeguards, Community development Officers social knowledge would be enhanced to support the implementation and monitoring of social issues including the RPF and IPPF. Financial facilitation would however be necessary for their effective participation. However, a better understanding and appreciation of safeguard requirements may need to be enhanced through discussion of modalities for implementation of the project ESMF, RPF and IPPF. The project will provide necessary training to the environmental and social personnel.

59. The Civil Works Supervising Engineers will be required to have Environmental and Social Development Specialists to ensure implementation of environmental and social aspects during construction. The Consultant(s) will report to the CMU.

60. The Environmental and Social Development Specialists of the Bank will undertake Implementation Support Supervision and provide guidance where necessary.

61. **Safeguards in Legal Documents:** The government's commitment to implement the provisions of the safeguards instruments (ESMF and RPF with the resultant ESIA's or ESMPs and ARAPs) are included as specific obligations in the project legal documents.

### *Monitoring & Evaluation*

49. **There are three major general monitoring systems that will yield information on PDO, intermediate, and higher-order indicators.** These systems are the (i) student and teacher assessments conducted by UNEB, (ii) data from school inspections, (iii) data from EMIS. These will be supplemented by data from unannounced school visits collected by the M&E unit and/or UNEB as a part of project-specific monitoring.

50. **UNEB** administers student assessments to Grades P3 and P6 in English and Mathematics, in a nationally representative sub-sample of schools. These are referred to as the National Assessment of Progress in Education (NAPE). Discussions are underway to include targeted GPE schools as a part of the NAPE sample during project duration. Results from these assessments will provide data on the higher order objective of the project – improvements in student learning outcomes. In addition, discussions are underway to leverage existing UNEB assessments to provide additional information on teacher competency and pedagogical practices. These additional monitoring activities will be supported through TA and DLIs.

51. **School inspections** are carried out monthly and capture information in a standardized questionnaire on teacher, head-teacher, and student presence, teaching practices, school management and administration of key activities. Design of questionnaires and data collection modalities for school inspection are being strengthened under the project. Specifically, frequency of inspections and provision of real-time inspection data to DEOs, schools, and other stakeholders is being facilitated under the project, in part through ICT-based platforms. These data will feed directly into the project M&E and provide information on several intermediate indicators.

52. **EMIS data** has traditionally been collected annually in Uganda through a school census. However, pilots are underway to support the collection of real-time school-level data directly

from head-teachers, teachers, and SMC members. To the extent possible, the project will leverage promising, ongoing initiatives that provide real-time data on school functioning through mobile phones (such as Edutrac or other initiatives). MoES and the Bank team will consult with partners to identify the most effective available tool – with a proven track-record – and that follows global standards and best practices for interoperability and sharing data across systems that can be scaled up during the project duration and become a sustainable system-wide M&E tool. This scaled-up data collection system will also be used as a source of M&E information for the project. Feedback loops and harmonization will be emphasized to link the M&E of the project with EMIS indicators and planning data used by MoES.

53. **Teacher effectiveness indicators** will be collected using unannounced checks and classroom-observations in a statistically representative random sub-sample of schools targeted by the program. Frequency of checks is expected to be once every two terms. Data collection protocol, instruments, and timetable will be designed under the leadership of the M&E unit in MoES and UNEB. Actual data collection will be undertaken by trained enumerators from UNEB.<sup>19</sup>

54. The project will also have its own dedicated monitoring system, which would provide more detailed information for assessing project implementation progress and performance. This dedicated monitoring system will function primarily through systematic unannounced school visits for targeted schools and serve as the source of information on subprogram implementation progress and performance monitoring indicators, including relevant DLIs. These unannounced checks will be undertaken in a statistically representative random sub-sample of schools targeted by the program. Data collection protocol, instruments, and timetable will be designed under the leadership of the M&E unit in MoES. Actual data collection will be undertaken by trained enumerators from the M&E unit.<sup>20</sup> Frequency of checks is expected to be once every two terms.

55. **Possibilities of triangulating direct beneficiary feedback with M&E data are being explored** (possibly using the UReport platform as validation for M&E data). Potential indicators that can be validated through this platform are identified in the Results Framework (Annex 1). Under the project TA, specific steps will be undertaken to assess data issues - with respect to coverage, regularity, reliability, use, and dissemination of the data - and address them.

56. **Third-party assessments:** Implementation progress and performance of selected subprograms will be assessed through reviews, validations, and process and impact evaluations conducted by third parties contracted by the project, financed by TA, and with technical and advisory support from the Bank and other development partners. Reflecting their importance, several third-party assessments are embedded into the DLIs (see Annex 1) and their satisfactory execution and completion would also be assessed as part of the overall assessment of the achievement of the relevant DLIs.

### *Role of Partners*

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<sup>19</sup> TA includes provision for instrument creation, pre-test, and training for classroom observations. Customized modules will be created (based on international standards, adapted to local conditions and specific in-service training provided under the program) and experience from similar undertakings in other countries will be leveraged.

<sup>20</sup> TA includes provision for instrument creation, pre-test, and training for classroom observations. Customized modules will be created (based on international standards, adapted to local conditions and specific in-service training provided under the program) and experience from similar undertakings in other countries will be leveraged.

<i>Agency</i>	<i>Institution/Country</i>	<i>Role</i>
GPE Coordination Agency (CA)	Irish Aid (currently)	<ul style="list-style-type: none"> <li>• Facilitating communication</li> <li>• Fostering a strong local education group</li> <li>• Coordinating the appraisal and endorsement of the education plan</li> <li>• Coordinating applications to the Global Partnership for Education Fund</li> <li>• Facilitating monitoring and evaluation:</li> <li>• Facilitating general reporting to the GPE about education sector progress</li> <li>• Reapplying for GPE support</li> <li>• Informing the Secretariat regarding changes in government contacts</li> <li>• Facilitating and informing regarding changes to the CA</li> </ul>
USAID	<i>Development partner</i>	Provide the financial support for its contractor and supervision
RTI	<i>Contractor to USAID</i>	Technical support towards training of tutors and supervision of teacher training to support scale up
UNICEF	<i>Development partner</i>	<ul style="list-style-type: none"> <li>• Technical support &amp; supervision of the ICT based school data collection system/Edutrac</li> <li>• Technical support to ECD through TA and regular monitoring of progress</li> </ul>
European Union (EU)	<i>Development partner</i>	Undertaking validation exercises of budget allocations to education sector

## Costing Plan

	PAD	Cost	MoES Lead Dept
<b>Component 1: Effective Teachers</b>			
<b>Sub-Component 1.1: Improving Teacher Competencies</b>			
<b>Sub-component 1.1.1: Provision of in-service training for tutors and teachers at early grades</b>			
	Mapping of selected languages	7,000	<b>Basic Education</b>
	Teacher training	4,100,000	
	Early Grade Reading Assessment (EGRA)	1,690,000	
	Monitoring and Support Supervision	933,000	
	Remapping CCs	250,000	
	Provision of necessary logistical support to center coordinating tutors (CCTs) based on clearly identified need.	560,000	<b>TIET</b>
	Instructional materials and Equipment to CCs and PTCs	520,000	
	Capacity Building for TIET	100,000	
	Development of implementation strategy for the continuous assessment program for teacher trainees	300,000	
	Scale-up the Teacher Education Proficiency (C-TEP) course for tutors including materials printing and training.	1,820,000	
	Conduct NAPE amongst in-service teachers and second year trainees exiting teacher training colleges.	1,360,000	<b>UNEB</b>
	<b>Sub Total</b>	<b>11,640,000</b>	
<b>Sub-component 1.1.2: Improving competencies of early childhood education (ECE) instructors for improved pupil readiness for primary</b>			
	Roll-out the Community Child Care Program (CCCP) for community ECD providers.	1,610,000	<b>Basic Education</b>
	Technical Assistance for preparedness of Early Childhood Education (ECE) tutors/caregivers' proficiency program	180,000	
	Reviewing and printing training materials for use in the ECE training programs.	270,000	
	<b>Sub Total</b>	<b>2,060,000</b>	
	<b>Component 1.1 sub-total</b>	<b>13,700,000</b>	
<b>Sub-component 1.2: Providing equipment and instructional materials</b>			
	Print and distribute early grade literacy materials to support the scale-up of the EGR model in the implementing districts only (English and local language primers as well as teacher guides).	400,000	<b>IMU</b>
	Procure and distribute instructional materials (non-textbook for grades 1-3 and textbook for grades 4-7) with special focus on the pre-qualified literacy and numeracy materials for primary school pupils (primary 1 to 7); as well as teacher reference materials.	10,500,000	
	EGR materials printing, packaging, and distribution	3,000,000	
	Procure and distribute disability friendly learning equipment & materials	900,000	
	<b>Sub Total</b>	<b>14,800,000</b>	

<b>Sub-component 1.3: Enhancing teacher supervision</b>			
	Aligning and Printing thematic inspection guidelines and training manual	565,000	<b>DES</b>
	Provision of transport for inspections	640,000	
	Train DISs/MISs and DEOs on school based assessment, evaluation and education quality improvements	715,000	
	Support scale up of the Associate Assessors inspection model.	780,000	
	Training of stakeholders on internal evaluations	160,000	
	<b>Sub Total</b>	<b>2,900,000</b>	
<b>Component 1</b>		<b>31,400,000</b>	

<b>Component 2: Effective Schools</b>			
<b>2.1. Enhancing school leadership, management and accountability</b>			
	Scale-up ongoing head-teacher leadership training models	2,000,000	<b>Basic Education</b>
	SMC training		
	<b>Sub Total</b>	<b>2,000,000</b>	
<b>2.2. Enhancing realization of basic requirements and minimum standards for quality education</b>			
	Communication strategy and awareness raising of district and beneficiary school management teams& disbursement of grants to beneficiary schools	125,000	<b>EPD</b>
	Pre-constructions site visits, preparing bid docs	170,000	
	Support for Infrastructure development in beneficiary schools	42,880,000	<b>District Local Gov'ts</b>
	Monitoring by Districts Engg, Engg Assis, consultants, and HQ staff	625,000	
	<b>Sub Total</b>	<b>43,800,000</b>	
<b>Component 2: Effective Schools</b>		<b>45,800,000</b>	

<b>Component 3: Implementation Support &amp; Capacity Building (Technical Assistance)</b>			
<b>3.1. Implementation support on ECD policy review</b>			
	Conduct technical studies: Evaluation of ECD policy implementation including existing models & P1 baseline study.	160,000	<b>Basic Education</b>
	Conduct consultative meetings for consensus building to guide ECD policy review process at both national and regional levels	385,000	
	Documentation of revised: (a) ECD policy and operational standards; (b) ECE learning framework; (c) Basic requirements and minimum standards; (d) development of costed action plan for ECD policy and operational standards.	355,000	
	<b>Sub Total</b>	<b>900,000</b>	
<b>3.2 Technical Assistance for ICT</b>			
	Scale up of the ongoing Edutrac initiative	1,115,000	<b>DES</b>
	Software Development	925,000	
	Provide ICT based equipment to support data capture (smart phones); hardware and services	1,400,000	
	Project Management and Consultants	365,000	
	Training of inspectors	185,000	

	<b>Sub Total</b>	<b>3,990,000</b>	
<b>3.3. Support Teacher Payroll</b>			
	Technical Assistance for teacher mapping and pay roll management system	760,000	<b>MoPS/MoESHR</b>
	Develop and disseminate guidelines on recruitment and deployment	60,000	
	Monitoring implementation	80,000	
	Activities to improve teacher pay-roll and management	2,140,000	
	<b>Sub Total</b>	<b>3,040,000</b>	
<b>3.4. Capacity building for monitoring and evaluation &amp; assessment</b>			
	Strengthening UNEB undertake quality competency based assessments	885,000	<b>UNEB</b>
	NAPE 3, 6 assessment	1,300,000	
	Conducting a Impact Evaluation (mid-term and final) of the GPE Project(including procurement of consultant)	256,000	<b>Planning</b>
	Skills capacity enhancement and training of M&E staff on specialized M&E Skills including gender analysis (phased over the three years)	30,000	
	Quarterly monitoring of the implementation of GPE project output activities consistent with agreed results framework (a total of 12 exercise in three years)	300,000	
	Retooling of the M&E Section (Administrative and logistical support including equipment i.e audience response systems, electronic survey tools, laptops, digital cameras, office equip)	96,000	
	M&E- Independent verifications	600,000	
	M&E-Procurement audits	300,000	
	<b>Sub Total</b>	<b>3,767,000</b>	
<b>3.5 Technical assistance for the design and implementation of project activities including capacity development.</b>			
	<b>Public awareness of GPE interventions</b>	<b>400,000</b>	
	<b>Annual GPE stakeholders workshops to review activity performance results by Independent Verification firms and MoES</b>	<b>240,000</b>	
	<b>Recruitment and salary for 12 staff</b>	<b>1,080,000</b>	
	Office Equipment	165,000	
	Vehicles (5)- coordination, basic education, M&E, DES, CMU	200,000	
	Daily operations	122,000	
	<b>Sub Total</b>	<b>2,207,000</b>	
	<b>3.6. Development of the next ESSP Cycle.</b>	<b>1,000,000</b>	
	<b>Component 3</b>	<b>14,904,000</b>	
<b>Total Unallocated</b>		<b>7,900,000</b>	
<b>TOTAL COSTS</b>		<b>100,000,000</b>	

**Annex 4: Operational Risk Assessment Framework (ORAF)**  
**Uganda: Teacher and School Effectiveness Project (P133780)**

**Stage: Negotiations**  
**Risks**

<b>Stakeholder Risk</b>	Rating	Moderate
<b>Risk Description:</b>	<p>1. Stakeholder capacity to implement the project is mixed. There is capacity at the Ministry level to implement, but with shortcomings in coordination, attention to details, and ability to provide support to the sub-national level local governments. Local government capacity to oversee schools that will participate in the project is moderate due to logistical and staffing challenges. School level management capacity is weak with resultant challenges to implementation of school based components. Teacher training institutions also have moderate capacity to support improvements in the teacher training programs aimed at strengthening teacher instructional practices.</p> <p>2. Transparency and accountability in project implementation poses a substantial risk due to weak oversight and non-adherence to rules and regulations most especially at the local government and school levels.</p> <p>3. Reliance on development partners' technical assistance for the implementation of</p>	
<b>Risk Management:</b>	<p>1. The project design has been simplified. Despite the high pressure from the education stakeholders to add more activities, the number of activities has been slightly reduced to raise likelihood of timely and proper implementation.</p> <p>2. The proposed project activities build upon existing programs to limit the need for additional implementation capacity.</p> <p>Resp: Both      Status: Completed      Stage: Both      Recurrent:      Due Date:      Frequency</p>	
<b>Risk Management:</b>	<p>3. Capacity development at various levels has been prioritized in the project design to ensure quality and timely project implementation. The capacity of training institutions will be addressed through provision of specialized technical assistance.</p> <p>Resp: Both      Status: In Progress      Stage: Both      Recurrent:      Due Date:      Frequency</p>	
<b>Risk Management:</b>	<p>5. Clearly defined MoUs will be agreed upon with the relevant development partners.</p> <p>Resp: Both      Status: In Progress      Stage: Preparation      Recurrent:      Due Date:      Frequency</p>	
<b>Risk Management:</b>	<p>4. Strategies that enhance transparency and accountability of project operations will be agreed between Government and development partners; and inbuilt in the project design to enable collaborative and</p>	

<p>specific project activity areas such as the Early Grade Initiative and early learning poses a moderate risk.</p>	<p>institutionalized arrangements. These strategies include the inclusion of school report card, training of SMCs, and increased inspections as part of the project activities. These will be complemented by third party monitoring by non-state actors including civil society.</p>					
<p><b>Capacity</b></p>	<p>Rating</p>	<p>Substantial</p>				
<p><b>Risk Description:</b></p> <p>1. Project implementation capacity is mixed. There is high level capacity at the ministry level to provide strategic and policy oversight to project activities. The sector dialogue and collaboration with development partners including willingness to reform policies and operational practices is strong and positive. However, timely planning and implementation of project activities calls for additional personnel and logistical support in key units. School level management systems is however, very weak and pose a substantial risk to quality and timely implementation of school based activities.</p> <p>2. Procurement remains very slow. Delays in payments still impede the timely delivery of the required inputs for project implementation with some providers not paid for over 6 months. Supervision of construction remains weak with non-enforcement of the remedies in the contracts.</p> <p>3. Effective delivery of instructional materials could be challenging: text books</p>	<p><b>Risk Management:</b></p> <p>1. Capacity development of district directorates of education and school management committees to support learning is an integral objective of this project, through planned project interventions. The project seeks to draw in technical assistance from development partners, notably USAID and contractors, and UNICEF to support MoES in project implementation.</p> <p>2. Logistical and human resource requirements will be identified through technical and fiduciary assessments; and provided to strengthen key implementing departments.</p> <p>3. A full time Deputy Project Coordinator supported by the project will be instituted to work with the Coordinator and team especially on aspects that call for MoES' attention for the effective realization of the project preparation and implementation, including: (i) the ESSP implementation progress assessment; (ii) the financing framework for the ESSP over the coming 3-4 years including clear assessment of the financing gap; (iii) coordination of departments to ensure effective implementation planning and integration of GPE project activities and budgets; (iv) development of the draft procurement plan for the project; and (v) timely development of the environmental and social safeguards frame works for the project including ensuring their disclosure.</p>					
<p><b>Risk Management:</b></p>	<p>Resp: Both</p>	<p>Status: In Progress</p>	<p>Stage: Both</p>	<p>Recurrent:</p>	<p>Due Date:</p>	<p>Frequency</p>
<p><b>Risk Management:</b></p>	<p>Resp: Both</p>	<p>Status: In Progress</p>	<p>Stage: Both</p>	<p>Recurrent:</p>	<p>Due Date:</p>	<p>Frequency</p>



could be delivered to the schools with no need for instructional materials or text books could be delivered to schools where the text books will be stored rather than used for teaching. This will significantly affect the expected outcomes of the project. 4. Fiduciary capacity of the MoES is adequate. Funds disbursements to primary schools has been ongoing since 1997 with systemic improvements informed by Public Expenditure Tracking Studies (PETS). To-date, funds are directly sent to school accounts eliminating all forms of diversion between the centre and the schools. Financial and accounting guidelines are also existent. Annual audits are also undertaken. A long established Procurement and Disposal Unit (PDU) responsible for procurement activities exists, and substantial capacity has been built through ongoing projects like the UPPET. There is however, need to strengthen the capacity of the accounts section to support GPE project financial activities for timely operations. Institution of strategies that protect project resources either through the financial or procurement processes at all levels is also necessary.

5. Timely release of government funding is critical to effective and timely implementation of proposed activities. Slow release of government funding results in delay in the implementation of project activities.

6 Disbursement through Consolidated Fund attracts risks associated with budget credibility as well as delays in release of

<p>4. To mitigate against procurement related risks, the following has been done:</p> <p>-It has been agreed that procurement will be done by the local government and not the schools;</p> <p>-A deadline of 1 year has been established for completion of procurement of civil works, and 2 years for instructional material.</p>					
Resp: Both	Status: Completed	Stage: Both	Recurrent:	Due Date:	Frequency
<p><b>Risk Management:</b></p> <p>5. Standards procurements documents will be developed.</p> <p>6. Training will be provided to build the capacity of the local government.</p> <p>7. Independent verification of effective delivery of textbooks will be conducted before suppliers are paid.</p>					
Resp: Both	Status: In Progress	Stage: Preparation	Recurrent:	Due Date:	Frequency
<p><b>Risk Management:</b></p> <p>8. An advance will be provided to ensure timely start of project implementation.</p> <p>9. A specific DLI on effective and timely release of government funding will be included in the financing modality to avoid possible delays in project implementation.</p> <p>10. The team will hold regular meetings with Finance counterparts to discuss and ensure timely release of funding.</p>					
Resp:	Status:	Stage:	Recurrent:	Due Date:	Frequency

funds with an average delay period of 45 days; which increases uncertainty from the implementation agency end						
<b>Governance</b>		Rating				
<b>Risk Description:</b>		Substantial				
<p>There is continued teacher and head-teacher absenteeism and lack of information and community oversight on the issue. Overall governance situation poses a substantial risk to project operations due to weak oversight and non-adherence to rules and regulations most especially at the local government and school levels. Initiatives like the school performance improvement grants and school reports cards are also susceptible to elite capture and politicking.</p>						
<b>Risk Management:</b>		<p>1. A project implementation manual that further clarifies roles and responsibilities of key players will be developed to guide project operations; coupled with capacity development of key staff to ensure adherence to established rules and regulations including World Bank procedures.</p>				
Resp: Both	Status: In Progress	Stage: Both	Recurrent:	Due Date:	Frequency	:
<b>Risk Management:</b>						
2. Intensive support supervision will be provided at all levels.						
3. Training of SMCs and increased inspections will be undertaken.						
Resp: Both	Status: In Progress	Stage: Implementation	Recurrent:	Due Date:	Frequency	:
<b>Project Risks</b>						
<b>Design</b>		Rating				
<b>Risk Description:</b>		Moderate				
<p>1. The design poses a moderate risk to project success. The project mainly focuses on systemic improvements that impact learning most especially teacher training and support systems, as well as school based management and supervisory structures. Innovative approaches that enhance teacher motivation and school level performance will however be introduced whose design and</p>						
<b>Risk Management:</b>						
1 Intensive engagement with the respective players including line sectors like Local Government and public service has been undertaken in collaboration with the comprehensive local education group for the GPE. The dialogue with Government remains strong driven by the need and desire to reform for better learning outcomes.						
Resp: Both	Status: In Progress	Stage: Both	Recurrent:	Due Date:	Frequency	:
<b>Risk Management:</b>						
2. The Bank team will continue to closely collaborate with the government project implementing team.						

<p>implementation may call for more multi-sectoral engagements and capacity development.</p> <p>2. The success of the proposed ECD related activities requires high political and careful review and design the review ECD policy (including feasible financial outlays).</p>	Resp:	Status:	Stage:	Recurrent:	Due Date:	Frequency
<p><b>Social and Environmental</b></p>	Rating	Low				
<p><b>Risk Description:</b></p> <p>The social and environmental risk is low due to low risk nature of the project activities. Civil works under the project is at a moderate scale and limited to already existing schools. The likely environmental and social impacts are known and readily mitigateable. However, the limited monitoring and reporting of implementation of Social and Environmental aspects of the projects by MoES and its implementing institutions could affect project implementation. The ministry has only a part-time staff designated to manage and oversee the social and environmental related issues of the project. There is weak capacity to implement, monitor and report as observed from the previous projects.</p>	<p><b>Risk Management:</b></p> <p>The social and environmental assessment will be undertaken by appraisal time. A review of UPPET ESMF and RPF to be adopted for this program is underway. In order to reinforce the Ministry's capacity, District Environment Officers, District Community Development Officers, District Engineers and District Education Officers will be involved during project implementation. In addition, MoES has funds under TA to hire a consultant for managing, monitoring and reporting social and environmental issues if required.</p>	Resp: Both	Status: In Progress	Stage: Both	Recurrent:	Due Date: Frequency
<p><b>Program and Donor</b></p>	Rating	Low				
<p><b>Risk Description:</b></p> <p>Duplication of efforts is possible due to the ongoing but small scale donor supported initiatives in the area of teacher training and school management capacity development.</p>	<p><b>Risk Management:</b></p> <p>The project design has built upon existing ongoing development partner supported initiatives. Again the dialogue between Government and development partners supporting respective projects is strong and positive which will enable informed programming to avoid duplication.</p>	Resp: Both	Status: In	Stage: Prepa	Recurrent:	Due Date: Frequency

<b>Delivery Monitoring and Sustainability</b>		Rating		Substantial		Progress		Date:	
<b>Risk Description:</b>		<p>Innovative interventions that call for new indicators may pose a challenge to sector monitoring processes. Unannounced visits and classroom observations on pedagogical skills are relatively more technical. High-quality and reliable implementation of these new approaches is at risk. Logistical and human resource constraints at various levels may also substantially constrain regular field oversight of project activities especially at the respective school sites.</p>							
<b>Risk Management:</b>		<p>A clear monitoring and results framework with clear and measurable indicators is under development in consultation with all stakeholders. The monitoring and evaluation unit will also be strengthened to support this project function. Technical supervision missions of the World Bank and full involvement of the development partners will further contribute to this area.</p>							
Resp: Both		Status: In Progress		Stage: Both		Recurrent:		Due Date:	
Frequency		: :							
<b>Risk Management:</b>		<p>Intensive training and refresher training will be provided to a well-defined enumerator team within the M&amp;E unit of the MoES. Additional TA will be provided as required. Data will be triangulated via third party monitoring and direct beneficiary feedback. This approach has been tested under the UPPET project and it works well.</p>							
Resp: Client		Status: In Progress		Stage: Both		Recurrent:		Due Date:	
Frequency		: :							
<b>Risk Management:</b>		<p>Regular monitoring of project progress will be mainstreamed in the day to day SWAp of the MoES by regular updates to the high-level and multisectoral education sector consultative committee (ESSC) that convenes every two months. Issues affecting progress including identification of strategic actions will be done in collaboration with the LEG.</p>							
Resp: Both		Status: In Progress		Stage: Both		Recurrent:		Due Date:	
Frequency		: :							
Rating		Substantial							
<b>Other (Optional)</b>									
<b>Risk Description:</b>		<b>Risk Management:</b>							

<p>Financial Management:</p> <p>1. Disbursement Linked Indicators (DLI) approach. The proposed results-based financing mechanism (DLI approach) requires that GPE funding would reimburse the eligible expenditures based upon the achievement of the agreed results. Funds would be disbursed into the Treasury's general/consolidated non-food account. This approach differs from the traditional financing modalities and requires prerequisites to ensure an effective implementation of the proposed activities in a timely manner. In addition, the approach requires that sequential yearly disbursements are triggered through a third party validation process to confirm achieved results.</p> <p>2. Additionality of GPE financing. The issue of additionality should be carefully addressed in order to ensure that GPE financing is in no way foreseen as a substitute to government financing for the education sector.</p> <p>3. Bureaucratic delays. Given the proposed financing mechanism, bureaucratic delays could prevent the achievement of agreed results, especially with a design that relies on coordination among several departments.</p>	<p>1. The agreed results will be designed carefully and cautiously to ensure feasibility within the available time-frame, while still demonstrating real improvement. Potential examples of such results can be gleaned from Output Indicators specified in Results Framework.</p> <p>2. In addition, an advance will be provided in a special account upon project effectiveness to ensure funding is available for immediate implementation.</p> <p>3. The validation protocol will be thought off carefully to ensure timely and effective disbursements of GPE funds upon achievement of expected and agreed results.</p> <p>4. To mitigate against the risk of bureaucratic delays, the Team is closely looking into how to reduce the extent to which progress on one component hinges on progress in the others.</p>
<p>Resp: Both</p> <p>Status: In Progress</p> <p>Stage: Preparation</p> <p>Recurrent:</p> <p>Due Date:</p> <p>Frequency</p>	<p>Resp: Both</p> <p>Status: In Progress</p> <p>Stage: Preparation</p> <p>Recurrent:</p> <p>Due Date:</p> <p>Frequency</p>
<p><b>Risk Management:</b></p> <p>5. The World Bank is seeking advice from the Government, GPE board, and the Local Education Group to help ensure that GPE resources are not substituting public resources for education. This is partially mitigated by a clearly spelled out agreement between the Ministry of Education and Sports, the Ministry of Finance and the Supervising Entity that will need to be jointly reached and carefully formulated, including agreement on specific budget lines that will received additional budget increase in the next 3 years.</p>	<p><b>Risk Management:</b></p> <p>6. A specific DLI will be included to incentivize the government to increase the share of government budget to the education sector.</p> <p>7. The Bank team will hold monthly meetings with the government team to discuss progress. An additional Deputy Project Coordinator will be hired to facilitate the preparation and coordination of project related activities.</p>
<p>Resp: Both</p> <p>Status: In Progress</p> <p>Stage: Preparation</p> <p>Recurrent:</p> <p>Due Date:</p> <p>Frequency</p>	<p>Resp: Both</p> <p>Status: In Progress</p> <p>Stage: Preparation</p> <p>Recurrent:</p> <p>Due Date:</p> <p>Frequency</p>
<p><b>Other (Optional)</b></p> <p>Risk Description:</p>	<p>Rating</p> <p><b>Risk Management:</b></p>

**Local Language:**

One of the proposed project activities is the scale-up of the Early Grade Reading (EGR) initiative which promotes learning in local languages. While this model has a strong government support (approved in 2007), indicating a low level of risk, it posed a few challenges as follows:

1. Low parental support for promoting learning in local languages. Thus, parents may choose to shift their children schools to where this initiative has not been implemented. This may equally generate a larger movement of parents around this issue.
2. Teacher deployment system does not take into consideration the inability of teachers to teach in a specific local language. This will cause a notable challenge regarding teacher availability to teach in local languages.
3. Perceived discrimination against smaller language groups given that the initiative mainly looks at the large language groups.

In order to mitigate the risk of teachers' availability to teach in local languages, only the large language groups will mainly be considered during this first phase-in stage. The Team is open to further develop and implement this approach as per capacity needs increase.

Resp:	Both	Status:	In Progress	Stage:	Preparation	Recurrent:	Due Date:	Frequency

**5. Overall Risk**

**Overall Implementation Risk: Substantial**

**Substantial**

**Risk Description:**

Overall implementation risk is substantial but proposed mitigation measures will be designed and implemented supported by intensive monitoring efforts for results.



**Annex 5: Implementation Support Plan**  
**UGANDA**  
**Teacher and School Effectiveness Project**  
**Institutional Capacity Assessment and Capacity Enhancement Strategy**

No.	Project Responsibilities	Capacity Assessment	Proposed capacity enhancement measures
<b>I: Ministry of Education and Sports</b>			
1.	Overall project coordination and oversight over all project activities by the following:	The MoES vacancy rate is estimated at about 30 percent; thus its capacity to implement the project within the 3 year schedule would be significantly constrained.	For sustainability purposes, continued dialogue with Government to ensure vacant establishments are filled through established mechanisms. In addition, the MoES will be provided with additional personnel through consultancy recruitments to enable timely and quality implementation of the project. The details per department are presented below.
(a)	Education Planning Department – Project coordination role.	Government has assigned the Assistant Commissioner Planning and Budgeting as overall coordinator. However, the project poses additional responsibilities to ensure timely and quality coordination of all implementing departments.	One (1) Deputy Coordinator will be recruited through a national competitive process. One (1) Monitoring and Evaluation Consultant will be recruited in the M&E Unit to support the lead officer for the GPE monitoring & evaluation activities. Independent assessment of DLIs complementing existing systems will also be instituted. Additional staff including support could be deployed drawing from Government counterpart funding.

(b)	<p>Pre-primary and primary education department – the user department overall technical coordination of all the software activities undertaken by different departments &amp; furnishing the coordination team with timely information on progress; as well as ensuring compliance with social &amp; environmental management safeguards.</p>	<p>Only 8 of the 11 established positions in the department are filled; while 3/18 are due to retire in 2014.</p> <p>Capacity to implement safeguards is also very weak at the MOES/departamental level.</p> <p>One (1) GPE Technical Officer/project manager position in the pre-primary and primary education department will be supported by the project; to support the Commissioner execute all aspects of the GPE project under the department's purview for timely reporting to the project coordination team. Recruitment will be done through a national competitive process.</p> <p>One (1) Technical Officer – early grade program to support the department undertake the scale-up activities as planned in consultation with the USAID/RTI team.</p> <p>One (1) social development consultant (on retainer basis) to support the department implement the project in line with ESMF, RPF and IPPF developed. (not sure whether this should be placed in the CMU or at this dept.</p>
(c)	<p>Construction management unit (CMU): (i) Technical oversight over districts to ensure compliance with SFG guidelines.</p> <p>(ii) Monitoring the implementation of the environmental safeguards requirements shall be undertaken by the CMU.</p>	<ul style="list-style-type: none"> <li>▪ Capacity of the CMU has been built over time through the ongoing World Bank supported UPPET project. Four (4) full time engineering consultants have been added to the existing stock of CMU staff in addition to logistical support to ease operations (vehicles and computers). MOES also has in place a district support structure in form of 'engineering assistants'</li> </ul> <p>For timely and quality oversight to the school level civil works managed by the districts, the following will be done:</p> <ul style="list-style-type: none"> <li>• Two (2) additional full time engineering consultants – civil and quantity surveyor will be added to the CMU team.</li> <li>• Technical supervision firms (about 6) will be contracted to undertake quality supervision reinforcing district level engineers.</li> <li>• An ICT based construction site reporting system will also be instituted.</li> <li>• Capacity of engineering assistants will be enhanced for effective monitoring of the socio-environmental impacts of civil works projects using checklists.</li> </ul>



		<p>that work with district level engineers to oversee school works.</p> <ul style="list-style-type: none"> <li>▪ Engineering Assistants in CMU will be responsible for supervising construction activities at beneficiary primary schools. Each Engineering Assistant is commonly in charge of supervising school construction in several (5 or 6) districts.</li> </ul>	
(d)	Financial Management Unit – oversee funds flow, reporting and audits.	<p>The financial flow and accounting system has been assessed as sound including the internal audit system. With support from the UPPET, a financial management consultant was contracted and can ably handle GPE project financial operations.</p>	<p>One (1) Accounts Assistant will be contracted to support the UPPET supported financial management consultant for the two operations.</p>
(e)	Procurement and Disposal Unit (PDU) – undertake procurement of instructional materials and technical assistance consistent with World Bank guidelines.	<p>The MoES has in place a PDU that executes all procurement activities in consultation with the technical departments. Capacity challenges of the Unit are manifest in major</p>	<p>One (1) procurement specialist will be recruited to specifically handle all procurement work under the project in constant liaison with the technical departments.</p>

		delays in procurement processes and weak departmental coordination.	
(f)	Directorate of Education Standards (DES) – undertake scale up of the EduTrac/U-Report in addition to oversight over district level inspection activities under the school effectiveness component.	The DES is established and staffed to about 80 percent capacity. However, the institution of ICT based inspection systems pose a challenge in terms of skills development and additional personnel and logistical requirements to kick-start the process.	Training will be provided to District Inspectors, District Education Officers, and relevant staff from District Education Standards on the use of ICT-based inspection system.
<b>II: Subnational levels</b>			
(a)	District Local Government staff in the target districts will be responsible for overall project oversight, funds management and monitoring of especially the following interventions: (a) procurement and management of school facility grant sub-component; (b) scaling up school inspection activities; (c) ensuring adherence to established fiduciary and public service management guidelines pertinent to respective interventions under support by the project; (d) ensuring take-off of the ICT based system improvements at this level.	As of June 2012, staffing levels of local governments with respect to strategic positions all of which have a bearing on project operations was estimated an average of 50 percent. This includes positions of the Chief Administrative/Executive Officer (CAO), Chief Finance Officer (CFO), Procurement and Disposal Officer (PDO), District Education Officer (DEO), District Engineer in all the 121 districts was estimated at 50 percent. Evidence also indicates that school level	Capacity enhancement, scale up of the associate assessors’ innovation, regular capture of key school level processes, updated inspection tracking system as well as logistical support towards inspectorate divisions of local governments are some of the interventions to be supported by the project in target districts.  In regard to procurement under the school facility grant sub-component, districts without procurement officers will be advised to delegate the procurement to the MOES to ease operations.  Continuous dialogue with the Government to ensure optimal staffing at the local government levels continues through the Joint Budget Support Framework (JBSF) in partnership with other development partners.  District Environment Officers will also be involved in the monitoring and reporting implementation of safeguard requirements.

		<p>supervision by inspectors is at a low of 25 percent per year on the account of understaffing and weak logistical provisions which limits regular capture of school level processes for informed policy discourse. Lack of regular skills enhancement opportunities also hampers quality inspection processes.</p>	
(b)	<p>Core Primary Teachers' Colleges and Coordinating Centre Tutors (CCT) in the catchment areas of target districts will undertake teacher training and provide regular teacher support in regard to classroom processes in partnership with head teachers.</p>	<p>Capacity of tutors to support teacher improvements in pedagogy is off-reported to be weak, compounded by logistical constraints both of which inhibit quality and regular teacher support; as well as overload.</p>	<p>Strengthening the capacity of CCTs in pedagogy for effective scale up of improved teacher methodologies is one of the major components of the project. Coordinating Centers will be resourced with materials and equipment for improved teacher instruction; while logistical support will also be provided for needy CCTs in target districts. The coordinating centres will also be remapped with support from the project.</p>
(c)	<p>Schools will be the core beneficiaries of project interventions assuming good leadership and management practices at this level.</p>	<p>Weak management practices have been observed at the school level manifest in high teacher absenteeism (33%).</p>	<p>Capacity enhancement of School Management Committees (SMCs) and head teachers is one of the core activities supported by the project under the school effectiveness component. SMCs will also monitor project implementation and will be equipped with basic skills to monitor socio-environmental impacts during and after project implementation.</p>

## Implementation Support Plan

Time	Focus	Resource Estimate (in staff weeks – SWs)	Partner Role
First 18 months, including 6 months before project effectiveness	<u>Leadership and Coordination</u> Overall coordination and supervision of project activities for quality preparation and timely start of implementation.	<ul style="list-style-type: none"> <li>TTLs (12 SWs)</li> </ul>	
	<u>Fiduciary preparations and oversight</u> <ul style="list-style-type: none"> <li>Training for client teams (financial management and procurement)</li> <li>Disbursement planning and monitoring.</li> <li>Training of client procurement team including EEPs.</li> <li>District oversight and guidance for procurement of school civil works</li> <li>Support towards preparation of procurement documents.</li> <li>Procurement reviews for EEPs including equipment for instructors and Component 3 activities.</li> </ul>	<ul style="list-style-type: none"> <li>Financial Management Specialist (4 SWs)</li> <li>Procurement Specialist (6 SWs)</li> </ul>	
	<u>Technical guidance and oversight at start of project strategic interventions:</u> <ul style="list-style-type: none"> <li>Early Grade Reading (EGR) scale up planning and take off.</li> <li>.</li> <li>Teacher motivation and accountability.</li> <li>Inspection scale up.</li> <li>School civil works through districts.</li> </ul>	<ul style="list-style-type: none"> <li>Education Specialist (5 SWs)</li> <li>Operations officer (12 SWs)</li> <li>Public Service Management Specialist (3 SWs)</li> <li>ICT Specialist (3 SWs)</li> <li>Consultant Engineer/s (3 SWs)</li> </ul>	USAID/RTI technical support towards training of tutors and supervision of teacher training to support scale up.  UNICEF technical support to ECD through TA and regular monitoring of progress.
	<u>Safeguards</u> <ul style="list-style-type: none"> <li>Social safeguards</li> <li>Environmental safeguards</li> </ul>	<ul style="list-style-type: none"> <li>Social Development Specialist/s (3 SWs)</li> <li>Environment Specialist/s (3 SWs)</li> </ul>	
	<u>Monitoring (including budget allocations) and evaluation</u> <ul style="list-style-type: none"> <li>Systems for reporting against results framework</li> <li>Reporting for DLIs</li> <li>External validation</li> <li>Impact evaluations</li> <li>M&amp;E systems strengthening</li> </ul>	<ul style="list-style-type: none"> <li>Project monitoring &amp; evaluation specialists/consultants (5 SWs)</li> </ul>	UNICEF technical support & supervision of the ICT based school data collection system/Edutrac.  European Union (EU) undertaking validation exercises of budget allocations to education sector.
19-48 months, including	<u>Leadership and Coordination</u> <ul style="list-style-type: none"> <li>Overall coordination and supervision of project activities.</li> </ul>	<ul style="list-style-type: none"> <li>TTLs (20 SWs)</li> </ul>	

g 6 months after project closes	<ul style="list-style-type: none"> <li>Ensuring timely assessments of progress made on the DLIs.</li> <li>Regular support supervision to implementing teams.</li> <li>Field work to implementing sites.</li> </ul>		
	<p><u>Technical guidance and oversight at start of project strategic interventions:</u></p> <ul style="list-style-type: none"> <li>Continued support to implementation of the Early Grade Reading (EGR) scale-up &amp; and ICT based pedagogical support for teachers.</li> <li>Ensuring timely and quality design of early grade numeracy module.</li> <li>Quality implementation and monitoring of progress made with the ECE instructors training.</li> <li>Ensuring timely ECD policy and standards review and dissemination.</li> <li>Ensuring effective utilization of supplies.</li> <li>Continued support to school report cards and inspection scale-up; and monitoring community and school improvements.</li> <li>Review of respective TA products resulting from component 3.</li> </ul>	<ul style="list-style-type: none"> <li>Education Specialist (7 SWs)</li> <li>ICT Specialist/consultant (5 SWs)</li> <li>Operations officer (20 SWs)</li> <li>Public Service Management Specialist (5 SWs)</li> <li>Consultant Engineer/s (5 SWs)</li> </ul>	USAID/RTI implementation support through TA.
	<p><u>Fiduciary Oversight</u></p> <ul style="list-style-type: none"> <li>Ensuring timely procurement &amp; adherence to norms.</li> <li>Ensuring compliance to financial management guidelines including audits and post audit actions.</li> </ul>	<ul style="list-style-type: none"> <li>Financial Management Specialist (8 SWs)</li> <li>Procurement Specialist (10 SWs)</li> </ul>	UNICEF support towards implementation of ECE interventions through TA and support to dissemination events.
	<p><u>Monitoring (including budget allocations) and evaluation</u></p> <ul style="list-style-type: none"> <li>Progress made on against results framework</li> <li>Reporting for DLIs</li> <li>Ensuring functional and timely external validation</li> <li>Mid-line impact evaluations.</li> <li>Functionality of established education sector school based M&amp;E systems.</li> <li>Validation of budget allocations.</li> </ul>	<ul style="list-style-type: none"> <li>Project monitoring &amp; evaluation specialists/consultants (11 SWs)</li> </ul>	UNICEF technical support & supervision of the ICT based school data collection system/Edutrac  European Union (EU) undertaking validation exercises of budget allocations to education sector.
	<p><u>Safeguards</u></p> <ul style="list-style-type: none"> <li>Social safeguards</li> <li>Environmental safeguards</li> </ul>	<ul style="list-style-type: none"> <li>Social Development Specialist/s (5 SWs)</li> <li>Environment Specialist (5 SWs)</li> </ul>	

**Skills Mix Required**

<b>Skills needed</b>	<b>Number of Staff Weeks (SWs)</b>	<b>Number of Trips</b>	<b>Comment</b>
Task Team Leader/s	32	Minimum of 8 over 4 year period	
Senior Education Specialist/s	12	Based in country.	Field trips to project sites as and when required.
Operations Officer	32	Minimum of 8 over 4 year period	
Procurement Specialist/s	16	Based in country	Field trips to project sites as and when required.
Financial Management Specialist/s	12	Based in country	Field trips to project sites as and when required.
Public Service management and governance Specialist	8	Based in country	Field trips to project sites as and when required.
Social Development Specialist	8	Based in country	Field trips to project sites as and when required.
Environmental Management Specialist	8	Based in country	Field trips to project sites as and when required.
Monitoring and evaluation specialists /consultants	16	Based on contract specifications.	A firm may be needed to undertake the external validation.
Sr. ICT Specialist/s	8	Based on contract specifications.	Field travel will be required as part of contract execution – whether or local or international.
Sr. Consultant - Civil Engineer/s	8	Based on contract specifications.	

**Estimated costs for implementation support and supervision for 1<sup>st</sup> year:**

<b>Staff costs</b>	<b>Staff weeks</b>	<b>unit cost with overhead, (USD)</b>	<b>Item Total (USD)</b>
TTL	8	5,000	40,000
Sr. Education Specialist	3	5,000	15,000
Operation officer	8	4,000	32,000
Sr. Procurement specialist	4	5,000	20,000
Financial Management specialist	3	4,000	12,000
Civil work specialist	2	4,000	8,000
<b>Total cost of Staff</b>			<b>127,000</b>
<b>Travel</b>			
International travel	2	9,000	18,000
National travel	10	500	5,000
<b>Total travel</b>			<b>23,000</b>
<b>TOTAL</b>			<b>150,000</b>

The role of Partners for supervision is described in Annex 3 Implementation Arrangements.

## Annex 6: Project Preparation Consultations

### UGANDA Teacher and School Effectiveness Project

1. This annex summarizes the process for the preparation of Uganda's GPE project for teacher and school effectiveness, currently in the design phase. As the nominated Supervising Entity for the project, the World Bank has been closely working with the Ministry of Education and Sports (i.e., the Managing Entity) and the Chair of the Education Development Partners (EDPs) (i.e., the Coordinating Agency), and in close consultation with the Local Education Group (LEG) for the effective preparation of the GPE project.

2. The preparation of this project has involved multiple development partners and education stakeholders who are keen to work together to improve the learning outcomes of students in primary education in Uganda. Throughout the on-going GPE application process, a range of consultation activities and meetings have taken place to capture the views and insights of the many education stakeholders. The Team acknowledges and commends the continuing support and guidance received from the Coordinating Agency (CA). The regular LEG meetings convened by the CA included consistent updates and discussions around the proposed GPE project. The Team further reiterates its appreciation for the involvement, engagement as well as the valuable inputs and support from the Civil Society Organizations (CSOs) through the Forum for Education NGOs in Uganda (FENU). Figure 1 below summarizes the major consultative activities undertaken in preparation of the project:

3. In September 2012, the Local Education Group (LEG) for the GPE in Uganda was constituted under the leadership of the Belgian Embassy (Lead/Coordinating Agency in 2012), to chat out modalities of how to proceed with the design for the project in a bid to ensure a participatory and consultative process. Government through the GPE Coordinating Team assumed full responsibilities of the Managing Entity. The current membership of the LEG includes lead technical officers from all departments and agencies that will be involved in the implementation of the project, development partners, representatives of local and international civil society organisations led by FENU, and the Uganda National Teachers Union (UNATU). Clarity of roles amongst the Coordinating Agency, Managing Entity and Supervising Entity was obtained consistent with the GPE guidelines.

4. In October 2012, agreement was reached within the LEG on the need to hold a national stakeholders' workshop to generate consensus on strategic issues affecting quality of education in Uganda. Operational principles of the LEG were also agreed including transparency, information and communication channels, as well as timely delivery of outputs for respective players. Key milestones were also agreed which enabled development of a harmonised timeline responsive to the GPE Secretariat and World Bank procedures and guidelines.

5. In November 2012, the **GPE stakeholders' workshop** was organized to build consensus and harmonize the project interventions focus areas. This workshop has been instrumental in the design of the project. The workshop comprised participants from the Ministry of Education and Sports departments; the Education Development Partners; Civil Society Organizations; Foundations Bodies; and District Education Offices. At the end of the full day workshop, the

following salient constraints to learning achievements were agreed upon in conformity with the November 2012 workshop aide memoire:

- a) Inadequate preparedness of children for primary education;
- b) Inadequate teacher motivation;
- c) Inadequate school governance and accountability; and
- d) Inadequate pedagogical skills for primary teachers.

6. In April 2013, GPE project preparation consultative meetings were held to advance project preparation. As a part of this effort, extensive discussions were held with officials from the Ministry of Education and Sports (MoES), line ministries of Finance Planning & Economic Development, and Public Service, EDPs, education NGOs, and other education stakeholders; both bilaterally and through working groups, on the design of the GPE project. The Bank team and MoES officials also undertook field visits to primary schools, Primary Teacher Colleges (PTCs), and ECD centers.

7. Since April 2013, project design meetings have been conducted with the existing Government working groups: ECD, basic education, teacher education, and education standards. Each working group was assigned specific thematic areas, and guidelines were provided to facilitate discussions. Each of the four working groups developed a draft results chain and proposed activities for their respective thematic area. The outputs from the working groups (in combination with discussions with government counterparts, development partners, and (CSOs) formed the foundation of the overall project design. The Team commends the high level of commitment and effort exhibited by the working groups, evidenced by their expeditious delivery of quality inputs during the discussion and project preparation process.

8. In May-June 2013, GPE project pre-appraisal meetings were held as part of the ongoing efforts to advance preparations for the project. Extensive discussions were held with officials from the Ministry of Education and Sports (MoES), Ministry of Finance Planning & Economic Development, and Ministry of Public Service, development partners, education NGOs, and other education stakeholders; bilaterally and through working groups. The Bank team and MoES officials also undertook field visits to Apac and Lira districts to discuss project interventions with district officials, as well as head teachers & teachers, parents, and pupils of sampled schools. Substantial progress has been achieved since the April preparation meetings, in particular due to the outputs generated by the MoES-led working groups and the MoES staff. The working group members deserve praise for their work.

9. In May-June 2013, several focus group discussions (FGD) were held to capture the views and insights of the target beneficiaries and local stakeholders. FGDs were held with School Management Committees (SMC) and teachers in select sample schools. In addition, FENU has been leading and communicating main messages from country-wide consultations on project related activity areas from over 70 CSOs. The feedbacks received from these FGDs and consultations constitute valuable inputs for the effective design of the project.

10. On May 31, 2013, a GPE validation workshop was held by the Planning Department in the MoES to ensure that all education stakeholders are harmonized around the agreed activities and overall design of the project. More specifically, the workshop objectives included: (i) to critique, authenticate and ratify the activity proposals put forward by the GPE working groups; (ii) to further present an opportunity for stakeholders to input into the proposals put forward by



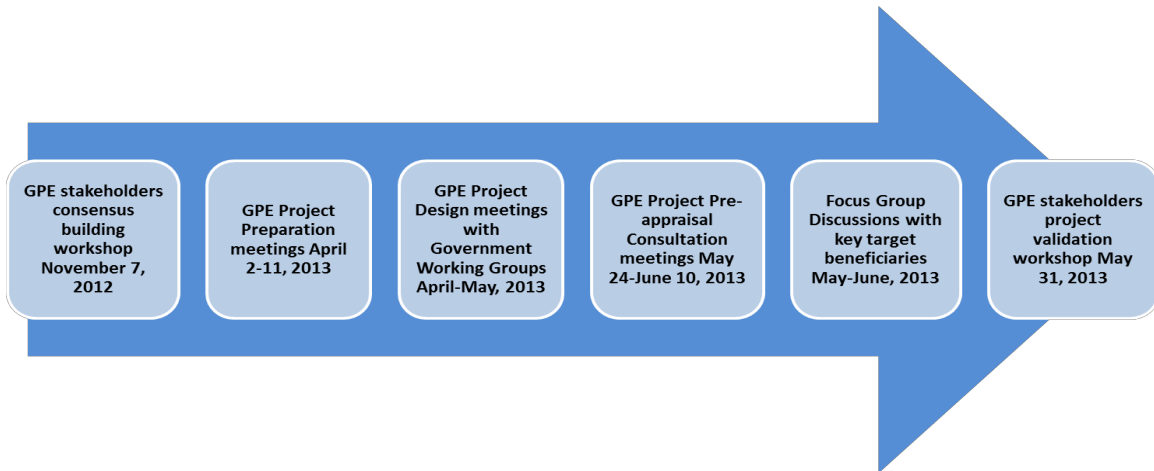
the working groups; and (iii) to discuss and generate consensus on the key activities that will be supported by the GPE Catalytic Fund. The relevant commissioners presented the proposed activities for each of the project components and USAID presented potential ideas for improvement of literacy and numeracy in Uganda. Participants further discussed in breakout groups about: the relevance of proposed activities, the activity related expected outcomes, the technical assistance required to achieve the expected results and the feasibility of the projected timeframe. In addition, FENU shared valuable contributions on the ongoing application process (including the need to ensure that GPE funding does not substitute the government education sector budget; the appreciation and importance of the proposed ECD activities; the crucial need for the provision of adequate technical assistance for the success of the project; and other specific comments suggested to refine the project components). Similarly, the Coordinating Agency (CA) extended the closing remarks with helpful guidance on the way forward. In its remarks, the CA commended the GPE project design focusing on investment in teachers and schools as an avenue to improve quality learning outcomes. It noted that teachers form the backbone of the education system and focusing on their effectiveness is the correct way to go to deliver on quality education. At the school level, the CA advised to continue looking at strengthening the school governance and encouraged the Team to ensure that there is more parental and community involvement in education. The CA finally applauded the unified position, participation, and invaluable inputs from FENU throughout the process.

11. May 2013 through May 2014, there have been bi-monthly updates on the preparations between the World Bank and the Government of Uganda with the LEG. This has included discussions on the obligations of the Government towards education investment in education, the level of per-diems in the projects, the selection of schools for the School Facility Grant program and teacher housing, the number of vehicles and motorbikes, implementation modality, among other aspects of the project. The LEG has advised and approved the advances made in preparation during this time.

12. In conclusion, the on-going consultative GPE project preparation has resulted in numerous positive outcomes:

- ***Alignment with country priorities***: the participatory nature of this process has ensured that project objectives are clearly aligned with country priorities;
- ***Better project design and full ownership***: this consultative process has enabled better design of the proposed project, with full ownership and support from the relevant education stakeholders which will eventually increase its impact with full cognisance of challenges and collective identification of mitigation measures;
- ***Awareness raising***: the numerous consultations undertaken were critical for creating awareness around the significant constraints impeding the achievement of quality primary education in the country; and
- ***Building on what already exists***: this consultative process ensured that GPE project interventions build upon what already exist and compliment work that is already being done by the Ministry through the Quality Enhancement Initiative (QEI) programme and various education partners such as UNICEF, USAID etc. who equally focus upon strengthening the education system. This further demonstrates the strong partnership that underpins the relationship between all actors in the education sector.

**Figure 1: Summary of GPE Project Preparation Consultation Meetings**



**Annex 7: Mapping of Development Partners Support**  
**UGANDA**  
**Teacher and School Effectiveness Project**

**Primary education (Latest available version 2009-2011)**

Irish Aid	Support to Quality Education in Karamoja using Mentoring and Coaching Approaching	Project support	UNICEF	Karamoja districts	€ 50,000	\$67,947	Mentoring CCTs, head teachers and teachers, support to implementation of BRMS.
USAID	Strengthening Education Management Information Systems (EMIS)	Project Support	USAID	National	\$3,211,686	\$3.2 million	Supporting the MoES in developing a functional and comprehensive EMIS database solution that will enable relevant stakeholders at Ministry headquarters and District Education Offices to access critical data for sector analysis, strategic planning, and monitoring and evaluation purposes.
USAID	The Uganda Initiative for TDMS and PIASCY (UNITY)	Project support	USAID	National	\$39,569,134	\$39.6 million	UNITY provides technical support to the Ministry of Education and Sports (MoES) in order to improve the quality of education at the primary level while focusing on the northern and eastern regions of Uganda that were negatively affected by conflict.
UNHCR	Provision of Primary Education	Project support	UNHCR (multi-donor support through UNHCR HQ)	Isingiro, Kegegwa, Krayandon go, Moyo, Adjumani, Arua, Kampala, Hoima	\$876,418	\$876,418	Construction of classrooms, teacher accommodation and latrines, recruitment of additional teachers to settlement schools, improve quality and school enrolment, promoting safe learning environment, procurement and delivery of school materials, promoting community involvement and participation through various education committees.

EKN	CROWNS	Project support	CEFORD, WFP	Arua, Nebbi, Zombo	UGX 3.100 million to CEFORD, \$4 million to WFP	\$5,1 million	Community re-ownership of West-Nile schools through training of SMC's, bikes for CCTs/DIS, adult literacy, teacher houses and woodlots.
Irish Aid	Support Towards Implementation of the Thematic Curriculum in QEI and Moroto districts	Project support	NCDC	QEI districts and Moroto	€ 600,000	\$815,364	Training P1-4 teachers in curriculum.
ILO	ILO-IPEC	Project support	FENU, HLCL, UWESO, MoES, MoGLSD	Wakiso and Mbale	€ 350,000	\$475,629	Break barriers to primary education via developing a model on better access to UPE schools and informing/influencing policy level on inclusion of child labor in education policies and programs.
EKN	Quality improvement in Primary Schools through BRMS implementation	Project support	UNICEF	National, but with focus districts	€ 3,234,824	\$4.4 million	Support to achieve BRMS through strengthening TDMS with International Educators.
EKN	School Garden Project	Project support	UNICEF, SNV	8 districts	€ 4,218,621	\$5.7 million	School gardens for improved community participation and food security.
UNICEF	Basic Education (Pre & Primary Education)	Programme support / project support / district budget support	MoES, FENU, GEM, UMSC, CoU, UG Catholic Secretariat, BRAC, CSCD, FAWE	National. Direct budget support: Gulu, Kitgum, Pader, Agogo, Lamwo, Amuru, Abim, Kotido, Moroto, Kaabong, Napak, Nakapiripirit, Amudat,	\$9.5 million	\$9.5 million	Enabling knowledge, policy, legislative and budgetary environment created for keeping children learning and increase the percentage of enrollment in P1. In districts of additional emphasis, realize access to child friendly water and sanitation facilities in schools.

				Kyenjojo, Kyegegwa, Bundibugy Ntoroko, Mubende.			
USAID	Uganda Literacy and Health Education Program	Project support	USAID	National	\$45 million	\$45 million	The program will support the MoES in the area of early grade reading, in order to improve students' reading skills. It will also include support to HIV/AIDS education and the Ministry's Education Management Information System (EMIS). Through this program, USAID hopes to increase students' success and retention in school, promote health-seeking behaviors, and lay the foundation for the socio-economic benefits that have been demonstrated to accrue from students' education attainment.

### Pre-primary Education

USAID	The Uganda Initiative for TDMS and PIASCY (UNITY)	Project support	USAID	National	\$39,569,134	\$39,569,134	UNITY provides technical support to the Ministry of Education and Sports (MoES) in order to improve the quality of education at the primary level while focusing on the northern and eastern regions of Uganda that were negatively affected by conflict.
UNHCR	Provision of Primary Education	Project support	UNHCR (multi-donor support through UNHCR HQ)	Isingiro, Kegegwa, Kirayandongo, Moyo, Adjumani, Arua, Kampala, Hoima	\$876,418	\$876,418	Construction of classrooms, teacher accommodation and latrines, recruitment of additional teachers to settlement schools, improve quality and school enrolment, promoting safe learning environment, procurement and delivery of school materials, promoting community involvement and participation through various education committees.

UNICEF	Basic Education (Pre & Primary Education)	Program me support / project support / district budget support	MoES, FENU, GEM, UMSC, CoU, UG Catholic Secretariat, BRAC, CSCD, FAWE	National. Direct budget support: Gulu, Kitgum, Pader, Agogo, Lanwo, Amuru, Abim, Kotido, Moroto, Kaabong, Napak, Nakapiripirit, Amudat, Kyenjojo, Kyegegwa, Bundibugyo, Ntoroko, Mubende.	\$9,480,261	\$9,480,261	Enabling knowledge, policy, legislative and budgetary environment created for keeping children learning and increase the percentage of enrollment in P1. In districts of additional emphasis, realize access to child friendly water and sanitation facilities in schools.
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**Annex 8: Economic and Financial Analysis**  
**UGANDA**  
**Teacher and School Effectiveness Project**

1. The economic analysis discussed here examines the returns to ‘Uganda GPE Teacher and School Effectiveness Project’ in terms of improved school completion rates. This analysis suggests that the project is viable on economic grounds with an estimated Net Present Value (NPV) of USD 106.1 with corresponding internal rate of return (IRR) of 27 percent. These estimates present the lower bound of project’s expected returns given that (i) only one (private) outcome is included as a part of the benefits of the program, and (ii) we have attempted to be conservative in our assumptions in all cases where discretion was exercised in this analysis.

**Project Benefits**

2. The principal benefits expected from the project are higher completion rates in primary grades. These are expected to emerge from improvements in teacher competencies, teacher effort, enhanced school accountability and improved school facilities in targeted schools.

3. In order to undertake a benefit-cost analysis corresponding to increased completion rates. We first take stock of estimated increase in primary enrolment (from 8.3 million in 2012 to an estimated 8.4 million in 2017). From past statistics, students’ dropout is evident and significant after grade 5 (i.e., about 200,000 students drop out). We therefore assume that after the project implementation, completion rate will be 90 percent and the project benefits would be accrued for more 7 years after project implementation. To express the benefits in monetary terms, we compute the forgone earnings i.e., US\$348 for primary education level and then obtain the equivalent earnings for a number of students who successfully complete primary cycle. These benefits are assumed to spread over the seven year period after project implementation.

4. Key assumptions made and data sources used in the benefit-cost analysis are outlined below: (a) we assume that the primary completion rate<sup>21</sup> will increase from 67 percent (MoES 2012) to 90 percent by 2017; (b) discount rate on the benefits and costs streams over the project cycle is assumed to be 10 percent (see Ssewanyana, Okoboi & Kasirye 2012). Uganda’s population growth adds about 350,000 children of school entry age each year (a rate of about 5.3 percent per annum). At a rate of 50 students to one teacher, this growth translates into an annual need of 7100 teachers per year, just to maintain class sizes optimal. Besides, the current labour force participation rate is 78.7 percent (UNHS 2009/10). From the demand side point of view, annual private education costs incurred (i.e., on school fees, transport, uniform and sports kits, books and scholastic materials and other school expenses) by households will be fixed at USD 282.

5. From a gender perspective, given the population growth of 2.2 percent (as per 2002 national census), girls in-take ratio would reduce alongside an increase in girls’ enrolment by 5 percent by 2017, and gender equality assumed to be 50-50 by end of project cycle. For labour productivity estimates, we assume that entry into labour force is at 17 years and people work

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<sup>21</sup> The Primary completion rate is defined as the total number of pupils who registered for PLE in 2010 regardless of age. Expressed as a percentage of the projected population at the official primary graduation age 12 for P7.

until the age of 60. The estimates considers that students can get returns to labour at early age and in reality there may be majority of them who would start earning at later age.

### ***Economic Returns to Primary Education***

6. To estimate the effect of increased schooling attainment (years of completed schooling) on private economic returns to education. We partly estimate the Mincerian (1974) wage earnings function to demonstrate the individual/private differential earnings for different education level/schooling years and work experience. The dependent variable in this case is the log of wage earnings regressed against set of dummies for primary, secondary, tertiary, and post schooling experience, working hours. Years of forgone earnings are assumed to be 2 (for primary), 6 (secondary) and 4 (tertiary) respectively. In this calculation, we expect primary education to demonstrate higher private economic returns at the basic education level.

7. The estimations of economic returns to primary education are based upon the Uganda National Panel Survey (2009) that suggests how much different levels of education increase individuals' income-earning ability as presented in Table 1. We also quantify the increased earnings of the primary school graduates over students who do not complete the cycle-for the students who remain in school and acquire learning as a result of the improved teacher and school effectiveness. The wage equation is estimated that related to differences (in logarithmic form) in wages for different levels of education, years of experience and working hours. The results imply that at basic education, primary education yields high private and social returns than secondary, thus justifying the need for further investment in primary education. The results further indicate that: (a) across all levels of education, private economic returns are higher than social returns due to higher resource costs of investment, (b) for basic level of education, the rate of return to an additional year of education in Uganda is above 20 percent for both males and females in urban and rural areas; and (c) economic returns also rise with increases in working time, and with diminishing marginal returns on work experience.

**Table 1: Rate of Return to Education Investment in Uganda (%)**

<b>Rate of Return</b>	<b>Primary</b>	<b>Secondary</b>	<b>Tertiary</b>
Private	32.0	25.4	56.1
Social	29.2	23.1	55.9
Years of forgone earnings	2	6	4

*Source:* Uganda National Panel Survey, 2009.

Note: Social Rate of Return estimates are based on directly observable monetary costs to schooling and foregone earnings as suggested by Summers, 1992.

### ***Project Costs***

8. The total project costs is set at US\$100 million to cover three components of teacher effectiveness (40%), school effectiveness (50%) and technical assistance (10%). The grant include the total economic costs expected to be incurred in the implementation and running of the project, including investment costs, recurrent costs, and the opportunity cost of time for those students projected to remain in the educational system longer (and hence remain out of the



labour market). Specifically, the main component of the project will be instructional material procurement, provision, and distribution sub-component, School Management and head teacher training, School Facility Grant, Early Childhood Education activities, teacher training and improved teacher support, Scheme of Service and School reporting cards program. The implicit unit cost of the student is estimated at US\$12. At the 10 percent discount rate, the total present value of the benefits is US\$119.2 and the opportunity costs are calculated based upon the average annual income of a primary graduate (US\$348) estimated from UNPS (2009) data. We can interpret this cost as the foregone earnings by same group of students who were estimated to survive through the primary cycle in school. At this labour market rate, we estimate a total opportunity cost of US\$430 million for the seven year period after project completion.

### ***Project Costs and Benefits***

9. The estimates of net present value of benefits and internal rate of return can be achieved by considering the flow of costs and benefits over the life of the project and the working life of students affected by the project implementation. However, this realization is assumed to occur while the graduate is at least 11 years old, so no flows are calculated beyond the age of 60. Table 2 provides summary estimates of the benefit-cost ratio and internal rate of return. The economic analysis examines the returns to the project in terms of increased completion rate at primary education cycle, since there is no readily available data on teacher effectiveness. The benefit-cost ratio is estimated at 4.3 and the project yields the net present value of US\$106.1 million over the 11 year period with an internal rate of return of 27 percent, thus suggesting the viability of the project on economic basis. The high benefit-cost ratio may be partly explained by the wide gap in economic returns between primary school graduates and those who do not complete primary school cycle.

**Table 2: Benefit-Cost Ratio and Internal Rate of Return**

<b>Year</b>	<b>Investments/Costs</b>	<b>Total Benefits</b>	<b>NPV</b>
2014	15	0	-13.6
2015	30	0	-24.8
2016	30	0	-22.5
2017	25	0	-17.1
2018	0	15	9.3
2019	0	30	30.0
2020	0	45	23.1
2021	0	60	28.0
2022	0	75	31.8
2023	0	90	34.7
2024	0	115	40.3
<b>Total</b>	<b>100</b>	<b>430</b>	<b>119.2</b>
BCR	4.3		
IRR	27%		
NPV	\$106.1		

## *Sensitivity Analysis*

10. Since the quantitative measure of NPV and IRR are based on assumptions, for instance, fixing some parameters to be time invariant. But what if economic situations change, would the bottom line results also change and by how much? We therefore conduct sensitivity analysis to provide a way to show how project outcomes would be affected and how responsive or sensitive those outcomes would be to changes in the values of specific project variables. To assess the extent to which changes in the assumptions affect the expected benefits of the project, we provide three scenarios: first is a reduction in project benefits by 10 percent and 20 percent; second is when there is possible project delay by 1 year; and thirdly, an increase in discount rate from 10 percent to 15 percent due to economic conditions. The summary results from the three scenarios suggest that the project would be justifiably stable. However, there would be more economic losses in situations of project delay (by 1 year) than other scenarios. We anticipate that: completion rate would rise by 23 percent; labour force participation will not decline below 79 percent despite an increase in primary graduates; and that no dropouts and no grade repetition since the project is partly meant to reduce teacher effectiveness.

**Table 3: Sensitivity analysis based on reduction of benefits and increase in discount rate**

	<b>Base</b>	<b>Reduction in Benefits</b>	<b>Project Delay</b>	<b>Discount Rate</b>	
		<b>10%</b>	<b>20%</b>	<b>1 year</b>	<b>15%</b>
Total Benefit (US\$ millions)	430	387	344	215	330
Benefit Cost Ratio	4.3	3.8	3.4	3.1	4.3
Net Present Value (US \$)	106.1	87.6	69.3	59.8	55.5
Internal Rate of Return (%)	30	25	22	23	27

11. **Financial Analysis:** This project is expected to have relatively small and sustainable fiscal impacts on government finances. Although the education sector has the largest share of the total government recurrent expenditure in Uganda, public outlays on education have been lower compared to international standards and sub Saharan Africa average and have shown declining trend in recent years. Public spending on education sector in 2010/11 was 5.3 percent of GDP and 13.0 percent of government budget, with declining proportions over the past decade. Moreover, the proportions allocated to primary education have been gradually declining with high shares shifting to secondary education.

12. Before 2007, the outturns on development expenditures for primary education were quite high and the development vote was mainly funded from domestic sources. The public sector management approach saw donor support directed to the National budget (basket funding). Analysis shows that budgets have not yet been decentralized to the Local Government levels completely as yet. Also, local government budgets for education have been diminishing or fluctuating greatly because of interference in the revenue generation and weak revenue collection machinery. It is hoped that this project will build capacity of local governments and school management (as the frontline education service providers) for effective school inspection and teacher supervision, thus making the teaching and learning more effective.

## GDP and Education Spending

	(Bill. UGX)	2007/08	2008/09	2009/10	2010/11	2011/12
<sup>a</sup> GDP	Total	24,497	30,101	34,908	39,051	49,087
	Education	1,491	1,686	1,801	2,088	1,970
	% of GDP	6.1	5.6	5.2	5.3	4.0
	% change	-1.0	-0.5	-0.9	0.2	-1.3
<sup>b</sup> Budget	Total	4,318.0	4,949.0	6,785.5	8,808.9	9,630.0
	Education	757.5	811.0	928.5	1,179.8	1,416.3
	% of budget	17.5	16.4	13.7	13.0	14.7
	Primary (%)	57.4	57.8	55.2	52.6	51.5
	Secondary (%)	24.7	25.5	28.1	23.6	25.3
	Tertiary (%)	17.9	16.7	16.7	23.8	23.2
	(Mill. UGX)					
<sup>c</sup> Local Government Recurrent expenditure	Total	847,760	1,039,355	1,264,574	1,244,600	1,256,535
	Education	386,462	455,316	487,372	538,751	650,766
	% of Expenditure	45.6	43.8	38.5	43.3	51.8
	% change	-4.6	-1.8	-5.3	4.7	8.5

<sup>a</sup> Value added by economic activity at current prices, Bill shs. Fiscal years

<sup>b</sup> Includes recurrent, domestic development and external development

<sup>c</sup> includes districts and urban authorities

Source: Uganda Bureau of Statistics & Ministry of Finance, Planning and Economic Development.

## Sustainability

13. MoES education spending in 2011-12 was estimated at 1,970 billion Ugandan shillings of which about 52 percent was spent on primary education. Hence, the per year project budget translates into 8.4 percent of total MoES budget on primary education. Keeping salary costs for school employees fixed at the FY2012-13 level, maintaining project activities beyond the life of the project is expected to increase annual recurrent costs by approximately US\$6 million (based on high assumed rates of depreciation for textbooks and motorbikes for inspection). This comes to about 2 percent of the MoES current yearly spending. Assuming relatively stable shares to primary education in Government spending, this increase in recurrent cost is absorbable provided Government commitment to primary education is sustained beyond the life of the project.

**Annex 9: Governance and Accountability Action Plan (GAAP)**  
**UGANDA**  
**Teacher and School Effectiveness Project**

**A. Introduction**

1. This Governance and Accountability Action Plan (GAAP) names the key governance challenges and describes the planned actions in GPE Teacher and School Effectiveness project to meet those challenges. The GAAP aims to improve governance and accountability for resources for primary education sub sector through fostering transparency and accountability in the use of GPE funds. The GAAP draws on existing governance diagnostics in the education sector to identify key project specific and overall sector wide steps that could be undertaken to address governance challenges in the sector.

2. Over the last five years, several analytical studies have been undertaken in the sector including: *Efficiency of Public Education in Uganda* (2008) aimed at contributing to improving efficiency and effectiveness of the education sector, *Uganda Institutional Capacity Assessment* (2010) aimed at refining the Education Sector Strategic Plan (2004-2015), and *Primary Education System Analysis* (2011) aimed at addressing the question of quality of primary education in Uganda. In addition, the MoES has carried out 4 independent tracking studies since 2000 in order to increase the level of fiduciary assurance in the education sector. The purpose of these tracking studies is to build a series of reports to show how the sector is performing in terms of general utilization and accountability of funds. Furthermore, the Government of Uganda is engaged to respond to the identified governance and accountability challenges. The Judicial Commission of Inquiry into the Mismanagement of Universal Primary and Secondary Education School Funds report (2012) also highlighted several governance challenges on the implementation of universal primary and secondary education to which the Commission made several recommendations. These studies and report provide rich sources of information on governance constraints in the education sector and emphasize governance challenges related to (a) inadequate accountability of funds; (b) mismanagement of resources leading to poor policy implementation and service delivery; and (c) grand corruption.

3. Uganda's latest Country Assistance Strategy (CAS) Progress Report (2013) provides for a strategic re-direction of the Bank's efforts to address governance and corruption challenges which was prepared in response to emerging governance challenges that disrupted aid flow in the country. The Progress Report has proposed key adjustments in view of the changing context to help restore the path for improved governance and accountability. The Bank will adopt a three-pronged approach: (a) continuing support for public finance and procurement management systems and processes (system-wide as well as achieving value for money); (b) strengthening country oversight institutions; and (c) promoting accountability mechanisms at the local level to deliver better services. In line with these recommendations, the GAAP provides actions to promote accountability for effective service delivery both at the center in the MoES and at district level right down to the school level.

4. The GAAP is not an add-on function of the project. It is intertwined with the project objectives, components, and activities. First, the GAAP seeks to contribute to a

more effective governance and accountability of the education sector (from national to school level). Secondly, the Plan aims at establishing adequate governance and accountability for the project itself in order to increase responsiveness to the needs of stakeholders and reduce risks of corruption. The main instruments to reach these objectives are:

- (a) Encourage decentralization of power for increased autonomy;
- (b) Increase accountability for the decentralized power by building capacity to manage and supervise at arms-length based upon results;
- (c) Build local participation and community empowerment, including involvement of stakeholders in technical education and GPE (teachers, head-teachers, parents, local governments, NGOs through FENU etc.); and
- (d) Increased information collection and disclosure (through school report cards, payroll system improvement plan, EduTrack and Ureport).

5. The annex first provides an overview of the challenges for governance and accountability in Technical Education and in GPE at the country, sector, and school level. This is followed by the Action Plan in a table-format.

## **B. Governance at the Country Level**

6. At the Country level the GOU has pursued a combination of governance reforms in recent years. Among the key initiatives are: (a) creation of a legislative framework for public finance management; (b) service delivery arrangements under the sector wide approach (SWAP); (c) political, administrative, and fiscal decentralization to local governments; (d) public sector management reforms to regulate human resource recruitment, remuneration, and performance; and (e) regulatory institutions put in place to ensure compliance with national standards in several areas. Overall progress has been mixed. At the Country level, although Uganda has maintained an overall Country Portfolio Index (CPI) score of 3.8 in the last 3 years, the assessment on public administration and specifically corruption has declined from 2.5 in 2010 to 2.0 in 2012.

7. *Uganda has a comprehensive institutional, legal and policy framework to improve governance and address corruption in the country.* The primary agency mandated to lead the fight against corruption is the Inspectorate of Government (IG) which is complimented by other secondary agencies such as the Directorate of Public Prosecutions (DPP) and Uganda Police through its Directorate of Criminal Investigation (CID). The legal framework is governed by the Constitution of Uganda (1995) and key legislation such as IG Act (2002), Public Finance and Accountability Act (2003), PPDA Act (2003), Anti-Corruption Act (2009), and Whistleblowers Act (2010). The 5-year National Anti-Corruption Policy, now in its third phase (2009-2013), is the main tool for implementing the country's national policy of "zero" tolerance for corruption.

8. *However enforcement of anti-corruption legislation and administrative sanctioning remain a serious challenge in raising the bar against corruption in an environment where poor adherence by public officials to public financial management laws and regulations is one of the major constraints to improving service delivery.* The Study on Non-Compliance in Public Financial Management in Uganda (2011) published

by BMAU reported that the Public Finance and Accountability Act (2003), PPDA Act (2003) and Local Government PPDA Regulations (2006) were the most violated laws at all levels of Government. The most common violations included flouting of accounting procedures, irregular procurement practices, false accounting and embezzlement. The IG Report to Parliament (Jan-June 2011) reported that complaints<sup>22</sup> against Municipal and Town Councils accounted for 8.5% of the total complaints received in this period ranking these Local Governments as the third most complained against institutions after District Administration and Public Officials. In last few months two major corruption and financial mismanagement scandals in key Ministries have raised critical questions on the strength and credibility of the country's entire PFM System.

9. *Citizen demand for good governance remains weak.* While efforts have been made previously to introduce direct accountability mechanisms, such as citizen report cards and expenditure tracking, those initiatives remain few and localized. The capacity of civil society to reach out to the citizens remains low.

### **C. Overview of the Challenges of Governance and Accountability of the Education Sector**

10. Accountability is a growing concern in the education sector in Uganda. In recent past, development grants have been suspended from Uganda citing irregularities with the way the grant funds were being used. The education sector is not immune from these governance challenges.

11. At the school level, there is evidence of weak governance and support systems. A 2011 study indicates that School Management Committees (SMCs) have limited capacity to execute the legislated functions - only one in four SMC members expressed awareness of key functions like planning and monitoring of education programs in school. In addition, only 32 percent of interviewed SMC members considered school development planning a key responsibility of SMC members. Evidence from the Basic Required Minimum Standards (BRMS) baseline survey also points to low school compliance to established standards and procedures in a number of areas. This further attests to weak school governance systems.

### **D. The Governance and Accountability Action Plan**

12. The GAAP compliments the MoES' efforts to address some of the key governance challenges identified and pursues a comprehensive approach to strengthening governance and accountability in the GPE project and the education sector as a whole. The action plan presents a flexible design that will allow for (a) further development through annual governance and anticorruption work plans that the GoU and the Bank will agree upon based on the project's expected outcomes, and (b) the project to complement MoES efforts and work with the entire education sector and ensure progress in education financing, internal systems reform and external accountability reforms. The GAAP will focus on the following three areas: (a) strengthened internal efficiency through mitigating risks related to resource management (both financial and human); and (b) strengthened

school governance and accountability for increased local participation and community empowerment. A range of specific actions are planned to mitigate governance risks, including fraud and corruption that will be encountered during project implementation, including: (i) enhance transparency in the bidding process, notably by involving both district, school official as well as community members in the construction; (ii) revise and detail the national guidelines for the School Facility Grant (SFG), in particular around bidding and construction supervision; (iii) improve the procurement process and guidelines for procurement of instructional materials; (iv) use of third-party monitoring as well as unannounced school visits, (v) implementation of ICT solutions for reporting, notably for school inspections; (vi) provision of more information to all levels of the system (teachers, head teachers, district officials and ministerial staff) in order to raise demand for accountability.

#### **E. Strengthened Internal Efficiency - Mitigating Financial and Procurement Risks**

13. The GAAP compliments standard fiduciary accountability measures on procurement management as follows:

14. *Procurement at the national level* will be implemented by the Ministry of Education and Sports which will procure instructional materials and technical assistance. The key risks to procurement are: (i) major delays in procurement due to lack of adequate staff with appropriate experience in procurement in both the procurement and technical departments; (ii) weak interdepartmental coordination which exacerbates these delays; (iii) weaknesses on contract administration resulting in cost escalations, delayed or incomplete deliveries and substandard deliveries, (iv) high costs as a result of delays in payments to providers; and (v) inadequate review and oversight.

15. The GAAP proposed to mitigate these risks by the following actions:

- (a) hiring additional staff in the procurement and technical departments prior to project effectiveness;
- (b) training in procurement and contract administration;
- (c) establishing a contract management and reporting system including independent verification of quality, timeliness and completeness of delivery; and (iv) regular Internal Audit of procurement processing and contract administration to assess adherence to agreed business standard and timely remedial action.

16. *Procurement for school facilities contractors* will be conducted by the respective Local Governments and shall mainly follow national competitive bidding. The main risks to procurement are: (a) high costs due to: (i) low bidder participation; (ii) potential collusion, and (iii) fragmentation of contracts; (b) inadequate procurement and contract management structures in some LGs leading to poor procurement and construction management; (c) unpredictability of funds release leading to delayed procurement and payments, and (d) weak procurement planning and monitoring.

17. The GAAP outlines the following measures to mitigate these risks:

- (d) An updated and more detailed national guidelines for the School Facility Grant;
- (e) Independent procurement and performance audit of the SFG to determine the adequacy of constructed facilities as part of the DLI; and

- (f) Requiring that only LGs with established structures and staff for procurement and construction management are eligible to implement the SFG.

**F. Strengthened School Governance and Accountability - Mitigating Education Human Resources Risks**

18. To promote effective school governance and accountability, the project will implement the following activities:

- c) ***Head-teacher training***: This training will be executed in the form of a comprehensive package designed to address the most critical gaps in head-teacher performance. The training package will include: (i) training on leadership; (ii) training on HR management and payroll issues; (iii) training on school supervision/ internal school based assessment and evaluation; (iv) school report cards (see below) and (iv) for eligible schools, training on BRMS indicators, school grant application process, monitoring of construction etc.
- d) ***Enhancing the effectiveness of SMCs***: This activity will involve training and awareness program targeted at SMCs on: (i) planning for school development, (ii) preparing and managing budgets, (iii) monitoring teacher and pupil performance, (iv) school report cards (see below) and (iv) for targeted schools, basic technical training for carrying out supervision of construction activities under school facilities grants. This activity will also include phasing in of an ICT-based capacity development program (SMSs), coupled with regular provision of relevant written materials.



**Table 1. Governance and Accountability Plan**

Sl. No.	Governance & Accountability Mapping Areas	Agreed Actions During Project Implementation	Lead Responsibility Centre
<b>1</b>	<b>Governance of the Education Sector</b>		
1.1	Objective and Transparent Project Funding	<p><i>School Selection for Project Activities</i> – Establishing transparent selection criteria based on national monitoring indicators of basic requirements and minimum standards for education service delivery, to be fully agreed between government and development partners.</p> <p><i>Promote the national policy on zero tolerance to corruption</i> – Developing strategies that enhance transparency and accountability of project operations in the design with full involvement of the Inspectorate of Government (IG); and establishing third party monitoring engaging non-state actors at implementation stage.</p>	Coordinator
1.2	Strengthening of School Based Management Information System	<p><i>Establishing of a real-time collection of information for the Education</i> - to collect school based operational information in a timely and efficient manner; and ensuring timely disclosure for necessary actions.</p> <p><i>Real-time reporting of school inspection reports filed at the school location with a GPS location mark</i> (if possible), and uploaded into a MIS with instant information available to relevant administrators and community, including the DEO and School Committee members as well as central administrator.</p>	Directorate of Inspection Standards
<b>2</b>	<b>School governance and accountability</b>		
2.1	School Management Committees	<p><i>Enhancing the effectiveness of School Management Committees (SMCs)</i> – Training and awareness programs targeted at SMCs on: (i) planning for school development, (ii) preparing and managing budgets, (iii) monitoring teacher and pupil performance, (iv) school report cards and (iv) for targeted schools, basic technical training for carrying out supervision of construction activities under school facilities grants. The project will also include an activity on phasing in of an ICT-based capacity development program (SMSs), coupled with regular provision of relevant written materials.</p>	Basic Education
<b>3</b>	<b>Adequate Governance and Accountability of the Project</b>		
3.1	Project Implementation arrangements (further described in Annex 3)	<p><i>Project Implementation Plan</i> – Strengthening accountability and transparency of overall project implementation by providing detailed project implementation plans and related roles and responsibilities to relevant stakeholders.</p> <p><i>Education Sector Consultative Committee (ESSC)</i> will serve as the national steering committee consistent with education sector norms – Establishing strong governance at national level with a wide range of stakeholders. The Local Education Group (LEG) already exists to serve as an advisory organ for the GPE. Agreements reached by the LEG will be regularly presented to the ESSC which convenes every 2 months. Minutes of such meetings will also be made available.</p> <p><i>Civil Society Advisory Group</i> – Strengthening the voice and involvement of the Civil Society Organizations (CSOs) as a key stakeholder in the project through the engagement of the Forum for Education Network in Uganda (FENU).</p>	Coordinator in partnership with Coordinating Agency

3.2	Project Information Disclosure	<p><i>To demonstrate transparency and accountability towards stakeholders and the general public, the following documentation will be publicly available:</i></p> <p>Project Implementation Plan with fiduciary manuals, procurement plan, audits, call for proposal with eligibility and selection criteria, list of qualified districts, selection of institutions in the competitive fund, semi-annual reports on project performance.</p>	
<b>4 Strengthened Internal Accountability</b>			
4.1	Mitigating Governance and Accountability Risks in Procurement Management	<p><b>National level</b></p> <p><i>Procurement Management Support</i> – Hiring additional staff in the procurement and technical departments prior to project effectiveness.</p> <p><i>Procurement Training Package</i> – Developing capacity of members and staff responsible for procurement through a custom made training package in procurement and contract administration.</p> <p><i>Quality Assurance Mechanism</i> – Strengthening the quality assurance mechanism by establishing a contract management and reporting system including independent verification of quality, timeliness and completeness of delivery, and regular Internal Audit of procurement processing and contract administration to assess adherence to agreed business standard and timely remedial action.</p> <p><b>District Level</b></p> <p>Procurement for school facilities contractors will be conducted by the respective Local Governments and will mainly follow national competitive bidding.</p> <p><i>Procurement Management Support</i>–Developing an updated and detailed national procurement guidelines for the School Facility Grant (SFG).</p> <p><i>Procurement Oversight and Quality Assurance Mechanism</i> – Strengthening procurement oversight through an independent procurement and performance audit of the SFG to determine the adequacy of constructed facilities as part of the DLI and requiring that only local governments with established structures and staff for procurement and construction management are eligible to implement the SFG.</p>	Procurement and Disposal Unit (PDU)
3.2	Mitigating Governance and Accountability Risks in Financial Management	<p><i>Financial Management Support</i> – Hiring an accounts assistant to work with the already existing financial management specialist working on the Uganda Post Primary Education Project (UPPET) to strengthen this function; and ensuring the financial management DLI is meant over the project cycle.</p> <p><i>Regular Financial Management Trainings</i> – Strengthening the capacity of staff on financial management through tailored and periodic FM trainings at national and district levels.</p> <p><i>Regular Independent Audit</i> – Enhancing the quality of monitoring the financial management at institutional level.</p> <p><i>Transparency and Information Disclosure</i> – Improve transparency in financial management by periodically disclosing, among others, Financial Monitoring Reports, Manuals, audit reports on the project website.</p>	Finance and Administration Unit

**Annex 10: Social Assessment**  
**UGANDA**  
**Teacher and School Effectiveness Project**

1. The main purpose of the social assessment is to evaluate the project's potential positive and adverse impacts on the affected Indigenous Peoples. It is also used to inform project preparation to ensure that project activities are culturally appropriate, will enhance benefits to target groups, and is likely to succeed in the given socioeconomic and cultural context. In this way the assessment informs the preparation of the design of the project as well as any particular measures and instruments needed to address issues and concerns related to Indigenous Peoples affected by the project. The findings of the social assessment are described in a separate report and it includes the following:
  - A description, on a scale appropriate to the project, of the legal and institutional framework applicable to Indigenous Peoples;
  - Baseline information on the demographic, social, cultural and political characteristics of the affected indigenous communities, and the land and territories which they traditionally owned, or customarily used or occupied and the natural resources in which they depend;
  - Description of key project stakeholders and the elaboration of a culturally appropriate process for consultation and participation during implementation;
  - Assessment, based on free, prior, and informed consultation with the affected Indigenous Peoples' communities, of the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is an analysis of the relative vulnerability of, and risks to, the affected indigenous communities given their distinct circumstances, close ties to land, and dependence on natural resources, as well as their lack of opportunities relative to other social groups in the communities, regions, or national societies they live in;
  - Identification and evaluation based on free, prior, and informed consultation with the affected Indigenous Peoples' communities, of measures to ensure that the Indigenous Peoples receive culturally appropriate benefits under the project and measures necessary to avoid adverse effects, or if such measures are not feasible, identification of measures to minimize, mitigate, or compensate for such effects.

**Summary of Findings from the Social Assessment Report**

2. A social assessment was commissioned with the overall objective of undertaking a social screening of the presence of IPs and subsequently a social assessment report for the GPE project has been prepared.
3. Using free, prior and informed consultations, the social assessment gives a review of the policy, legal and institutional framework at international and national level relevant to early childhood and primary school education, provides the social profile of communities in Kaabong and Kanungu Districts with specific reference to the Batwa and Ik people, highlights the status of education resources found in these districts, Screening of IPs in the GPE Project Proposed Areas and the impacts of the GPE project to IPs.

4. It established that access to school by the IK is still a huge problem with the nearest school being about 10 Kms away. As a result community schools have been supported in the Ik community to ease the burden of long distances travelled to school. This is not the case with Batwa in Kanungu district; most of them have been resettled within the communities within which the primary schools exist. For both the IP communities, there is no need for a special cultural curriculum appropriate for them neither a school calendar suitable them as these IPs clearly understand the current curriculum used however, the cultural factors and negative attitudes that are impeding the education of their children are addressed.
5. Availability of trained teachers is still a big problem in both districts as they mainly depend on licensed teachers who are not trained. These districts lack Teacher Training Colleges and depend on teachers from outside districts especially in Kaabong district. Therefore the implementation of thematic curriculum may become a challenge for the ECD centres which requires them to use the local language. The instructional materials for the thematic curriculum are also inadequate; though relevant in terms of language for the Batwa they may not be appropriate for the IK children who do not understand Karimojong language. This calls for a special strategy if component 1. Of the project is to be achieved.
6. There are several NGOs that are championing education programmes for performance improvement the IPs. These include; ADRA Uganda and KOPEIN in Kaabong and Batwa Development Program, United Organization for Batwa Community, Bwindi Mgahinga Conservation Trust (BMCT) in Kanungu District. They provide all the scholastic materials, fees and food and even sponsor these children in boarding schools to encourage them stay at school. They also build capacity of the SMCs and PTAs and facilitate in awareness campaigns for primary education. In both districts there are missionaries that offer scholarships for IP children and have continued fundraising for their education.
7. **Gender:** Social and gender discrepancies were evident right from the District level, whereas Kaabong is headed by a Male LC V in Kanungu it is a Female. However, in both districts most of the jobs are dominated by males. This goes across the board to head teachers, teachers, and members of the SMCs and to pupils. The social assessment notes that there are major gender disparities in school attendance, retention, and completion rates between girls and boys in Kanungu and Kaabong districts. The degree of the imbalances is however not uniform across the districts.
8. Enrolment figures for P.1 to P.7 for the schools visited suggest that girls are always fewer than their counterparts and the disparities widen as one goes further from P.4 to P.7, with some schools registering no girl for PLE. There is a high dropout rate for girls as shown by the retention levels of 78% for boys and 22% for girls. Performance among both girls and boys is generally low but not skewed towards any gender as it differs from year to year. There are fewer female teachers in the district with some schools having none at all. School management committees have one or two female members and their active participation is limited due to various factors.
9. Participation of girls and boys in primary education in Kanungu district is inclined towards girls as there are more girls (51%) enrolled at primary school level than boys. While in

Kaabong the reverse is true due to the Karamojong culture which places a girl at home responsible for household chores and is viewed as a source of wealth (dowry) used for feeding the family and also marrying for the boys.

10. The screening of IPs in the GPE project proposed areas established that IPs are found in the GPE selected areas. Two schools in Kaabong (Timu and Kamion primary schools) and of the 16 priority schools selected to benefit from the proposed GPE project, it is estimated that about 4 schools might have Batwa children or are in the vicinity of Batwa community in Kanungu district. This implies that the implementation of the GPE project in Kaabong district will trigger the World Bank Policy on IPs OP 4.10., necessitating the preparation of an Indigenous Peoples Planning Framework (IPPF).
11. **Potential Positive Impacts:** improved teachers' motivation; better schools within vicinity; better schools may change attitude by the community to start valuing education (reduction of negative attitudes of parents towards education); girl child education may be improved; the project could increase the number of Ik and Batwa learners to advanced levels; increased enrolment; improved primary education performance; reduced dropout rates; increased completion rates; improved numeracy and literacy and; more effective teachers in the district.

## **Recommendations**

12. Based on the social assessment in Kaabong and Kanungu districts, the following recommendations specific to the IPs are proposed to be considered in refining the project design and further development to ensure that they benefit from the project:
  - The affected Batwa and Ik be consulted to develop an IPPF that would guide their participation and ensure that they benefit from the project in a way that suits them and avoid or minimise adverse impacts on them.
  - To boost capacities at district and school management levels with regard to the effective management social safe guards, the district education department team as well as the school management committees should be trained on the importance of social safe guards and their management.
  - Take into consideration the culture of the Batwa and IK and sensitise teachers and the school management to be patient with the Batwa and Ik and give them time to change, be creative and innovative in handling them so that they can gradually begin to enjoy being at school and miss it when they are away. This could be incorporated in the trainings the GPE project plans for the SMCs and teachers.
  - Affirmative action by Kaabong and Kanungu districts should be taken in order to address the gender imbalance regarding absenteeism of both the learners and teachers. Furthermore, interventions aimed at reducing absenteeism among learners and teachers should be targeted.
  - Review of guidelines for the formation of SMCs to ensure equal representation of women and men; and in areas where minority groups exist, affirmative action should take precedence.

- The training and capacity building initiatives of SMCs that the proposed GPE project intends to undertake should incorporate training on gender and IP issues to enable the articulation of gender issues in SMC meetings
- Findings reveal that the provision of teachers' accommodation will reduce on absenteeism and improve their effectiveness. However the construction of teachers' houses should take into consideration the number and gender composition of the teachers in the school in order to provide adequate accommodation based on the situation on the ground
- The districts should consider transferring female teachers to schools nearby their families or in areas where they can easily live with their families as findings show that in remote hard to reach areas where there are no trading centres to offer rented accommodation like Mpungu sub county in Kanungu district, female teachers would not effectively operate in such schools.
- MoES to allocate a focal point person to follow-up on the safeguard issues during the implementation of the GPE project.