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**INVESTMENT DESIGN FOR**

**SAMOA EDUCATION SECTOR SUPPORT PROGRAM**

**(ESSP)**

**July 2015 to June 2018**

**JULY 2015**

Original document updated July 2015

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## VERSION HISTORY OF EXECUTIVE SUMMARY

DATE		RESPONSIBLE
January 2014	Peer appraisal ESSP Need for significant rewrite identified	Design team
July 2014	Revised document produced Second peer appraisal Need for revisions identified Decision taken to revise the executive summary	Design team
October 2014	Straw-man draft outline of executive summary	MFAT - Frances Kelly
November 2014	Draft of executive summary	MFAT - Frances Kelly
December 2014	Further draft of executive summary	DFAT Program Advisor - Barbara Thornton
December 2014	Review of main document identifying deletions and updates	MFAT - Frances Kelly, DFAT
January 2015	Executive summary reviewed	MFAT, DFAT
February 2015	Further draft of executive summary	DFAT Program Advisor Barbara Thornton
February 2015	Deletions and updates to main document	DFAT Program Advisor Barbara Thornton
March 2015	Updates via track changes incorporated by NZMFAT and DFAT	NZ MFAT and DFAT
April – May 2015	Changes to task-forces made following pre-ESSP workshop Changes to financials, modality options, PFM, Procurement and Risk updates	DFAT DFAT Program - PFM Advisor Tony Higgins
June – July 2015	Incorporated comments from the Education Sector and MOF	DFAT DFAT Program - PFM Advisor Tony Higgins

## Acronyms and abbreviations

ACEO	Assistant Chief Executive Officer	NER	Net Enrolment Rate
ADB	Asian Development Bank	NFE	Non-Formal Education
APTC	Australia–Pacific Technical College	NGO	Non-Government Organisation
CAP	Community Access Program	NTDF	National Teacher Development Framework
CAS	Career Advisory Service	NUS	National University of Samoa
CDC	Cabinet Development Committee	PaBER	Pacific Benchmarking for Education Results
CEO	Chief Executive Officer	PAF	Performance Assessment Framework
CMAD	Curriculum, Materials and Assessment Division	PBIF	Policy-Based Incentive Fund
CSD	Central Services Division	PEO	Principal Executive Officer
		PESDA	Pacific Education and Development Skills Agenda
DPs	Development Partners	PFM	Public Financial Management
ECE	Early Childhood Education	PPRD	Policy, Planning and Research Division, MESC
EMIS	Education Management Information System	PSC	Public Service Commission
ESAC	Education Sector Advisory Committee	PSET	Post School Education and Training
ESC	Education Sector Coordinator		
ESCD	Education Sector Coordination Division	PSSC	Pacific Senior School Certificate
ESP	Education Sector Plan	QAD	Quality Assurance Division
ESP II	Education Sector Program II	QD	Qualifications Division
ESSP	Education Sector Support Program	SABER	Systems Approach for Better Education Results
		SAT	Samoa Tala
ESWG	Education Sector Working Group	SBS	Sector Budget Support
FY	Financial Year	SDS	Strategy for the Development of Samoa
GDP	Gross Domestic Product	SFS	Sosaiete Faiaoga Samoa
GoS	Government of Samoa	SICTP	Samoa In-Country Training Program
IA	Implementing Agency	SIEDP	Samoa Inclusive Education Demonstration Program
ICT	Information and Communications Technology	SOD	School Operations Division
IE	Inclusive Education	SPECA	Samoa Primary Education Certificate Assessment
KPI	Key Performance Indicator	SPELL	Samoa Primary Education Literacy Level Test
		SQ	Samoa Qualifications
MCIL	Ministry of Commerce, Industry and Labour	SQA	Samoa Qualifications Authority
MDG	Millennium Development Goal	SQF	Samoa Quality Framework
M&E	Monitoring and Evaluation	SSFGS	Samoa School Fee Grant Scheme
MERD	Monitoring Education Research and Development Division	SSLC	Samoa Secondary Leaving Certificate
MESC	Ministry of Education, Sports and Culture		
MOH	Ministry of Health	SUNGO	Samoa Umbrella Organisation for NGOs
MOF	Ministry of Finance	SWAp	Sector Wide Approach
MSS	Minimum Service Standards	TVET	Technical and Vocational Education and Training
MTEF	Medium-term Expenditure Framework	USP	University of the South Pacific
		VC	Vice Chancellor
MWCSD	Ministry of Women, Community and Social Services	TA	Technical Assistance
NCECES	National Council of Early Childhood Education for Samoa		
NCS	National Competency Standards		

**Currency:** All currency is in Samoan Tala (SAT) unless otherwise stated.

## Table of Contents

Executive summary .....	6
Theory of Change .....	9
Summary of activity's key outputs and intended outcomes .....	11
Education outcomes sought .....	14
Cross-cutting issues .....	14
Funding arrangements .....	14
Modality mix .....	15
Programme management and implementation arrangements .....	17
Results measurement, monitoring and evaluation .....	18
Procurement Arrangements .....	18
Risk assessment and management .....	19
Technical Assistance .....	19
Linkages with other donors .....	19
1.0 Analysis and strategic context .....	19
1.1 Country and sector issues .....	20
1.2 Development problem – issues analysis .....	20
1.3 Lessons learned .....	25
1.4 Strategic policy context and rationale for investment .....	31
2.0 Investment description .....	33
2.1 Theory of change .....	33
2.2. Delivery approach .....	39
2.3 Resources .....	47
3.0 Implementation arrangements .....	48
3.1 Management and governance arrangements and structure .....	48
3.2 Implementation plan .....	58
3.3 Procurement and financial management arrangements .....	58
3.4 Monitoring and evaluation .....	62
3.5 Sustainability .....	63
3.6 Inclusiveness .....	64
3.7 Risk assessment and management .....	65
Annex 1: ESP Logical Framework .....	68
Annex 2: Budget/cost estimates .....	70
Annex 3: Risk register .....	72
Annex 4: Capacity-building strategy .....	78
Annex 5: Taskforces .....	87
Annex 6: Projects supported by development partners .....	113
Annex 7: Recommendations for SICTP to be an NUS ESP program .....	116

Annex 8: PFM and procurement assessments .....	120
Annex 9: Update on pre-conditions as of July 2015 .....	128
Annex 10: Alignment between ESP/ESSP and PESDA .....	128

## TABLES

TABLE 1: % OF YEAR 6 STUDENTS IDENTIFIED AS AT RISK IN 2012 SPELL RESULTS .....	6
TABLE 2 PROPOSED RESOURCE COMMITMENTS FROM AUSTRALIA AND NEW ZEALAND.....	15
TABLE 3: KEY PERFORMANCE INDICATORS (KPIs FOR THE SECTOR).....	17
TABLE 4: SAMPLE OF THE TARGETS FOR ESP SECTOR OUTCOMES 1-3 (EXTRACT FROM TABLE 8 OF THE ESP) .....	35
TABLE 5: KEY PERFORMANCE INDICATORS (KPIs FOR THE SECTOR).....	38
TABLE 6: PROPOSED RESOURCE COMMITMENTS FOR ESP INCLUDING FOR AUSTRALIA AND NEW ZEALAND.....	40
TABLE 7: ANNUAL FIXED DISBURSEMENT TRIGGERS.....	43
TABLE 8: KEY PERFORMANCE INDICATORS (KPIs FOR THE SECTOR).....	44
TABLE 9: PRE-CONDITIONS FOR ESSP FUNDING.....	45
TABLE 10: PROPOSED AUSTRALIAN AND NEW ZEALAND FUNDING CEILINGS FOR THE ESSP .....	47
TABLE 11: TOTAL FINANCIAL RESOURCES AVAILABLE TO THE EDUCATION SECTOR IN FY 2013/14 .....	48
TABLE 1A: REVISED COSTINGS FOR THE ESP PROGRAMS (APRIL 2015).....	71
TABLE 2A: TECHNICAL ASSISTANCE FOR IMPLEMENTATION PLAN 2015/16 .....	84
TABLE 3A ESP STRATEGY FOR SUPPORTING TEACHERS THROUGH THE NTDF - OUTPUT/OUTCOME/GOAL LOGIC .....	91
TABLE 3B IMPLEMENTING THE STRATEGY – THE ACTIVITIES REQUIRED TO ACHIEVE THE OUTPUTS.....	92
TABLE 3C: ESP STRATEGY FOR LITERACY AND NUMERACY - THE OUTPUT/OUTCOME/GOAL LOGIC.....	97
TABLE 3D: IMPLEMENTING THE STRATEGY – THE ACTIVITIES REQUIRED TO ACHIEVE THE OUTPUTS.....	98
TABLE 3F: ESP STRATEGY FOR EARLY CHILDHOOD EDUCATION – THE OUTPUT/OUTCOME/GOAL LOGIC.....	102
TABLE 3G: IMPLEMENTING THE STRATEGY – THE ACTIVITIES REQUIRED TO ACHIEVE THE OUTPUTS.....	103
TABLE 3H: ESP STRATEGY FOR PSET – THE OUTPUT/OUTCOME/GOAL LOGIC .....	106
TABLE 3I: IMPLEMENTING THE STRATEGY.....	107
TABLE 3J: ESP STRATEGY FOR INCLUSIVE EDUCATION - OUTPUT/OUTCOME/GOAL LOGIC .....	112
TABLE 4: SCHOLARSHIP AWARDS FOR SAMOA OFFERED BY NEW ZEALAND AND AUSTRALIA IN 2014 FOR 2015 INTAKE .....	115

## FIGURES

FIGURE 1: THEORY OF CHANGE FOR ESSP .....	10
FIGURE 2: SUMMARY OF ESP 2013 – 2018 GOALS AND PROGRAM OUTPUTS, WITH ASSOCIATED CAUSAL ISSUES IDENTIFIED .....	11
FIGURE 2: ESSP COMPONENTS AND THEIR RELATIONSHIP TO THE SECTOR AND ESP LEADING TO ACHIEVEMENT OF THE ESP OUTCOMES.....	41
FIGURE 3: SUMMARY OF SECTOR BUDGET SUPPORT PLANNING, FINANCING AND REVIEWING CYCLES .....	42
FIGURE 4: ORGANOGRAM OF THE EDUCATION SECTOR COORDINATION DIVISION (ESCD) .....	49
FIGURE 5: ORGANOGRAM FOR EDUCATION SECTOR PLAN COORDINATION STRUCTURES .....	50
FIGURE 6: COMPOSITION OF THE EDUCATION SECTOR ADVISORY COMMITTEE (ESAC).....	50
FIGURE 7: ITEMS TO BE INCLUDED IN THE EDUCATION SECTOR ADVISORY GROUP MEETINGS.....	51
FIGURE 8: EDUCATION SECTOR SUPPORT PROGRAM (ESSP) ANNUAL BUDGETARY/IMPLEMENTATION CYCLE .....	54

## Executive summary

### Sector Analysis

Improvement in education and training are vital for the economy of Samoa and to help more Samoans become productively engaged in their country's development.

Samoa has achieved some significant success in education over the last decade including almost universal primary education, increase in secondary enrolments, and improvements in the national Year 12 examination results.

The biggest problem that needs tackling is improvement in the learning outcomes – notably the low levels of literacy and numeracy that are key requirements for all future learning, for employment and for contribution to a modern society.

**Table 1: % of Year 6 students identified as at risk in 2012 SPELL results**

Subject	At Risk Boys	At Risk Girls
Samoaan	21%	12%
English	55%	32%
Numeracy	62%	50%

Only around 50% of pupils reach year 12, with especially high dropout rates for boys. Of those who do reach Year 12, 20% do not sit the examination. Only 22% of Samoa's total population is engaged in formal paid employment, with two thirds of the potential labour force absorbed by subsistence agriculture. Men are more disadvantaged than women, with men in the rural areas being frequently less well educated and thus unable to get anything but the lowest paid employment, if such employment is even available<sup>1</sup>. Education is therefore one of the most critical development issues.

Samoa looks to achieve improved education outcomes through implementation of the Education Sector Plan (ESP) for 2013 – 2018. The ESP has five goals:

- Enhanced quality of education at all levels
- Enhanced educational access and opportunities at all levels
- Enhanced relevance of education at all levels
- Improved sector coordination of research, policy and planning development
- Established sustainable and efficient management of all education resources.

<sup>1</sup> A report on the estimation of basic needs poverty lines and the incidence and characteristics of hardship and poverty analysis of the 2008 household income and expenditure survey', Samoa Bureau of Statistics 2008

While supportive of the ESP goals, the focus of the Education Sector Support Programme (ESSP) is to ensure that implementation of ESP will lead to improved outcomes in education at all levels, seen through:

- i. Increased numbers of 3 – 5 year olds participating in Early Childhood Education
- ii. Improved literacy and numeracy scores at years 4 and 6
- iii. Increase in percentage of children commencing Year 1 Primary and completing Year 8
- iv. Increased numbers of children with special education needs in inclusive classroom settings with Individual Education Plans (IEPs)
- v. Increase in participation rates and outcomes of Year 12 examinations
- vi. Increase in transition rates to post school education and training
- vii. Increase in the employment rate of graduates of post school education and training.

The second phase of the Samoa Inclusive Education Demonstration Program (SIEDP) will also be incorporated into ESSP.

### **Causal analysis**

The 2014 Joint Review Mission and the Education Sector Support design document have identified a range of issues which Samoa needs to address to achieve these improvements.

- i. **Attracting, retaining and developing effective teachers**  
Many teachers have not had adequate pre-service training, nor on-going professional support to ensure they have the content, pedagogical and assessment knowledge needed to implement effective programmes. There is reportedly a lack of commitment and low morale, and hence low motivation to teach effectively. The NUS has expressed serious concern at the quality of school leavers entering the Faculty of Education to train as teachers.
- ii. **Effective school leadership**  
Head teachers require further development of their leadership and human resource management skills. While they have up skilled considerably to manage the introduction of school fee grants schemes, their role as leaders of learning in their schools is not sufficiently prioritised.
- iii. **Bilingual education expectations**  
The new primary school curriculum calls for a bilingual approach in years 1 - 6, but few teachers have received specific training in bilingual teaching, or methods for the introduction of English as an additional language, and adequate resource materials are not available to support teachers and students.
- iv. **New curriculum roll-out**  
The new primary school curriculum has been developed, but its introduction still needs more support. In particular materials to support the curriculum (teacher guides and classroom resources) in Samoan are urgently needed to be delivered to schools, particularly in rural areas. The change to a curriculum based on learning outcomes requires a fundamental change in teaching practices, as teachers are accountable for what is learnt, not just what is taught.

- v. Low levels of accountability and transparency  
While schools receive annual profiles from Ministry of Education, Sports and Culture (MESC) showing enrolment trends, gender ratios, student teacher ratios, facilities and information on student performance (from SPELL year 4 and year 6 in primary, SPECA at year 8 and year 12 exams in secondary), this information is not systematically made public, and there is limited accountability for educational outcomes, or decisions relating to resourcing.
- vi. School resourcing  
The learning environment in schools is not always conducive to optimal learning with poor infrastructure, overcrowded classrooms and insufficient teaching and learning resources.
- vii. Parent and community engagement in education  
Although school committees are in place in all schools, the extent to which they are coordinating with the community is variable. There is little evidence of a strong demand from parents or the community for improvement in education outcomes.
- viii. Drop-out rates at the secondary level  
Drop-out rates at the transitions between years 8 and 9, and 10 and 11 are particularly noticeable, with a further major drop-out between years 12 and 13. Boys drop-out at a higher rate at each of these points, with fewer entering secondary school (63% compared to 78% of girls), and fewer enrolling in the SSLC Examination.
- ix. Low transition to tertiary education  
While the constraints on Post School Education and Training (PSET) enrolment and completion are not yet fully understood, tuition fees are understood to be a major barrier. Other barriers include limits on mobility, insufficient qualified teachers, educators, trainers, and/ preceptors and limited pathways from secondary to PSET and within PSET.
- x. Low relevance of secondary education to Samoan population and economy  
The current secondary school curriculum is highly geared toward the upper secondary examinations that give university entrance rather than looking towards training pathways and employment possibilities in Samoa and regionally.
- xi. Weak linkages between PSET programmes and the skills needs of industries and professions  
There is an absence of data to inform the relevance of PSET programmes to the national needs for economic, cultural and social development although there has been progress under the Samoa-Australia Partnership in support of TVET.
- xii. The ESP recognises that in order to address the above issues, effective Sector Coordination and management of its available resources is required. The ESP identifies the following issues: There is no integrated information management system for sector coordination, or capacity in analysis, interpretation and use of data. The sector also does not have a sector research strategy, or capacity in sector wide research, policy and development planning.



- xiii. There is duplication of resource allocation, including a number of school grants that are not coordinated. The sector does not have a sector wide resourcing policy that links resources with student learning outcomes. There is a need to strengthen accountability at all schools and PSET learning institutions for the achievement of minimum service standards and effective educational performance. There is weak monitoring and evaluation across the sector and lack of coordination of the various bilateral and multilateral investments across the sector.

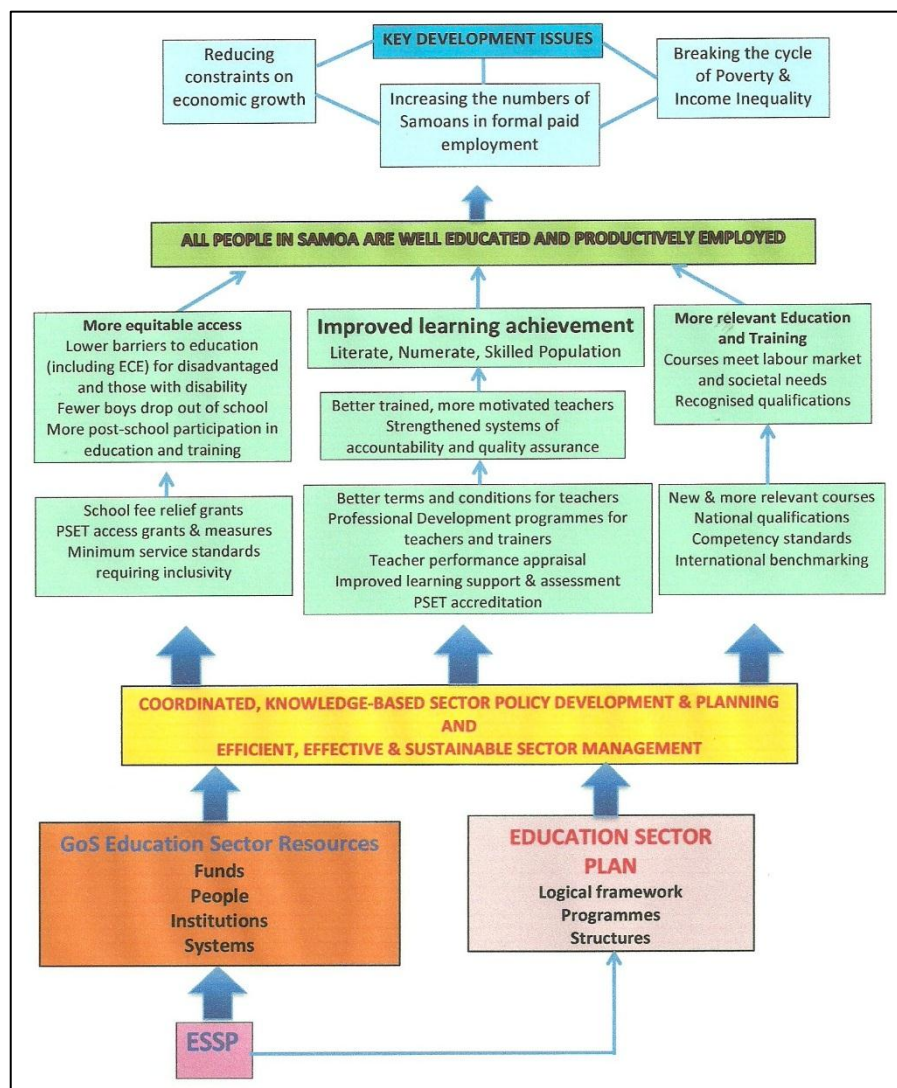
## **Theory of Change**

The ESSP theory of change is directly informed by the Samoa's education sector plan logical framework focusing on access, improved learning achievement and more relevant education and training.

The ESSP is premised on a theory of change that supporting the implementation of Samoa's Education Sector Plan is more efficient and effective than working through a parallel process. The ESP has been analysed, and found to directly address nine of the eleven causal factors identified in the analysis of the performance of the education sector.

The two outstanding factors: low levels of accountability and transparency; and low levels of parent and community engagement in education. These factors were drawn to the attention of MESC during the 2014 review of ESP II. Progress on these factors will be monitored through the Taskforces on Teachers and Literacy and Numeracy (See Annex 5).

Figure 1: Theory of Change for ESSP



Programmes will be planned, managed and monitored by MESC, SQA and NUS, and overseen by the Education Sector Advisory Committee reporting to the Minister of Education. Specific activities will contribute to achieving the ESP outputs, which in turn contribute to achieving the ESP outcomes and overall goals. Performance improvements will need to occur within schools, PSET centres and Early Childhood Education (ECE) centres, with enhanced local accountability.

The Education Sector Plan was developed by the relevant education authorities in Samoa. Donor Partners and the Ministry of Finance peer reviewed the draft ESP and Donor Partners provided Technical Assistance to the Education Sector Working Group to further refine and finalise the plan. The ESP is seen as a continually evolving document. For ESSP to work effectively, it will be important that the logical framework is tested regularly through the meetings of the Education Sector Working Group (ESWG) and Education Sector Advisory Committee (ESAC), and through the annual review of progress. To make overall planning and implementation more effective, regular and effective evidence-based feedback on the ESP will be crucial.

The ESSP theory of change assumes that achievement of the ESP outcomes can be enhanced, not just by additional resources, but also through enhanced policy and social dialogue. The ESP provides a number of opportunities for such policy and social dialogue, notably the annual review, the Education Sector Advisory Committee, the taskforces and community engagement.

The goals of the ESSP investment are to:

1. Strengthen Samoa's new approach to the development of the education sector as a coherent whole;
2. Support implementation of reform policies designed to improve learning outcomes and skills development linked to realistic employment expectations
3. Strengthen government systems for sustainable achievement of improved learning outcomes and skills development for employment
4. Support achievement of Samoa's National Goals and Strategies, through a well-educated and skilled Samoan society.

### Summary of activity's key outputs and intended outcomes

The ESSP has been designed to support delivery of the ESP. ESP includes a total of 22 Activity programmes, which build to a large extent on existing priorities. While the ESP rightly focuses on the ongoing delivery of the current system, the ESSP's focus will be on the outputs and intended outcomes of those activities which most closely relate to the four key goals described in figure 2 below. The goal focus will be achieved through the indicators for variable payments which relate to key outputs and outcomes.

The ESSP will focus on the following ESP Goals and Program Outputs outlined in Figure 2.

**Figure 2: Summary of ESP 2013 – 2018 Goals and Program Outputs, with associated causal issues identified**

ESP Reference		ESP Output	ESP 2013 – 2018 Goal and Outputs	Issues identified in causal analysis
ESP Goal	ESP Program		Areas of ESSP interest	
Goal 1– Enhanced Quality of Education at all levels	1.1 National Teacher Development Framework	1.1.2	<b>Goal 1: Quality</b> ▪ Teachers • Implementation of quality assurance performance appraisal based on standards	i) Attracting retaining and developing effective teachers
		1.1.2	• Implementation of teacher standards for registration	ii) Effective school leadership
		1.1.4	• Implementation of teacher / leadership professional development and upgrading programmes	iii) Bilingual education expectations
		1.2.1	▪ Curriculum and Assessment	iv) Curriculum rollout
	1.2 & 1.4 School Level curriculum reform and assessment	1.2.2	• Production and deployment of materials for bilingual primary school curriculum	x) low relevance of secondary education to Samoan population and
		1.4.1	• Trial of two stream mathematics and Samoan	
		1.4.1		

	1.3 Information and Communications Technology (ICT) in Primary and Secondary Schools	1.3.2	<p>courses in secondary schools</p> <ul style="list-style-type: none"> <li>• Redesign of national SPELL tests of literacy and numeracy</li> <li>• Introduction of a home-school literacy programme</li> <li>• Integration of ICT across the curriculum</li> </ul>	economy
	1.5 PSET quality assurance	1.5.1	<ul style="list-style-type: none"> <li>▪ PSET quality assurance</li> </ul>	
		1.5.2	<ul style="list-style-type: none"> <li>• Registration of formal PSET providers and qualifications</li> <li>• Accreditation of programmes</li> </ul>	
	1.6 Professional capability of lecturers and trainers at NUS	1.6.1	<ul style="list-style-type: none"> <li>• Implementation of the NUS professional development plan</li> </ul>	
	1.7 Strengthening the quality of and relevance of NUS courses	1.7.1	<ul style="list-style-type: none"> <li>• NUS teacher education courses revised to better align with school curriculum</li> </ul>	
Goal 2 - Equitable access – Enhanced Educational Access and Opportunities at all	2.1 Inclusive education	2.1.2	<ul style="list-style-type: none"> <li>• Goal 2: Equitable Access <ul style="list-style-type: none"> <li>▪ Inclusive education</li> </ul> </li> <li>• Integration of inclusive education into the minimum service standards</li> </ul>	vi) school resourcing
		2.2.1	<ul style="list-style-type: none"> <li>• School grants</li> </ul>	viii) drop - out rates
		2.2.2	<ul style="list-style-type: none"> <li>• Monitoring of school fee grants for primary and secondary schools</li> </ul>	ix) inadequate access to secondary and tertiary education
	2.3 PSET Access Measures	2.3.1	<ul style="list-style-type: none"> <li>• Monitoring of PSET Access grant for formal and non-formal PSET providers</li> </ul>	

Goal 3 - Relevance of Education and Training at all Levels	3.2 Development and application of PSET qualifications and courses relevant to the Samoan economy	3.2.4	<ul style="list-style-type: none"> <li>▪ Relevance of Education and Training</li> <li>• Application of National Competency Standards and Samoa Qualifications</li> </ul>	xi) Weak linkages between PSET programmes and the skills needs of industries and professions
		3.2.5	<ul style="list-style-type: none"> <li>• Flexible delivery modes introduced for PSET</li> </ul>	
Goal 4 - Improved Sector Coordination of Research, Policy and Planning Development	4.1 Strengthening sectoral coordination of research, policy and planning  4.2 Development of policies in the areas of early childhood, PSET	4.1.1	<ul style="list-style-type: none"> <li>▪ Improved Coordination of Research, Policy and Planning development</li> <li>• Establishment and effective functioning of ESCD and associated mechanisms</li> </ul>	xii) lack of sector coordination capacity in research, policy and planning
		4.1.2	<ul style="list-style-type: none"> <li>• Effective partnerships with key stakeholders especially those outside of the system</li> </ul>	
		4.1.3	<ul style="list-style-type: none"> <li>• ESP Annual Review processes institutionalised and MTEF updated annually</li> </ul>	
		4.2.1	<ul style="list-style-type: none"> <li>• Implementation and monitoring of all developed policies</li> </ul>	
Goal 5 - Management of Education Resources	<ul style="list-style-type: none"> <li>○ 5.1 Strengthening management capability and M&amp;E in education sector agencies</li> <li>○ 5.2 Developing financial, internal auditing and procurement in sector agencies</li> </ul>	5.1.1	<ul style="list-style-type: none"> <li>▪ Management of Education Resources</li> <li>• Effective Education Sector Management Information System in place</li> </ul>	xiii) duplication of resources, absence of sector education management information system
		5.1.2	<ul style="list-style-type: none"> <li>• Effective ESP Monitoring and Evaluation processes in place</li> </ul>	
		5.2.1	<ul style="list-style-type: none"> <li>• Effective sector-level budgeting and financial reporting</li> </ul>	
		5.2.3	<ul style="list-style-type: none"> <li>• Effective internal audit approach in each of the three agencies</li> </ul>	

## **Education outcomes sought**

The Education Sector Plan addresses a wide range of activities which the Ministry of Education, NUS and SQA will undertake during the period of the plan. Monitoring of ESP – and ESSP's contribution to ESP operationalization – will therefore include baseline data and progress targets in the following areas:

- Increased enrolment in ECE<sup>2</sup>
- Full participation in and improved quality of primary education
- Increased completion rates and improved outcomes at secondary level
- Increased PSET enrolment and improved outcomes, including high relevance of qualifications to labour market opportunities.

## **Cross-cutting issues**

The values and principles of inclusive education figure prominently in MESC policy frameworks and related documents. Meeting the needs of students with disabilities is, in particular, a very strong focus of existing and new education policy development on inclusiveness in Samoa. The ESP aims to facilitate access to mainstream schools for children with disabilities, and will support special education for children with disabilities, where this is the most appropriate setting. With the mainstreaming of SIEDP into the ESP, strong leadership and co-ordination will be required in the new Inclusive Education Unit if gains are to be sustained.

The issue of gender imbalance is also targeted in ESSP with a number of key needs identified including male drop-out rates in secondary education, low female enrolment in technical TVET courses, the low enrolment of boys in higher education. Another key cross-cutting issue is equitable access, participation and completion of good quality education and training at all levels for children and youth from rural and remote parts of Samoa, and for all socio-economic levels.

## **Funding arrangements**

Based on the ESP implementation plan and budget, the budget required to implement the ESP is SAT 18,088,200 in FY 2015/16; and 18,385,700 in FYs 2016/17 and 16,319,200 2017/18. Table 2 summarises the resource commitments from, Government of Samoa, and from Australia and New Zealand.

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<sup>2</sup> Although this indicator was not originally in the ESP, this is an area of interest to DFAT and there are plans to collect data in this area.

**Table 2 Proposed resource commitments from Australia and New Zealand**

Financial year:	Currency	2015/16	2016/17	2017/18	3-year total
<b>TOTAL EDUCATION SECTOR SPENDING</b>					
Estimated Recurrent costs <sup>3</sup>	SAT	91,832,367	91,739,867	91,653,367	275,225,601
Estimated Development Costs <sup>4</sup>	SAT	18,088,200	18,385,700	16,319,200	52,793,100
Total required for ESP Implementation	SAT	109,920,567	110,125,567	107,972,567	328,018,701
Total GoS contribution to Ed. Sector	SAT	84,774,367	84,774,367	84,774,367	254,323,101
Aust./NZ contribution to Ed Sector	SAT	12,233,000	12,140,500	12,054,000	36,427,500
Estimated Funding Gap	SAT	12,913,200	13,210,700	11,144,200	37,268,100
Govt. of Samoa Percentage Contribution	%	77.1%	77.0%	78.5%	77.5%
Australia/New Zealand % Contribution	%	11.1%	11.0%	11.2%	11.1%
Funding Gap percentage remaining	%	11.7%	12.0%	10.3%	11.4%
<b>BREAKDOWN OF AUSTRALIA/NEW ZEALAND ESSP SUPPORT FOR ESP</b>					
Australian/New Zealand ESSP support for ESP	SAT	12,233,000	12,140,500	12,054,000	36,427,500
Proportion of above allocated to 70% fixed tranche	SAT	8,563,100	8,498,350	8,437,800	25,499,250
Proportion of above allocated to 30% variable tranche based on KPIs	SAT	3,669,900	3,642,150	3,616,200	10,928,250
SIEDP ring-fenced funding (included in fixed tranche above)	SAT	2,464,000	2,112,000	2,112,000	6,688,000
Australia/NZ contribution in-kind as management support	SAT	525,000	525,000	525,000	1,575,000
<b>Total</b>	SAT	12,758,000	12,665,500	12,579,000	38,002,500
<b>BREAKDOWN OF AUSTRALIAN CONTRIBUTION (AUD)</b>					
Sector budget support	AUD	2,700,000	2,700,000	2,700,000	8,100,000
SIEDP ring-fenced funding	AUD	1,400,000	1,200,000	1,200,000	3,800,000
DFAT Procured Technical Advisory Support (includes TA requested by GoS)	AUD	200,000	200,000	200,000	600,000
<b>Total</b>	<b>AUD</b>	<b>4,300,000</b>	<b>4,100,000</b>	<b>4,100,000</b>	<b>12,500,000</b>
SAT Equivalent	SAT	7,568,000	7,216,000	7,216,000	22,000,000
<b>BREAKDOWN OF NEW ZEALAND CONTRIBUTION (NZD)</b>					
Sector budget support	NZD	2,900,000	3,050,000	3,000,000	8,950,000
MFAT-procured Technical Advisory Support (includes TA requested by GoS)	NZD	100,000	100,000	100,000	300,000
<b>Total</b>	<b>NZD</b>	<b>3,000,000</b>	<b>3,150,000</b>	<b>3,100,000</b>	<b>9,250,000</b>
SAT Equivalent	SAT	5,190,000	5,449,500	5,363,000	16,002,500

Based on exchange rates of AUD 1 = SAT 1.76 and NZD 1 = SAT 1.73 as at 17 April 2015.

<sup>3</sup> This is based on Sector Agency forward estimates and assumes that these are all recurrent costs. This may not be an accurate assumption but is used as a proxy indicator.

<sup>4</sup> Figures obtained from Updated MTEF April 2015.

## Modality mix:

As summarised in Table 2, ESSP support to the education sector will utilise three modality types:

1. **Sector budget support based on process indicators:** un-earmarked financing in support of key operational areas identified in the Samoa Education Sector Plan 2013-2018 (*70 per cent*)
2. **Performance-linked contributions, subject to achievement of agreed key performance indicators:** financing is released based on GoS's tracking towards pre-determined performance milestones (*30 per cent*)
3. **Ring-fenced funding for SIEDP** - this will be disbursed through the Sector Budget Support mechanism and ring-fenced by the Ministry of Finance.

The mechanisms for each modality are summarised below:

### 1. Sector budget support based on process indicators (70%) plus ring-fenced funding

For the sector budget support, the governments of New Zealand and Australia will deposit July and February tranches into a foreign currency account with the Central Bank of Samoa, subject to:

- Substantive discussions at ESAC demonstrate the model of partnership agreed for the ESSP.
- Annual and quarterly reviews coordinated by the Education Sector Division demonstrating ESP implementation progress:
  - Annual Education Sector Plan reports are disseminated to stakeholders in time for policy level discussion at the annual review. These reports will include analysis of KPIs
  - Key ESP activities have occurred within one year of their scheduled date
  - Quarterly financial reporting and progress reports are provided in time to enable progress discussion at the quarterly Education Sector Advisory Committee meetings
  - No concerns are raised at the preceding annual review or ESAC about major divergence from ESP strategy, policy or governance
- The fraction of the GoS budget, not including ESSP funds, allocated to education does not decrease.
- Annual government accounts and subsequent audit reports showing that:
  - Expenditure is in line with the budget that the GoS and DPs had agreed to finance
  - Agreed standards of public financial management are observed
  - Any problems in financial management are detected and resolved through appropriate action

If any of these triggers are not met by the January meeting, the development partners will discuss the relevant delays, risks, and associated concerns with GoS, as well as proposals for remedying the situation. Decisions will be made in the April ESAC meeting on the amount of the next tranche release.

Under this modality, there will be no earmarking of the funds within education, and no separate DP tracking processes.

### 2. Performance-linked contributions, subject to achievement of agreed indicators (KPIs) (30%)

Progress on selected ESP indicators identified as critical to the achievement of ESP Goals and Outcomes will act as funding triggers, to ensure that priority ESP activities proceed as planned. However, rather than requiring annual targets specified in exact percentages, the indicators require that trends are moving in the right direction towards the 2018 target. A minimum trend of 1 percentage point will be expected, consistent with ESP progress targets. The performance-linked indicators are shown in Table 4.



**Table 3: Key Performance Indicators (KPIs for the sector)**

Key Performance indicators	ESP code	Subcategory	2012 Baseline	Intermediate targets	2018 target <sup>5</sup>
Year 4 & 6 primary school children at risk in literacy (English & Samoan)	SO1	Male	35%	Trending towards	23%
		Female	18%		12%
Year 4 & 6 primary school children at risk in numeracy.	SO1	Male	26%		10%
		Female	16%		5%
Percentage of PSET graduates finding employment within 6 months <i>(gender disaggregated rates to be determined in first year of ESSP)</i>	SO3		31% <sup>6</sup>		70%
Percentage of children commencing Year 1 Primary and completing Year 8 by gender (Primary Completion Rate MDG 2)	SO2	Male	86 (2014)		95%
		Female	85 (2014)		95%
Transition rate from Year 13 to formal PSET (target to be confirmed in year 1 of ESSP)	SO2	Male	37%		50%
		Female	63%		70%
Number of children with disability enrolled in mainstream government schools	O2.2		105 <i>(in 2010)</i>		150
Percentage of teachers meeting teacher performance standards	1.1.2		Appraisal process in place		TBD
Number of schools meeting minimum service standards related to literacy and numeracy	2.1.2		TBD		50%
Number of accredited courses provided by PSET providers	1.5.1		6		20

Performance payments will be subject to GoS reporting and independent verification, as necessary. Policy dialogue will form a key part of the discussion on progress towards these indicators particularly where challenges are identified.

Payment will be made based on the number of Key Performance Indicators (KPIs) trending positively. As there are nine KPIs, 11.1% of performance linked funds will be released for each KPI demonstrating a minimum positive trend of 1 percentage point.

Additionally the sum of SAT 6,688,000 for SIEDP will be disbursed as part of the fixed disbursement (70%) tranche and will be reported and monitored as part of the Sectors quarterly and annual reporting against the ESP. The funds will be ring-fenced by MoF and used to contract service providers (special schools and NGO's) to assist MESC achieve its objectives under the ESP.

### Programme management and implementation arrangements

There are three sets of stakeholders whose roles are critical to the governance and management of ESSP.

<sup>5</sup> End targets may be adjusted based on agreement in the Annual Review Processes

<sup>6</sup> This is based on only 6 PSET providers

- The agencies responsible for implementation of the ESP – MESC, SQA and NUS
- Other Ministries, in particular the Ministry of Finance and the Public Service Agency
- Development partners: Australia and New Zealand

These bodies come together at head of agency senior levels, together with representatives of private sector schooling and civil society (represented by the Samoa Umbrella for NGOs) on the ESAC. The key task of the ESAC is to monitor and guide the progress of ESP at a strategic level. A key monitoring mechanism is the annual education sector review, which involves representatives of all stakeholders. This is an opportunity to review progress, identify challenges and realign activities and targets.

Supporting the ESAC is the Education Sector Working Group, convened by the Education Sector Division, which will meet on at least a quarterly basis in advance of each ESAC meeting to coordinate planning, financing, implementation, monitoring & evaluation, and reporting to the ESAC. The ESWG reports to ESAC on sectoral plans, performance, expenditures and other issues as appropriate. The ESWG will receive inputs from received by the Education Sector Division from Taskforces established to support the implementation of ESP programmes. Development partners will form part of the ESAC and participate in the ESWG, and reserve the right to participate in the Taskforces on a needs-basis.

### **Results measurement, monitoring and evaluation**

The monitoring and evaluation framework at Annex F of the ESP will provide the basis for the results measurement of the ESSP. It includes all of the measures identified under the education outcomes sought by the ESSP. Education Sector Coordination Division (ESCD) at MESC is responsible for collating the overall monitoring information on the ESP from MESC, SQA and NUS for the quarterly ESWG meetings, the quarterly ESAC meetings and the annual monitoring review.

For the Annual Review to be held in October of each year, the Education Sector Coordinator will provide one month in advance a report on performance in the education sector since the last Annual meeting, including progress against the ESP performance assessment framework, a financial report and an outline of proposed changes to the forward plan.

The annual review in 2016 will form a Mid Term Review of the ESP. Development partners will also contribute to an independent evaluation of ESP at this time. On the basis of the findings of this review, decisions will be made at the January 2018 meeting of ESAC on the level of funding to be disbursed from the SBS and variable tranche components of the ESSP.

The following activities will be subsumed by the ESSP

- a. Education Sector Programme II – due to finish at end 2014
- b. Samoa Inclusive Education Demonstration Project (SIEDP) commencing in October 2015.
- c. TVET support programme commencing January 2016.
- d. Samoa In-Country Training Programme
- e. Samoa School Fee Grant Schemes
- f. Pacific Benchmarking for Education Results commencing July 1 2016.

All physical resources of these existing projects will become the property of the host implementing agency.

### **Procurement Arrangements**

Procurement of technical assistance will be carried out by the ESCD, Corporate Services Divisions of MESC and SQA, and the by NUS Financial Services Division, following GoS regulatory requirements and guidelines for procurement. Sectoral procurement coordination and contract management

support will be provided by the Principal Executive Officer, Sectoral Procurement Coordination and Contract Management Support. NZ MFAT/DFAT may wish to procure TA separate to that of GoS in support of quality assurance and ESCD.

Procurement and tenders will need to be planned early, be consistent with the ESP and annual management plans, and carried out in accordance with the GoS regulatory framework to achieve value for money.

## **Risk assessment and management**

The risk register at Annex 3 shows the most critical risks for the ESSP and strategies for minimising these risks. Risks are categorised as economic, environmental, institutional, education, public financial management and procurement, and child protection. ESAC and ESWG meetings will include a standing agenda item on risk management of ESP. The ESP and ESSP risk management matrices will be reviewed annually as part of the ESP annual review process. This should involve a review of the continued relevance of the existing risks identified and their mitigation as well as identifying new or emerging risks.

## **Technical Assistance**

In some areas MESC, SQA and NUS may benefit from technical assistance (TA) to develop new systems, support research and evaluation, or provide advice and training. ESSP has identified areas of potential TA support, with a possible need for 5 long term TA and additional short term TA to support 16 priority areas (see Annex 4). These TAs will be contracted by the appropriate agency, using GoS systems. Additional TA to meet the requirements of development partners in accountability for ESSP including for ESCD will be procured directly by the development partners and will be managed separately. The funding for direct TA support to the GoS is incorporated in the ESSP sector budget support.

## **Linkages with other donors**

A range of donors are active in the education sector in Samoa. For example: JICA and China focus on infrastructure, complementing the ESSP's support of the ESP; ADB continues to invest in the context of SchoolNet; US Embassy assisting with rebuild of schools from Cyclone Evan; Global Partnership for Education; and a range of A/NZ non-bilateral activities. The ESP includes a programme focusing on the coordination of externally funded projects, including standards and monitoring for infrastructure. Donors are encouraged and invited to align work to ESP and work through the Education Sector Division and the sector governance mechanisms. Therefore, the ESSP approach is consistent with GoS ownership and alignment, and the ESSP partners will seek to maximise harmonisation with other partners in the education sector.

## **1.0 Analysis and strategic context**

This section of the design document provides an overview of the context in which the ESSP is set and the development challenges it is designed to address. It draws on lessons from programmes of development partners and MESC and lays out the rationale for Australian investment showing how this will build on and complement previous interventions. This entire document and this section in particular should be read in conjunction with the Samoa Education Sector Programme 2013 – 2018.

## 1.1 Country and sector issues

### 1.1.1 Socio-economic need for improvements in education and training

Samoa has a small, developing economy that has generally performed well in recent years. It is the only Pacific island country that disseminates monthly and quarterly economic statistics through government websites.<sup>7</sup>

However, Samoa also has a large trade deficit and is heavily reliant on foreign imports. The major contributors to the economy are tourism (20–25% of GDP), remittances from residents living abroad (25% of GDP) and foreign aid.<sup>8</sup> Private sector growth is needed to tackle this trade deficit, especially in tourism, but this is constrained by a narrow resource base, including a scarcity of skilled labour.<sup>9</sup> Remittances are also heavily reliant on the skills of those emigrating relevant to the international labour market.

An improvement in education and training is urgently needed to help more Samoans become productively engaged in their country's development.

### 1.1.2 Inadequate education outcomes to meet Samoa's needs

Samoa has achieved some significant successes in education including: almost universal primary education<sup>10</sup>; an increase in secondary enrolments; and improvements over the last decade in the National Year 12 examination results.

However, only around 50% of pupils reach Year 12, with especially high dropout rates for boys. Of those who do reach Year 12, 20% do not sit the examination. And 22% of school leavers do not take part in any post-school education and training (PSET).

The biggest problem that needs tackling is the learning outcomes - notably the low levels of literacy and numeracy that are key requirements for all future learning, for employment and for contributing to a modern society. In terms of literacy in English, 55% of boys and 32% of girls in the sixth year of education are categorised as 'at risk' of not achieving adequate levels. For literacy in the Samoan language, the situation is better, but even so 12% of boys and girls are categorised at risk. For numeracy, 32% of boys and 23% of girls are at risk. These figures appear to be increasing.

Lack of these basic skills inevitably has an effect on the employability of the population. Only around 22% of Samoa's total population is engaged in formal paid employment.<sup>11</sup> Two-thirds of the potential labour force is absorbed by subsistence agriculture. Preparation for the workforce is poor. Men are more disadvantaged than women, with men in the rural areas being frequently less well educated and thus unable to get anything but the lowest paid employment, if such employment is even available<sup>12</sup>.

## 1.2 Development problem – issues analysis

This section outlines the problems within the sector that have resulted in poor literacy, numeracy and preparation for the workforce. These are examined in greater detail in the GoS Education Sector Plan 2013–2018 (ESP).

<sup>7</sup> Ibid

<sup>8</sup> Samoa Information Paper, New Zealand Ministry of Foreign Affairs and Trade

<sup>9</sup> Ibid

<sup>10</sup> 2013 Ministry of Education Sports and Culture Statistical Digest shows net enrolment rate for primary education as 97%

<sup>11</sup> Samoa Bureau of Statistics 2011 Population and Housing Census

<sup>12</sup> A report on the estimation of basic needs poverty lines and the incidence and characteristics of hardship and poverty analysis of the 2008 household income and expenditure survey', Samoa Bureau of Statistics 2008

### 1.2.1 Teacher quality is an issue

On a global level, teacher quality has been found, after family characteristics, to be the most important contributor to the quality of education, with teacher motivation and teacher competence being key factors.<sup>13</sup> When students are taught by skilled and motivated teachers, their achievements far exceed those of students with poor teachers.<sup>14</sup> Research also shows that other teaching resources, while necessary, do not lead to significant learning improvements on their own. They need to be complemented with well-trained, highly motivated teachers who assume accountability for learning outcomes.<sup>15</sup>

Many Samoan schools have problems attracting, retaining and developing effective teachers due to the absence of a realistic career structure backed by adequate salary levels and a systematic program of teacher development.<sup>16</sup> In addition, many teachers in primary schools have not had adequate training (at pre-service and in-service levels) nor on-going professional support to ensure they have the content, pedagogical and assessment knowledge to implement effective literacy and numeracy programs. The quality of school leavers entering the Faculty of Education at NUS to train as teachers is also an issue, with senior staff expressing serious concerns.

A recent Samoan survey on the attraction, retention and motivation of teachers<sup>17</sup> found 92% were dissatisfied with their salaries, 91% were teaching subjects which they were not qualified to teach, and 77% reported a lack of training on lesson planning and resource management. The latter shows the need for the NUS Faculty of Education courses to emphasise teachers' future needs in relation to the school curriculum.

The strategy brief for the ESP Taskforce on Teachers analyses the issue of teacher development and leadership in schools. The strategy brief for PSET discusses a similar need for effective lecturers and trainers for post-school education and training. Both are provided in Annex 5.

### 1.2.2 School effectiveness

In order for there to be improvements in learning outcomes a single intervention is insufficient. There needs to be sustained support at the school level in order for investments in teacher quality to be upheld. Current challenges include

- Limited support directed to the implementation of the curriculum and its assessment,
- Weak systems of quality assurance at school level including adherence to minimum service standards
- Weak links and partnerships with the school community and lack of accountability towards the school community and insufficient support within the school
- School leadership does not always set an environment favourable to learning
- School's physical environment and resources.

### 1.2.3 ECE is not contributing to school readiness

Early childhood education (ECE) could also help improve standards by preparing children for primary education, especially those with disabilities or from disadvantaged families and communities. However, ECE development in Samoa has been largely piecemeal, uncoordinated and inadequately researched. There is no system in place to ensure that disadvantaged children are

<sup>13</sup> *Teachers Matter: Attracting, Developing and Retaining Effective Teachers*, Paris: OECD 2005

<sup>14</sup> M Barber & M Mourshed, *How the world's best-performing school systems come out on top*, McKinsey & Company, London, 2007, viewed May 2011, <[www.mckinsey.com/App\\_Media/Reports/SSO/Worlds\\_School\\_Systems\\_Final.pdf](http://www.mckinsey.com/App_Media/Reports/SSO/Worlds_School_Systems_Final.pdf)>

<sup>15</sup> See, for example, C Mpokosa & S Ndaruhutse, *Managing teachers: the centrality of teacher management to quality education—lessons from developing countries*, CFBT Education Trust, Reading, 2008, and P Bennell, *Teacher motivation and incentives in Sub-Saharan African and Asia*, Knowledge and Skills Development, Brighton, 2004, viewed May 2011, <[www.eldis.org/fulltext/dfidtea.pdf](http://www.eldis.org/fulltext/dfidtea.pdf)>

<sup>16</sup> *Teacher Supply and Demand Study Final Report*, Evans J and Peck F, MESD, 2009

<sup>17</sup> *Survey for the attraction, retention and motivation of teachers*, Samoa Public Service Commission, 2014

able to access ECE, and no system for the early detection of disabilities. There is no research-based strategy setting out a strategic direction for the subsector, no minimum service standards or systematic monitoring. Teachers are reportedly poorly paid and many trained ECE teachers are working in the primary subsector where pay and conditions are better.

### **1.2.4 Inadequate access to later years of schooling and post-school education and training**

By 2012/13, Samoa had almost universal primary education and little dropout before Year 8. However, only 63% of boys and 73% of girls in 2012/13 continued through to secondary education, and there was significant dropout after that, especially for boys. Around 20% of final year secondary-year students did not sit for the national examinations. One major factor is thought to be the high level of user costs for secondary students set against low expectations of achievement and future employment, though more research is needed on this.

Post-school education and training (PSET) 'encompasses a diversity of areas that include tertiary education level at university, pre- and in-service professional education, technical and vocational education and training, theological and providers of religious instruction, apprenticeship, non-formal education and on-the-job training'<sup>18</sup>. Many programs do not provide nationally recognised qualifications, very few offer internationally recognised qualifications, and few build on existing traditional knowledge and skills. Many young people, especially in socio-economically disadvantaged or remote regions may have acquired knowledge and skills in an informal fashion e.g. through non-formal programs outside schools and colleges<sup>19</sup>. Although they could potentially benefit from PSET courses, their prior experience is not taken into account for entry into PSET courses, nor in the design of PSET courses or in progression within PSET.

Most of the growth in PSET enrolment and participation has taken place with the two largest providers – the National University of Samoa (NUS) and the regional TVET provider, the Australia–Pacific Technical College (APTC). Other PSET providers have experienced either static or declining enrolments. In 2011, only 2,269 female students and 2,011 male students enrolled in formal PSET programs registered or listed with the Samoa Qualifications Authority (SQA). Research is needed on the reasons for these relatively small numbers, but they are thought to include the high fee levels that preclude students from poorer families, concerns over the quality and relevance of courses to the labour market, and limited pathways into and within PSET.

### **1.2.5 Poor inclusion of students with disabilities or from disadvantaged backgrounds**

There is no consensual agreement on the definition of 'inclusive education' in Samoa.<sup>20</sup> In this design document, the term refers to ensuring disadvantaged students attend ECE, schools and PSET, and also that they participate fully and achieve sound education outcomes. Causes of disadvantage may include, for example, social or ethnic discrimination, economic deprivation, living in a relatively inaccessible location, having a physical or learning disability, or suffering or being liable to exploitation or abuse. Since 2009, the Samoa Inclusive Education Demonstration Project (SIEDP) has been focusing on the inclusion of girls and boys from remote and rural areas across a range of disabilities in ECE and schools. There is some data on the extent of disability and its rural bias.<sup>21</sup> However, there is very little information on the enrolment and performance of disadvantaged students in education, and especially PSET, or measures to protect vulnerable

<sup>18</sup> PSET Strategic Plan 2008-2016, p.16

<sup>19</sup> Non-formal education is defined by the Samoa Qualifications Authority as 'any organised learning which occurs outside the context of formal education institutions', such as schools and colleges. It is not the same as informal education which is not structured in the form of a learning program

<sup>20</sup> Noted in the Samoa Inclusive Demonstration Program (SIEDP) 2011 Implementation Plan

<sup>21</sup> Of the total adult (15+) 'disability population' of 2,874 Samoans, 83% (2,398 people) live in rural areas. See UNICEF (2006) 'A Situation Analysis of Children, Women & Youth', Table 21

children from abuse. The strategy brief for the Inclusive Education Taskforce in Annex 5 looks at these issues in more depth.

### **1.2.6 Low relevance of education and training to the Samoan population and the economy**

The ESP identifies a pressing need for more research on the current relevance of education and training and initiatives to improve its applicability to the Samoan economy. There is little evidence from existing research on the relevance of education courses and graduate skills to the needs of the Samoan labour market. A new bilingual primary curriculum is being implemented but it has not been evaluated. There is also a need to fully evaluate the relevance of secondary education, including the introduction of TVET and information and communications technology (ICT).

Linkages are weak between PSET programs and the skills needs of industries and professions. There is an absence of data to inform the relevance of PSET programs to the national needs for economic, cultural and social development. The apprenticeship system has been very slow in responding to industry demand. Only 300 students completed apprenticeships across seven trades over the last four years. There has been a very large dropout rate during the apprenticeship period. Major issues exist with quality control at the enterprise level and NUS' role with the components for which it is responsible. A new Apprenticeship Act was passed in April 2014 following a TVET Program sponsored review of the apprenticeship system. National competency standards have been developed in all apprenticeship trade areas and are now being delivered by the NUS.

### **1.2.7 Insufficiently coordinated and knowledge-based approach to education planning**

Statistical data underpinning policy and planning has been sparse and research has generally taken place on a piecemeal basis. The ESP Monitoring and Evaluation Framework showed a number of gaps in readily available baseline data including: Year 12 National Examination performance in Maths and Science; PSET students graduating with internationally recognised qualifications; school readiness of children completing ECE; school performance in relation to minimum service standards; teacher performance; gender-disaggregated completion and transition rates for secondary education and PSET; and the enrolment and performance at all levels of education of disadvantaged children and young adults. The location, size and other aspects of ECE provision, schools and PSET institutions have not been planned on the basis of well-researched needs and sectoral efficiency. The NUS Institute of Samoan Studies has the mandate to coordinate research at NUS and national levels, but this mandate is not currently being implemented.

This lack of coordination has also been reflected in previously supported projects. The core agencies of government in the education sector all have their own structures of governance. Until now, there has been no system for effective sector-wide system of coordinated policy, planning and research. The Education Sector Project II (ESP II), ending in December 2014, was relatively broad in scope but only within the confines of schools and the Ministry of Education, Sports and Culture (MESC).

The Education Advisory Committee has until now received reports only from MESC. The Samoa Qualifications Authority (SQA) adopts a subsectoral approach in the form of the TVET project and its TVET Roadmap. The NUS has had some involvement in both of these subsectoral projects but on an ad-hoc basis. There has been no strategy or mechanism for coordinating project initiatives with each other or through the everyday operations of the MESC, SQA and NUS.

### **1.2.8 Inadequately coordinated sector management and monitoring**

To date there has been no sector-level framework for monitoring performance in education and training provision nor in monitoring the outcomes of education and training. Each of the subsectors has its own system for monitoring and evaluation, with separate databases. The databases cover only part of the information needed for effective management and monitoring at divisional/departmental and institutional levels, let alone at the sectoral level. These systems need



to be brought together and strengthened through a sector-wide system, building on and developing MESC's electronically-based Education Management Information System (EMIS), to support sectoral as well as institutional management and monitoring requirements. The GoS sees the need to have a sector-wide resourcing policy that includes accountability mechanisms and links resources with student learning outcomes but to date the impact of resource allocation on student learning outcomes is not assessed.

The government has invested in school grants for ECE centres, mission and private schools for a number of years with minimum accountability requirements, for example the need to meet minimum service standards. There is little use of stock inventories and annual procurement plans, and little coordination of the various bilateral and multilateral interventions across the sector. As a result, there is duplication of resource allocations, and a general inefficiency in the use of resources. An additional concern is the long-term sustainability of grant funding currently provided by development partners.

All these constraints highlight the need to build the capacity to manage sector resources and report effectively on financial progress and needs.

### **1.2.9 Institutional and human resource constraints**

Institutional capacity, at both central and local levels is always a constraining factor in small states across all sectors. The education sector in Samoa is no exception. At the central agency level, teams in MESC are sometimes under-staffed while charged with managing substantial tasks related to the whole school system and all its component parts. Staff are often technically competent to successfully handle daily operational work but may be lacking in the professional capacity to provide, for example, analysis of data, insightful reporting and policy recommendations. The assessment by the Australian Council for Education Research of the institutional capacity of the Assessment and Examination Unit in MESC echoed these trends in its findings, reporting high technical skill, but staff shortages and limited analytical and reporting capacity<sup>22</sup>.

Another example of the limited capacity can be seen through the lack of exploitation of data on the Samoa Primary Education Literacy Level (SPELL) tests. These tests are a rich source of information on literacy and numeracy in primary schools, yet there is little or no evidence of MESC analysing the results to address weaknesses in students' learning in a targeted and systematic way. The MESC/PPRD report of 2010 raised these concerns, citing the limited use of SPELL results as a diagnostic tool, either at the school or MESC level.

Another dimension of capacity is the impact that ambitious national policies have on the ground – particularly when multiple, simultaneous innovations place very high demands on school teachers and principals. Samoa's primary school teachers now are in that position – dealing simultaneously with a new outcomes-based curriculum, new student assessment systems including the Samoa Primary Education Certificate Assessment (SPECA) replacing the Year 8 examination, and a new bilingual education policy.

The policy being developed on early childhood education is another example of a sound new policy but limited capacity to deliver what is involved. This policy will establish new minimum service standards for pre-school facilities and for teacher qualifications. As well as financial constraints, the human resource constraints on meeting the standards will be considerable. Many of the present ECE teachers, for example, have a limited education and minimal, if any, training or qualifications. For the medium term at least, there is a very limited pool of teachers with the potential to become highly educated and trained ECE teachers.

There are two general implications of these capacity constraints:

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<sup>22</sup> Institutional Capacity Analysis of National Education Assessment System (Samoa) October 2013



- The need for systems to ensure that education planning takes into account the present levels of local and central human capacity and the time needed to embed reforms through a long-term, staged approach
- The need for further research on these constraints as a basis for developing strategies to address them.

### 1.3 Lessons learned

#### 1.3.1 Lessons from previous DP-supported education projects and programs

Samoa has a long history of donor support to education. Annex 6 outlines the main projects currently existing in the sector. These projects have led to a number of achievements:

- Improvements in primary school enrolment and retention rates for girls and boys
- The creation of a National Teacher Development Framework (NTDF) for improving teaching standards
- The move, within the NTDF, away from a cascade approach to teacher training towards a school-based model (see Teachers Taskforce Brief at Annex 5)
- The potential for benchmarking of literacy and numeracy, of carrying out an overall analysis of education results and factors affecting performance, and of strengthening the overall examination system
- Enhanced capacity within SQA to improve the quality and relevance of PSET
- A number of benefits arising out of school grants linked to minimum service standards
- Opportunities for strengthening the inclusion of students with disabilities and other disadvantaged young people, including those vulnerable to exclusion from school as a result of discrimination, poverty, location other causes.

However, the projects have also highlighted the need for:

- More strategic, knowledge-based development
- More and better monitoring and evaluation
- More emphasis on financial management and procurement (in the latter case, especially to improve the rate of implementation)
- More emphasis on prioritisation, coordination and communications
- More concern for sustainability.

These are all areas of focus in the Education Sector Plan and the ESSP as noted in the theory of change (Section 2.1) and Annex 4 on capacity building.

Lessons identified from project reviews, evaluations and other reports include the following:

#### **Education Sector Program II (ESPII)**

The 2010 joint review noted the challenging number of areas of activity in ESPII and the need to assess and adjust to the capacity of MESC to implement these.

The 2011 joint review sought a greater priority on high-level policy development based on sector analysis, and on monitoring progress at policy level. The review noted problems in procurement, especially since both GoS and DP systems were involved. It highlighted the need for: a three-year rolling plan and MTEF; increasing inter-agency coordination; and strengthening financial management.

The 2013 joint review noted slow implementation in some areas, particularly for infrastructure. There were problems in staffing, monitoring, and coordination (notably in dovetailing the SchoolNet ICT component with ongoing MESC operations).

The February 2014 joint review noted over a year's delay in some key activities, and a slow utilisation of available funds due to slow procurement, especially for SchoolNet. The review

reiterated the need to improve monitoring and evaluation, and in particular to produce and populate an M&E framework. The review stressed the need to prioritise and focus on strategic, policy-level work, and provide more planning for sustainability (especially in relation to SchoolNet).

A recent independent evaluation in May 2015 reiterated the need for good quality evidence to inform future and on-going planning. The evaluation highlighted the importance of institutionalising a strong system for monitoring, evaluation and learning. Particularly critical in the near future when GOS will need to demonstrate results in order to maximise the opportunity for increased donor funding such as performance linked financing.

Further, the evaluation noted the ambitious nature of the Program and notes a clear lesson for ESPII is that human capacity can easily be overloaded by trying to undertake too many reforms at the same time. Setting a small number of priorities that are carefully phased and sequenced is likely to have more impact than too much simultaneous change. In addition, it notes the key lessons relating to the ESPII secretariat and recommends on-going support by DPs to the ESCD to ensure capacity is not overwhelmed.

### **Technical and Vocational Education and Training II (TVET II)**

The TVET Roadmap 2 noted that the SQA, although a new organisation, had the capacity to support policy development and to accelerate its planning for PSET and its rate of policy implementation. The document noted a lack of data in some areas, notably on trainer competence. It noted the need to investigate potential funding mechanisms to reduce user costs, which were considered a major brake on PSET enrolment.

### **Samoa School Fee Grant Scheme (SSFGS)**

The February 2013 external review of the SSFGS<sup>23</sup> highlighted financial accountability as a key challenge related to school fees. School principals found it hard to adjust to the additional responsibility of managing school finance and there were many instances of non-compliance with the required financial reporting. The Principal Leadership Training program is improving principals' skills in financial management and providing them with procurement guidelines.

The review noted problems in monitoring of the school grants scheme, and highlighted the need for: more frequent monitoring visits; continuing improvement of M&E systems, processes and reporting.

The review also highlighted the need to improve coordination and communication. It cited the poor coordination of school visits by MESC staff and Sector Review Officers that were overloading schools and principals. The review also cited the finding that people on school committees did not understand the scheme and that there was 'a glaring lack of parental understanding of the scheme, and less parental commitment than in the past'.

The 2011/12 performance audit report<sup>24</sup> noted that, while grants were correctly based on the MESC School Census Data Survey, the survey data needed checking as some school rolls were not properly maintained. Fixed assets purchased were not properly registered and safeguarded. School principals needed to improve financial management, reporting and accountability.

The 2012/13 third annual report found some improvement in financial management but the need for more rigorous monitoring of schools and advice to principals over non-compliance, and more training on leadership and management.

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<sup>23</sup> External review of Samoa School Fee Grant Scheme, Barlow Schuster Consult, MESC, February 2013

<sup>24</sup> Performance audit report on Samoa School Fees Grant Scheme, Samoa Audit Office, 2011-12

**Samoa Inclusive Education Demonstration Program (SIEDP)**

The independent evaluation of the first year of this program in August 2010 noted delays in staff recruitment; the need for more emphasis on monitoring and reporting; the need to improve coordination, for example with the grants schemes; and the need to strengthen communications through documentation, more visits to schools and through the SIEDP Advisory Committee.

The 2014 Design mission for the SIEDP noted successes of the program including heightened IE awareness and significant effort undertaken by MESC to incorporate IE related planning and activity within its broad agenda in recent years. This includes the development of an IE policy for students living with disabilities. However, it emphasised the need to ensure a strong focus on policy implementation and the need to ensure that its approach is measured and systematic, given the number of reforms currently underway in the school sector.

**Samoa In-Country Training Program (SICTP)**

The 2012 evaluation concluded that the training program was important and effective but lacked financial sustainability. It suggested that students should pay fees rather than, as at present, just registration costs. The evaluation commented on the procurement load, and recommended larger tenders and greater use of generic courses. It also recommended closer coordination with the SQA to maintain quality.

**Project for Extending Samoa Polytechnic (Japanese International Cooperation Agency, JICA)**

The ex-post evaluation<sup>25</sup> of the Project for Upgrading and Extension of Samoa Polytechnic noted successful completion of the upgrading but the need for more sustainable resources management and for greater linkage between secondary education and PSET.

**1.3.2 Learning outcomes for all: more emphasis needed**

Many past projects have focused on improving access through infrastructure, but the project reports cited above indicate the need for more emphasis on learning achievement and skills development. These are the main focus of the Education Sector Plan.

International studies show a strong correlation between learning outcomes and individual earnings, distribution of income and economic growth. For individuals, cognitive learning is as important as – if not more so than – the number of years of schooling. World Bank research shows that an increase in internationally benchmarked test scores of one standard deviation is associated with a 1–2% increase in annual growth in gross domestic product (2.3% for developing countries and 1.7% for member countries of the Organisation for Economic Co-operation and Development).<sup>26</sup> This finding dwarfs the association between the quantity of education and economic growth.<sup>26</sup> Low-quality schools, which add less to cognitive achievement, can lead to grade repetition and dropout rates that have an impact on employment potential and future earnings.<sup>27</sup>

A recent Samoan poverty study<sup>28</sup> highlighted the links between learning achievement and poverty, and concluded that an inclusive approach to learning achievement is essential if poverty is to be reduced and economic growth sustained. Boys and young men in Samoa are more educationally

<sup>25</sup> Ex-Post Evaluation of Japanese ODA Grant Aid Project *The Project for Upgrading and Extension of Samoa Polytechnic*, JICA, 2010  
<sup>26</sup> E Hanushek & L Wosmann, The role of education quality for economic growth, World Bank Policy Working Paper 4122, World Bank, Washington, DC, 2007, viewed May 2011, [http://siteresources.worldbank.org/EDUCATION/Resources/278200-1099079877269/547664-099079934475/Edu\\_Quality\\_Economic\\_Growth.pdf](http://siteresources.worldbank.org/EDUCATION/Resources/278200-1099079877269/547664-099079934475/Edu_Quality_Economic_Growth.pdf)

<sup>27</sup> S Ndaruhutse, Grade repetition in primary schools in Sub-Saharan Africa: an evidence base for change, literature review, CfBT Education Trust, Reading, 2008, viewed May 2011, [www.cfbt.com/evidenceforeducation/.../Grade%20Repetition\\_FINAL\\_8FEB08.pdf](http://www.cfbt.com/evidenceforeducation/.../Grade%20Repetition_FINAL_8FEB08.pdf)

<sup>28</sup> A report on the estimation of basic needs poverty lines, and the incidence and characteristics of hardship and poverty analysis of the 2008 household income and expenditure survey, Samoa Bureau of Statistics, 2008

disadvantaged than girls and women. As the poverty study notes: ‘many young men in the rural areas<sup>29</sup> being frequently less well educated and thus unable to get anything but the lowest paid employment, if such employment is even available. The cycle of poverty can therefore be perpetuated. Education is therefore one of the most critical issues’.

### **1.3.3 National Teacher Development Framework: a potentially effective tool for improving school learning outcomes**

As noted in Section 1.2.1, teachers are a critical factor, possibly the most critical factor, in improving learning outcomes. The National Teacher Development Framework (NTDF), finalised in 2011, sets out the GoS vision of ‘a teaching service of the highest possible quality that will enable students to reach their maximum potential for learning’.

The NTDF’s framework of Professional Standards for Samoa’s Teachers underpins professional development activities for teachers, school principals, school review officers and teacher educators. The professional development of teachers will be practice-based. That is, improvement of teaching-learning outcomes in the classroom will be at the core of education, training and staff development programs. The framework covers: pre-service recruitment and selection; teacher certification/registration; performance standards; teacher performance appraisal; professional development; career pathways; conditions of service; teacher placement; teacher management information systems; and institutional strengthening and school improvement. MESC is committed to the implementation of the NTDF which forms the basis for ESP Activity Program 1.1.

### **1.3.4 Student performance assessment: a critical area for improving literacy, numeracy and overall learning outcomes**

Robust assessment systems are essential for monitoring school performance. Education systems with the highest level of student achievement use information to inform policy decisions and to improve teaching. Assessment of student performance enables teachers to identify students who are lagging behind and tailor support so that students are not left behind. Policy makers are also likely to use the results to develop plans and support programs that will enhance learning outcomes.

Since 1993, Samoa has used its annual Samoa Primary Education Literacy Level (SPELL) assessments at Years 4 and 6 to monitor progress in literacy and numeracy. MESC PPRD’s paper on the SPELL tests in 2010 discussed long-standing, widely held concerns with both the reliability and validity of the SPELL tool. It also highlighted the limited use of the test results as diagnostic tool, at the teacher/school level and the MESC level. MESC is seeking an in-depth review of SPELL to determine how well it meets the assessment principles set out in the Samoa National Assessment Policy Framework (SNAPF). Samoa is now successfully employing the Pacific Benchmarking of Education Resources (PaBER), focusing on literacy and numeracy, to support developments in school-based assessment.

### **1.3.5 Development of skills needs to align with the labour market**

The Education Sector Plan builds on the lessons learnt within Samoa and globally that people who have received well-designed programs of skills development are more employable and more productive at work. An effective system for developing skills connects school education to technical training, technical training to labour market entry, and labour market entry to the workplace and lifelong learning.<sup>30</sup> Populations with highly educated and skilled workers adapt more rapidly to changing environments and respond more quickly to economic and market opportunities. Samoa also realises the need for recognised qualifications. Internationally benchmarked national and regional qualifications enable citizens to move between training providers, employers and

<sup>29</sup> This is also a problem in urban areas

<sup>30</sup> International Labour Office

countries, including Australia and New Zealand.<sup>31</sup> As noted in Section 1.1, remittances from Samoans working abroad account for a quarter of Samoa's GDP; all else being equal, the better their education and training, the more they will contribute to their host country and the higher will be the remittances.

### 1.3.6 Early childhood education: more attention on the early years

Samoa, like many other countries, has realised the need for a strategic approach to early childhood education (ECE). A growing body of evidence<sup>32</sup> shows that integrated early childhood services that address physical, cognitive, linguistic and socio-emotional risk factors in the early years of life (from conception to 8 years) have major impact on education outcomes. Children who benefit stay in school longer and perform well throughout their schooling. ECE is a means of breaking the poverty cycle: those disadvantaged children who participate in quality early childhood programs are more likely than others to go on to higher levels of skill development and full-time jobs with better wages. They can contribute to shifts in the economic position of their family, colleagues and community.

There is similar international evidence on the importance of developing literacy and numeracy starting at ECE level. A study of over 3,000 children in Britain found significant increases in the competence of 11 year olds in English and mathematics as a result of attending pre-school education.<sup>33</sup> A longitudinal survey of youth found that 'numeracy has a highly significant effect on earnings, mostly through its effect on college attainment', while literacy 'has an even greater effect than numeracy on college attainment, [and] has a smaller and less significant effect on earnings'.<sup>34</sup> Large increases in pre-school attendance in France led to a sizeable and persistent positive effect on children's abilities to succeed in school and obtain higher wages in the labour market.<sup>35</sup>

Yet 'despite rapid progress in ECCE policy development, governments face continued challenges in their regulation. This is evidenced by the few Pacific Island Countries who have been able to enforce the registration of ECCE services, with a majority of these continuing to be operated without Ministerial oversight'.<sup>36</sup> The 2014 Preliminary Report on ECE in Samoa<sup>37</sup> highlighted the low status and morale of ECE teachers, an inadequate supply of qualified teachers and a low level of professionalism. It noted that the curriculum is not child-focused, there are low construction and health and safety standards, and low awareness of the need for inclusive education.

The development of Samoa's policy and plans will be informed by recent Pacific regional developments in this area. Supported by UNICEF, the Pacific Regional Council for Early Childhood Care and Education (PRC4ECCE)<sup>38</sup> developed in 2013 the Pacific Guidelines for the Development of National Quality Frameworks for Early Childhood, Care and Education. These guidelines provide advice to countries on how to operationalise and implement their national ECCE policy. UNICEF has supported Vanuatu in pioneering this approach. The resulting ECCE policy (2010), and its associated National Quality Standards could serve as a useful reference for Samoa.

<sup>31</sup> Although skills development is necessary for economic and social development, it is not sufficient. It cannot overcome structural weaknesses in an economy, create jobs, address the social consequences of unemployment or shift for individuals and communities, unproductive firms to a higher level. Skills development must be part of a broader strategy for employment and economic growth

<sup>32</sup> See for example evidence contained within the report: UNESCO (2007), *Education For All Global Monitoring Report 2009: Strong Foundations – Early Childhood Care and Education*, UNESCO, Paris

<sup>33</sup> Melhuish, E. (2011a) 'Preschool matters', *Science*, Vol. 333, 15 July

<sup>34</sup> Dougherty C (2003), 'Numeracy, literacy and earnings: evidence from the national longitudinal survey of youth', *Economics of Education Review*, 22, 511-521

<sup>35</sup> Hasan, A. (2007), *Public policy in early childhood education and care*, *Intl J of Childcare and education policy*, Vol. 1 (1)

<sup>36</sup> *Early Childhood Care and Education In The Pacific Region: A Progress Review*, Pacific Islands Forum Education Ministers' Meeting, Port Moresby, Papua New Guinea, October 2010

<sup>37</sup> *Preliminary Report on ECE in Samoa*, MESC, March 2014

<sup>38</sup> In Samoa the subsector is called Early Childhood Education; in these regional initiatives the broader scope term Early Childhood Care and Education is used

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### **1.3.7 Strategic, government-led, sectoral approach to development is needed**

Many project reports and evaluations have cited concerns over coordination. A more efficient, strategic and sustainable approach is needed, bringing previous disparate development-partner-led interventions into a unified, government-led sector plan. Most donor-funded education sector projects have followed a standard agency-centred approach targeting educational subsectors, with lead agencies developing separate and uncoordinated policy, procedures and regulations within their own sphere of influence. Even the relatively broad and strategic ESPII and TVET projects have focused on a single agency – MESC and SQA respectively. This lack of sectoral integration and linking of project developments to overall sectoral operations and reforms has meant that the projects have had limited accountability and sustainability, and thus relatively low national impact on long-identified challenges within the sector.

To increase the level of sectoral coherence, the GoS has increasingly sought government-led sector-wide approaches<sup>39</sup> based on the overall Strategy for the Development of Samoa (SDS) and involving outputs-based budgeting. This has led to the development of the Education Sector Plan 2013–2018.

### **1.3.8 Monitoring, reporting and communications: more emphasis needed**

Several of the project reports cited in Section 1.3.1 raised concerns about effective monitoring and evaluation, reporting and communications. Closer monitoring is needed in a number of areas e.g. school grants where there is a need to improve the system of monitoring both to ensure stakeholders including DPs receive timely progress reports, as well as to ensure that the school can be held accountable to parents and the community.

The development of the Education Sector Plan by MESC, SQA and NUS has been in many ways an example of effective communications. It involved an extensive process of consultation with all stakeholders including other Ministries, the private sector and civil society. The plan was developed, through a number of consultative workshops by an Education Sector Working Group of senior staff from MESC, SQA and NUS initially set up to provide input into the SDS. The draft document was reviewed by the then Education Advisory Committee and submitted to the Cabinet Development Committee and for a full technical appraisal funded by the Government of New Zealand in partnership with Samoan stakeholders, particularly the MoF and the Australian High Commission. The final version, ESP 2013–2018, took full account of the recommendations of both the Cabinet Development Committee and the technical appraisal, as well as the 2009 MoF Sector Planning Manual for Samoa. It has now been endorsed by the Education Advisory Committee, in preparation for Cabinet approval. The plan covers five years but it is expected that it will be revised, including a mid-term evaluation of its implementation. This may require a re-ordering of priorities in the later years.

### **1.3.9 Financial management and procurement: increased focus needed**

Most education project reports in Samoa have cited slow procurement as a major issue, and many have expressed concerns about financial reporting. These are both critical areas for sector budget support. But provided there are strong financial management, auditing and procurement systems in place, sector budget support has the potential to significantly improve implementation. Problems have been experienced in Samoa and elsewhere partly due to the complexity of having to comply with separate project and government procedures for financial management, procurement and financial reporting. The use of government systems avoids this problem, but needs to be accompanied by careful monitoring and strengthening of financial management, auditing and procurement systems. The Education Sector Plan provides for the strengthening of these systems

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<sup>39</sup> The 2009 Ministry of Finance Samoa Sector Planning Manual explains the nature and form of sector plans required from all sectors alongside Ministerial Strategic Plans

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and for monitoring any residual risk. International experience of budget support has shown the successful impact on implementation of its focus of attention on financial management and procurement as part of strengthening government systems.<sup>40</sup>

### **1.3.10 Importance of individual, institutional and system capacity building based on Samoan and international experience**

Annex 4 describes the Education Sector Plan approach to capacity building, including the capacity-building role of the ESP activity programs and coordination structures and staff. It also shows the role of local and international technical assistance (TA) who will play an important part in the process. As well as the development of individual capacity (e.g. teachers, lecturers, trainers and managers), capacity-building is needed to strengthen institutions and systems. Such capacity strengthening is needed to improve coordination, research and analysis for improved policy and planning; systems for managing resources, including more effective budgeting, financial management, auditing and procurement and monitoring and evaluation. The ESP lays a heavy emphasis in these areas through 10 of the 22 activity programs: two focusing on coordination, four on research-based policy and planning, and four on systems strengthening. Technical assistance is an important element of these programs in building on regional and international experience and expertise.

The ESP also builds on regional resources and expertise, and the use of PaBER resources is an example of this. Other examples are the move of the SQA towards recognition of national qualifications with the New Zealand Qualifications Authority, and the targeting of regional scholarships on teacher training for science and mathematics where there are significant human capacity constraints.

The ESP and this ESSP proposal also build on regional<sup>41</sup> and global experience of sector-wide planning and sector budget support through technical support provided by New Zealand and Australia Governments working in support of GoS leadership through the Education Sector Working Group. Annex 10 shows the link with the priorities of Australia's Pacific Education and Skills Development Agenda (PESDA), i.e. the emphasis on early years learning and employability.

## **1.4 Strategic policy context and rationale for investment**

### **1.4.1 Coherence with Australian Aid policy**

As shown in Annex 10, the Education Sector Plan on which this investment is based is in line with Australia's Pacific Education and Skills Development Agenda and Delivery Strategy (PESDA). For example, both the ESP and PESDA focus on primary school literacy as the foundation for future skills, on young people gaining internationally-recognised post-secondary qualifications to secure paid work, and on efficiency gains in the financing and operation of the education and training system. Both ESP and PESDA use an approach of: better preparing children for school (through ECE reform); ensuring schools, teachers and trainers are well equipped to meet the needs of all children, including at-risk or disadvantaged students; better preparing students for post-school study and providing opportunities for young Pacific Islanders who would otherwise not be able to afford it, to complete an internationally or industry recognised post-secondary qualification.

The Education Sector Plan is also in line with the November 2011 statement of Australia's education priorities, *Promoting opportunities for all*, focusing on:

- Improving access to basic education opportunities for all so that children and youth complete a basic education

<sup>40</sup> Sector Budget Support in Practice, Synthesis Report, Williamson T and Dom C, Overseas Development Institute, London, 2010

<sup>41</sup> For example, regional experience from Tonga and the Solomon Islands

- Improving learning outcomes so that children and youth achieve the basic skills necessary for productive lives
- Driving development through better governance and service delivery so that partner governments support quality education for all.

#### 1.4.2 Coherence with New Zealand Aid policy

The Education Sector Plan is also in line with New Zealand's *Promoting Human Development* policy. This states that New Zealand's support for education aims to:

- Increase the number of children able to read, write and do basic maths
- Train effective teachers and principals
- Have all children in schools completing basic education, particularly girls
- Increase the number of people appropriately skilled to participate in the labour market.

The ESP focuses on these areas.

The *International Development Policy Statement: Supporting sustainable development* (March 2011) also sets out New Zealand's education priorities. Again these are areas of focus for the ESP, namely:

- Good quality basic education to establish foundation skills, such as literacy, speaking skills, numeracy, reasoning and social skills
- Effective schooling to provide youth with skills to be productive and creative workers
- Secondary and tertiary education, technical and vocational training and merit-based scholarships to develop technical, analytical and strategic capabilities.

The ESP continues to take forward New Zealand priorities including fee-free primary and secondary education and in-country training. It will strengthen the focus of the scholarship program with the identification of teachers at primary, secondary and tertiary levels, particularly in sciences and mathematics, as a priority area for scholarships.

#### 1.4.3 Coherence with national strategy

The ESSP focuses on the GoS Education Sector Plan 2013–2018. This plan is based on the Strategy for the Development of Samoa (SDS) 2012–2016, which has the theme, 'boosting productivity for sustainable development'. The SDS vision is 'improved quality of life for all'. Education is crucial to this vision: the seventh SDS key outcome is: Improved focus on access to education, training and learning outcome. The aim is to increase and broaden access to education, ranging from early childhood education (ECE) to post-school education and training (PSET) in both the formal and non-formal institutions, as well ensure the gradual integration of inclusive education. It is envisaged that the successful implementation of the key strategic areas – essentially the five ESP goals – will lead to improvements in other social areas, such as improved nutrition and better livelihood opportunities.

The ESP brings together under five strategic sector-wide goals, the strategic plans for:

- MESC (Strategic Policies and Plan 2006–2015)
- Samoa Qualifications Authority (PSET Strategic Plan 2008–2016) developed prior to the creation of SQA in 2008
- National University of Samoa (Strategic Plan 2010–2020).

As highlighted in Section 1.3, the ESP has used a wide process of consultation with stakeholders including the private sector, civil society and all development partners. The ESP has undergone a full, joint GoS–development partner appraisal. It was revised in accordance with the appraisal



recommendations and those of the Cabinet Development Committee, before approval by the Education Advisory Committee on 7 November 2013.

#### **1.4.4 Link with other projects and stakeholders**

Annex 6 shows projects active in the education sector in Samoa. Those not funded by Australia and New Zealand focus on infrastructure, complementing support through the ESP; this is also true of civil society projects. The ESP contains a program (5.3) focusing on the coordination of externally funded projects including standards and monitoring for infrastructure. The ESP coordination mechanisms, especially the annual review and taskforces will continue as ongoing mechanisms for coordination supported by other donors, civil society (notably for ECE) and the private sector.

#### **1.4.5 Why this investment is being proposed**

In summary, this investment is proposed as a means of:

- Strengthening Samoa's new approach to development of the education sector as a coherent whole, and the reform policies that are designed to achieve good learning outcomes and skills development linked to employment
- Strengthening government systems for sustainable achievement of positive learning outcomes and development of the skills needed for employment
- Thereby achieving improvements in Samoa's economic growth and balance of payments, individual incomes and poverty reduction, and the health, social, political and other positive outcomes of a more effective education sector.

## **2.0 Investment description**

### **2.1 Theory of change**

#### **2.1.1 Contribution of the ESSP to wider development outcomes**

The theory of change inherent in the ESSP, and illustrated in Figure 1, is that the ESSP contribution to GoS education sector resources, acting in support of Samoa's Education Sector Plan, will significantly improve the levels of education and skills needed for employment, economic growth and poverty reduction in Samoa.

In terms of wider development outcomes, ESSP support will, through improvements in learning outcomes and human resource strengthening:

- Reduce constraints on economic growth, particularly in the private sector
- Increase the very low proportion of Samoans currently in formal, paid employment (22%)  
Reduce the cycle of poverty for many communities, highlighted in the 2008 Poverty Study.<sup>42</sup>

As explained in Chapter 3 of the ESP, the ESP and SDS vision that all people in Samoa are well educated and productively employed will be approached through the following ESP education goals focusing on quality, equitable access and relevance.

1. Enhanced quality of education at all levels
2. Enhanced educational access and opportunities at all levels
3. Enhanced relevance of education and training at all levels

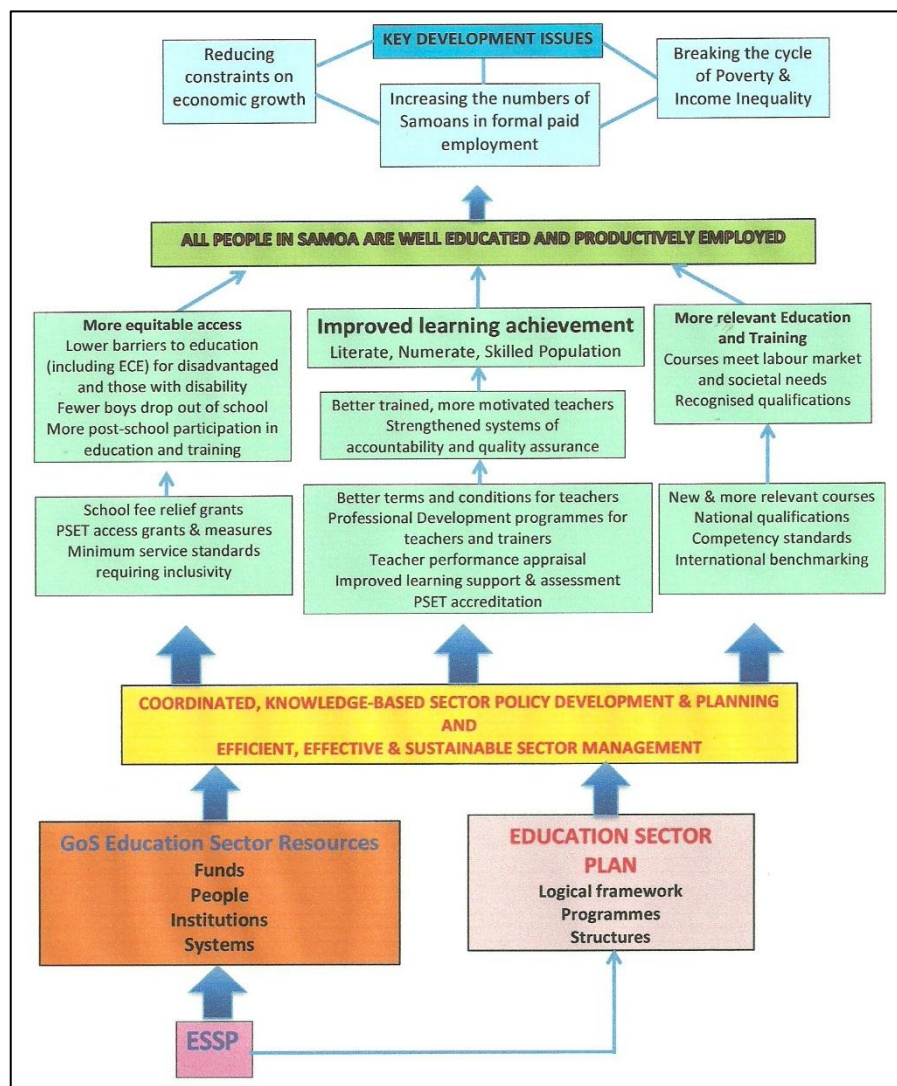
These are underpinned by two further ESP goals:

4. Improved sector coordination of research, policy and planning development
5. Establish sustainable and efficient management of all education resources.

<sup>42</sup> A report on the estimation of basic needs poverty lines, and the incidence and characteristics of hardship and poverty analysis of the 2008 household income and expenditure survey, Samoa Bureau of Statistics, 2008

The research undertaken towards goal 4 will help tackle gaps in evidence currently hindering policy development, though analysis will also form a part of programs tackling goals 1 to 3. The strengthening of sector-wide monitoring and information systems as part of the approach to goal 5 will also help tackle gaps in evidence, particular current gaps in the required statistical data.

**Figure 1: ESSP theory of change**



### 2.1.2 Sector outcomes and targets expected by 2018

The ESSP's intended outcomes and targets are those of the ESP logical framework. (Refer to Annex B of the ESP) There are six ESP sector outcomes and 13 subsector outcomes.

The ESP logical framework shows:

- the six ESP sector outcomes linked to the ESP goals (two sector outcomes for goal 4)
- ESP subsector outcomes contributing to the sector outcomes
- ESP outputs from activity programs contributing to the subsector and sector outcomes.

The outcome-to-vision<sup>43</sup> part of this logical framework is presented in diagrammatic form in Annex 1 of this document together with the list of activity programs for each of the sector outcomes.

The data shown in Table 4 below is an extract for the first three sector outcomes from the ESP.

**Table 4: Sample of the targets for ESP sector outcomes 1-3 (extract from Table 8 of the ESP)**

Sector level outcome	Indicators of achievement	Baseline	2018 Target
<b>SO1:</b> Improved learning outcomes at all levels	% of children categorised as <i>At Risk</i> in English and Samoan Literacy at Years 4 and Year 6, by gender [SPELL Results, Baseline 2012]	Year 4 English Girls 18 % Boys 35% Year 4 Samoan Girls 12% Boys 21% Year 6 English Girls 32% Boys 55% Year 6 Samoan Girls 12% Boys 22%	Girls 6% Boys 23%  Girls 1% Boys 9%  Girls 20 % Boys 43%  Girls 1% Boys 16%
	% of children categorised as <i>At Risk</i> in Numeracy at Year 4 and Year 6, by gender [SPELL Results, Baseline 2012]	Year 4 Numeracy Girls 23 % Boys 32% Year 6 Numeracy Girls 50% Boys 62%	Girls 5% Boys 10%  Girls 38% Boys 50%
	% of Samoan qualifications recognised nationally and internationally	Nationally: 17% Internationally: 0%	40% 17%
<b>SO2:</b> At all levels, more students (including those with special needs) have access to quality educational opportunities in safe, climate-resistant learning environments	Net enrolment rate for primary education by gender [MDG2]	Boys%, Girls % Total 97%	Total 99.8%
	% of children enrolling in Year 1 who complete Year 8, by gender	Boys%, Girls % Total 82%	Total 95%
	Net enrolment rate for secondary education, by gender	Boys%, Girls % Total 72%	Total 85%
<b>SO3:</b> Improved employability of school leavers as a result of education and training responding to national economic, social and cultural needs	% of PSET graduates finding employment within six months of completion.	31% (2011)	70%

These are ambitious targets although at the time of writing, the relevant MESC and SQA divisions believe them to be achievable. The annual review provides an opportunity for them to be adjusted if they prove over-ambitious, or if progress is made ahead of schedule.

### 2.1.3 ESP logical framework for achieving the ESP outcomes and 2018 targets

The ESP logical framework assumes that the sectoral change required can be most cost-effectively secured by MESC, SQA and NUS through the capacity-building activity programs listed in Annex 4. These activities, organised within programs, contribute to achieving the ESP outputs, which in turn contribute to achieving the ESP outcomes and overall goals.

The required changes in educational provision and the key systems for implementing them take place within schools, PSET centres or ECE centres, including an enhancement of local planning and accountability. But they form part of national<sup>44</sup> ESP activity programs that are planned, managed and monitored by MESC, SQA and NUS and which are overseen at a sectoral level by the Education Sector Advisory Committee reporting to the Minister of Education.

<sup>43</sup> The ESP vision is also the Samoa Development Strategy vision for the education sector

<sup>44</sup> There is no sub-national tier of government in Samoa

There are 22 ESP activity programs, building to a great extent on current projects and lessons learned from these. The programs focus on the following areas:

- **Quality** (7 programs in total)
  - 4 capacity-building programs through MESC in relation to teachers, the curriculum (including ICT in the curriculum) and assessment, building on activities under the ESPII and PaBER projects
  - 1 activity through SQA focusing on PSET quality assurance, building on TVETII
  - 1 activity through SQA and NUS focusing on the professional development of lecturers and trainers, and building on TVET II
  - 1 activity through NUS focusing on pre-service teacher training linking with the National Teacher Development Framework
- **Equitable access** (3 programs in total)
  - 2 activities through MESC, focusing respectively on inclusive education (building on SIEDP) and on school grants (building on SSFGS)
  - 1 activity through SQA focusing on access measures for PSET (building on TVET II)
- **Relevance** (4 programs in total)
  - 3 activities through MESC focusing on school-level TVET, and on culture and sport in education
  - 1 activity focusing on improving the relevance of PSET qualifications and programs (building on TVET II)
- **Capacity-building activities of the ESCD** (6 programs in total)
  - Coordination and strengthening of sectoral research, policy and planning
  - Strengthening management, monitoring and reporting
  - Strengthening financial management, auditing and procurement
  - Strengthening the coordination of external support
  - Strengthening resilience to disaster and climate change
  - Strengthening sectoral capacity for research, evaluation, policy analysis and planning
- **Capacity of the planning departments of MESC and SQA** (2 programs in total)
  - Supporting policy development for schools/ECE (MESC) and for PSET (SQA).

The strategy underlying the nature of these ESP activity programs is described below, and more fully in the taskforce briefs at Annex 5.

## 2.1.4 Strategic approaches underpinning the ESP activity programs

### Quality

There are difficulties in achieving adequate standards of literacy, numeracy and general learning achievement at secondary levels, especially for boys, and achieving the skills needed for the Samoan economy.

These problems are seen to result from:

- Human capacity constraints including a number of poorly paid, inadequately trained and thus de-motivated teachers, PSET trainers and lecturers, and high teacher attrition rates at secondary level
- Capacity constraints in implementing and assessing the school curriculum, especially the new bilingual curriculum that enables students to begin their learning in their mother tongue, and problems in aligning pre-service teacher training to the new curriculum
- Weak systems of accountability and quality assurance at all levels.

The ESP approach assumes (on the basis of local and international evidence) that improvements in these areas are the best way of improving levels of literacy, numeracy and skills development, as discussed in Section 1. The ESP therefore focuses on: better terms and conditions for teachers; more and better training for teachers and for PSET lecturers/trainers linked to teacher performance appraisal; improved systems for learner support, including learning resources supporting improved curricula; and improved systems of assessment and PSET program accreditation. These are key sector outputs for the ESP quality goal.

### **Access**

In terms of student participation, the major problems are: high drop-out in transition to, through and from secondary education, especially for boys, with the costs of tuition being a contributing factor; gender inequity in PSET (with women over-represented in professional courses and under-represented in technical courses); and financial and other barriers to access for children with disability and those from disadvantaged communities – groups who could best benefit from, but are least like to have access to, early childhood education.

The ESP approach assumes that, again on the basis of evidence, the best way of tackling these issues in Samoa is through: school fee-relief and PSET access grants and related measures; and through the enforcement of minimum service standards that require equitable and inclusive participation in education. These are key sector outputs for the ESP access goal.

### **Relevance**

The major problems with relevance are in the PSET subsector, with few recognised courses and weak linkages with labour market needs.

The ESP approach assumes that these problems are best tackled by establishing national qualifications and competency standards linked to national labour-market needs and with international benchmarking, and developing ESP programs targeting labour market needs.

### **Coordinated sector-wide approach to policy, planning and enhanced sector management**

The ESP includes capacity building towards a sector-wide approach to research-based policy development, efficiently coordinated planning and strong, sustainable systems for sector management, financing, monitoring and reporting. This sector level capacity building will operate through ESP programs led by the MESC Education Sector Coordination Division headed by the Sector Coordinator. The ESP assumes that initiatives to improve learning achievement, equitable access and relevance are best planned, managed and monitored initially at the subsectoral level through MESC, SQA and NUS, with sector-wide coordination mechanisms and upgrading of management capacity through ESCD.

#### **2.1.4 Policy-level dialogue**

The ESSP theory of change assumes that achievement of the ESP outcomes can be enhanced, not just by additional resources, but also through enhanced policy dialogue. The ESP provides a number of opportunities for policy dialogue between the GoS and other stakeholders including the

development partners, notably the annual review, the Education Sector Advisory Committee, the Education Sector Working Group and the taskforces.

### 2.1.5 Key performance indicators

All indicators in the ESP monitoring and evaluation framework<sup>45</sup> are to be monitored and reported on throughout the duration of the ESSP and a detailed M and E framework has been developed by MESC for this purpose. However a number of these have been selected as key to the achievement of ESP goals and outcomes. These indicators and their specific targets were agreed in collaboration with MESC, SQA and NUS and are shown in Table 5 below. It was also decided that rather than focusing on specific percentage increases year by year, the indicators would require that trends are moving in the right direction towards the final 2018 strategy. A minimum 1 percentage point increase would be expected, consistent with ESP progress targets.

**Table 5: Key Performance Indicators (KPIs for the sector)**

Key Outcome indicators	ESP code	Subcategory	2012 Baseline	Intermediate targets	2019 target <sup>46</sup>
Year 4 & 6 primary school children at risk in literacy (English & Samoan)	SO1	Male	35%	Trending towards	23%
		Female	18%		12%
Year 4 & 6 primary school children at risk in numeracy.	SO1	Male	26%		10%
		Female	16%		5%
Percentage of PSET graduates finding employment within 6 months (gender disaggregated rates to be determined in first year of ESSP)	SO3		31% <sup>47</sup>		70%
Percentage of children commencing Year 1 Primary and completing Year 8 by gender (Primary Completion Rate MDG 2)	SO2	Male	86 (2014)		95%
		Female	85 (2014)		95%
Transition rate from Year 13 to formal PSET (target to be confirmed in year 1 of ESSP)	SO2	Male	37%		50%
		Female	63%		70%
Number of children with disability enrolled in mainstream government schools	O2.2		105 (in 2010)		150
Percentage of teachers meeting teacher performance standards	1.1.4		Appraisal process in place		TBD
Number of schools meeting minimum service standards related to literacy and numeracy	2.1.2		TBD		50%
Number of accredited courses provided by PSET providers	1.5.1		6		20

<sup>45</sup> The full M and E framework is in the ESP at Annex 15.

<sup>46</sup> End targets may be adjusted based on agreement during the Annual Review Processes. KPI indicators reflect the most critical indicators identified by the Sector drawn from the ESP and M&E Tracker as part of the 2014 Annual Review process.

<sup>47</sup> This is based on six PSET providers.

The data for monitoring the KPIs will be collected, alongside other M&E data, by the MESC Policy, Planning and Research Division in collaboration with the MESC Monitoring, Evaluation and Research Division. PSET data will be collected by the SQA Division for Research, Policy and Planning in collaboration with the office of the NUS Deputy Vice Chancellor. The data will be collated by the Education Sector Coordination Division, analysed with the help of the ESWG, and reported by the Education Sector Coordinator (ESC) to the annual review.

This Annual Review process will form an opportunity to take a closer look at progress and review and revise targets if necessary.

## **2.2. Delivery approach**

The Education Sector Support Program will be based on the principles contained in the Samoa–Australia Partnership for Development Agreements signed by both governments on 19 August 2008, and the New Zealand-Samoa Joint Commitment for Development signed 13 July 2011, and the principles contained therein. These include Government of Samoa leadership alongside mutual accountability for results, including through regular and evidence-based review of progress against the objectives and commitments of the Partnership Frameworks and jointly agreed performance measures, notably those reflecting Samoa’s national and sector development strategies.

These principles will be reviewed at the annual partnership talks between senior officials of the respective Governments, reporting to Ministers. This will be based on deliberations and findings at the ESP annual review and ESP coordination committees described in Section 3.1 in which the development partners are represented.

Within the above partnership principles, the following modality options were considered.

### **Options considered by the design team**

Option 1: Further phase of the Education Sector Project (ESP III)

Option 2: Sector budget support with earmarking and tracking of ESSP funds

Option 3: Sector budget support without earmarking or separate acquittal for ESSP funds including a fixed tranche in support of key operational areas identified in the Samoa Education Sector Plan. The remaining 30% would be released based on GoS’s tracking towards pre-determined key performance indicators.

### **Option chosen by the Design Team**

**Options 1 and 2** were rejected by the GoS DP ESSP design team as not currently appropriate for Samoa. Continuing with ESP II would run contrary to the situation envisaged in the Education Sector Plan, the MoF sectoral approach and the general principle of internal sector accountability to the MoF rather than development partners.

Earmarking of budget support would risk creating a parallel system and severely weakening the nascent Education Sector Coordination Division (ESCD) and other sectoral coordinating structures and, furthermore, in 2011 the original design team for ESSP advised against this option. Detailed tracking and separate reporting on ESSP funding (i.e. rather than just using an overall ratio) would add greatly to the financing and procurement workload within the sector. This would significantly reduce sector efficiency in the use of resources. For example, Corporate Services at MESC and SQA and the NUS Finance Director would need to distinguish each purchase according to whether it was from ESSP or GoS funds. It would also be difficult to decide whether to spend GoS or DP funds first.

**Option 3** was chosen as being most appropriate to the conditions in Samoa, notably a strong government track record and reform program in public financial management. The existence of a comprehensive and interlinked sound Education Sector Plan was also key in the decision not to use option 1 which would extract only certain activities to be funded. Option 3 will secure a greater level of ownership and commitment to the implementation of the ESP. However in order to ensure



accountability, it was decided that a fixed tranche of 70% would be payable in support of overall progress of the key areas in the ESP. A remaining 30% would be released based on GoS's progress towards key performance indicators. The 70%/30% fixed/variable split was seen as providing GoS with the required level of predictability and reliability in funding, whilst at the same time incentivising performance and accountability in the implementation of the ESP. Using a fixed and variable tranche approach would help to mitigate some of the risks associated with non-earmarked budget support. The key performance indicators are restricted in number (see Table 3 and 5). They were selected, discussed and agreed with key partners including MESC, SQA and NUS.

**Table 6: Proposed resource commitments for ESP including for Australia and New Zealand**

Funding ceiling for financial year:	Currency	2015/16	2016/17	2017/18	3-year total
Total GOS Contribution to Ed Sector <sup>48</sup>	SAT	84,774,367	84,774,367	84,774,367	275,225,601
Australian/New Zealand sector budget support based on process indicators (70%)	SAT	8,563,100	8,498,350	8,437,800	25,499,250
Australian Contribution	SAT	2,587,200	2,692,800	2,692,800	7,972,800
SIEDP ring-fenced funding	SAT	2,464,000	2,112,000	2,112,000	6,688,000
New Zealand Contribution	SAT	3,511,900	3,693,550	3,633,000	10,838,450
Australian/New Zealand performance-linked contributions, subject to achievement of agreed indicators (KPIs) (30%)	SAT	3,669,900	3,642,150	3,616,200	10,928,250
Australian Contribution	SAT	2,164,800	2,059,200	2,059,200	6,283,200
New Zealand Contribution	SAT	1,505,100	1,582,950	1,557,000	4,645,050

Based on exchange rates of AUD 1 = SAT 1.76 and NZD 1 = SAT 1.73

### Modality mix:

As summarised in Table 2 above, sector budget support to the education sector will utilise three modality types:

1. **Sector budget support based on process indicators:** un-earmarked financing in support of key operational areas identified in the Samoa Education Sector Plan 2013-2018 (70 per cent) with additional funding for Inclusive Education to be ring-fenced by the GoS on receipt.
2. **Performance-linked contributions, subject to achievement of agreed key performance indicators:** financing is released based on GoS's tracking towards pre-determined

<sup>48</sup> 2015-16 figures are based on GOS approved estimates. It is assumed that levels will remain the same for outer years and are subject to GOS annual parliamentary appropriations.



performance milestones (30 per cent). If not all KPIs have been met, a proportion of the 30% will be paid.

Under this modality, there will be no earmarking of the funds within education, and no separate DP tracking processes. The Ministry of Finance in consultation with MESC will be responsible for ring-fencing SAT6, 688,000 toward SIEDP.

### 2.2.3 Structure and operation of the selected option

Figure 3 below shows the links between selected partnership option and ESP. ESSP funding will enhance the Treasury funding for the education sector, alongside other sector resources (DP project funds, user fees, business and community resources etc.), to fund all activities, human resources and other costs within the sector including those contained within the ESP. This ESSP-enhanced Treasury funding is channelled to the sector through the MESC, SQA and NUS budgets. ESP activities undertaken through these agencies are also supported by other DP-financed projects (accountable grants or support in-kind). Thus progress towards the ESP outcomes will be directly supported by ESSP sector budget resources.

**Figure 2: ESSP components and their relationship to the sector and ESP leading to achievement of the ESP outcomes**

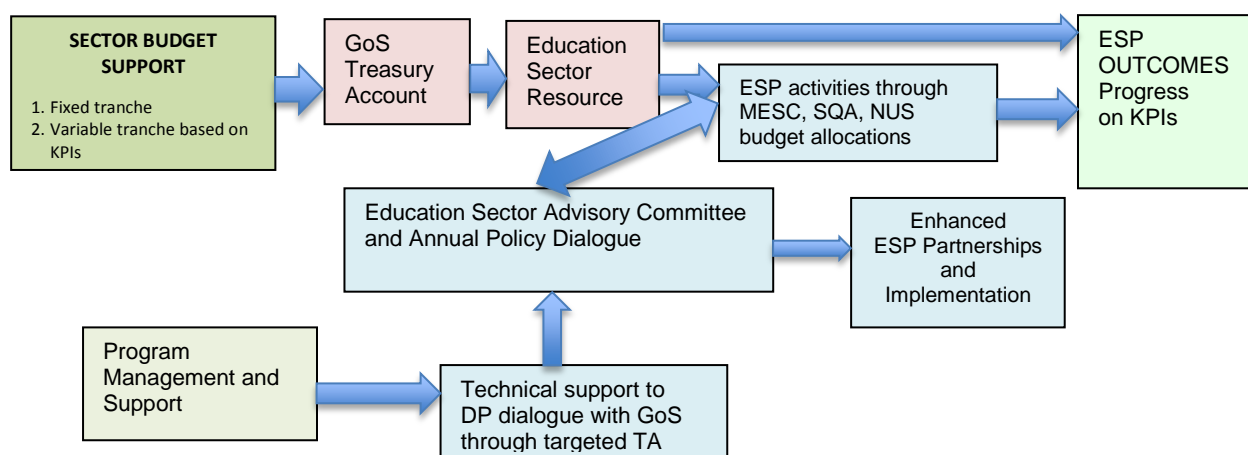


Figure 3 below shows the role of the ESSP in the annual planning, financing and reviewing cycle for the sector. The ESP is the basis for annual updating of the medium-term expenditure framework and the production of annual management plans. These are funded from the Treasury account which receives funding from GoS revenues and sector budget support. Physical and financial reports are used to inform both amendments to future policy, strategy and program and sector budget support financing decisions for the following financial year.

**Figure 3: Summary of sector budget support planning, financing and reviewing cycles**

### 2.2.5 Operation of the program management and support component

The ESSP will include a small component to provide technical assistance (TA) to fund development partners' support for the management and monitoring of the ESSP, notably for the annual review. This TA will be procured and managed by the two development partners, in consultation with the ESC. The TA will not duplicate TA provision already available within the ESP, though it could provide extra support to the ESP research capacity-development program 4.4 to strengthen policy development. Further details of TA requirements are contained in Annex 4.

### 2.2.6 Disbursement criteria

As stated in Section 6.2.5 of the ESP, the governments of New Zealand and Australia providing budget support will, either before or at the January meeting of the ESAC, confirm their financing for the following financial year so that the funding can be included in the annual MTEF update and the setting of the education sector budget ceilings. At the same time, as noted in the ESP, implications of any slippage will be reviewed by the ESAC, identifying actions to catch up time or, if that is not feasible, the actions for priorities and possibly for expenditure ceilings in the following financial year.

#### **Fixed tranche (70%) supporting key operational areas identified in the Samoa Education Sector Plan 2013 - 2018**

A tranche of 70% will be released based on the triggers identified below:

- Overall strategy, policy and governance arrangements are on track as envisaged by the ESP or as subsequently amended through the annual review
- ESSP funds do not lead to a reduction of the government's own financial commitment to the sector
- Financial allocation is on track, in accordance with the sector plan as subsequently amended through the January meeting of the ESAC.
- Implementation is on track with no critical path activities more than a year behind schedule except for those where deferral has been agreed through ESAC
- Monitoring and reporting are on track

- Risks are managed as expected

The development partners will also use the tranche release triggers in Table 7 below to check that the ESP is 'on track' as defined in the table.

**Table 7: Annual fixed disbursement triggers**

Disbursement triggers	Indicators	Sources of verification
The overall strategy, policy and governance arrangements are on track as envisaged in the ESP or as subsequently amended through the annual review.	<ul style="list-style-type: none"> <li>- No concerns raised at the preceding annual review or ESAC about major divergence from ESP strategy, policy or governance.</li> <li>- ESWG is meeting at least quarterly</li> <li>- at least 2 weeks before the January meeting, suggestions for priorities for implementation in the coming year and any adjustments to the ESP arising from the annual review are circulated to ESAC members.</li> <li>- ESAC is meeting on a quarterly basis, and the January meeting is provided the guidance needed to enable the sector MTEF to be updated.</li> <li>- All agreed taskforces met at least quarterly each financial year. [Not applicable for the 2015/16 disbursements.]</li> </ul>	<ul style="list-style-type: none"> <li>- Annual review, meeting reports, agendas and agreed minutes;</li> <li>- Annual budget estimates and MTEF</li> </ul>
ESSP funds are not leading to a reduction in the government's own financial commitment to the sector	Fraction of the Estimated Payments to Education from the Treasury Fund for the current financial year exceeds 14% after deducting ESSP contributions.	Budget estimates for coming financial year; Financial Management Reports; audits of financial accounts
Financial allocation is on track, in accordance with the sector plan as subsequently amended through the January meeting of the ESAC.	Less than 10% divergence between the final estimates and the MTEF agreed at the January meeting of the ESAC for the previous financial year.	Education sector estimates Minutes of January ESAC meeting Financial Management Reports Audits of financial accounts
Implementation is on track.	No critical path outputs are more than a year behind schedule except those for which deferral has been agreed by the ESAC.	Annual progress reports
Monitoring and reporting are on track.	<ul style="list-style-type: none"> <li>- Dissemination of annual ESP progress reports sent to stakeholders at least 2 weeks before the annual review, including an analysis of progress against the KPIs and other indicators in the ESP results framework (and with a complete set of baseline results included in 2015/16).</li> <li>- Consolidated quarterly and annual Financial Management Reports (including findings from the audit reports) provided on time by ESCD for consideration by the ESAC and annual review.</li> </ul>	<ul style="list-style-type: none"> <li>- Annual progress reports.</li> <li>- Consolidated reports from ESCD and ESAC minutes</li> <li>- Final report on the annual review issued by the ESAC</li> <li>- Finance sector and PFM annual progress report</li> </ul>
Risk management is on track.	Internal audit reports and ESCD follow-up on these reports show progress on reducing the residual PFM and procurement risks within the sector	Consolidated reports from ESCD and ESAC minutes Final report on the annual review

If ANY of these triggers are not met by the January meeting, the development partners will discuss the relevant delays, risks etc. with GoS, together with proposals for remedying the situation. Based on January meeting outcomes and related actions, a decision will be made in the April ESAC meeting on the amount of the next tranche release. If the situation has been adequately explained (e.g. in the case of a natural disaster), or if adequate steps have, by the April meeting, been taken to minimise the risk of the program continuing to be off-track (as defined in Table 7) in the coming

financial year, then the DPs may agree to continue the release of funds as if the triggers had been met.

If, however, the risk of continuing to be off track has not been adequately reduced, the DPs may decide either to defer tranche release while further steps are taken to reduce the risk, or in extreme circumstances (e.g. more than 20% reduction in the GoS budget for education, ESAC not meeting, or the majority of critical outputs being more than a year behind schedule), the DPs may decide not to release further funds under the budget support modality, subject to further negotiation.

Funds will be released in two tranches each financial year: the first in July, at the start of the financial year, will normally release 70% of the annual funds and the second in February will release the remaining 30%. However, before confirming the level of the first tranche at the April ESAC meeting, and assuming the triggers in Table 7 have been met, the DPs will check the likelihood of an under-spend in the coming financial year. As noted in the ESP, if there are doubts as to whether the level of expenditure in the coming year will reach the agreed level on which DP commitments at the January ESAC meeting were based, then the DPs may declare an intention to hold back disbursement of a proportion of their funding until it is needed, possibly until the April tranche.

#### Variable tranche (30%) based on meeting key performance indicators

In addition to monitoring all the indicators in the ESP, nine indicators were selected as being key to achievement of ESP outcomes. End targets are set for 2018. However rather than a fixed percentage point increase per year, it has been decided that figures should be trending towards the eventual 2018 target. A minimum trend of 1 percentage point will be expected, consistent with ESP progress targets. Funds will be released in February of each year based on trends demonstrated.

**Table 8: Key Performance Indicators (KPIs for the sector)**

Key Outcome indicators	ESP code	Subcategory	2012 Baseline	Intermediate targets	2019 target <sup>49</sup>
Year 4 & 6 primary school children at risk in literacy (English & Samoan)	SO1	Male	35%	Trending towards	23%
		Female	18%		12%
Year 4 & 6 primary school children at risk in numeracy.	SO1	Male	26%		10%
		Female	16%		5%
Percentage of PSET graduates finding employment within 6 months	SO3		31% <sup>50</sup>		70%
Percentage of children commencing Year 1 Primary and completing Year 8 by gender (Primary Completion Rate MDG 2)	SO2	Male	86 (2014)		95%
		Female	85 (2014)		95%
Transition rate from Year 13 to formal PSET (target to be confirmed in year 1 of ESSP)	SO2	Male	37%		50%
		Female	63%		70%
Number of children with disability enrolled in mainstream government schools	O2.2		105 (in 2010)		150

<sup>49</sup> End targets may be adjusted based on agreement in the Annual Review Processes. KPI indicators reflect the most critical indicators identified by the Sector drawn from its Sector Plan and Monitoring and Evaluation Tracker as part of the Annual review process in 2014.

<sup>50</sup> This is based on only 6 PSET providers. Gender disaggregated rates to be determined in the first year of the ESSP.

Percentage of teachers meeting teacher performance standards	1.1.2		Appraisal process in place		TBD
Number of schools meeting minimum service standards related to literacy and numeracy	2.1.2		TBD		50%
Number of accredited courses provided by PSET providers	1.5.1		6		20

### 2.2.8 Pre-conditions for ESSP sector budget support

There are a number of pre-conditions which must be in place before ESSP sector budget support can begin. These are shown in Table 9 and comprise the following:

- ESP governance arrangements are in place to take forward and oversee the ESP
- GoS staff are in place at sector level to take the sector-level policy and planning, budgeting, financing, procurement, reporting and general coordination of the ESP
- There is budgetary readiness to employ ESSP funds in accordance with the ESP plans
- The finance and procurement conditions recommended in the May 2012 Public Financial Management Assessment have been met (see Annex 8)

An update of the progress on pre-conditions as of 17 April 2015 is contained in Annex 9.

**Table 9: Pre-conditions for ESSP funding**

Pre-conditions for sector budget support		Indicators	Why required	Action by
1	Governance arrangements in place	Annual review has assessed progress on ESP implementation ESWG is meeting on at least a quarterly basis, and circulates to ESAC members at least 2 weeks before the January meeting suggestions for priorities for implementation in the coming year and any adjustments to the ESP arising from the annual review. However, special meetings may be convened if the need arises on a monthly basis. ESAC is meeting on a quarterly basis, and January meeting provides the guidance needed to enable the sector MTEF to be updated. Special meetings are convened where the need arises within the quarter period. All agreed taskforces meeting or scheduled to meet	Accountability for budget support	ESAC chair and members Members of ESWG
2	Fully staffed and operational Education Sector Coordination Division	The following are in place: - Education Sector Coordinator (ACEO) - Principal Executive Officer (PEO) Sectoral Budgeting and Finance - PEO Sectoral Monitoring and Evaluation - PEO Planning and budgeting - PEO Sectoral Reporting, communications and advocacy - PEO Procurement Support and Coordination	Management and monitoring of sector budget support and the key ESP implementation programs on sectoral coordination and capacity development	ESC, Public Service Commission, MoF
3	MTEF updated in line with MoF requirements	MTEF updated based on the annual review, submitted to ESWG, approved by ESAC in place as a basis for budget estimates by February prior to SBS	Required as basis for development of future estimates	ESCD in liaison with MESC, SQA, NUS, MoF and DPs; ESAC
4	ESP costings included in the estimates for MESC, SQA and NUS	Costings to be included by ESCD in estimates submitted to MoF by April prior to SBS, based on consolidated annual management plans in accordance with the MTEF (as verified by ESWG)	The ESP operation relies on these increased GoS budget lines that ESSP funding will enable GoS to cover	ESC, ESWG

5	Procurement guidelines and training fully in place	<p>Completed and validated MAPS assessment of procurement regulatory framework and capacity</p> <p>MoF CEO approves and publishes part K of Treasury instructions</p> <p>Attorney General has approved revised Standard Bidding Document, Request for Quote and contracts</p> <p>Procurement training program delivered across MESC, SQA and NUS and including to internal auditors</p> <p>Updated NUS and SQA Financial Policies and Procedures Manuals to be in line with revised Treasury instructions, including new part K.</p>	Manage PFM and procurement risks to an acceptable level for budget support	MoF, MESC, SQA, NUS
6	Sector Internal Audit arrangements fully in place	<p>MESC, SQA and NUS internal auditors in place</p> <p>Internal audit adviser in MoF Internal Audit Department supporting implementation of the Internal Audit Strategic Plan, functioning Internal Audit Forum, and participation of MESC, NUS and SQA internal auditors in the forum</p>		

## 2.3. Resources

Australia and New Zealand have proposed funding ceilings for the three-year ESSP. Table 9 shows the funding ceilings divided by financial year and by disbursement type. It also provides a breakdown by country contribution.

**Table 10: Proposed Australian and New Zealand funding ceilings for the ESSP**

As shown in Annex 2, this level of funding is in keeping with the funding gaps likely to be experienced by the GoS.

Financial year:	Currency	2015/16	2016/17	2017/18	3-year total
<b>TOTAL EDUCATION SECTOR SPENDING</b>					
Estimated Recurrent costs	SAT	91,832,367	91,739,867	91,653,367	275,225,601
Estimated Development Costs	SAT	18,088,200	18,385,700	16,319,200	52,793,100
Total Required for ESP Implementation	SAT	109,920,567	110,125,567	107,972,567	328,018,701
Total GoS contribution to Ed. Sector	SAT	84,774,367	84,774,367	84,774,367	254,323,101
Aust./NZ contribution to Ed Sector	SAT	12,233,000	12,140,500	12,054,000	36,427,500
Estimated Funding Gap	SAT	18,613,200	18,910,700	16,844,200	54,368,100
Govt. of Samoa Percentage Contribution	%	77.1%	77.0%	78.5%	77.5%
Australia/New Zealand % Contribution	%	11.1%	11.0%	11.2%	11.1%
Funding Gap percentage remaining	%	11.7	12.0%	10.3%	11.4%
<b>BREAKDOWN OF AUSTRALIA/NEW ZEALAND ESSP SUPPORT FOR ESP</b>					
Australian/New Zealand ESSP support for ESP	SAT	12,233,000	12,140,500	12,054,000	36,427,500
Proportion of above allocated to 70% fixed tranche	SAT	8,563,100	8,498,350	8,437,800	25,499,250
Proportion of above allocated to 30% variable tranche based on KPIs	SAT	3,669,900	3,642,150	3,616,200	10,928,250
SIEDP ring-fenced funding (included in fixed tranche above)	SAT	2,464,000	2,112,000	2,112,000	6,688,000
Australia/NZ contribution in-kind as management support	SAT	525,000	525,000	525,000	1,575,000
<b>Total</b>	SAT	12,758,000	12,665,500	12,579,000	38,002,500
<b>BREAKDOWN OF AUSTRALIAN CONTRIBUTION (AUD)</b>					
Sector budget support	AUD	2,700,000	2,700,000	2,700,000	8,100,000
SIEDP ring-fenced funding	AUD	1,400,000	1,200,000	1,200,000	3,800,000
DFAT Procured Technical Advisory Support	AUD	200,000	200,000	200,000	600,000
<b>Total</b>	<b>AUD</b>	<b>4,300,000</b>	<b>4,100,000</b>	<b>4,100,000</b>	<b>12,500,000</b>
SAT Equivalent	SAT	7,568,000	7,216,000	7,216,000	22,000,000
<b>BREAKDOWN OF NEW ZEALAND CONTRIBUTION (NZD)</b>					
Sector budget support	NZD	2,900,000	3,050,000	3,000,000	8,950,000
MFAT-procured Technical Advisory Support	NZD	100,000	100,000	100,000	300,000
<b>Total</b>	<b>NZD</b>	<b>3,000,000</b>	<b>3,150,000</b>	<b>3,100,000</b>	<b>9,250,000</b>
SAT Equivalent	SAT	5,190,000	5,449,500	5,363,000	16,002,500

**Table 11: Total financial resources available to the education sector in FY 2013/14**

Contribution to education sector resources		Million SAT
GoS Treasury Account funding in the pre-ESSP forward estimates for the education sector	Budget for MESC Implementing Agency Outputs	50.8
	Budget for SQA Implementing Agency Outputs	2.4
	Budget for NUS Implementing Agency Outputs	11.0
	Budget for grants and subsidies for other 'outputs provided by third parties' (e.g. to private mission schools) and 'Transactions on behalf of the State' (e.g. counterpart funds and government initiatives)	31.3
	<b>Total sector resources from GoS Treasury Account</b>	<b>95.5</b>
Projects funded through Development Partner Trust Funds as grants and loans (e.g. SSFGS 3.8m, TVET 2.4m, SIEDP 2.5m, PaBER 0.5m)		26.4
Development Partner Aid-in-Kind (e.g. scholarships 25.7m, APTC 14.4m, SQA support 2.3m)		16.2
<b>Total Pre-ESSP resources available for the education sector from GoS and DPs</b>		<b>138.1</b>
In addition, other resources are provided by fees to private sector and non-governmental education providers, and by contributions from the community and business and commerce.		

Source: Approved Estimates of Receipts and Payments of the Government of Samoa for the Financial Year ending 30 June 2014; Legislative Assembly of Samoa Parliamentary Paper 2013/2014, No.2

The ESSP added to the GoS budget will not cause an overspend in the sector relative to other sectors. The fraction of overall Treasury funds going to the education sector rose to 16.7% in 2011/12 but has since decreased to 14.7% because of emergency allocations to other sectors following cyclone damage. The fraction of the budget not including GoS is expected to increase again, partly as a result of increased teachers' salaries, but is unlikely to exceed the 2011/12 level. If it does reach the 2011/12 level in 2016/17 when ESSP funding is currently expected to be at its peak, the fraction of Treasury funds to the education including the ESSP would be 19% at most; this is still below the 20% recommended by the Global Partnership for Education.

The Australian and New Zealand High Commissions will together need to devote at least 80 person days per year to the ESSP for monthly ESWG meetings, quarterly ESCD meetings, annual review, involvement in the task forces on an as needed basis, day-to-day liaison and other partnership commitments (albeit this will be offset by less projects to oversee). At least 20 person days per year will be needed for headquarters staff to provide backup, technical review, participation in key meetings (e.g. Annual Reviews) and staff development.

### 3.0 Implementation arrangements

#### 3.1 Management and governance arrangements and structure

Full details of the management and governance arrangements and structure for the ESP are in Chapter 6 of the ESP. Key aspects of these ESP management and implementation arrangements are summarised below.

##### 3.1.1 Governance structure and roles

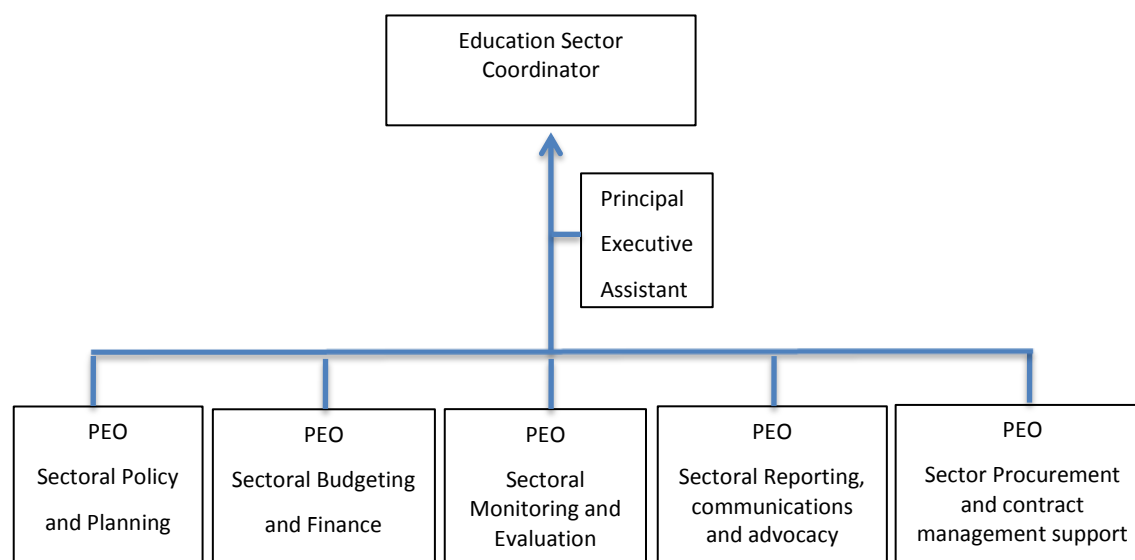
The Education Sector Coordination Division (ESCD) has been established to coordinate the planning, budgeting, financing, procurement and monitoring and reporting of the three implementing agencies for the ESP, namely MESC, SQA and NUS. Figure 5 shows the proposed structure of the ESCD housed in the Ministry of Education and headed by the ACEO-level Education Sector Coordinator (ESC). The ESCD will work with the MESC, NUS and SQA planning divisions to integrate the ESP activities into their on-going planning and budgeting, and with the Corporate Services divisions to coordinate their financing of the ESP activities. All ESP physical and financial reports from MESC, SQA and NUS will be consolidated and put together by the ESCD as sector level reports for the Education Sector Working Group to peruse and endorse before submission to the Education Sector Advisory Committee.



The ESP included four PEO positions as it was assumed that the Sectoral Budgeting and Finance PEO would also cover procurement. Subsequent discussions have emphasised the crucial importance of strengthening procurement in the sector if the ESP is to be successful. For that reason, it is now planned to add a PEO position for Sector Procurement and Contract Management Support. Each PEO will have a sectoral management role in terms of the ESP programs, plus sectoral capacity building and sectoral coordination roles. Their job descriptions and that of the Education Sector Coordinator/Head of ESCD are summarised in Annex 4.

The coordinating structures for the ESP are shown in Figures 5 and 6.

**Figure 4: Organogram of the Education Sector Coordination Division (ESCD)**

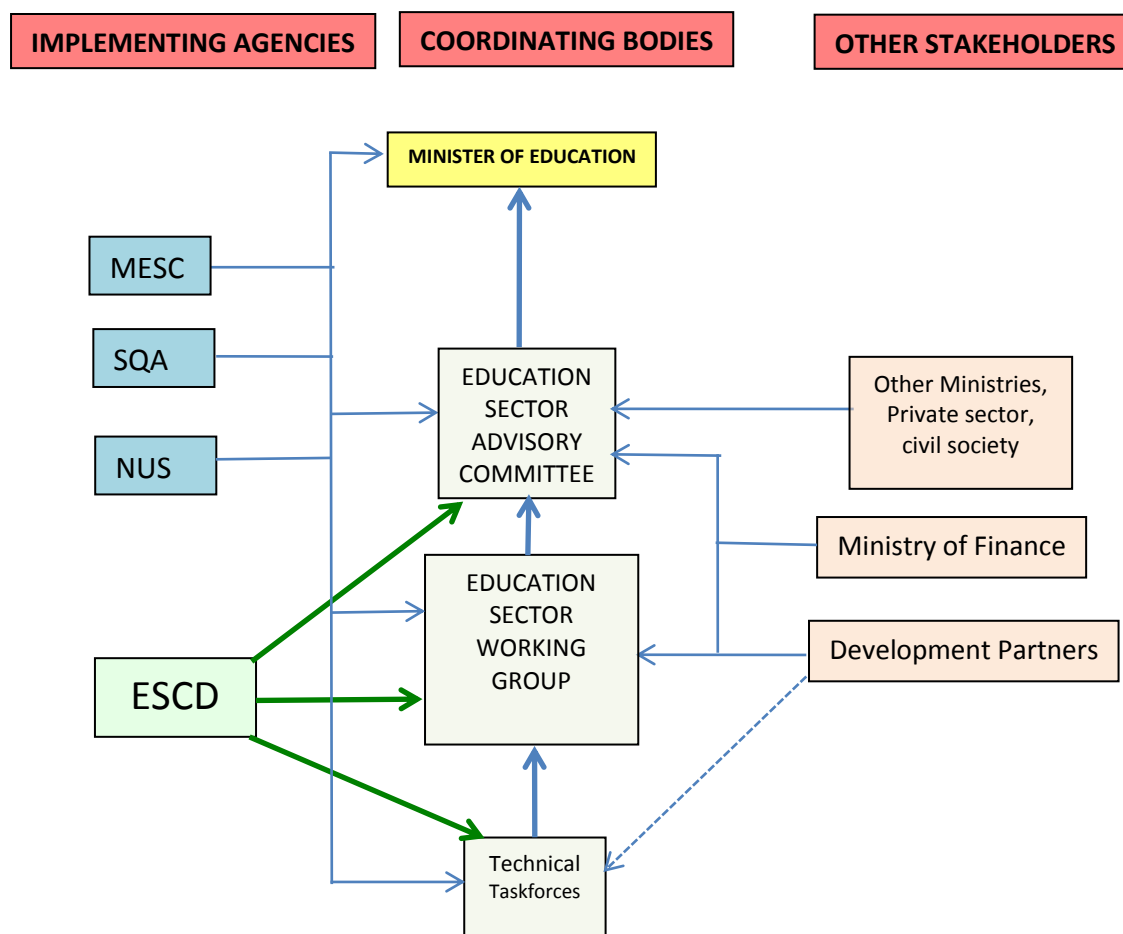


On 20 April 2015 the ESCD Coordinator position was filled. Three of the five PEO positions have been filled: PEO Sectoral Budgeting and Finance, PEO, Sectoral Monitoring and evaluation and Sector Procurement and Contract Management Support. Recruitment for the remaining two positions PEO Sectoral Monitoring and Evaluation and Sectoral Reporting, Communications and Advocacy is currently being recruited. It is envisaged that the positions will be filled by the time sector budget support commences or shortly thereafter.

The filling of all five PEO positions and the ESC position is a pre-condition for sector budget support in FY2015/16. The status of ESCD staffing as of 17 April is shown in Annex 9.

Figure 6 shows the overall coordination structure for the education sector. Implementation is primarily the responsibility of the three implementing agencies – MESC, SQA and NUS – under their existing systems of governance.<sup>51</sup> However, coordination committees have been established to: ensure sectoral coherence and adherence to the ESP; provide a mechanism for wider stakeholder involvement; and enable coordination with the Ministry of Finance and development partners.

<sup>51</sup> Shown in the ESP at Annex 15 as organograms in Figures 1, 2 and 3 of Chapter 6

**Figure 5: Organogram for Education Sector Plan coordination structures**

The head-of-agency-level Education Sector Advisory Committee (ESAC), with the ESCD as Secretariat, has wide representation and meets quarterly to advise the Minister on the progress on the ESP and on key decisions to be taken at sectoral level. Figure 6 shows the composition of this committee. Figure 7 lists some key items to be discussed in each of the quarterly meetings.

**Figure 6: Composition of the Education Sector Advisory Committee (ESAC)**

Chair	Appointed by Minister of Education
CEO	MESC
CEO	SQA
Vice Chancellor	NUS
CEO	MoF
CEO	MoH
CEO	MWCSD
CEO	PSC
CEO	MCIL
Representative	Private sector schooling
Representative	Samoa Umbrella for NGOs (SUNGO)
Representative	Development Partners
ESAC Secretariat	ESCD
Others as appropriate by invitation of the Chair.	

**Figure 7: Items to be included in the Education Sector Advisory Group meetings**

**January Quarterly ESAC meeting:**

Provide guidance based on the outcome of the annual review and review of the quarterly sector-wide financial and performance reports to enable the sector MTEF to be updated. For example, the implications of any slippage in implementation in the first two quarters will be reviewed, identifying actions to catch up time or, if that is not feasible, the implications for priorities and possibly for expenditure ceilings in the following year.

Agree the minimum required level of sector funding from GoS sources in the coming year, calculated by adjusting the figures in the financing plan for actual inflation since it was prepared.

DPs providing any budget support will confirm their financing for the following financial year.

Agree follow-up action to the audited accounts of MESC, SQA and NUS.

**April Quarterly ESAC Meeting**

Review quarterly financial and performance reports for the quarter ended in March.

Review proposed sector budget and implementation priorities for the following financial year, to confirm that they reflect the priorities agreed in the annual review, and remain realistic in the light of implementation progress in the current year.

Review progress in implementing the agreed audit recommendations. This would be a standard item in quarterly meetings until action is complete.

DPs providing budget support will confirm that their funds for the following year will be paid in full in July if the proposed budget is in line with expected priorities, and if implementation of the sector plan and of the specific priorities being tracked by budget support donors is on track.

**July Quarterly ESAC Meeting**

Review quarterly financial and performance reports to end June covering cumulative performance for the previous year.

Review the approved budget for the current year, and the implications of any changes made since the budget submission by the sector.

Discuss preparations for the annual review in November, including issues to be addressed, approach, required preparation and responsibility for doing it, and agenda.

**October Quarterly ESAC Meeting**

Review and advise on preparations for the November Annual Review, including planned agenda, papers, reports and anticipated attendees.

A key task of the ESAC is to oversee the preparations for, delivery of and follow-up from the November annual review. This review involves representatives from all stakeholders and is the main mechanism for reviewing, with these stakeholders, the previous financial year and planning for the next financial year. In 2017, it will be in the form of a mid-term review.<sup>52</sup>

A Education Sector Working Group (ESWG), chaired by the Education Sector Coordinator (ESC), supports the ESAC. Other ESWG members are the Heads of the MESC and SQA Planning Divisions, the NUS Deputy Vice-Chancellor, the Head of the Economic Planning and Policy Division of the Ministry of Finance (MoF) and development partner representative/s. The ESWG will meet on a quarterly basis, however if the need arises it will at least meet on a monthly basis and more often as needed, to coordinate planning, financing, implementation, M&E and reporting. The ESWG will report to ESAC on sectoral plans, performance, expenditures and other issues as appropriate. It will also seek approval of any joint proposals from the three agencies.

The ESWG will be informed by taskforces dealing with the issues of: teachers, literacy and numeracy, ECE, PSET, inclusive education, projects task force and possibly a finance and procurement task force. These are described in Annex 5 together with a strategy brief for each of the taskforces. In the first year of support for the ESP it is likely there will also be a need for a

<sup>52</sup> Chapter 7 of the ESP gives more details on the annual review

finance and procurement taskforce to ensure consistent approaches to budget preparation, ESP expenditure reporting and to procurement reporting. This was discussed at a pre-ESSP workshop held with the Sector in April 2015. The need for an ICT, Finance and Procurement taskforce reporting to the ESWG will be explored further with the Sector through the ESCD.

The taskforces are intended to: monitor ESP programs with the help of M&E data; provide critical information to the ESWG, particularly related to implementation progress and challenges; and provide sufficient information and recommendations to the ESAC, to ensure that the ESAC is appropriately informed of conditions in the education sector. Each taskforce will be open to a wide range of stakeholders involved in that specific subject area, including ESCD and development partners, who are able to provide background knowledge, ideas, experience and channels of communication that will assist those leading the implementation of the related ESP programs. The taskforces will also help prepare, through the ESWG to which they report, for policy dialogue in the ESAC and annual review.

Each taskforce will have a team leader who convenes meetings at least every two months to feed in to the quarterly ESWG and ESAC meetings. Detailed terms of reference will be agreed in the initial meetings of each taskforce. The ESWG, with support from the ESCD, will ensure that information and advice from the taskforces are passed to the ESAC as part of the quarterly performance reports. The lead division or department for the relevant ESP programs will be able to use information and advice from the taskforces in developing annual management plans. The taskforces will be guided by the ESC and PEO coordination, with technical support being part of that provided through activity program 4.1.

The development partners form a key part of the coordination mechanism, through the DP representative in the ESAC<sup>53</sup>, DP representatives on the ESWG, DPs involvement in the taskforces and the DP participation in the annual review. This participation will enable those funding the ESSP to engage efficiently with government over the course of the ESSP. This will particularly involve policy and strategy discussions, monitoring and reviewing progress and funding decisions, but also ongoing technical and advisory support to the progress of the ESP as required as part of the government-led partnership.

### 3.1.2 Annual budget cycle

The annual budget cycle is shown in Figure 9 from the perspective of the MoF, education sector and DPs.<sup>54</sup> Key elements are the MoF forward estimates and reviews, the Annual Education Sector Review, the update of the ESP and MTEF, meetings of the ESAC, and the confirmation of DP funds.

The MTEF will need to be updated every year in February in preparation for the budget bids and preparation of forward estimates due in to MoF before the end of March.

The MTEF will be developed with guidance from the January ESAC meeting. This meeting will:

- Agree any adjustments to policies, strategies and implementation priorities for the coming year
- Approve a revised ESP implementation plan at activity level to inform the update of the MTEF costings
- Agree the minimum level of sector funding from GoS sources in the coming year, building on the revised ESP financing tables that will be further adjusted for inflation
- Receive confirmation from the ESSP DPs of their funding for the coming financial year, commensurate with ESP delivery progress.

<sup>53</sup> In order to keep meetings small and efficient, official DP representation on the ESAC is limited to a single representative.

<sup>54</sup> The budgetary and financing arrangements for the ESP are set out in more detail Chapter 5 of the ESP (see Annex 15). This includes the financing plan based on the current MTEF.

Budgeting for the MESC and SQA components of the ESP will use the established processes described in Chapter 6 of the ESP. Each MESC and SQA division is responsible for costing its annual management plan and submitting an annual budget to the respective Corporate Services Division that is responsible for coordinating budget planning, preparation, presentation through the CEO to the Minister, and distribution. The ESWG will provide sectoral coordination of the plans on which divisional budgets are based. The ESCD, through ESP program 5.2, will support the budgeting process on a sectoral level, including submission of the ESP sector MTEF and Forward Estimates to MoF after it has been agreed by the ESWG and ESAC.

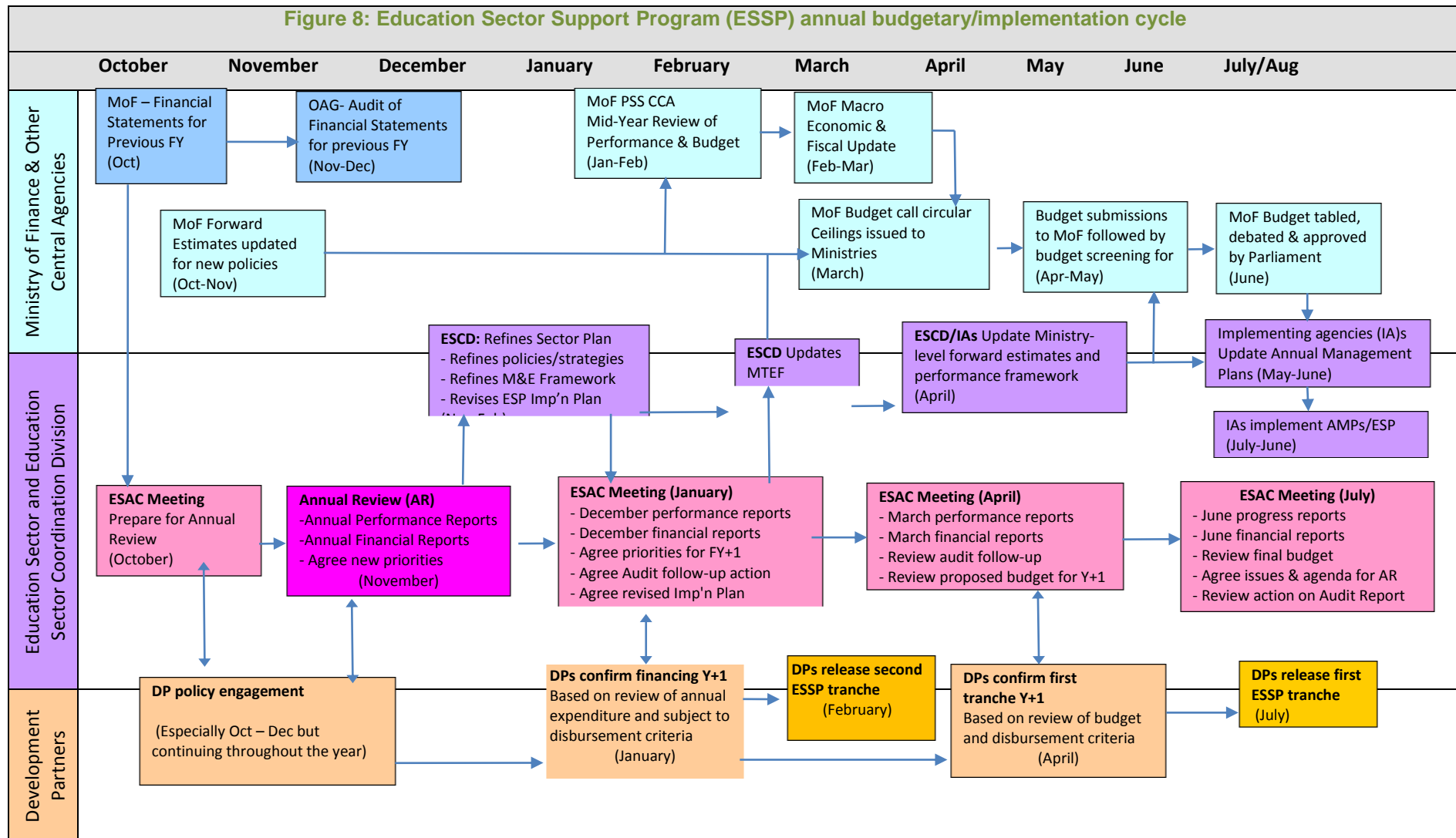
Budgeting for the NUS components of the ESP is more difficult in that key departments, such as those in the Faculty of Education, have budgets set according to weighted full-time-equivalent student numbers rather than, as with MESC and SQA, outputs in a form that can accommodate ESP programs. This is not true of all Departments: for example the budget for NUS Output 2 – ‘Policy Advice to the Vice Chancellor’ – for which the Deputy Vice Chancellor is responsible and the budget for Output 11 – the Oloamanu Centre – are based on indicators other than equivalent student numbers. They can include the ESP program outputs and their costs.

For this reason, while the budget for the SICTP component of ESP Program 2.3 will be set against NUS Output 11, the budget for all other NUS-based ESP activities will be put through NUS Output 2, to be the responsibility of the Deputy Vice Chancellor. These cover the NUS components of ESP programs 1.5, 1.6, 1.7, 3.2 and 4.4

The key stages for ESSP disbursement decisions are listed below.

- DP policy-level engagement with the Government of Samoa, primarily during the annual review and the October ESWG and ESAC meetings preparing for the review.
- Decision by the January ESAC meeting on the level of funding to be disbursed from the SBS in the next financial year. The SBS, will normally be the figure agreed at the launch of the ESSP, depending on whether the disbursement triggers are likely to be met.
- Further examination of the disbursement triggers alongside budget submissions to confirm disbursements for the following year by the April ESAC meeting.
- ESSP disbursements in July and February (the dates requested by MoF).

Figure 8: Education Sector Support Program (ESSP) annual budgetary/implementation cycle



### 3.1.3 Annual management plans

Annual management plans are developed in February to March by all MESC and SQA Divisions and all Deans of Faculties and Directors of Centres/Divisions of NUS. At present, the plans are designed to be in accordance with the respective implementing agency's Strategic and Corporate Plans and any commitments in regard to DP-funded projects and programs and government initiatives. In future, they will also need to incorporate the activity programs in the ESP. These are fully compatible with, but go beyond, the implementing agency's Strategic and Corporate Plans. Plans are assembled by the respective Planning Division (MESC, SQA) or Deputy Vice Chancellor and Registry Division of NUS, and passed to the Central Service Divisions (MESC, SQA) or Financial Services Division (NUS) for preparation of the budget.

The lead divisions for each ESP program are responsible for ensuring the ESP programs are included in the annual management plans of the participating divisions and departments in accordance with the ESP implementation plan.<sup>55</sup>

The ESWG brings together the Planning Divisions of MESC, SQA and the NUS. The ESWG meeting before the commencement of annual management plans will agree mechanisms for incorporating that year's ESP implementation plan in line with available funds. The ESWG will also check afterwards that the drafted annual management plans are in line with the ESP implementation plan and any amendments and with the performance assessment framework and MTEF/funding envelope.

The ESP notes that the Planning Divisions of MESC, SQA and the NUS will send approved composite annual management plans to the Education Sector Coordinator at the earliest opportunity (January-February), for the latter to combine in a summarised overall ESP annual implementation plan. Both the revised ESP implementation plan and the annual management plans will be informed by the Progress Tracker maintained by ESCD and the Annual Review Report.

### 3.1.4 MTEF and the forward estimates for the annual budget

To allow agreed ESP activities to commence, the same budget cycle will apply as for sector budget support in subsequent years, and this will not affect the management and governance arrangements, or the annual plans including the selection of ESP activities to be undertaken in FY2015/16. A summary level MTEF was prepared in October 2013, updated in February 2014, again in April 2014 and again in April 2015. (However, to fit within the GoS budget cycle, and consistent with Figure 9 above, the MTEF should be updated annually in February.) This MTEF allowed preparation of an ESP set of forward estimates for MESC, SQA, NUS and MoF to prepare and compare bids for the 2014/15, and the 2015/16 budgets. These summary level MTEFs for 2014/15 to 2017/18 has been prepared based on the activities to be carried out and on resources available to other DP-funded projects in the education sector. The MTEF will be maintained by the ESCD PEO for Budget and Finance. Provision should be made in the ESP budget for short term technical assistance to support the update of the MTEF if necessary<sup>56</sup>.

<sup>55</sup> The five-year ESP Implementation Plans are Annex E of the ESP. They are based on the activity programs forming Chapter 4 of the ESP. These have been updated by the ESWG for the first three years, and especially 2014/15, in Annex 3 of this ESSP design.

<sup>56</sup> Terms of reference for technical assistance to assist the ESCD Budget and Finance Officer were developed in October 2013. However, this technical assistance will not be activated until that ESCD position is filled

### **3.1.5 Transition from current project support**

#### **General issues**

The activities currently being undertaken through the projects below are already included in the ESP activity programs. Their present financial and procurement arrangements will continue to the end of the respective project. However, they will form part of the ESP annual management plans, be coordinated by the ESP governance structures on the same basis as for GoS-funded and ESSP-funded elements, and be reported on as part of the monitoring and evaluation of the ESP. Their expenditures will be recorded, under 'project x, project y' on the Education Sector Level Quarterly Financial Report shown in Annex F of the ESP.

The areas of activity for these projects will, in most cases other than construction, continue under the ESP beyond the period of project funding, but will then be managed fully by MESC, SQA and NUS as part of the regular government annual management plans, budgets, monitoring, financing and reporting as described in the ESP. Project employees will not continue in their posts except in the case of central staffing of the Samoa In-Country Training Program (SICTP) as described in Annex 7.

All physical resources of these existing projects will become the property of the host implementing agency and the relevant division or department with the agency.

Supervising committees for the projects (except the internal NUS committee for SICTP) will become part of the relevant taskforce.

#### **Education Sector Program II (ESPII)**

The ESPII will continue in its present form to December 2014, but it will be integrated into the ESP as indicated above. The activities will then continue as set out in the ESP implementation plan, but under the ESP management and governance arrangements and receiving ESSP-enhanced government funding.

Many of the ESPII structures have already transferred to those described in the ESP. The ESPII Steering Committee that had become the Education Advisory Committee, albeit receiving reports only from MESC, is now the Education Sector Advisory Committee with the ESCD as secretariat. The ESPII Secretariat will continue until the conclusion of ESPII but then its residual role and all assets will transfer to the relevant MESC divisions, including, for coordination activities and resources, the ESCD. (It would be helpful to have one of the vehicles transferred from ESPII to be for the sole use of the ESCD.) There is no conflict in having the ESCD and ESPII Secretariat overlapping: experience and expertise gained by MESC staff through the ESPII project will help the initial operation of the ESP. The ESPII Informal Committee will become the ESP Projects Taskforce dealing with all continuing DP-funded projects (though once ESPII ceases to receive project funds it will of course no longer be within the remit of this taskforce).

#### **Samoa Inclusive Education Demonstration Project (SIEDP)**

This project ends in 2014. The lessons learned will be carried forward in the ESSP through program 2.1: Inclusive Education at all levels and program 4.2: Policy Development for Early Childhood and School Education. The SIEDP Committee will become the Inclusive Education ESP Taskforce which will also include school fee grants. Any remaining SIEDP resources will be handled as indicated in the section above. Funds will be ring-fenced by GoS to ensure that gains made under this program are sustained and carried forward. SIEDP will be reported through sector coordination mechanisms against the relevant objectives of the ESP. No separate reporting or tracking is required.

#### **TVET Support Program**

This program ends in June 2015. It will continue with current funding and governance arrangements until then, but within the overall structure of the ESP. The activities will then continue as set out in the ESP implementation plan, but under the ESP management and governance arrangements and



receiving ESSP-enhanced government funding. The PSET Committee currently overseeing TVETII will expand to be sector focussed and will transition to become the PSET ESP Taskforce. Any remaining TVETII resources will be handled as indicated in the section above.

### **Samoa In-Country Training Program (SICTP)**

The funding mechanism for the program will change with the launch of the ESSP from a project based in the NUS Oloamanu Centre with direct funding from Australia/New Zealand to:

- Additional GoS funding for the Oloamanu Centre through the NUS grant as part of the ESP program 2.3: Development and Application of National Qualifications and Programs relevant to the Samoan Economy.

Annex 7 provides recommendations for incorporating SICTP within NUS as part of NUS involvement in the ESP. The ongoing activities will fall within the remit of the PSET ESP Taskforce.

### **Samoa School Fee Grant Schemes**

These grants have been included as ESP activity program 2.2. Australian and New Zealand project disbursements for the primary school grants ended in June 2014. It is now fully funded by the GoS. The secondary school grants funded by New Zealand will be incorporated into the ESSP from July 2015. Up until June 2014, both primary and secondary school grants will continue to be managed as at present. After July 2015, the grants will be fully managed by the GoS as part of ESP activity 2.2. They will also fall into the remit of the Inclusive Education ESP Taskforce.

### **Australia and New Zealand Scholarships**

These will continue to operate across a range of sectors and be funded as at present. However, from FY2015/16, 12 awards will be earmarked for education and health, rising to 15 from 2016, initially on a trial basis. MESC will be the agency responsible for coordination with SMFAT and Donor Partners on the targeted awards trial. The scholarships will be reported on as part of the overall ESP progress reports and separately through Samoa Ministry of Foreign Affairs who leads on scholarship administration.

## 3.2 Implementation plan

### 3.2.1 Three-year ESP implementation plan

The ESSP as proposed in this design will support the ESP implementation plans, starting from 2015/16. These implementation plans are in Annex E of the ESP. The logical framework at Annex B of the ESP shows the relationship between these outputs and the ESP intended outcomes and goals, while Annex F of the ESP shows how they will be monitored. Most of the activities in Annex E of the ESP are written in the form of sub-outputs to be completed each financial year. This allows implementation to be monitored against the statements in Annex E. In addition, Annex F of the ESP shows the performance indicators for each intended sector outcome and subsector outcome. Baselines and targets for some of the indicators are to be established in FY 2013/14.

The implementation plans will be reviewed annually.

### 3.2.2 Critical path interventions

Table 1A of Annex 2 shows the scheduled completion dates for some key ESP activities that are critical towards achieving the objectives and/or providing a base for subsequent activities. Completion dates for key ESP activities that are critical towards achieving the objectives and/or providing a base for subsequent activities will be identified early in the programme. The disbursement criteria require that these should not be more than a year behind schedule except where deferral has been agreed by the ESAC. They also form a basis for the key output indicators that form part of the key performance indicators for annual monitoring of the ESSP.

### 3.2.3 Annual plan and budget for 2015/16

The annual plan and budget for 2015/2016 is the result of prioritising the activities in the implementation plan in the ESP, updating the activities based on the Annual Review and the activity Progress Tracker, revised exchange rates, and the use of more realistic unit costs than those in the 2013 MTEF on which the ESP costings were based.<sup>57</sup> Given these changes from the original MTEF, the resulting budget is significantly less than in Table 10 of Chapter 5 of the ESP.

## 3.3 Procurement and financial management arrangements

### 3.3.1 Procurement arrangements

All technical assistance procurements will be carried out by the Corporate Service Divisions of MESC and SQA and the NUS Financial Services Division, following the GoS regulatory requirements and guidelines for procurement, and against specifications provided by the Head of Division or NUS Head of Department responsible for each activity program. This will include procurement for the ESCD. This has been and continues to be the process other than for goods and services funded through projects, which have normally used their own procurement systems through MoF.

The ESP places a heavier workload on MESC and SQA Corporate Service Divisions and NUS Financial Services particularly in regard to the procurement of technical assistance (TA), than in the past has been almost entirely procured through projects. The ESP is therefore providing advice, support and coordination through the ESCD PEO position for Sector Procurement and Contract Management Support and through TA contracted under ESP program 5.2. This will help to ensure that procurements and tenders are planned early, they are consistent with the ESP and annual management plans, and they are carried out in accordance with the GoS regulatory framework to

<sup>57</sup> Cost of a training session of 100 people for five days reduced from SAT 100,000 to SAT 3,500. Cost of a workshop reduced from SAT 20,000 to SAT 5,000.

achieve value for money. The TA will also work with the MoF Procurement Division to ensure that any capacity weaknesses in the implementing agencies are addressed early, and to monitor progress of tender panels etc.

Before or during the first year of the ESSP, MESC will develop an inventory control system and a centralised database on procurement. In addition, NUS financial procedures will make it clear that the official authorising a purchase cannot solely authorise the payment. All ESP procurements will be subject to risk-based internal audits by internal auditors in MESC, NUS, SQA and MoF, subject to the inclusion of procurement audits in the annual audit plans, or based on requests for additional external audits by the ESCD or ESAC.

### **3.3.2 Proposed arrangements for fund disbursement under sector budget support**

The governments of New Zealand and Australia will deposit the July and January tranches of the sector budget support (and where relevant, PBIF) grants into a foreign currency account with the Central Bank of Samoa, which will be set up by the MoF for this purpose. The Central Bank will immediately convert the funds in the account to Tala and transfer them to the main Treasury development revenue account.

The ESSP sector budget support will only be reported in the revenue section of the budget estimates, with no requirement for an acquittal. There will be no earmarking of the funds within education, and no DP-specific tracking of how they were spent.

The ESSP funds will be subject to the same financial management procedures as national funds. Accountability for budget support funds will be based on:

- i. annual and quarterly reviews showing that progress is being made towards achieving the agreed key performance targets
- ii. annual government accounts and subsequent audit reports showing that expenditure is in line with the budget that the GoS and DPs had agreed to finance, that reasonable standards of public financial management are being observed, and that any problems in financial management are being detected and resolved through appropriate action.

The Education Sector Coordinator will provide ESAC meetings with consolidated quarterly statements of expenditures from MESC, SQA and NUS for the budget outputs or below the line items that include ESP activities. The coordinator will provide consolidated annual accounts to the ESAC for the annual review. For the ESAC meeting prior to the annual review, the coordinator will provide an annual financial management report including reports from the MESC, SQA and NUS internal auditors and follow-up actions.

### **3.3.3 MTEF and forward estimates**

The MoF has prepared sector-level forward estimates templates based on consultations with the design team in February 2014 although with an expectation that sector budget support would commence from July 2014 rather than July 2015. These sector-level templates are in the same format as those for line ministries. They allow the education implementation agencies and the MoF to distinguish between and compare output appropriations and activities financed by GoS funds and those financed through sector budget support.

These forward estimates templates have been completed on the basis of the existing draft MTEF initiated in October 2013 and updated in February 2014 and April 2015. However, there are some tasks remaining to ensure that ESCD has the capacity to maintain the MTEF and forward estimates templates. These tasks include the following:

- Whilst the MTEF template (including forward estimates) has been updated twice for the 2014/15 and 2015/16 budget preparation cycles, there has been no ESCD Coordinator or PEO Budget & Finance officer in place to participate in this action learning exercise. For the

preparation of the 2015/16 estimates, the PEO Procurement and the PEO M&E were both able to participate, as were the M&E adviser (volunteer) and the IT adviser (volunteer). The Coordinator and PEO Budget & Finance officer remain to be trained on the use and maintenance of the MTEF

- Set up of the consolidated ESP quarterly financial management report. Although the three relevant agencies (MESC, SQA and NUS) have confirmed their accounting systems (Finance One, QuickBooks and Attache) will be able to track expenditure at ESP Program, ESP Output and natural account code level, it will not be possible to trial this until ESP commences, and ESP budgets are loaded onto these systems, and expenditure begins to be recorded. Only then can the relevant data be exported in a format that will allow ESCD Budget and Finance officer to consolidate the monthly data and produced a consolidated quarterly financial report.

This work will need to be delivered, with the technical support identified in the activity program 5.2 implementation plan, in the ESCD and alongside ESCD counterparts, including the ESC and the PEO Sectoral Budgeting and Finance (see the sample terms of reference for the technical assistance in Annex 4).

The approach to sector budget support selected for ESSP does not require earmarking or separate tracking of DP-funded expenditures for ESP activities. Therefore, there is no need to code ESSP-funded expenditures any differently to GoS-funded expenditures for the sector. On the other hand, from both an ESP M&E perspective and a Treasury management perspective, the GoS and the DPs do want to ensure the ESP is making progress, that planned activities are being implemented, and that GoS and DP funds are being expended as planned and are not simply contributing to an improved Treasury (cash) position or reduced budget deficit outcome.

This highlights the importance of timely and meaningful progress reporting and financial reporting on ESP activities. M&E and financial management are therefore critical functions for the ESCD. Without them, the ESP and its stakeholders will be ‘flying blind’. The reporting must be timely to allow the ESWG and ESAC to monitor activity progress and performance of the ESP, relative to ESP spending, and to take early corrective action to address any slippages in work plans. The reporting must be meaningful in the sense that it must report against ESP programs and ESP work plan activities. Unfortunately, the GoS and MoF-owned Financial Management Information System, Finance One, are not yet configured to record, monitor or report by ESP programs or activities, and nor are the SQA QuickBooks system and the NUS Attaché system.

Other GoS sector-wide programs (e.g. water, health) have addressed this gap in Finance One configuration by maintaining parallel Excel-based commitment control and payment recording and reporting systems. A similar system will need to be developed and maintained by ESCD for the ESCD to be capable of maintaining it and producing timely and meaningful finance reports from it.

The SQA and NUS do not use the MoF Finance One accounting system in respect of the GoS grant<sup>58</sup> funded operations. They use QuickBooks and Attaché accounting systems respectively for their general ledger and payments recording functions. Neither of these systems have a commitment control capability. Both the SQA and NUS also use Excel spreadsheets to supplement their financial reporting needs for management and their Board and Council. For accountable cash grants for existing projects (e.g. TVET II), the SQA and NUS maintain separate Excel spreadsheet-based recording and reporting systems.

The continual absence of the ESCD Budget and Finance PEO presents a high risk to the timely implementation of these required arrangements for financial reporting. Also, for the update of the MTEF in April 2015 to support preparation of the 2015/16 Budget, the ESCD Budget and Finance PEO

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<sup>58</sup> SQA does use Finance One for processing payments in respect of the TVET II accountable cash grant.

was on sick leave and was unable to participate in meetings with MESC, SQA and NUS to review activity progress and update the MTEF.

### 3.3.6 Audit arrangements

The ESP will rely on GoS audit frameworks for both internal and external audits wherever possible.

#### Controller and Auditor General

Under the Constitution and the *Audit Act*, the government's Controller and Auditor General is in fact charged with the dual responsibilities for being both auditor general and controller. As controller, he has the right to pre-audit any payment transactions prior to payments being made to suppliers. The Controller and Auditor General currently exercises this right in respect of every payment made through the Ministry of Finance, including payments funded by DPs through projects or budget support programs. This requirement to check all payment vouchers is also repeated in the 2001 *Public Finance Management Act*.

The financing agreements between the ESSP development partners and GoS should also require that the Controller and Auditor General carry out an annual audit of the ESSP program. When the ESSP program commences, the MoF aid coordination division should be requested to formally notify the Controller and Auditor General of the commencement of ESSP, provide him with a copy of the financing agreements, and request that he include the audit of ESSP in his annual audit plan. The financing agreements should also require that a copy of the Auditor General's report on the ESSP be provided to the ESSP development partners. The agreements should also reserve the right for the ESSP development partners to appoint their own independent external auditors if the Auditor General is unable to carry out his audit of ESSP for any reason.

#### Internal auditors

MESC<sup>59</sup>, SQA and NUS currently have their own internal auditors. The MoF also has its own Internal Audit and Investigation Division, which is responsible for internal audit across all government agencies. The MoF Internal Audit Division has no legislative oversight of the internal auditors in line ministries. However, in practice, through the Internal Audit Forum, the MoF does exercise a degree of leadership and oversight to ensure consistency of standards, audit practices, audit plans etc. It is important that this oversight continue to be exercised in respect of the internal audit function in MESC, SQA and NUS. Experience in other jurisdictions is that agency-level internal audit units can be focused on transaction processing (i.e. receipts and payments), even becoming part of the payment approval process. In this situation, they often lose sight of their broader responsibility for risk management, developing risk-based internal audit work plans, and carrying out audits in accordance with those plans.

For the ESP, the high risk areas for GoS and DP funds will be in areas of procurement of consultancy services, procurement of works, and cash advances or imprests for workshops etc. The capacity of internal audit units to audit procurement and tender processes is therefore important. The MoF-led revised GoS procurement regulatory framework will be completed by end of 2013, and the follow-on procurement capacity building program will commence early in 2014. This will provide the regulatory, policy and procurement framework against which audits can be carried out – provided the internal auditors themselves are thoroughly familiar with that framework. The MoF Procurement Division indicated that all internal auditors would participate in the procurement-training program scheduled for 2014.

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<sup>59</sup> MESC Internal auditor is currently on study leave

One of the weaknesses identified in the procurement risk assessment was the lack of systematic follow-up on internal audit findings. Copies of MESC, NUS and SQA internal audit reports, management letters and responses to management letters should be provided to the MoF Internal Audit Division and tabled at the ESAC meetings. Similarly, copies of risk-based annual internal audit plans and quarterly progress reports against those plans should be provided to the MoF Internal Audit Division by the MESC, SQA and NUS internal auditors.

### **3.3.7 Assessment of the Samoa education sector public financial management and procurement systems**

The May 2012 Assessment of the Education Sector's Public Financial Management Systems<sup>60</sup> concluded that residual risks of channelling Australian aid funds through the GoS and education sector agencies systems will be acceptable if, and only if, the risk mitigation measures recommended in the report were implemented.

Similarly, the Assessment of the Education Sector's Public Procurement Systems<sup>61</sup> concluded that: 'The use of a parallel system, or the outsourcing of procurement to a procurement agent, would not serve to acknowledge the potential benefits of using reformed national systems in terms of ownership, national accountability and strengthening of systems. However, some major improvements, mitigating measures and safeguards are required to strengthen the national legal framework and the efficiency, effectiveness and capacity of education sector procuring entities'.

The recommendations from these two assessments that at the time formed the pre-requisites for SBS are shown in Annex 8.

Annex 8 also summarises the recommendations of an assessment forming part of the present ESSP design mission. This assessment examined progress on the recommendations of the two May 2012 reports and found that all had been either been implemented or were in the process of being implemented. The latter are the remaining pre-conditions for moving to sector budget support in terms of reducing the risks of using GoS financial management and procurement systems to an acceptable level. Annex 9 shows progress on these conditions by April 2015.

## **3.4 Monitoring and evaluation**

The ESP monitoring and evaluation (M&E) framework for the ESP sector outcomes will also be used to monitor and evaluate the ESSP. However, the focus of ESSP reviewing in the annual review and coordination meetings will be on the key performance indicators identified in Section 3.

The full ESP M&E framework is at annex F of the ESP. This also covers the subsector outcomes, baseline indicators, the targets for each year of the ESP and the data sources to be used. Where baseline or other data does not exist for an indicator, it is the task of the ESWG, working with the relevant divisions or departments, to propose means of generating the data for the indicators for approval by the ESAC. This will take place before the first ESP annual review.

The SQA and NUS have agency-level M&E systems. MESC also has an Education Management Information System (EMIS) covering schools and a newly created Monitoring, Evaluation and Research Division (MERD) responsible for collecting and analysing school-level data. The MESC Policy, Planning and Research Division is responsible for collating and using the monitoring data from MERD and the MESC EMIS. The SQA Research Policy Planning is similarly responsible for collating monitoring data for post-school ESP activities, including those of NUS forming part of the ESP programs.

<sup>60</sup> Assessment of the Education Sector's Public Financial Management Systems, Samoa, May 2012

<sup>61</sup> Assessment of the Education Sector's Public Procurement Systems, Samoa – Final Report, Kendall C and Partners, May 2012

Lead MESC and SQA divisions and NUS relevant Output Managers (i.e. the Deputy Vice Chancellor's Office and Oloamanu Centre) responsible for each ESP program will monitor the ESP programs against their respective indicators and targets on an ongoing basis. MESC, SQA and NUS will use the relevant parts of this information for the monthly ESWG meetings with the Education Sector Coordinator.

The taskforces will also monitor the programs within their remit. They will use the results to advise the ESAC, through the ESWG, on ways of improving the ESP strategy and implementation to better achieve the intended outcomes.

MESC and SQA lead divisions for each program will use all the above information as part of their monthly reviewing of their annual management plans and budget performance measures, and as part of their quarterly meetings with the respective Planning Division. Implementing divisions in MESC and SQA and the relevant NUS faculties/centres/divisions will also use this information to provide their respective Planning Division with the data they need for monitoring the program at agency level.

ESCD will be responsible for collating and analysing sector-level M&E data in terms of the M&E framework, through the PEO for Monitoring and Evaluation, and entering the relevant data onto the sector-wide EMIS. This will include, and emphasise, data on the ESSP key performance indicators. ESCD will use this information for physical and financial reporting to the quarterly ESAC reviews of progress. ESAC will analyse the implications of this implementation for ESP policy and planning.

ESCD, through the PEO, will also be responsible for ESP program 5.1 that will strengthen the agency-level M&E systems and frameworks as required and ensure that ESP reporting, dissemination and stakeholder consultation mechanisms are both effective and transparent. As noted in Section 1.2.6, there is weak monitoring and evaluation across the sector. Each of the subsectors has its own system for monitoring and evaluation with separate procedures for data collection, storage and analysis. Each covers only part of the information needed for effective management and monitoring at divisional/departmental and institutional levels, let alone at sectoral level. These systems need to be strengthened and brought together in a sector-wide system of monitoring and evaluation designed to support sectoral needs, especially in terms of the ESP logical framework and KPIs, as well as institutional and sub-institutional management and monitoring requirements.

The ESAC will provide strategic level monitoring of the ESP, as well as annual physical and financial reports to the November annual review to enable annual monitoring by all stakeholders. The 2016 annual review will take the form of a mid-term review preceded by a full evaluation. The development partners are invited to facilitate independent evaluations of their support for this mid-term review. This should include an independent evaluation of the ESSP.

The main additional cost to the GoS of monitoring the ESP is SAT 149,500 annual cost of ESP program 5.1, which covers the cost of the ESCD PEO for Monitoring and Evaluation together with technical support to strengthen agency level M&E. The ESSP program management and support component provides a further SAT 1, 170,200 to help the development partners support the monitoring (and management) of the ESSP, and notably the annual review.

### **3.5 Sustainability**

Financial sustainability is supported by basing the sector plan on the implementation agency strategic and corporate plans and output-based budget outputs. Major recurrent expenditures introduced through the ESP, notably the increase in teacher salaries and school fees, will transfer to the GoS funded sub-output during the course of the ESSP. The annual review and ESAC meetings provide a platform for dialogue on sustainability towards the end of the four-year program. As noted in Section 2.3, adding ESSP funds to the pre-ESSP Treasury funding for the sector still leaves the fraction of the total national budget spent on education at a level below that recommended by the

Global Coalition for Education. In other words, the ESSP is not leading to an unsustainable financial situation for the sector.

The sustainability of systems and procedures is supported by designing the ESP and ESSP around the well-established institutional planning and budgeting processes, with the appropriate MESC and SQA Divisions and NUS faculties/centres/divisions responsible for the implementation, financial management and procurement. The ESP contains programs to strengthen these systems and procedures.

The ESP builds in measures to strengthen the retention of human resources needed for long-term sustainability. Examples include the increase in teacher salaries to improve retention in the subsector, where many schools have low morale and a high-turnover. Another example is the establishment of a permanent division of the ministry to coordinate and strengthen the future implementation of the ESP, namely the Education Sector Coordination Division of the MESC.

### **3.6 Inclusiveness**

Gender issues are fully taken into account in the ESP, including gender disaggregation, where appropriate, in monitoring indicators, and attention to the issue of higher risk of illiteracy and innumeracy and higher dropout rates for boys than girls from secondary school.

Participation in the Regional Benchmarking of Assessment pilot (PaBER) is an opportunity to improve the tools for measurement of literacy and numeracy, and at the same time address the low performance rates for boys. The ESP will identify additional activities that will improve opportunities for females and males to have equal access to education at all levels. The annual review process of the program will identify progress to include gender into activities. Gender issues can also be addressed by supporting parents, communities and teachers to ensure equal access to services and resources for both girls and boys. Program monitoring will need to track the different experience of girls and boys and ensure that both experiences are reported.

Inclusion is tackled by activity program 2.1 focusing on inclusion at all levels, and especially means of increasing the inclusion of children with disabilities and children from disadvantaged communities in mainstream education. This will build on the experience of the Samoa Inclusive Education Demonstration Project. Program 2.1 will develop minimum service standards which will encourage inclusion and also require schools to take action on issues of child protection.

Samoa is highly susceptible to natural disasters, which can have a significant impact on pupil attendance and learning achievement in affected schools. One of the programs focuses on the development of a sector strategy for disaster and climate change resilience. This will include better planning for future natural events, ensuring the minimum service standards are increasingly enforced concerning the physical safety and well-being of children (e.g. through school design) and that awareness-raising of climate change effects and responses is increased at all levels (including in school classrooms).

Environmental impact assessment in Samoa is regulated by the Environmental Impact Assessment Regulations 2007. The use of the regulations has meant greater clarity for the Planning and Urban Management Agency administering the environmental assessment process, setting out what level of assessment is required, the components required, and the process for review and approval. Training has been undertaken to increase the understanding for those involved in the regulations. The training for the GoS covered the government agencies, service providers, industry and the general public.

It is expected that any likely activities with environmental consequences will be identified annually during the sector annual review process, and then coordinated through the Education Sector Coordinator and the technical working groups. Environmental impact in such things as school building design will be assessed in terms of GoS regulations and laws.



### 3.7 Risk assessment and management

The risk register at Annex 3 shows the most critical risks for the ESSP and strategies for minimising these risks. Most of these risks are also included in the ESP. The risks are considered under the following headings.

#### Economic risks

The main risk here, though not one that has caused a problem in the past, is a reduction in the budget for education. This could be due to a reduction in GoS commitment to the sector relative to other sectors, or deterioration in the Samoan economy, or because of reduced support from the development partners. To address this risk, one condition of annual ESSP disbursement is that ESSP funds are not leading to a reduction in the government's own financial commitment to the sector. The medium-term expenditure framework (MTEF) is updated annually taking into account changing economic conditions. The quarterly meetings of the ESCD are able to set priorities in reduced financial circumstances, and the ESSP contains a program to strengthen the coordination and therefore efficiency of external support to the sector.

#### Environmental risk

Natural disasters, exacerbated by climate change are likely to lead, as they have in the past, to heavy destruction of educational buildings, equipment and materials. As an attempt to manage this risk, ESP program 5.4 will improve strategic planning for natural disasters and climate change resilience at all levels.

#### Institutional risks

One significant risk is that ESP implementation may not be given high priority by MESC, SQA and NUS staff and may be side-lined by other tasks. The ESP tackles this by having a comprehensive monitoring and evaluation framework to be reported on quarterly by the ESCD to the ESAC and, less formally, on a monthly basis by the ESWG, in both cases involving a development partner representative. The ESAC in turn reports annually to all stakeholders at the Annual review. Reporting to the MoF on implementing agency outputs is also intended to incorporate ESP indicators. The ESWG also checks that MESC, SQA and NUS annual management plans and reporting on these plans supports progress on the ESP. Finally, the ESSP contains conditions on tranche release to ensure that:

- (a) Annual ESP progress reports, annual accounts and annual financial management reports are disseminated by ESC to stakeholders in time for policy-level discussion at the annual review, and include reporting on, and analysis of, results (with baseline results included in 2014/15)
- (b) Major policy-level developments have occurred not more than one year after their scheduled date.

#### Education risks

These include risks related to:

- The high demands on teachers arising from the new outcomes-based primary curriculum
- The ability of school grants to improve participation of disadvantaged children
- The improved teacher terms and conditions being offset by the heavier demands placed on teachers
- Difficulties recruiting enough Quality Assurers to implement the teacher appraisal system
- The additional burdens placed on non-government ECE providers and MESC by new minimum standards and teacher upgrading for ECE.

### **Public financial management and procurement risks**

There are a number of PFM and procurement risks that could weaken financial controls, transparency and value for money. These include:

- Outdated guidelines, policies and procedures
- Inadequate skills and expertise in applying the procedures
- Lack of follow-up to audit recommendations
- Delays in MTEF updating
- Delays in producing annual procurement plans.

The main means for managing these risks is the MoF Public Financial Management (PFM) Reform program. Pre-conditions for ESSP funding include putting fully in place procurement guidelines and training, plus sector audit arrangements and the appointment of a sectoral budgeting and finance officer in ESCD. These are detailed in Table 7 of Section 2.2 above. Annual disbursement triggers include:

- Continuing progress on completing the core component actions of the MoF public financial management reforms
- Consolidated quarterly and annual statements of expenditure and annual financial management reports (including findings from the audit reports) and provided in time for consideration by the ESAC meetings and annual review
- Internal audit reports and ESCD follow-up on these reports that show progress on reducing the residual PFM and procurement risks within the sector.

The follow-up to audit recommendations is a standing item on the ESAC agenda. ESP program 5.2 will develop financial management, internal auditing and procurement capability in the MESC, SQA and NUS.

### **Child protection risks**

Encouraging vulnerable children to attend mainstream schooling may put them at greater risk of abuse. To manage this risk, teacher development programs and school minimum service standards supported through the ESP programs will include the strengthening of awareness of, and action on, child protection issues. Consultants working with children will also need to have undergone appropriate screening. ESCD will need to ensure this is included in the contracts, and consideration is needed on any vetting of untrained teachers and volunteers in the minimum service standards.

### **Risk monitoring**

Meetings of the ESAC and the ESWG will include a standing agenda item: Progress report on risk management matrix. This progress report will be based on the matrix in Annex G of the ESP with additional columns for actual progress, target dates, responsibilities, and traffic light indicators to indicate whether implementation is on track.

### **Annual review of the ESP and ESSP risk management matrices**

In addition to the regular reporting against the ESP risk management matrix at ESAC and ESWG meetings, the ESP and ESSP risk management matrices will be reviewed annually as part of the ESP annual review process. This will include a review of the relevance of the risks identified and their rating in terms of probability and impact, as well as the appropriateness of risk mitigation measures. The review should also identify new or emerging risks that were not identified during the design process. These new or emerging risks would be evident from audit reports and from minutes of ESAC and ESWG meetings.

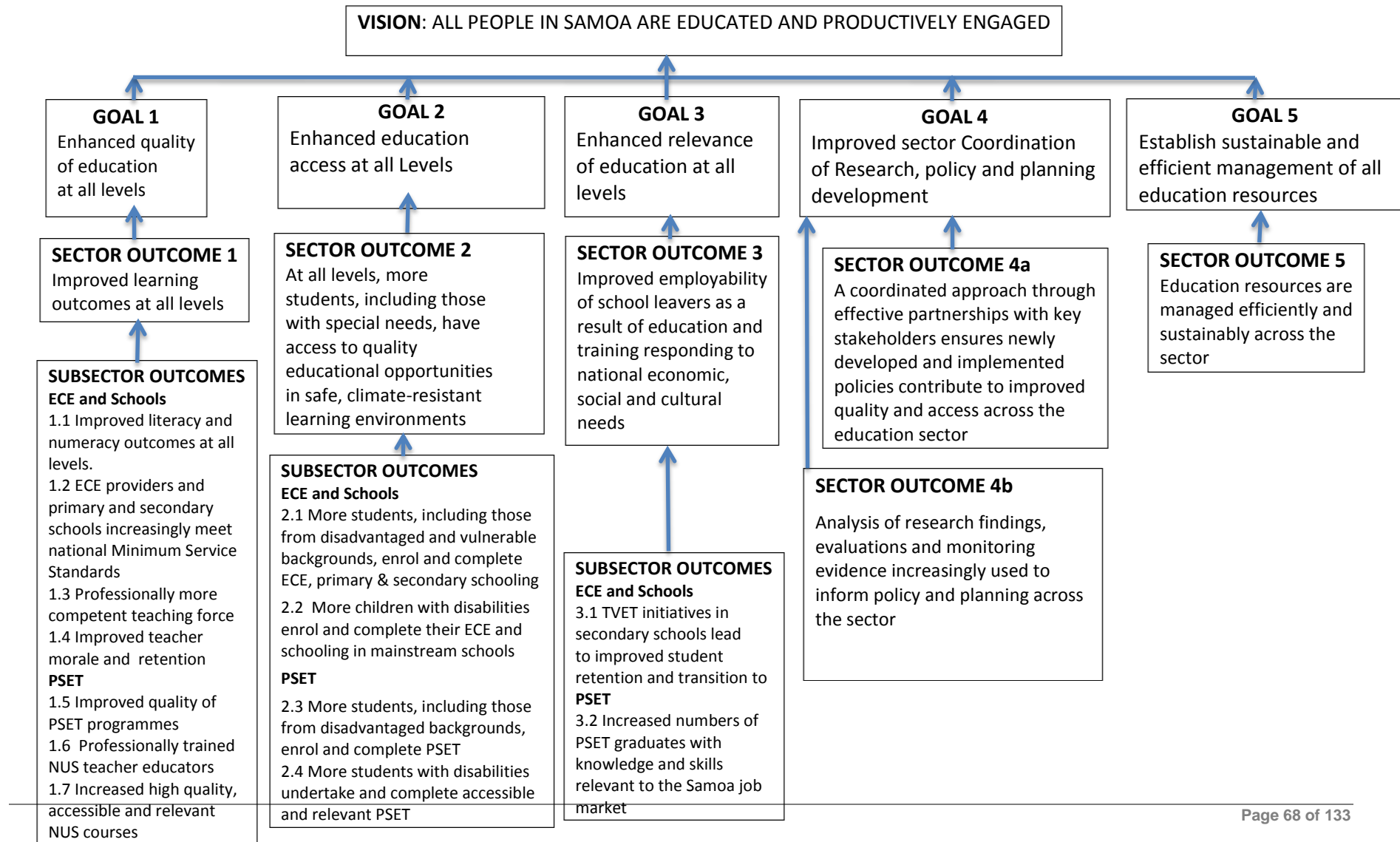
Responsibility for monitoring the risk management matrix will rest with the PEO Sectoral Monitoring and Evaluation. The PEO will monitor the matrix and provide reports to the ESWG and the ESAC in

the format discussed above, i.e. responsible officer with actual progress against target dates, and traffic light indicators on whether implementation of the risk mitigation measures are on track. Similarly, the PEO Sectoral Monitoring and Evaluation will be responsible for carrying out the annual review of the risk management matrix as part of the broader process for annual review of the ESP.

The development partners will be kept up to date on progress on the risk management matrix through their participation in the ESWG meetings and through their involvement in the ESP annual review.

## Annex 1: ESP Logical Framework

## EDUCATION SECTOR PROGRAM OUTCOMES-TO-VISION LOGIC



## EDUCATION SECTOR PROGRAM APPROACH TO SECTOR OUTCOMES THROUGH ACTIVITY PROGRAMS

These programs of activities are designed to achieve the sector outcomes	Expected sector outcomes
Program 1.1: National Teacher Development Framework Program 1.2: School Level Curriculum Reform Program 1.3: Information and Communications Technology in Primary and Secondary Schools Program 1.4: School Level Assessment Reform Program 1.5: PSET Quality Assurance Program 1.6: Professional Development for PSET Lecturers and Trainers Program 1.7: Strengthening the quality and relevance of NUS Education Programs	SO1 Improved learning outcomes at all levels
Program 2.1: Inclusive Education at All Levels Program 2.2: School Fee Relief Grants (SSFGS) Program 2.3: PSET Access Measures	SO2. At all levels, more students, including those with special needs, have access to quality educational opportunities in safe, climate-resistant learning environments
Program 3.1: Improving the relevance of secondary education Program 3.2: Development and application of national qualifications and programs relevant to Samoa Economy Program 3.3: National Strategy for Sport in Education Program 3.4: National Strategy for Culture in Education	SO3. Improved employability of school leavers as a result of education and training responding to national economic, social and cultural needs
Program 4.1: Strengthening sectoral coordination of Research, Policy and Planning Program 4.2: Policy Development for Early Childhood and School Education Program 4.3: Policy Development for PSET Program 4.4: Strengthening sectoral capacity for research, evaluation, policy analysis and planning	SO4a. A coordinated approach through effective partnerships with key stakeholders ensures newly developed and implemented policies contribute to improved quality across the education sector SO4b. Analysis of research findings, evaluations and monitoring evidence increasingly used to inform policy and planning across the sector
Program 5.1: Strengthening management capability and M&E in education sector agencies Program 5.2: Developing financial management, internal auditing and procurement in sector agencies Program 5.3: Strengthening the coordination of external support to the sector Program 5.4: Disaster and climate change resilience at all levels	SO5. Education resources are increasingly managed efficiently and sustainably across the sector

## **Annex 2: Budget/cost estimates**

### **Costs of the ESP activities in comparison with the proposed ESSP Sector Budget Support**

Table 1a below shows the costs of the ESP activity programs before and, where relevant, after taking current development partner funding (excluding ESSP budget support) or government initiative and counterpart funding into account.

The costs are based on the revised annual implementation plan following the annual review in November 2014, and budget for FY 2015/2016 prepared in April 2015.

Table 2 in the Executive Summary above shows the indicative level of ESSP sector budget support to help finance the funding gap shown in Table 1a below.

### **Management and monitoring component**

The sum of around SAT est.400,000-500,000 per year (equivalent to around AUD 100,000 each from Australia and New Zealand) proposed for this component will fund three to four international consultancies per year. This is the maximum likely needed for technical support not already included in the ESP. These costs are also reflected in Table 2 in the Executive Summary.

Table 1a: Revised Costings for the ESP programs (April 2015)

ESP Program	ESP Program No.	ESP Estimate 2015/16					ESP Estimate 2016/17					ESP Estimate 2017/18				
		Budget Funded	Cash Grants funded	Loan funded	In-kind funded	Funding Gap before ESSP	Budget Funded	Cash Grants funded	Loan funded	In-kind funded	Funding Gap before ESSP	Budget Funded	Cash Grants funded	Loan funded	In-kind funded	Funding Gap before ESSP
National Teacher Development Framework	1.1	0	0	0	0	1,440,000	0	0	0	0	2,013,000	0	0	0	0	1,528,000
School Level Curriculum Reform	1.2	0	0	0	0	195,000	0	0	0	0	370,000	0	0	0	0	430,000
Information & Communications Technology in Primary and Secondary Schools	1.3	0	0	0	0	400,000	0	0	0	0	150,000	0	0	0	0	150,000
School Level Assessment Reform	1.4	0	0	0	0	605,000	0	0	0	0	765,000	0	0	0	0	20,000
PSET Quality Assurance - SQA Output 2	1.5S	0	0	0	0	415,000	0	0	0	0	415,000	0	0	0	0	415,000
PSET Quality Assurance - NUS Output 2	1.5N	0	0	0	0	245,000	0	0	0	0	235,000	0	0	0	0	135,000
Prof. Devt. for PSET Lecturers & Trainers NUS2	1.6N	0	0	0	0	87,200	0	0	0	0	85,200	0	0	0	0	85,200
Prof. Devt. For PSET Lecturers & Trainers SQA4	1.6S	0	0	0	0	857,000	0	0	0	0	919,500	0	0	0	0	907,000
Strengthening the quality and relevance of NUS Education Programmes	1.7	0	0	0	0	250,000	0	0	0	0	120,000	0	0	0	0	70,000
Inclusive Education at All Levels	2.1	0	0	0	0	2,309,000	0	0	0	0	2,229,000	0	0	0	0	2,254,000
School Fee Relief Grants (SSFGS)	2.2	6,138,000	0	0	0	1,752,000	6,818,000	0	0	0	1,022,000	7,840,000	0	0	0	50,000
PSET Access Measures SQA Output 3	2.3S	0	0	0	0	170,000	0	0	0	0	220,000	0	0	0	0	120,000
PSET Access Measures NUS Output 11	2.3N	0	0	0	0	1,720,000	0	0	0	0	1,720,000	0	0	0	0	1,720,000
Improving the relevance of secondary education	3.1	0	0	0	0	80,000	0	0	0	0	80,000	0	0	0	0	80,000
Devt. & application of nat. qual'ns & progs. relevant to Economy SQA4	3.2S	0	0	0	0	78,000	0	0	0	0	40,000	0	0	0	0	50,000
Devt. & application of nat. qual'ns & progs. relevant to Economy NUS2	3.2N	0	0	0	0	250,000	0	0	0	0	250,000	0	0	0	0	0
National Strategy for Sport in Education	3.3	0	0	0	0	110,000	0	0	0	0	110,000	0	0	0	0	110,000
National Strategy for Culture in Education	3.4	0	0	0	0	70,000	0	0	0	0	70,000	0	0	0	0	90,000
Strengthening sectoral coordination of Research, Policy and Planning	4.1	0	0	0	0	220,000	0	0	0	0	220,000	0	0	0	0	50,000
Policy Development for Early Childhood and School Education	4.2	0	0	0	0	0	0	0	0	0	162,000	0	0	0	0	0
Policy Development for PSET	4.3	0	0	0	0	55,000	0	0	0	0	55,000	0	0	0	0	0
Strength'g sectoral capacity for research, eval'n, policy analysis & plan'g NUS2	4.4N	0	0	0	0	107,000	0	0	0	0	7,000	0	0	0	0	7,000
Strength'g sectoral capacity for research, eval'n, policy analysis & plan'g MESCI3	4.4M	0	0	0	0	49,000	0	0	0	0	49,000	0	0	0	0	49,000
Strengthening management capability and M&E in education sector agencies	5.1	0	0	0	0	160,000	0	0	0	0	110,000	0	0	0	0	75,000
Developing financial management, internal auditing and procurement in sector agencies	5.2	0	0	0	0	234,000	0	0	0	0	84,000	0	0	0	0	84,000
Strengthening the coordination of external support to the sector	5.3	0	0	0	0	30,000	0	0	0	0	5,000	0	0	0	0	0
Disaster and Climate change Resilience at all levels	5.4	0	0	0	0	62,000	0	0	0	0	62,000	0	0	0	0	0
<b>Totals</b>		<b>6,138,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11,950,200</b>	<b>6,818,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11,567,700</b>	<b>7,840,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>8,479,200</b>

## Annex 3: Risk register

Risk	Existing Controls	Risk rating with existing controls in place			Is risk rating acceptable?	Proposed Treatments	Entity Responsible for Implementing Treatment	Implementati on Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
		Consequence	Likelihood	Risk Rating					Consequence	Likelihood	Risk Rating
Economic risks											
1. Possible reduction in budget for education due to reduced GoS commitment to the sector relative to other sectors	Budgeting for the sector is outputs-based with initial estimates based on the implementation of corporate plans determined prior to the budget estimates	Major	Possible	High	Yes	One condition of annual ESSP disbursement is that ESSP funds are not leading to a reduction in the government’s own financial commitment to the sector	Australia and New Zealand posts in Samoa	April ESAC Meeting	Major	Very unlikely	Moderate
2. Possible reduction in budget for education due to reduced development partner funding for the sector	Long-term commitments from Australia and New Zealand, the DPs providing the major share of DP funding	Minor	Possible	Moderate	Yes	The ESP includes an activity program 5.3 strengthening the coordination of external support to the sector which will enhance the impact of remaining DP support	ESC	Throughout ESSP	Minor	Unlikely	Low
3. Budget for education may be reduced because of a deterioration of the Samoan economy	Output-based budgeting in all major sectors encouraging growth in economy IMF loan in place	Major	Possible	High	Yes	MTEFs take account of national macroeconomic strategy. ESAC monitors strengthening of employability and prioritises ESP activities 5.1 and 5.2 for effectiveness and efficiency under changed financial conditions	ESC	Throughout ESSP	Moderate	Possible	Moderate
Environmental risk											
4. Natural disasters, exacerbated by climate change may lead to heavy destruction of educational buildings, equipment and materials	Reconstruction programs for individual education buildings	Major	Likely	High	Yes	ESP program 5.4 to improve strategic planning for natural disasters and climate change resilience at all levels	ESC	Throughout ESP	Moderate	Likely	High



Risk	Existing Controls	Risk rating with existing controls in place			Is risk rating acceptable?	Proposed Treatments	Entity Responsible for Implementing Treatment	Implementati on Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
		Consequence	Likelihood	Risk Rating					Consequence	Likelihood	Risk Rating
Institutional risks											
5. ESP implementation may be slow due to capacity constraints and a higher priority being placed by MESC, SQA and NUS staff on other tasks	ESP closely aligned to MESC, SQA and NUS Strategic and Corporate Plans	Major	Likely	High	Yes	ESP monitoring at several levels on a monthly, quarterly and annual basis. Progress on ESP implementation a condition for tranche releases, and capacity boosted by ESCD staff and the implementation of ESP capacity-building activity programs.	ESCD, ESWG, ESAC, Annual Review	Regular monitoring throughout the ESSP	Minor	Possible	Moderate
6. Institutional changes may affect the effectiveness of ESP implementation, management and monitoring	Public Service Commission approval needed for institutional changes in public sector bodies	Minor	Possible	Moderate	Yes	ESP is updated as needed to reflect institutional changes. ESAC provides prompt guidance on adapting to the institutional changes.	ESAC	Quarterly meetings	Negligible	Possible	Low
7. ESCD not fully staffed leading to inadequate sector level coordination, physical and financial planning, monitoring and reporting	Public Service Commission approval needed for the posts and funding in place	Major	Likely	High	Yes	Staffing of the ESCD is a pre-condition for the ESSP – full staffing for sector budget support and key positions in place for FY2014/15 accountable grant.	PSC	Before June 2014	Moderate	Likely	High
8. Possible decline in effectiveness and morale of MESC, SQA and NUS personnel implementing the ESP due to poor employment conditions, poor staff development, high staff turnover and vacancies, excessive workloads, and other factors	Terms and conditions for civil servants, lecturers and trainers are regulated	Major	Likely	High	Yes	Staffing of the ESCD is a pre-condition for the ESSP  MESC to incorporate research and evaluation training into an induction program to counter employee turnover and enhance skills and knowledge of staff. National Teacher Development Framework (ESP program 1.1) provides training and enhanced remuneration packages for teachers	PSC to approve ESCD posts and MoF to fund them. MESC to provide training and induction Cabinet approves NTDF recommendations	Before start of ESSP  As part of the ESP activity program on strengthening research and evaluation  In 2014	Moderate	Likely	High

Risk	Existing Controls	Risk rating with existing controls in place			Is risk rating acceptable?	Proposed Treatments	Entity Responsible for Implementing Treatment	Implementation Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
		Consequence	Likelihood	Risk Rating					Consequence	Likelihood	Risk Rating
9. MESC, SQA and NUS may lack the skills needed to ensure efficient management and monitoring of the ESP	Staff recruited on the basis of management skills and experience	Major	Possible	High	Yes	ESP has an activity program 5.1 to strengthen management capability, monitoring and evaluation	ESC	Throughout the ESSP	Major	Unlikely	Moderate
<b>Education risks</b>											
10. The new outcomes-based primary curriculum and related student assessment approaches may be resisted or not successfully adopted by teachers, despite training, because of the high demands this approach puts on teachers and the lack of learning materials developed for the new curriculum	The Curriculum Materials and Assessment Division (CMAD) leads on providing support to teachers in the implementation of the primary new curriculum.  School Review Officers also monitor teachers	Major	Likely	High	Yes	Independent evaluation of early-stage take-up of new primary curriculum and student assessment in classrooms will lead to, e.g., development or procurement of additional learning materials and identifying unaddressed training needs. Mentoring through the new school-based professional development model will provide more effective teacher support. NUS education courses and lecturers' professional needs are being reviewed under ESP programs 1.6 and 1.7.	MESC CMAD	2014/2015	Major	Unlikely	Moderate
11. SSFGS primary school grants and MSS may not impact measurably on enrolment, attendance and retention of disadvantaged children N.B. The external review of SSFGS in 2012 did not address this issue	The school grants team and MSS are managed through MESC.  Enrolment data is recorded at the school level and submitted to MESC	Moderate	Possible	Moderate	Yes	A full evaluation of the SSFGS will be conducted in 2015/16 under ESP program 2.2 after four years of implementation. Special attention will be paid its high-level outcomes	MESC SOD	2015/2016	Moderate	Unlikely	Moderate

Risk	Existing Controls	Risk rating with existing controls in place			Is risk rating acceptable?	Proposed Treatments	Entity Responsible for Implementing Treatment	Implementation Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
		Consequence	Likelihood	Risk Rating					Consequence	Likelihood	Risk Rating
12. Implementation of new NTDF career/salary scale lags behind the multiple innovations required of teachers resulting in continued attrition, low morale and poor performance. In the long term, the fully-implemented NTDF may not resolve this.	SOD MESC have now developed associated policies and guidelines to support the NTDF	Major	Possible	Moderate	Yes	The NTDF Salary and Career Progression Framework (ESP program 1.1) is progressing well towards implementation during 2015. The newly established Monitoring, Evaluation and Review Division (MERD) in MESC has commenced Quality Assurance Performance Appraisals (QAPA) using the Teacher Standards to enable pay to be linked to performance.	MESC SOD  MESC MERD	2015 On-going  2014 ongoing	Major	Unlikely	Moderate
13. MERD in MESC may not recruit sufficient numbers of the right calibre of Quality Assurers to implement performance appraisal (QAPA) for every teacher every three years	MESC MERD has the remit to carry out performance monitoring of teachers According to the new Teacher Standards established under the NTDF	Moderate	Possible	Moderate	Yes	MERD is recruiting a team of Quality Assurers (included retired teachers). After one year of implementing QAPA for all teachers, an early assessment will be made of progress against the MERD annual work plan. Staffing levels will be reviewed at that time.	MESC MERD	2014 ongoing	Moderate	Unlikely	Moderate
14. The development of national ECE policy, ECE minimum standards and upgrading ECE teacher qualifications may impose unacceptable financial and human capacity demands on non-government providers and MESC.	CMAD has an early Childhood Coordinator who works with providers. CMAD's professional oversight, because of the diffuse and varied nature of ECE provision, has been very limited.	Moderate	Possible	Moderate	Yes	The ECE Taskforce is expected to prioritise the monitoring of EC developments and support the development of a realistic medium-term strategy for policy implementation, bearing in mind the high human, financial and infrastructure demands on making good quality ECE available for all.	MESC CMAD	2014/2015	Moderate	Unlikely	Moderate

Risk	Existing Controls	Risk rating with existing controls in place			Is risk rating acceptable?	Proposed Treatments	Entity Responsible for Implementing Treatment	Implementation Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
		Consequence	Likelihood	Risk Rating					Consequence	Likelihood	Risk Rating
Main PFM and procurement risks											
15. Outdated procurement guidelines, assessment and regulatory framework may weaken internal control, scope for procurement audit, and thus transparency and value for money	Assessment and regulations exist but are outdated and incomplete  April 2015 – MAPS published. Procurement framework updated, and has also been adapted by NUS and SQA	Moderate	Possible	High	Yes	Publication of ‘MAPS’ assessment, regulatory framework with procurement component and revised bidding and contracting guidelines, as a pre-condition for ESSP funding	MoF	Prior to launching the ESSP	Moderate	Unlikely	Moderate
16. Inadequate procurement skills and expertise may hinder the achievement of value for money	Corporate Services Division staff have procurement experience and skills  April 2015 - ESCD PEO Procurement, and education sector agency internal audit staff have not been trained on the new procurement regulatory framework	Moderate	Likely	High	Yes	Based on regulatory framework, the MoF delivers procurement training program across all government agencies, and including to internal auditors.  The ESP contains a program to develop financial management, internal auditing and procurement skills in the sector agencies	MoF  ESC	Before and during first year of ESSP  Throughout the ESSP	Moderate	Unlikely	Moderate
17. Lack of follow-up of audit recommendations by MESC and SQA CEOs and NUS Vice Chancellor may leave weaknesses in financial control	CEOs and VC are expected by MoF to follow up on audit recommendations.	Moderate	Likely	High	Yes	Audit follow-up is an annual ESSP disbursement trigger.  The MoF to support implementation of strategic plan and internal audit forum with MESC, SQA and NUS participation.	CEOs and VC  MoF	Before and during the ESSP  Before and during first week of the ESSP	Moderate	Unlikely	Moderate
18. Procurement plans of MESC, SQA and NUS may be delayed and may not reflect the needs of the ESP	MoF expectation that implementing agencies will produce annual procurement plans  April 2015 – ESP procurement plan for	Moderate	Possible	High	Yes	ESWG to ensure annual procurement plans are in line with the ESP and are prepared before the start of the financial year.	ESWG	Annually, before start of the financial year	Moderate	Unlikely	Moderate

	2015/16 in course of preparation by ESCD PEO Procurement										
19. MTEF updates may not be adequate to ensure that ESP is adequately covered in the forward budget estimates and financial reports	Draft MTEF produced in 2014 and updated in April 2015 for 2015/16 budget, but without involvement of ESCD PEO Budget & Finance. Will need to be updated again in Feb 2015/16	Moderate	Possible	High	Yes	ESCD financial management unit and ESWG receive training and work with MoF to ensure consistency of sector MTEF with national MTEF framework requirements	MoF	Annually, during updating of the MTEF	Moderate	Unlikely	Moderate
20. SQA and NUS may not follow the GoS procurement framework leading to low value for money	SQA and NUS policies and procedures manuals have been updated to reflect improved GoS regulatory framework	Moderate	Unlikely	Moderate	Yes	No further action required		Before the ESSP	Moderate	Possible	High
<b>Sustainability</b>											
21. The initiatives introduced through the ESP supported by the ESSP may not be sustainable after the eventual withdrawal of ESSP funds	MoF employs output-based budgeting, and MESC, SQA and NUS have strategic and corporate plans for ongoing developments	Moderate	Possible	High	Yes	ESSP based on the ESP which in turn builds on the institutional strategic and corporate plans and output-based budgeting. Major recurrent expenditures become part of the ongoing GoS funded budget outputs. Capacity-building is structured round MESC and SQA Divisions and NUS Departments and the established ESCD positions, with a declining level of TA during the ESSP	ESCD, ESWG, ESAC, Annual Review	Quarterly meetings and Annual Review especially near the end of ESSP funding	Moderate	Unlikely	Moderate
<b>Child protection risks</b>											
22. Encouraging vulnerable children to attend mainstream schooling may put them at greater risk of abuse	Child abuse is a crime and a reduction in child abuse is one of the indicators of achievement of the Samoan Development Strategy.	Moderate	Possible	High	Yes	Teacher Development Programs and school MSS supported through the ESP programs will strengthen awareness of and action on child protection issues. ESCD will ensure TA TOR require child protection checks where needed.	ESCD and MESC Schools Operations and Monitoring Divisions	Throughout the ESP	Minor	Unlikely	Low

## Annex 4: Capacity-building strategy

### 1. Capacity constraints

Key capacity constraints are described in Section 1.1 of this ESSP design. Reference to these constraints in corporate strategic plans and project review reports are noted in Section 1.2 (Lessons learned). These capacity constraints can be considered under the following categories.

#### 1.1 Capacity of institutional structures to meet the needs of the sector

A key constraint on sectoral performance, underlying the fourth ESP goal, is sectoral coordination, especially between the three main implementing agencies: MESC, SQA and NUS. Each has its own systems for monitoring, evaluation and reporting (e.g. the parallel MESC Statistical Digest and SQA PSET Statistical Bulletin), financial management (e.g. the use of different software), and research, policy and planning. Even the seemingly straightforward division of roles in terms of responsibility for the schools subsector (MESC), post-school qualifications and quality assurance (SQA) and the provision of post-school programs (NUS) is not actually straightforward when it comes to areas of overlap (e.g. NUS qualifications, teacher training, TVET in schools, and sector level research). The ESP has introduced new structures (in many cases evolving from existing structures) to support this coordination, namely the ESCD, Taskforces, ESWG and ESAC. The capacity of these bodies to operate effectively is crucial to the achievement of the intended ESP outcomes.

On the whole, sub-sectoral structures are well established and appropriate to the needs of the ESP. The 2011 mid-term MESC Strategic Plan 2006–2015 highlighted the need to rationalise the overall MESC structure to better fit its respective roles. This has now taken place with two new divisions – Monitoring, Evaluation and Review Division (MERD) and Teacher Development and Advisory Support Division – created in financial year 2013/14 responsible for school-level M&E and teacher development respectively. The capacity of these new divisions, and indeed all MESC and SQA divisions and NUS departments to fulfil their roles is critical to the ESP as its implementation programs are structured around these roles.

#### 1.2 Constrained knowledge base for policy and systems development

While there have been many studies in Samoa in areas critical to the ESP (e.g. on teacher effectiveness,<sup>62</sup> financing of TVET,<sup>63</sup> the School Grants Scheme,<sup>64</sup> and students with disabilities<sup>65</sup>), there is a relative dearth of information in many areas. For example, the 2011 mid-term review of the MESC 2006–2015 Strategic Plan highlights the issue of the low achievement of boys in Samoa in both internal and external examinations, yet there is very little research and analytic work in this area. ECE policy development is awaiting the finalisation of a situational analysis, and there is a dearth of earlier research evidence in this area.

<sup>62</sup> Teacher Retention, Motivation and Performance, MESC, 2010

<sup>63</sup> Research into the Financing of TVET in the Pacific: Samoa Country Report, Maglen L et al., Australian Council for Education Research, April 2013

<sup>64</sup> External review of Samoa School Fee Grant Scheme, February 2013, Barlow Schuster Consult

<sup>65</sup> Samoa Inclusive Education Situational Analysis: Students with Disabilities, MESC, April 2013

### **1.3 Constrained systems and procedures for efficient and sustainable resource management**

Key systems deficits have been highlighted in a number of reports (see Section 1.3), especially in the following areas:

- i. Monitoring and evaluation bringing together, analysing and reporting on data acquired in many parts of the sector including in relation to external support
- ii. Efficient policy and planning for resource utilisation using information from the M&E data analysis, research, project reviews and evaluations and other information sources
- iii. Efficient, risk-based financial management, financial reporting and internal auditing
- iv. Planning for disaster and climate change resilience.

### **1.4 Human capacity constraints**

The human capacity constraints in the teaching cadre are apparent in the 2010 MESC Teacher Retention, Motivation and Performance Report. Of all teachers, 91% reported teaching subjects they were not qualified to teach; 77% lacked training in lesson planning, resource management and school curriculum; and 85% saw the need for ongoing refresher courses.

The March 2014 Preliminary Report on Early Childhood Education and Care in Samoa notes the need for more qualified teachers at this level, but also the low status and morale of ECE teachers. This is resulting in low professionalism and ECE-trained teachers moving to primary schools – for which they are not qualified – to gain higher salaries.

## **2. Strategy for capacity building**

### **2.1 ESP activity programs**

The ESP programs are designed around capacity building in each of the capacity areas indicated above.

- Program 4.1 is designed to overcome coordination constraints in regard to research, policy and planning, while program 5.3 will strengthen the coordination of external funded programs
- Program 5.1 will build sectoral capacity in M&E and reporting capacity
- Program 5.2 will build sectoral capacity in financial management and procurement
- Program 5.4 will build sectoral capacity in resilience at all levels to disasters and the impact of climate change

In addition, program 4.3 focuses on strengthening policy development at ECE and school level while 4.3 focuses on strengthening PSET policy development.

Other ESP activity programs cover system capacity needs in regard to teacher management (1.1), curriculum and assessment reform (1.2, 1.3, 1.4, 1.5, 3.1, 3.3, 3.4), inclusive education (2.1), and school and PSET provider grants (2.2, 2.3).

A number of these programs use training and workshops to develop the capacity of teachers, lecturers and trainers and government staff. The ESP program 2.3 to increase access to PSET includes the current Samoa In-Country Training Program, providing staff-development training courses for those employed in the public sector, private sector and NGOs. Scholarships are also used in parallel to the ESP, but coordinated through the ESC to be aligned to the ESP, to fund training in the region or in Australia and New Zealand. Several programs also use technical assistance for capacity building. This is discussed below.

## **2.2 Education Sector Coordination Division (ESCD) staff**

The ESCD is not just a mechanism for coordination but also for sectoral-level capacity building. The individual ESCD Principal Executive Officers (PEOs) have a direct capacity-building responsibilities and also responsibilities for managing the ESP sector-level capacity building programs. The ESCD will provide a sustainable source of capacity building for the sector. Their roles are outlined below.

### **Education Sector Coordinator – Assistant CEO, Head of ESCD**

- Facilitate and coordinate the development of the Education Sector Plan
- Coordinate, manage and oversee the implementation of the Education Sector Plan on a daily basis
- Coordinate the Education Sector Advisory Committee (ESAC) meetings and provide advisory support for the committee to ensure that its decisions are properly documented and conveyed to the appropriate agencies
- Ensure that the planned activities are effectively and efficiently carried out within specific timelines
- Coordinate the work and activities of any established sub-committees of the sector to ensure an integrated approach in the development of the sector plan
- Assist the sector partners to put in place appropriate delivery methods to implement, monitor and evaluate systems of operations
- Ensure accurate and timely dissemination of relevant information to sector partners and other stakeholders
- Coordinate and compile progress reports from various implementation groups and agencies for the ESAC meetings
- Coordinate meetings of the sector partners, donor agencies and other stakeholders, as well as coordinating and arranging the required consultation process
- Provide assistance to the sector agencies in the recruitment of consultants/advisers where needed and participate in the required selection processes
- Coordinate the work of the various consultants on the implementation of planned activities
- Identify budgetary requirements for the sector in line with the performance measures and indicators as identified in the plan
- Ensure that resources are managed in accordance with the government and donor policies and guidelines
- Report to ESAC any matters that hinder smooth progress of implementation of ESP activities
- Design and implement an appropriate monitoring and evaluation mechanism for monitoring the progress of planned activities.
- Coordination of the targeted scholarship awards in consultation with ACEO TDAD.

### **Principal Executive Officer, Sectoral Policy and Planning**

- Liaise with sector agency planning divisions and those responsible for the individual ESP programs to ensure coherent and coordinated annual management plans are in line with the ESP objectives and outputs, and support prioritisation to fit budget allocations
- Liaise with the appropriate units in the three agencies (MESC, SQA, NUS) to monitor planning and progress on development partner projects and other outputs provided by third parties, encouraging their consistency with the ESP
- Take the lead on ESP program 4.1: Strengthening sectoral coordination of research, policy and planning
- Work with NUS in taking forward ESP program 4.4: Strengthening sectoral capacity for research, evaluation, policy analysis and planning
- Take the lead on ESP program 5.1 in relation to strengthening management capability in



education sector agencies

- Work closely with the three agencies to ensure sector priorities are reflected in their implementation plans/annual plans
- Provide coordination services across all subsectors and ensure all agencies and individuals work together to achieve annual targets
- Support the Education Sector Coordinator in all aspects of managing the ESCD, including processing of correspondence, attendance at meetings and acting for the ESC during absences
- Coordinate sector site visits including monthly follow-up site visits
- Coordinate and provide secretariat support to the Education Sector Advisory Committee (ESAC) and provide consolidated Subsector Progress Reports to facilitate ESAC monthly meetings
- Responsible for managing and dissemination of sector-wide information, production and distribution of sector quarterly newsletters, management of the sector website, production and distribution of promotional materials and participation in national and community seminars, exhibitions and fairs
- Other duties as necessary to meet the overall ESCD objectives

#### **Principal Executive Officer, Sectoral Monitoring and Evaluation**

- Take the lead on ESP program 5.1 in relation to strengthening monitoring and evaluation (M&E) in education sector agencies
- Through program 5.1, ensure the strengthening of monitoring and evaluations systems within the sector agencies and bring them together in a sector-wide system of monitoring and evaluation designed to support sectoral needs, especially in terms of the ESP logical framework and KPIs, as well as institutional and sub-institutional management and monitoring requirements
- Work with monitoring units of sector agencies to ascertain ongoing progress against the M&E framework
- Check ESP program and activity progress against timed benchmarks for completion of activities
- Monitor external support to the sector as part of ESP program 5.3: Strengthening the coordination of external support to the sector
- Monitor the implementation of the Education Sector Plan implementation plans for the three implementing agencies and provide support to the respective M&E officers
- Work closely with the three sector agencies to ensure sector priorities are reflected in their implementation plans/annual plans
- Provide coordination services across all subsectors and ensure all agencies and individuals work together to achieve annual targets
- Support the Education Sector Coordinator in all aspects of managing the division, including processing of correspondence, attendance at meetings and acting for the ESC during absences
- Coordinate sector site visits including monthly follow-up site visits
- Coordinate and provide secretariat support to the Education Sector Advisory Committee (ESAC) and provide consolidated Subsector Progress Reports to facilitate ESAC monthly meetings
- Other duties as necessary to meet the overall ESCD objectives

**Principal Executive Officer, Sectoral Budgeting and Finance**

- Update the medium-term expenditure framework (MTEF) at least annually and liaise with budgeting units and sector agency output managers to ensure coherence between:
  - ESP program budgets costed at activity level
  - implementing agency output budgets costed at natural account level to ensure that they both reflect any changes to plans, budgets or timeframes agreed to by the relevant committee
- Prepare sector-level budget forward estimates and advising MESC and SQA CEOs and the NUS Finance Director on incorporating ESP costings into their output forward estimates
- Take the lead on ESP program 5.2: Developing financial management, internal auditing and procurement systems in sector agencies
- Prepare the consolidated education sector quarterly financial reports of actual expenditure against budget by ESP program and activity
- Assist in periodic reviews and updates of the sector plan, MTEF and sector mid-term reviews
- Develop and manage the sector financing database and ensure all information pertaining to sector financing are included and updated, including both sources of funds (ongoing projects and sector support) and expenditures by ESP program and activity
- Monitor the implementation of the approved sector budget, follow up outstanding sector agency payments with the MoF, and update and verify financial consumption on a monthly basis
- Monitor sector agency budget implementation through Finance One reporting to ensure that ESP activities are reflected in the correct sector agency outputs and accounts
- Support the Education Sector Coordinator in all aspects of managing the division, including processing of correspondence, attendance at meetings and acting for the ESC during absences
- Assist in preparing and managing the division's budget including the processing of payments and the management of divisional assets
- Provide logistical support to ensure effective and efficient coordination of subsector program planning and implementation including ESAC monthly meetings, sector site visits, workshops etc.
- Assist in the consolidation of quarterly and annual progress reports
- Other duties as necessary to meet the overall ESCD objectives

**Principal Executive Officer, Sectoral Reporting, Communications and Advocacy**

- Assist the ESC in servicing the Education Sector Advisory Committee and Education Sector Working Group, and facilitating preparations for, and follow-up to, the annual reviews
- Work with the ESC, the other PEOs and the implementing agencies to publish various reports, including ESP progress reports and consolidated education sector quarterly financial reports of actual expenditure against budget
- Support the ESC in relation to general liaison with development partners and other stakeholders, linking them with the individuals in sector agencies for specific issues, provide briefings and information on sectoral issues
- Ensure effective publicity and advocacy for the ESP in liaison with the implementing agencies' information/communication units

- Support the ESC in all aspects of managing the Division, including processing of correspondence, attendance at meetings and acting for the ESC during absences
- Support the dissemination of sector-wide Information, production and distribution of sector quarterly newsletters, management of the sector website, production and distribution of promotional materials and participation in national and community seminars, exhibitions and fairs
- Other duties as necessary to meet the overall ESCD objectives

**Principal Executive Officer, Sectoral Procurement Coordination and Contract Management Support**

- Coordinate procurement across the sector to ensure effective implementation of the ESP and execution of the ESP medium-term expenditure framework and annual budgets
- Provide advice to the education sector agencies on procurement, contract management and inventory control. This includes advice on compliance with the *Public Finance Management Act*, Treasury instructions and procurement guidelines issued by the Ministry of Finance
- In cooperation with the MoF, ensure that sector agency level procurement officials, output managers, corporate service staff and internal auditors are properly trained and skilled in procurement, contract management and inventory control
- In cooperation with the MoF, ensure implementation of the risk mitigation measures in the consolidated Risk Management Framework for Assessment of National Systems (ANS) and sector assessments agreed between Government of Samoa and Government of Australia
- Work with education sector agencies to prepare an annual sector procurement plan to support implementation of the ESP annual budget and forward estimates, and liaise regularly with sector agencies on procurement and contract management issues
- Ensure the NUS and SQA procurement manuals and guidelines are kept up to date, and are consistent with the requirements of the *Public Finance Management Act*, Treasury instructions and procurement guidelines
- Advise and support the ESC on ESP procurement of technical advice, training, workshops, consumables, works etc. and on execution and management of resulting contracts
- Support internal auditors in MESC, SQA and NUS to identify high-risk areas in procurement across the sector and ensure they are addressed in annual internal audit plans. Bring to the attention of agency level internal auditors, or MoF internal auditors, any case of suspected fraud, misappropriation, theft, loss or waste
- Support the ESC and the ESP Sectoral Budgeting & Finance Office in the implementation of ESP program 5.2: Developing financial management, internal auditing and procurement systems in sector agencies
- Assist in periodic reviews and updates of the sector plan, MTEF and sector mid-term reviews
- Support the ESC in all aspects of managing the division, including processing of correspondence, attendance at meetings and acting for the ESC during absences
- Assist in the preparation of quarterly and annual progress reports
- Other duties as necessary to meet the overall ESCD objectives

## 2.3 Technical assistance

In many cases, the implementation of the ESP activity plans through the process of annual management plans (AMPs) will use existing systems and skills within the sector. However, in some cases, additional expertise may be required in the form of technical assistance (TA). For example, to help develop new systems, support research, evaluation and policy development, or provide advice and/or training. This is particularly important in the early stages of the ESSP. It applies especially in such key areas as monitoring and evaluation, financial management, procurement and institutional and human resource development, and in policy development.

Table 2a shows the TA requirements for the first year of the ESSP. All are short-term. These requirements are expected to decrease after the first year. This is a considerable prioritisation of the larger extent of TA envisaged at the time of the ESP and contained in the 2013 MTEF.

MESC will contract four international TA (TA1 to TA4) as soon as possible after the program launch to work through ESCD and alongside the PEOs to strengthen capacity in monitoring and evaluation, financial management, procurement and institutional and human resource development. This will be a significant resource in the first year, when it will also be developing the skills of the PEOs. In subsequent years, a much lower input will be needed as the PEOs will be fully responsible for the sector-wide system strengthening in these areas, with only occasional need for external advice and support.

The table shows 16 areas requiring technical assistance. TA15 and TA16 are local TA, requiring local knowledge. The remaining TA will be recruited to allow for, and give preference to, local personnel where the necessary qualifications, skills, and experience exist. However, in most cases it is expected that they will be need to be filled by international TA, and the budgets have been drawn up on that basis.

**Table 2a: Technical assistance for implementation plan 2015/16**

TA	Area of competence	ESP Program	Task	Total Duration	Repeated each year?	GOS to Procure	DP's to Procure
<b>Core sectoral support through ESCD</b>							
TA1	Monitoring and evaluation	4.1	4.1 Support the development of M&E and sector communication strategies	2 months	Yes		
		5.1	5.1a Support the strengthening of data collection, analysis and reporting, the identification of baseline data and the development of a sectoral EMIS	3 months	Yes (for up to 1 month each year in total)		
TA2	Institutional and human resource development	5.1	5.1b Undertake an institutional capacity analysis for MESC, SQA and NUS in regard to the ESP, and develop and help implement a sector human resource plan	2 months	No		
TA3	Financial management	5.2	5.2a Help establish, and strengthen, systems for effective sector budgeting, financial reporting and financial management	1 month	Yes (combined with support to the MTEF)		
			5.2b Help establish a sector resourcing policy framework	1 month	No		
			5.2c Help establish a risk-based audit process	1 month	No		
			5.2d Support the updating of the MTEF	1 month	No, except as a task under 5.2a		

TA	Area of competence	ESP Program	Task	Total Duration	Repeated each year?	GOS to Procure	DP's to Procure
TA4	Procurement	5.2	5.2a Help establish procurement capability plans for each agency	1 month	No		
			5.2b Provide procurement training on the new Samoa regulatory framework	1 month	No		
			5.2c Assist implementing agencies in the preparation of annual procurement plans	1 month	Yes		
Specialist TA support to MESC, NUS and SQA for specific programs							
TA5	Development of e-resources	1.3 Funded and managed through an ADB grant	1.3a Integrate multimedia tools and deploy e-resources	3 months	No		
TA6	ICT strategy		1.3b Develop ICT in education policies and procedures	3 months	No		
TA7	Higher education quality assurance	1.5	1.5 Undertake auditing of NUS courses	20 days	Yes		
TA8	Teacher training	1.7	1.7a Support NUS Faculty of Education to align with the school curriculum	2 months	No		
TA9	Flexible learning for teacher training		1.7b Help NUS Faculty of Education to design flexible learning packages	2 months	Yes, up to 1 month total per year		
TA10	Early childhood education	2.1	2.1a Help develop ECE policy.	1 month	Yes for follow up		
TA11	Evaluation; school grants	2.2	2.2 Evaluate the primary school grants scheme	1 months	No		
TA12	TVET in secondary schools	3.1	3.1a Help develop a policy on TVET in secondary schools	1 month	No		
TA13	Employment research	3.3	3.3 Undertake a needs analysis for new NUS vocational courses	1 month	No		
TA14	Tertiary education funding	4.3	4.3 Undertake impact assessment of PSET measures and conduct external review of the SQA	75 days	No		
TA15	Samoa culture	3.4	Support finalisation of National Culture in Education Strategy and Action Plan	1 month	No		
TA16	Social research	1.6	Undertake a graduate survey	10 days	No		

## 2.5 Sample terms of reference for technical assistance (goal, tasks and deliverables): Updating the MTEF under TA3

### Immediate goal

To update the ESP sector level MTEF 2014–2018 and to coordinate the February 2016 update of the forward estimates for 2016–2018 by MESC, SQA and NUS consistent with the MTEF; and to build capacity in the MESC ESCD to maintain the MTEF and to coordinate regular updates of the forward estimates by MESC, SQA and NUS.

### Tasks

- Read all relevant documents and communications to ensure that the MTEF builds appropriately on: the ESP 2014–2018; MTEF 2014–2016 and its 2015 update; ESSP design documentation; GoS approved estimates for year ending 30 June 2015, especially the estimates for MESC, SQA and NUS, and the schedules for Foreign Aid Utilisation Cash Grants, Foreign Aid Utilisation In-Kind, and Foreign Soft Term Loans; MoF budget circulars and forward estimates circulars issued in 2014; MoF Sector Planning Manual 2009, especially the guidelines on costing, MTEF and costing templates
- Update the MTEF to clearly reflect the most up-to-date information on sources of funding for the ESP, projected expenditure levels for the ESP (based on the revised implementation activity plan, and by ESP program, by IA output and sub-output), and projected funding gaps
- Assist MESC ESCD with necessary enhancements to the Excel-based sector level forward estimates template by ESP program, IA output, IA donor project, IA below-the-line grants, transfers or initiatives.
- Where necessary, update the ESCD guidelines or instructions in consultation with ESCD counterparts on maintaining and updating the sector-level forward estimate template in accordance with MoF guidelines and budget cycles
- Using these guidelines and the sector-level forward estimate template, deliver action-based and on-the-job training to ESCD staff on maintaining the sector forward estimate template through regular consultations with the implementing agencies, and using the Annual Review report and the revised implementation activity plan
- This work will need to be delivered in the MESC ESCD and alongside ESCD counterparts, including the ESCD ACEO and the PEO Sectoral Budgeting and Finance

**Deliverables**

- Revised sector MTEF 2015–2018 and sector MTEF template
- Updated sector-level forward estimate template consistent with MoF sector planning guidelines, and consistent with IA output structures and sub-output structures
- Completed sector-level forward estimates successfully submitted to the MoF by February 2016, and February 2017
- Revised guidelines on maintaining the MTEF template
- Revised guidelines on maintaining the sector-level forward estimate template

## Annex 5: Taskforces

Taskforces are intended to: monitor ESP programs with the help of M&E and other feedback from the ESCD; examine evidence from relevant studies and reports; and provide advice to the ESWG and, through the ESWG, to the ESAC. The team leader will convene taskforce meetings on at least a quarterly basis to feed into the quarterly ESAC meetings, and will agree detailed terms of reference in the initial meetings. The ESWG, with support from the ESCD, will ensure that information and advice from each taskforce is passed to the ESAC as part of the quarterly performance reports. The lead division or department for the relevant ESP programs will be able to use information and advice from the taskforces in developing annual management plans.

	Title	Coverage	Key ESP Programs	Precursor	Team Leader	Indicative membership
T1	Teachers	NTDF	1.1 National Teacher Development Framework		Assistant CEO MESC Teacher Development	Principal EO M&E or Sector Reporting ESCD; MESC ACEO MERD; MESC Principal leader - MERD; Private Schools representatives Primary and Secondary (2); Mission Schools representative; Primary and Secondary (4); Government schools Primary and Secondary (3); National Teachers Association; SQA; NUS Faculty of Education, curriculum and classroom management; NUS Oloamanu Centre; USP Faculty of Education; Private Sector Representatives (2) Inclusive Education representative; Other accredited professional development providers on request; DPs as required.
T2	Literacy and Numeracy	<ul style="list-style-type: none"> <li>Curriculum</li> <li>Assessment</li> <li>Equitable learning (Boys' learning)</li> <li>Other factors affecting literacy, numeracy and learning achievement</li> </ul>	1.2 School level curriculum reform 1.3 Information and Communications Technology in secondary schools 1.4 School level assessment reform	MESC Literacy and Numeracy Task force	Assistant CEO MESC CMAD	Principal EO M&E or Sector Reporting ESCD, PaBER Coordinator; MESC Assessment representative; Inclusive education representative; church school representative, private schools representative; community representative; Other ministries, SQA representative, Faculty of Education at NUS; DPs as required
T3	ECE	ECE reform	1.2 School level curriculum reform 2.1 Inclusive education at all levels 4.2 Policy development for ECE and school education			Principal EO M&E or Sector Reporting ESCD; representative MESC CMAD; Representative MESC Teacher Development ; other MESC divisions; National Council for Early Childhood Education Services (NCECES); Inclusive Education representative; NUS Faculty of Education; Representative ECE providers, SQA representative; MoH Sector coordinator; representative NHS; representative MWCS; representative ECE training and qualification providers; DPs as required
T4	PSET	Improving PSET quality, access and relevance to the economy	1.5 PSET Quality Assurance 1.6 Professional development for PSET lecturers and trainers 1.7 Strengthen the quality and relevance of NUS education courses 2.3 PSET access measures 3.2 Development and application of PSET qualifications and courses relevant to the	TVET Roadmap II PCC	CEO SQA	Principal EO M&E or Sector Reporting ESCD; ACEO's RPPD; Corporate Services; Quality Standards; Quality Assurance Principal Policy Officer SQA; Director OCPD and Dean FOAS NUS; CEO chamber commerce; Don Bosco Training Centre; LOP; WIBDI; ACEO MCIL; (2) Non-formal learning provider representatives; (2) PSET representatives; SUNGO and Development Partners as required

			Samoan economy 4.3 Policy development for PSET			
T5	<b>Inclusive education</b>	<ul style="list-style-type: none"> <li>Inclusive access to quality education at all levels in terms of gender, disability and socio-economic disadvantage</li> <li>School grants</li> </ul>	2.1 Inclusive education at all levels	SIEDP Steering Committee	Assistant CEO MESC CMAD	Principal EO M&E or Sector Reporting ESCD; Principal and Senior Officers IE MESC CMAD; NHS representative; MOH representative; Principal EO Disability MWCSD; NUS FOE; SQA, NUS, other relevant ministries, Loto Taumafai; Fiamalamalama; SENESE; PREB; NOLA; Samoa Blind Association; PSC; SQA; Development Partners as required
T6	<b>Projects</b>	<ul style="list-style-type: none"> <li>All on-going projects in the sector</li> </ul>	5.3 Strengthen the coordination of external support to the sector	ESPII Informal Committee	MoF	ESCD, project managers; DPs



## **STRATEGY BRIEF FOR ESP TASKFORCE ON TEACHERS IN PRIMARY AND SECONDARY SCHOOLS**

### **Background**

Many schools do not achieve the minimum service standards relating to the quality of learning in Samoa's classrooms. There are many factors at work. Teacher quality is a major one but the learning environment, the curriculum, assessment policy, language policy, and the demand-side factors of parents' attitudes to school, community support etc. all play their part in constraining or facilitating good teaching and learning.

Many teachers in primary schools have not had adequate training (at pre-service and in-service levels) nor ongoing professional support to ensure they have the content, pedagogical and assessment knowledge needed to implement effective literacy and numeracy programs. The quality of school leavers entering the Faculty of Education at NUS to train as teachers is also an issue, with senior staff expressing serious concerns.

Teachers at all levels face challenges in monitoring and evaluating students' progress and adjusting their own teaching accordingly. They also often lack the skills needed to identify and teach learners with special needs. As well as teachers, school principals require further development of their leadership and management skills.

While the adequacy of teachers' own knowledge and their teaching skills can be critical constraints, in the Samoan context a strong constraint running in parallel is a frequent lack of commitment and low morale, resulting in low motivation to teach to their best. Teaching for many is not their career of choice but of necessity. Many, if the opportunity arises, leave the profession. Retaining high quality teachers in the system is a problem at both primary and secondary levels.

In response to these concerns, in 2010, MESC commissioned under ESP II a research study on teacher effectiveness entitled *Teacher Retention, Motivation and Performance* (MESC 2010). The study looked at how many teachers were leaving the profession and, through interviews, their reasons why. From 2002–2009, annual primary teacher attrition ranged between 4% and 8%. Secondary was consistently higher, ranging from 6% to 13%. Proportionally more males than females leave the profession and most do so during their first five years of service. New teachers entering the profession have countered this attrition, keeping overall shortages small. However, this hides the negative effect of high rates of staff turnover, particularly among newly qualified young male teachers.

It is in this context that the notion of developing a National Teacher Development Framework (NTDF) was conceived. The NTDF, finalised in 2011, establishes new policies and procedures for teacher quality, professional development and career opportunities, and teacher management. It seeks to:

- Provide for a well-defined, incentivised career structure which will attract and facilitate retention of suitably qualified teachers with adequate professional training and competence
- Establish professional standards, registration, training and advancement within the career structure on the basis of qualifications, merit and ability as reflected in performance appraisal and results
- Provide for clearly defined job descriptions and specifications at all stages within the career and grading structure, which will ensure proper deployment and utilisation of all teachers and educational personnel
- Ensure appropriate career planning, progression, pathways and succession management
- Enable remuneration commensurate with levels of responsibility and performance.

The paramount importance of the NTDF, developed under ESPII but to be substantively implemented under the new ESP sector program, is that it seeks to raise the professional standing of Samoa's teachers, to raise their morale and commitment, and through this, to raise their performance in the classroom. Previous initiatives to improve teacher performance (not only in Samoa but elsewhere too) have focused only on up-skilling teachers with new skills and resources. Results have been disappointing. The innovative NTDF aims to meet too teachers' other needs – a sense of being valued as a professional, of being properly rewarded and having a career path to pursue.

### **ESP context**

Concern over the quality of teachers has ensured that this area has a strong priority in the ESP. Implementation of the NTDF is the vehicle to bring change, to contribute to the ESP Goal 1 of enhanced quality of education. All activities concerning improving the quality of teaching in the ESP relate to the NTDF. However, teachers are not treated in the ESP as the single focus for addressing quality in schools. A relevant and effective curriculum and student assessment system (both primary and secondary), for example, features strongly and needs to be achieved in parallel if the ESP outcome of "improved student learning outcomes for all" is to be reached.

The ESP's logical progression for addressing the needs of schoolteachers – from activities through to outcomes and goals – is presented in the two tables below.

### **Current status and developments**

MESC is fully committed to implementing the NTDF. There has been sound progress on several fronts in recent months in preparing for implementation (see the following tables). The Salary and Career Progression Framework is progressing through the required processes. Performance against teacher standards is to be monitored through the newly established Monitoring, Evaluation and Review Division (MERD) in MESC. The first round of teacher self-appraisal assessments has been completed for all the approximately 1,600 teachers in government schools. The professional development of teachers is to be rationalised and coordinated through a new dedicated MESC division – the Teacher Development and Advisory Division (TDAD).

Bearing in mind findings from recent reviews and evaluations of ESP II, the professional development of teachers in schools under ESP will be challenging. Primary teachers are dealing with the new outcomes-based curriculum model, a new outcomes-based approach to assessment, including the Samoa Primary Education Completion Assessment (SPECA) at Year 8 replacing the examination, and also the new bilingual education policy. Implementation of these reforms is in its infancy and the extent to which teachers are coping with the innovations is not known. Primary teachers have received training on the new curriculum and assessment but how this has impacted in classrooms is not clearly known. The introduction of SPECA in 2013 encountered several challenges around the new outcomes focus, assessment format and performance ratings. An early impact evaluation of the outcomes-based curriculum reform is planned under the present ESPII. This is an urgent requirement and will be critical in informing the planning for professional development under the NTDF.

An important lesson learned concerns the model of in-service training. The existing model of workshop training cascading down to teachers in schools with little or no follow-up in schools has been discredited through international evidence. The mid-term review of ESPII in 2009 called for a move away from this traditional workshop approach of in-service training to a model embedded in the daily life of the school and its neighbouring schools (a school-based cluster model using mentor and master teachers). This advice has been followed and incorporated into the NTDF. The school-based model, if implemented effectively, should have a tangible and lasting impact on teachers' behaviours in the classroom. A crucial challenge will be establishing enough professionally trained staff to meet the needs of the NTDF. This includes not only mentors and master teachers to support

the school-based in-service model, but also the quality assurers to implement the ambitious teacher performance appraisal process.

### ESP strategy and outcomes

Table 3.a shows the ESP output-to-goal strategy for achieving the ESP outcomes relating to teachers with the following ESP M&E framework indicators.

- Professional development brings observable improvement in primary teachers' performance in the teaching literacy and numeracy. (Qualitative research in ESP year 1 will be used to establish baseline and targets to be monitored through interviews and observation with a sample cohort of teachers in ESP year 3 and year 5.)
- Improved teacher retention rates and morale. (Baseline and targets are to be determined. Targets for morale may relate to teacher attendance, lesson preparation and follow-up, engagement with parents and community about student learning, engagement in out-of-school activities with students, career aspirations, attitudes to work, students and colleagues etc.)

**Table 3a ESP strategy for supporting teachers through the NTDF - output/outcome/goal logic**<sup>66</sup>

Relevant ESP Goal	ESP Goal 1 Enhanced quality of education at all levels	
ESP Sector Outcome	SO1 Improved student learning outcomes at all levels	
ESP Subsector Outcomes	O1.3 professionally more competent teaching force at all levels, especially in the teaching of literacy and numeracy	O1.4 Improved teacher morale and retention resulting from improved remuneration and professional development
ESP Outputs by 2018	1.1.1 Teachers Act passed and implemented 1.1.2 Standards for teacher registration implemented, including performance appraisal for all teachers 1.1.3 Enhanced remuneration package for teachers implemented 1.1.4 Teachers professional development strategy developed and implemented	

Table 3.b shows the current approach towards implementing this strategy in terms of planned activities for achieving the intended outputs. The taskforce will monitor these activities, outputs and outcomes, consider the outcomes of progress reports, and use this and any other available evidence to help MESC identify any changes needed to the strategy and outcomes in future years to better achieve the intended outcomes.

<sup>66</sup> Excerpt from the ESP logical framework

Table 3b Implementing the strategy – the activities required to achieve the outputs

Excerpt from the ESP implementation plans, with some new activities (in italics) added after the finalisation of the ESP

ESP Implementation program	Output	Activities	Timing
1.1 National Teacher Development Framework (NTDF)	1.1.1 Teachers Act passed and implemented	<i>Taskforce (MESC, NUS and other stakeholders), led by MESC CEO, established to develop draft Teachers' Bill (the legal framework for the NTDF – teacher registration, Teacher Advisory Board/Council etc.)</i>	2013 -2018
		<i>National consultations on draft Bill conducted</i>	April 2014
		<i>Recommendations to Cabinet and Bill passed through parliament and enacted</i>	2014-2015
		<i>Progressive implementation of the Teachers Act</i>	2015 & on-going
	1.1.2 Standards for teacher registration implemented, including performance appraisal for all teachers	<i>Monitoring, Evaluation and Review Division (MERD) established in MESC to focus on teacher performance (Phase 1: focus on new Teacher Standards 1 and 2 (graduate teacher and registered teacher))</i>	2014-2015 and on-going
		<i>MERD completes their first Teachers Self-Assessment Appraisal process with all teachers (primary and secondary). This is to be an annual process.</i>	Annually commencing 2014
		<i>Develop and commence implementation of a Teacher Induction Framework to support newly qualified teachers (collaboration of MESC divisions and NUS Faculty of Education)</i>	2014/2015-2016
		<i>MERD works with FoE at NUS to map new Teacher Standards (level 1 Graduate Teacher) against current FoE provision (professional knowledge, teaching practice, teacher attributes)</i>	completed 2014
		<i>Implementation for all teachers of the Quality Assurance Performance Appraisal (QAPA) (target 50% of teachers covered by 2016/2017) Teachers will be required to undergo their QAPA every 3 years</i>	Commenced 2014/2015 and undertaken quarterly
		<i>MERD commences Phase 2: Introducing Teacher Standards 3 and 4 (Master Teacher and Leadership and Management)</i>	2015/2016
	1.1.3 Enhanced remuneration package for teachers implemented	<i>The NTDF Salary and Career Progression Framework reviewed by PSC and recommendations passed through Cabinet and presented to the National Salaries Tribunal</i>	Completed April 2014
		<i>Basic pay increase for all teachers, based on qualifications</i>	2014-2015
		<i>Commence implementation of performance-based annual salary increments tied to teachers' QAPA appraisals</i>	2014-2015 & on-going
		<i>Commence establishment of posts of responsibility in schools, including school-based mentors (using Teacher Standards Level 3 criteria for Master Teachers)</i>	2015/2016
		<i>External evaluation of impact of enhanced remuneration package on teacher morale, performance and retention (the subsector outcomes)</i>	2017/2018
		<i>Teacher Development and Advisory Division (TDAD) established in MESC to coordinate and manage professional development of teachers (by CMAD, SOD, NUS and other accredited providers)</i>	Established in 2014
		<i>Teacher professional Development Framework developed and implementation planned</i>	2015/16 & on-going
		<i>Convening of the new In-service Training Committee (ISTC) (MESC divisions, NUS/FoE, NUS/Oloamanu Centre, USP)</i>	2015/2016

ESP Implementation program	Output	Activities	Timing
1.1 (Continued)	1.1.4 Teachers professional development strategy developed and implemented	Learning resources devised and training packages developed for school-based teacher professional development	2015/2016
		First tranche of school-based professional development for teachers commences	2015/2016
		Learning resources devised and training packages developed for: i. School-based mentor teachers ii Leadership and management (school leaders) iii. Principals	2014/2015-16
		<i>MESC and FoE at NUS will set criteria for reviewing in-service professional development programs offered by training providers and the award of credit points for participants towards further qualification. This will involve collaboration with SQA on Recognition of Prior Learning etc.)</i>	2015/2016 on-going
		<i>Analysis of teacher self-assessment appraisal data used to inform planning of school-based professional development strategy (in collaboration with MESC, FoE at NUS, and other training providers)</i>	2014/2015
		<i>External evaluation of impact of introducing Teacher Standards, Performance Appraisal and new models of school-based professional development on teacher morale, performance, and retention (the subsector outcomes)</i>	2017/2018

## **STRATEGY BRIEF FOR ESP TASKFORCE ON LITERACY AND NUMERACY IN PRIMARY AND SECONDARY SCHOOLS**

### **Taskforce scope**

The paramount importance of improving literacy and numeracy in Samoan schools warrants a dedicated ESP taskforce. There are, however, several inter-connected elements in an education system which play a role, including the curriculum, the assessment system, learning outcomes, quality of teaching (including pre-service and in-service training and qualifications), the school learning environment, and students' home background. In Samoa, important initiatives such as the Samoa School Fee Grants Scheme also play a part, as do implementation of the National Minimum Service Standards.

This taskforce will focus on literacy and numeracy, particularly the impact of a relevant and effective curriculum and assessment systems. Boys' under-achievement in literacy and numeracy is a particular concern and comes within the scope of this taskforce.

### **ESP context**

The ESP presents data on boys' and girls' performance in literacy and numeracy and draws attention to the disparities, and issues concerning boys' performance are discussed (P 26 of the ESP). Improving literacy and numeracy performance is the headline outcome under Goal 1 on quality and, at the school level. The following inter-related and inter-dependent ESP programs contribute to this outcome:

- NTDF see separate taskforce brief on teachers
- School-level curriculum reform
- School-level assessment reform
- Information and communications technology
- Upgrading NUS education lecturers
- Strengthening NUS education programs.

The ESP's logical progression for literacy and numeracy and for curriculum and assessment – from activities through to ESP outcomes and goals – is presented in the two tables below.

### **Current status and developments**

An important initiative that promises to bring long-term benefits to Samoa is the Pacific Benchmarking Education Quality for Results (PaBER). This regional pilot program was launched in 2012 and focuses on improving basic literacy and numeracy in three participating countries – Samoa, the Solomon Islands and Papua New Guinea. It seeks to achieve this through:

- Benchmarking of literacy and numeracy outcomes and of the key factors which influence them (which may help MESC to identify some of the factors leading to lower achievement for boys)
- Using benchmarking information to identify gaps in information, compare progress, and drive policy and programs
- Developing a benchmarking model which can be replicated more broadly in the Pacific.

As well as benchmarking learning outcomes in literacy and numeracy, the pilot also attempts to benchmark aspects of the following critical influences on these learning outcomes:

- Teacher quality
- Curriculum and materials
- School management
- Assessment systems.

Rather than only measuring results and establishing benchmarks, PaBER is innovative in bringing about a better understanding, through analysis of results and further research, of the factors that affect performance. The focus is thus not just on assessing system performance but on using evidence to drive improved student outcomes.

Since 1993 Samoa has used its annual SPELL assessments at Years 4 and 6 to monitor progress in literacy and numeracy. SPELL is a national assessment tool based on the Samoan curriculum. MESC PPRD's Paper on the SPELL tests in 2010 discusses long-standing, widely held concerns with both the reliability and validity of the SPELL tool. It also notes the limited use of its results as diagnostic tool, either at the teacher/school level or the MESC level, to inform teaching and learning to reduce the numbers at risk. PPRD recommends an in-depth review of SPELL, which should consider how well it meets the assessment principles set out in the Samoa National Assessment Policy Framework (SNAPF).

PaBER uses the Pacific Islands Literacy and Numeracy Assessment (PILNA) which is the regional tool for Years 4 and 6. As a regional test, it is national curriculum-neutral, allowing cross-country comparisons. In 2012, PILNA was administered in 14 Pacific countries, including Samoa. PILNA results were analysed during 2013 and PaBER has now established regional benchmarks for literacy and numeracy to be used in the three countries.

PILNA data for Samoa has been analysed and a report finalised. MESC has been briefed on the report (in December 2013). The current PaBER six-monthly report (March 2014) notes that MESC has integrated its recommendations into its current interventions to address literacy and numeracy.

The Australian Council for Education Research completed an assessment of the institutional capacity of the Samoa Assessment and Examinations Unit (AEU) in 2013 as part of the PaBER program. MESC accepted its six recommendations to strengthen capacity. The report noted the unit's high level of skill in the management of the assessment program but highlighted staffing gaps and constraints in its current analytical and reporting capacity.

PaBER has undertaken a review of Samoa's key policy areas for student assessment:

- Classroom assessment
- Examinations
- National assessments (SPELL)
- International assessments (PILNA).

PaBER has also analysed the current status of school autonomy and accountability. This work on school management provides useful linkages to principals' training and also the school-level management of the school grants scheme.

Under ESPII, MESC collaborated in 2013 with NUS to undertake a Numeracy and Mathematics Development in Primary Schools Study. This study focused on Years 1 to 4 in a sample of primary schools and assessed the extent of the implementation of the new primary mathematics curriculum and its effects on teachers' understandings and practices, and student performance. It concluded that teachers urgently need mathematics pedagogical content knowledge and skills training, and continuous support in these early stages of implementation of the new primary mathematics curriculum. They need "to be empowered to transform their current teaching and assessment styles and practices to align more with a socio-cultural and student-focused approach". The study also suggested that schools need equipping with the necessary materials to support student learning, for example, in measuring length, area and volume, through hands-on practical activities.

A parallel study on literacy development in primary schools is anticipated in late 2014, conducted as part of PaBER's research program. The findings of these two studies will inform the work of CMAD (its professional support to teachers), the Faculty of Education at NUS, and the soon-to-be established division in MESC dedicated to teachers' professional development.

The Home School Literacy Pilot Program began in 2014 in 10 primary schools. It addresses parents of children in Years 1 to 6 and builds their capacity, alongside teachers and principals, to nurture their children's literacy skills. Dedicated reading books and dictionaries are being provided. Baseline testing of present literacy levels will be used to assess progress at the end of the pilot period. It is planned to extend the pilot to 10 more schools in 2015. Two CMAD officers are engaged with the pilot but a small team of eight mentors will be required (retired teachers probably) to support the program at the school and community level.

A Literacy Taskforce has been in operation for several years, set up in response to concerns over poor results in the national SPELL tests. Its focus has been on identifying schools with the weakest scores and offering professional support. This taskforce, which includes numeracy specialists, will evolve now into the ESP Literacy and Numeracy Taskforce.

### **Boys' underachievement**

Regarding boys' underachievement, the ADB Performance Evaluation Report (2011) on ESPII notes that the long-standing issue of gender disparity in student performance remains unaddressed. Since the 1990s, boys have shown lower levels of achievement than girls both in primary and secondary education. An important study entitled Boys' Under Achievement in Education: an Exploration in Selected Commonwealth Countries (Commonwealth Secretariat 2006) examined Samoa as one of its focus countries. This study provides comprehensive analysis of the multiplicity of issues involved in Samoa and examines scenarios, notably the Don Bosco Technical Centre, where boys seem to have a more positive experience. There are lessons here on the need to adjust pedagogy, curriculum and management in government schools.

Steps are being taken to address the issue. For example, CMAD ensures that all school curriculum materials are gender-neutral, with no stereotyping. MESC/SQA are currently conducting a feasibility study of offering certified TVET courses at secondary schools which would be attractive to boys, and, in due course, PILNA results will be analysed item by item by gender to identify learning barriers and blind spots. There are more examples, but these initiatives need now to be connected as part of a coordinated strategy. The taskforce will therefore support MESC in developing a sector strategy for reducing gender disparity in school performance and might consider a sub-group for this purpose.

### **ESP strategy and outcomes**

Table 2.1 shows the ESP output-to-goal strategy for achieving the ESP outcomes relating to literacy and numeracy with the following ESP M&E framework targets for children in Year 4 and Year 6:

- Children categorised as At Risk in English Literacy at Year 4 reduces from 18% to 6% for girls and from 35% to 23% for boys
- Children categorised as At Risk in English Literacy at Year 6 reduces from 32% to 20% for girls and from 55% to 43% for boys
- Children categorised as At Risk in Samoan Literacy at Year 4 reduces from 12% to 1% for girls and from 21% to 9% for boys
- Children categorised as At Risk in Samoan Literacy at Year 6 reduces from 12% to 1% for girls and from 22% to 16% for boys
- Children categorised as At Risk in Numeracy at Year 4 reduces from 23% to 5% for girls and from 32% to 10% for boys
- Children categorised as At Risk in Numeracy at Year 6 reduces from 50% to 38% for girls and from 62% to 50% for boys.

(See the M&E framework at Annex F of the ESP for other outcome targets.)



**Table 3c: ESP strategy for literacy and numeracy - the output/outcome/goal logic<sup>67</sup>**

<b>Relevant ESP Goal</b>	<b>Goal 1. Enhanced quality of education at all levels</b>		
<b>ESP Sector Outcome</b>	SO1 Improved student learning outcomes at all levels		
<b>ESP Subsector Outcomes</b>	O1.1 Improved literacy and numeracy outcomes at all levels, with boys and girls each achieving to agreed national benchmarks	O1.6 Professional development for NUS lecturers results in more relevant and effective teacher education	O1.7 Increased provision by NUS of high quality, accessible and relevant courses, prioritising teacher education
<b>ESP Outputs by 2018</b>	<p>1.2.1 Curriculum-related professional development for ECE, primary and secondary teachers implemented and evaluated</p> <p>1.2.2 Secondary curriculum reform completed and implemented</p> <p>1.3.1 Ongoing ICT initiatives in secondary schools consolidated and expanded</p> <p>1.3.2 A sector ICT master plan devised with targeted implementation in both primary and secondary schools</p> <p>1.4.1 National Assessment Policy Framework fully implemented and national benchmarks for literacy and numeracy developed</p>	1.6.1 Lecturer qualifications and skills upgraded, prioritising the needs of teacher trainees (focusing on literacy and numeracy and the new curriculum)	<p>1.7.1 NUS teacher education courses revised to better align with school curriculum and especially to ensure graduates have best practice knowledge and skills to improve literacy and numeracy in schools</p> <p>1.7.2 Flexible delivery modes developed for selected courses</p>

Table 3d shows the current approach towards implementing this strategy in terms of planned activities for achieving the intended outputs. The taskforce will monitor these activities, outputs and outcomes, consider the outcomes of progress reports, and use this and any other available evidence to help MESCC identify any changes needed to the strategy and outcomes in future years to better achieve the intended outcomes.

<sup>67</sup> Excerpt from the ESP logical framework

**Table 3d: Implementing the strategy – the activities required to achieve the outputs**

Excerpt from the ESP implementation plans, with some new activities (in italics) added after the finalisation of the ESP.

ESP Implementation program	Output	Activities	Timing
1.2 School-level curriculum reform	1.2.1 Curriculum-related professional development for ECE, primary and secondary teachers implemented and evaluated	Provide professional development for teachers focusing on the new primary outcomes-based curriculum	Commenced 2013/2014 & Ongoing
		Produce and deploy relevant curriculum materials	Commenced 2013/2014 & ongoing
		<i>Independent evaluation of early implementation of the new primary curriculum and school-based assessment. This will be a broader evaluation, complementing the literacy (2014) and numeracy (2013) - specific studies below</i>	2015/2016
		Medium-term impact evaluation of curriculum and assessment implementation, and of bilingual policy implementation. Commence addressing findings	2017/2018
	1.2.2 Secondary curriculum reform completed and implemented	Review of secondary school curriculum undertaken. External Review Committee examining findings	March/April 2014
		Address recommendations of secondary curriculum review (in those subjects where revisions are required)	2014/2015 & ongoing
		Two streams of maths and Samoan trialled and implemented	2015/2016 & ongoing
		Independent evaluation of early implementation of secondary curriculum reforms	2017/2018
1.3 Information and communications technology in secondary schools	1.3.1 Ongoing ICT initiatives in secondary schools consolidated and expanded	Integration of ICT and multimedia tools in all secondary subjects	2014/2015 Ongoing
		Develop and deploy e-resources for Year 12 and 13 subjects and provide training for teachers	2015/2016 & ongoing
		Evaluate the impact of e-learning on student learning in Years 12 and 13	2017/2018
	1.3.2 A sector ICT master plan devised with targeted implementation in both primary and secondary schools	Baseline study on the use of ICT in secondary schools to inform the development of a sustainable ICT Sector Master Plan for both primary and secondary schools	2014/2015
		Based on the ICT Master Plan, an ICT in Education Policy developed	2015/2016
		Commence professional development for primary and secondary teachers for ICT integration in teaching and learning	2015/2016 & ongoing
1.4 School-level assessment reform	1.4.1 Samoa National Assessment Policy Framework (SNAPF) fully implemented and national benchmarks for literacy and numeracy developed	Replacement of Year 8 national end-of-primary examination with the Samoa Primary Education Certificate Assessment (SPECA)	Completed 2013
		<i>Review and re-design national SPELL tests on literacy and numeracy (drawing on PPRD recommendations of 2010)</i>	2015/2016
		Full localisation of the Pacific Senior School Certificate (PSSC)	Completed 2013/2014
		<i>Home-School Literacy Partnership Pilot Program commenced in 10 primary schools (anticipated roll-out 10 schools per year)</i>	2013 & ongoing
		Professional development for teachers on school-based assessment	2014/2015 & ongoing
		<i>Analysis under PaBER of the institutional capacity of CMAD and the Assessment and Examinations Unit.</i>	Completed 2013

ESP Implementation program	Output	Activities	Timing
1.4 Continued	1.4.1 continued	<i>Under PaBER, PILNA assessment at Years 4 and 6 carried out in 2012 was analysed during 2013 and presented to MESC in December 2013 and to school principals in January 2014. PaBER has now used the data to establish the PaBER regional benchmarks for literacy and numeracy. Discussion required on whether Samoa uses these benchmarks as its own national benchmarks</i>	2013-2014
		<i>Numeracy and Mathematics Development in Primary Schools Study (MESC/NUS 2014) report published</i>	January 2014
		<i>Under PaBER, new research on literacy in primary schools Samoa will be conducted (to complement the MESC/NUS Numeracy and Mathematics Study</i>	2014/2015
		<i>Training for selected teachers on how to identify and support students dyslexia conducted in early 2014</i>	Completed 2014
		National Implementation of Student Portfolios	2015/2016
		Independent evaluation of SNAPF implementation	2017/2018
1.6 Professional development for PSET lecturers and trainers	1.6.1 NUS lecturer qualifications and skills upgraded, prioritising the needs of teacher trainees (focusing on literacy and numeracy and the new curriculum)	Training Needs Analysis conducted for NUS education lecturers	2015/2016
		Informed by the Training Needs Analysis, a professional development plans devised and implementation commenced. Support provided for NUS education staff to complete masters or other relevant qualifications.	2014/2015 & ongoing
1.7 Strengthening the quality and relevance of NUS education programs	1.7.1 NUS teacher education courses revised to better align with school curriculum and especially to ensure graduates have best practice knowledge and skills to improve literacy and numeracy in schools	Building on existing collaborative relationship between Faculty of Education at NUS and MESC (CMAD) on primary curriculum development, Faculty of Education courses will be reviewed and better aligned where necessary. Two-way feedback process between MESC and Faculty of Education. Revision of subject knowledge and pedagogical components as required.	2014/2015 & ongoing
		Development of an Action Plan to devise flexible delivery options for selected education courses	2014/2015
	1.7.2 Flexible delivery modes developed for selected education courses	Design and develop learning packages (including online and distance and flexible learning)	2015/2016
		Commence implementation, provide monitoring and support	2016/2017

## **STRATEGY BRIEF FOR ESP TASKFORCE ON EARLY CHILDHOOD EDUCATION**

### **ESP context**

In the ESP, early childhood education figures most prominently under Goal 1 (Quality), Goal 2 (Access and Opportunities at all levels) and under Goal 4 on policy development. Free, publicly-provided ECE does not exist in Samoa. While the ESP provides some data on the 104 non-publicly operated early childhood education centres, it acknowledges that little is known of the quality and equity of ECE provision in these centres.

The ESP's logical progression for early childhood education – from activities through to ESP outcomes and goals – is presented in the two tables below.

### **Current status and developments**

ECE development in Samoa has been piecemeal and uncoordinated, with many pre-schools not adhering to registration standards of the National Council for Early Childhood Education in Samoa (NCECES, an autonomous NGO). The lack of a developmental policy framework is seen as the major constraint and this is a major plank of the ESP.

In 2013, the World Bank's Systems Approach for Better Education Results (SABER) country report on early childhood development in Samoa provided a comprehensive, in-depth analysis of the wider subsector. As well as early learning, the report was broad-based and examined health and nutrition, and social and child protection issues. The report concluded that in recent years early childhood development has gained increasing attention in Samoa, evidenced by, for example, the greater role of early childhood education within MESC's education strategy. It noted, however, that:

'The ECD system remains largely disjointed. There is no unifying ECD policy, nor is there a lead sector tasked with convening and coordinating ECD interventions. Substantial resources and efforts are required to improve the availability of services. The most glaring issue is the absence of administrative and survey data. Data are critical to build and maintain a robust ECD system and is required to inform strong policy'.

Following the broader SABER report, a preliminary ECE-focused situational analysis was completed in early 2014 through the support of the volunteer ECE specialist in MESC CMAD. A full analysis will be completed by August 2014. This analysis, along with policy options and recommendations in the SABER report, will inform a range of developments, including the development of a National Policy for Early Childhood Education. The current draft ECE policy will remain on hold until the situational analysis is completed. Policy finalisation is planned for June 2015.

The development of Samoa's policy and plans will be informed by recent Pacific regional developments in this area. Supported by UNICEF, in 2013 the Pacific Regional Council for Early Childhood Care and Education (PRC4ECCE)<sup>68</sup> developed Pacific Guidelines for the Development of National Quality Frameworks for Early Childhood, Care and Education. These guidelines provide advice to countries on how to operationalise and implement their national ECCE policy. UNICEF has supported Vanuatu in pioneering this approach and its ECCE policy (2010). The resulting National Quality Framework will be a useful point of reference as Samoa proceeds.

The current Samoan ECE standards book is very dated and not often used in the field. A taskforce, comprising NUS, USP, the National ECE Council and others, is reviewing these standards and plans to

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<sup>68</sup> In Samoa the subsector is called early childhood education (ECE). In these regional initiatives the broader scope term early childhood care and education (ECCE) is used.

finalise a revision by mid-2014. The revised standards, drawing on the Pacific Regional Guidelines, will become the minimum service standards for ECE.

### **ESP strategy for ECE**

Following the situational analysis, Early Years Learning Development Standards will be developed. These will provide guidance for teachers on all aspects of children's development in their early years. With this in place, curriculum guidelines will then be developed and training provided for all teachers. A school readiness assessment tool will be developed to assess children's preparedness for entering primary education.

A policy will be developed for systematically upgrading the qualifications of ECE teachers. Those teachers who currently hold qualifications are mainly at the certificate level. NCESE plans to collaborate with existing providers (NUS, APTC, USP, and church groups) and government to develop longer-term strategies to rationalise provision, raise the minimum level to diploma and establish teacher registration.

In terms of learning resources, the development and distribution of dedicated ECE early reading books in Samoan language is a priority.

### **Risks**

While the current situation on the ground in ECE is critical and needs to be addressed, the imminent reforms set out above, while highly needed, have considerable financial and human capacity implications. Several of these implications are set out in the preliminary situational analysis. These include the future high financial cost to government of:

- Ensuring all ECE centres meet the basic physical facilities standards
- Increasingly meeting the teachers' salary bill which will grow as qualifications are upgraded.

**Table 3f: ESP strategy for early childhood education – the output/outcome/goal logic<sup>69</sup>**

Relevant ESP Goals	Goal 1 Enhanced quality of education at all levels		Goal 2 Enhanced educational access and opportunities at all levels		Goal 4 Improved sector coordination of research, policy and planning development
ESP Sector Outcomes	SO1 Improved student learning at all levels		SO2 At all levels, more students, including those with disabilities, have access to quality educational opportunities		SO4a A coordinated approach through effective partnerships ensures newly-developed policies contribute to improved quality and access across the sector
ESP Subsector Outcomes	0.1.1 Improved literacy and numeracy outcomes at all levels, with boys and girls each achieving to agreed National Benchmarks	01.2 Early childhood education providers and primary and secondary schools increasingly meet national minimum service standards	02.1 More students, including those from disadvantaged and vulnerable backgrounds, enrol and complete early childhood, primary and secondary schooling	02.2 More students with disabilities enrol and complete their early childhood, primary and secondary schooling	0.1.3 Professionally more competent teaching force at all levels, especially in the teaching of literacy and numeracy
ESP Outputs by 2018	1.2.1 Curriculum-related professional development for early childhood, primary and secondary teachers implemented and evaluated 1.2.3 Curriculum guidelines for early childhood education revised and implemented		2.1.3 Minimum service standards for ECE developed and implemented, including child protection, gender equity, and disability access  4.2.1 Planned new policies for ECE and school education developed and implemented		

Table 3.g below shows the current approach towards implementing this strategy in terms of planned activities for achieving the intended outputs. The taskforce will monitor these activities, outputs and outcomes, consider the outcomes of progress reports, and use this and any other available evidence to help MESC identify any changes needed to the strategy and outcomes in future years to better achieve the intended outcomes.

<sup>69</sup>Excerpt from the ESP logical framework

**Table 3g: Implementing the strategy – the activities required to achieve the outputs**

Excerpt from the ESP implementation plans, with some new activities (in italics) added after the finalisation of the ESP.

ESP Implementation Program	Output	Activities	Timing
1.2 School-level curriculum reform	1.2.1 Curriculum-related professional development for early childhood, primary and secondary teachers implemented and evaluated	<i>Professional development for serving ECE teachers will focus initially on the new learning development standards, the new minimum service standards and, in due course, the new curriculum guidelines and student assessment. Procedures will be established to ensure pre-service ECE training providers take note of these reforms and adjust their programs accordingly.</i>	2015/2016 Ongoing
	1.2.3 Curriculum guidelines for early childhood education revised and implemented	<i>Early Years Learning Development Standards developed</i>	2014/2015
		Curriculum guidelines for ECE developed, ensuring alignment with new primary curriculum	2015/2016
		<i>School readiness assessment tool developed</i>	2015/2016
2.1 Inclusive education at all levels	2.1.3 Minimum Service Standards for ECE developed and implemented	Existing ECE standards revised to form minimum service standards for ECE, incorporating inclusiveness principles (disability etc.)	2014/2015
4.2 Policy development for early childhood education and school education	4.2.1 Planned new policies for ECE and school education developed and implemented	ECE situational analysis completed	Mid 2014
		National ECE Policy finalised	December 2015
		<i>Policy for registering ECE teachers and rationalising and u-grading qualifications will be developed. This will include considering NUS provision of a 3-year bachelor degree in ECE.</i>	2015/2016 Ongoing

## **STRATEGY BRIEF FOR ESP TASKFORCE ON POST-SCHOOL EDUCATION AND TRAINING (PSET)**

### **Background**

Post-school education and training (PSET) is defined in the *SQA 2010 Act* to mean all forms of education and training activities outside the school system utilising a structured mode of delivery. This includes technical and vocational education and training (TVET) and higher education. It covers formal education and non-formal education (NFE), the latter defined as organised educational activities that take place outside the formal educational system. The Samoa Qualifications Authority (SQA), created in 2006, is responsible for: policy advice; coordinating and strengthening PSET; quality assurance, regulation and standards monitoring and reporting to government on PSET strategies, priorities, performance, resourcing and activities.

With an enrolment of around 3,000 students, NUS is the largest government provider of PSET combining TVET (56% business studies, 32% engineering and 12% marine studies) with higher education (around 50% of NUS students, primarily diploma and degree courses for teaching and nursing). The education courses at NUS are critically important for raising standards in Samoan schools.

TVET is currently supported by Australia through the TVET project, now in its 2013–15 second phase (TVETII or Roadmap 2). Progress to date includes the establishment of over 400 National Competency Standards (NCSs) in 7 trade areas, 18 National Qualifications, and registration of 16 of the current 30 providers.

The newly established PSET Annual Conference allows PSET providers and stakeholders to identify issues.

### **Background documentation**

This includes the following:

- Post-School Education and Training Strategic Plan 2008–2016 (SQA 2008)
- The Samoa Qualifications Authority PSET Statistical Bulletin 2013
- Expenditure Review of Formal Post-School Education and Training Providers in Samoa for the Period FY2006–FY2010, SQA 2012
- Proposed Roadmap for Australian support to TVET under the Samoa Partnership for Development (AusAID 2011)
- Apprenticeship Guidelines 2013 (Samoa Apprenticeship Council, 2013)
- Labour Market Survey of Private Sector Employers in Samoa in 2010, MCIL 2011
- Report of the Situational Analysis of the Development of Community Centres in Samoa, SQA 2012
- Research into the Financing of TVET in the Pacific, Samoa Country Report, Australian Council for Education Research, 2012
- TVET Program Progress Report 3 (SQA 2013)
- Women in Business (WiB) Strategic Plan 2011–2015 (WiB Incorporated 2011).



## Key issues

Issues	Cause (based on findings to date)	Opportunities for addressing the issue
Inadequate quality of many PSET programs	Inadequate quality assurance with some providers not registered and programs not subject to accreditation	Register PSET providers against minimum standards Roll out system of program accreditation Introduce quality assurance systems at provider level (e.g. the largest provider NUS)
	Poor quality of teaching/training	Upgrade knowledge and skills of PSET lecturers and skills and provide professional development against professional standards
	Inadequate equipment and consumables	Develop a PSET financing policy
Low enrolment in PSET (around 5,000 students enrolled by 30 providers) and high dropout) Low female enrolment in non-traditional trades and low male enrolment in higher education Low enrolment of people with disability, or socially, economically or geographically disadvantaged.	Poor quality of PSET programs	As above
	Low female and people with disability participation rates. Lack of incentives for flexible delivery mechanisms and high user costs.	Provide access grants as an incentive for greater access opportunities for females and vulnerable groups to TVET.
	Low status of foundation courses	Provide flexible learning pathways into and within PSET including higher education
	Inadequate recognition of existing competencies, including those gained from non-formal or informal learning, for course entry	Improve recognition of existing competencies
	Inadequate of on-the-job and staff development training	Increase provision of flexible course delivery and staff development training
	Inadequate careers guidance in schools and elsewhere	Establish an information and advice base within SQA as a nascent Careers Advisory Service
	Low incentives for women, people with disability, and from disadvantaged communities	Include incentives in criteria for provider registration, program accreditation and access grants
Low relevance of many PSET courses to future employment	Inadequate knowledge of the labour market underpinning PSET	Ensure close coordination between SQA, PSET providers and MCIL Undertake tracer studies and employer surveys
	Programs not developed to meet key labour market requirements	Establish Samoan Qualifications (SQs) and National Competency Standards (NCSs) for priority sectors of the labour market
	Samoa qualifications not recognised internationally	Establish systems for international recognition of Samoa qualifications and Samoan recognition of international qualifications
	NUS education courses not sufficiently based on the school curriculum	Align education courses with school curriculum

## ESP strategy for PSET

The ESP strategy for PSET addresses the above issues, focusing on improving quality (especially for teacher education), access, relevance and research-based policy and planning, as shown in the Table 3h below. The numbers in parentheses refer to the ESP outcomes and outputs that have been abbreviated in this table.

**Table 3h: ESP strategy for PSET – the output/outcome/goal logic<sup>70</sup>**

Relevant ESP Goals	1. Enhanced quality of education at all levels			2. Enhanced educational access and opportunities	3. Enhanced relevance of education	4. Improved sector coordination of research, policy and planning development
ESP Sector Outcomes	SO1. Improved student learning at all levels			SO2. At all levels, more students, including those with special needs, have access to quality educational opportunities	SO3. Improved employability of school leavers as a result of education and training responding to national economic, social and cultural needs	SO4a. A coordinated approach through effective partnerships ensures newly-developed policies contribute to improved quality and access across the sector
ESP Subsector Outcomes	Improved quality of Programs (O1.5)	Professional development for PSET lecturers and trainers (O1.6)	Increased NUS provision of quality teacher education courses (O1.7)	More ESP students, including those from disadvantaged backgrounds and those with disabilities. (O2.3)	Increase in PSET graduates with knowledge and skills relevant to the Samoa job market (O3.2)	Analysis of research findings, evaluations and monitoring evidence is increasingly used to inform policy and planning (O4b)
ESP Outputs	SQA Quality Assurance (QA) System involving registering of providers, program accreditation and program support (1.5.1)	Upgraded NUS lecturer qualifications and skills (1.6.1)	Strengthened quality and relevance of NUS education courses (1.7.1)	Access grants for formal and non-formal provision (2.3.1)	Samoan Qualifications (SQs) and National Competency Standards (NCSs) for priority sectors (3.2.1)	New PSET-related policies and policy monitoring and review process (4.3.1)
	International recognition of Samoan Qualifications (1.5.2)	Professional standards for PSET lecturers (1.6.2)	Align NUS education courses with school curriculum (1.7.2)	Careers Advisory Service established (2.3.2)	Findings from tracer studies used to inform PSET policy and practice (3.2.2)	
				Process for recognition of current competency (2.3.3)	New NUS courses relevant to development and market needs (3.2.3)	
	Recognition of foreign qualifications (1.5.3)	Professional development for PSET trainers (1.6.3)	Flexible delivery of NUS education courses (1.7.3)	More flexible PSET learning pathways (2.3.4)	TVET providers supported to offer NCSs and NQs (3.2.4)	
	NUS higher education QA system (1.5.4)			New NUS courses relevant to development and market needs (2.3.5)	Flexible delivery of NUS courses (3.2.5)	
		Increased relevance of NUS program to needs of all professions and trades (3.2.6)				

<sup>70</sup>Excerpt from the ESP logical framework

Table 3i below shows the current approach towards implementing this strategy in terms of planned activities for achieving the intended outputs. The taskforce will monitor these activities, outputs and outcomes, consider the outcomes of progress reports, and use this and any other available evidence to help MESC identify any changes needed to the strategy and outcomes in future years to better achieve the intended outcomes.

**Table 3i: Implementing the strategy**

ESP Implementation Program	Output	Activities	Timing
1.5 PSET Quality Assurance	1.5.1 SQA Quality Assurance (QA) System Implemented	Register/re-register formal PSET providers (c.4 p.a.)	Ongoing
		Accredit programs (c.6 p.a.)	Ongoing
		Provide support to accredited programs	Ongoing
		External review of SQA	2014/2015
	1.5.2 International recognition of Samoa Qualifications	Preparing materials and dialogue for mutual recognition with NZ Qualifications Authority.	2014/2015
	1.5.3 Recognition of foreign qualifications	Assess at least 2 of 10 queries in 2014/15	Ongoing
	1.5.4 NUS higher education QA systems	International audit	Annual
		External review	Annual
		Graduate survey	2014/2015
		Develop plan for supporting student counselling	2015/2016
1.6 Professional development for PSET lecturers and trainers	1.6.1 Upgraded NUS lecturer qualifications and skills	Develop research and international partnerships	2016/2017
		Establish professional development plan	2014/2015
	1.6.2 Professional development of TVET trainers against developed standards	Implement professional development plan	2015 onwards
		Finalise and implement professional standards developed in 2013/14	2014/2015
		Provide professional development for around 20 applicants per year.	Ongoing
		Evaluate impact of training	2015/2016
1.7 Strengthen quality and relevance of NUS Education courses	1.7.1 Teacher education courses aligned with school curriculum	Establish professional development strategy	2016/2017
		Use feedback on course alignment with school curriculum to revise course content/delivery	Ongoing
	1.7.2 Flexible delivery for education courses	Design flexible learning packages	2014/2015
		Offer courses in flexible mode	Ongoing
2.3 PSET access measures	2.3.1 Provide grants for access to formal and non-formal providers	Evaluate flexible courses in against traditional courses	2016/2017
		Manage and monitor each quarter the PSET Access Grant	Ongoing
	2.3.2 Careers Advisory Service established	Evaluate the PSET Access Grant	2015/16
		Establish and operate an information centre	2014/15 & ongoing
	2.3.3 Process for recognition of current competency	Evaluate the Careers Advisory Service	2015/2016
		Design and implement the process	2014-2016
	2.3.4 More flexible PSET learning pathways	Evaluate the process	2017/2018
		Conduct situation analysis on present pathways	2015/2016
3.2 Development and application of national qualifications and programs relevant to Samoa economy	2.3.5 Provide staff development training for public, private and NGO employees	Establish policy direction for learning pathways	2016/2017
		Implement in-country training program at the Oloamanu Centre for the public sector, through the Chamber of Commerce for the private sector, and through SUNGO for NGOs	Ongoing
	3.2.1 SQs and NCSs for priority sectors	Coordinate and facilitate development of Samoan Qualifications & competency standards (2 areas per year)	2014–2018
	3.2.2 Tracer studies used to inform PSET policy and practice	Conduct employer satisfaction surveys	2014/15 & 2016/17
	3.2.3 New NUS courses relevant to development and market needs	Conduct tracer studies of PSET graduates	2015/2016
		Develop, register and accredit new NUS courses relevant to national needs and priorities (e.g. Bachelor in Tourism)	Ongoing

Under ESP implementation program 1.5, PSET Quality Assurance, currently supported by TVET II, the SQA and NUS will:

- Publicise and carry out, through visits workshops and training, a program of visiting, inspecting and registering (and re-registering) providers against established minimum standards – 4 new registrations expected in 2014/15 – and a system for program accreditation (around 6 new programs expected in 2014/15), including support to the programs concerned; these processes are a key part of SQA's quality assurance role, currently supported through the TVET II project
- Prepare for mutual recognition with NZ Qualifications Authority of Samoa Qualifications internationally and NZ Qualifications in Samoa, and consider other requests for recognition of foreign qualifications (at least 10 enquiries this year)
- Undertake a full external review of SQA
- Carry out an annual NUS international audit and external review, and a graduate survey in 2014/15
- Develop in 2014/15 a NUS plan for supporting student counselling, and in 2015/16 international partnerships including to support research.

Under ESP implementation program 1.6, Professional development for PSET lecturers and trainers, the SQA and NUS will:

- Provide needs-awareness for, establish and implement an NUS professional development plan to upgrade qualifications (e.g. through Masters' degree scholarships)
- Finalise the SQA strategy for PSET professional standards developed in 2013/14, provide professional development training against these findings, evaluate the impact of training in 2015/16 and use the outcome in 2016/17 to establish a full PSET professional development strategy.

Under ESP implementation program 1.7, Strengthen quality and relevance of NUS Education courses, the NUS will:

- Use feedback on the alignment of teacher education courses with the school curriculum to revise course content and delivery
- Offer education courses in flexible delivery mode and evaluate the courses against traditional courses.

Under ESP implementation program 2.3, PSET access measures, the SQA will:

- Manage and monitor, through quarterly visits, the PSET Access Grant for formal and non-formal providers to:
  - Have access to the Small Grant Scheme
  - Enable registered training providers to deliver accredited programs in the community
  - Encourage registered training providers to attract female enrolments in non-traditional trades training
  - Encourage training providers to deliver on-the-job trainings in skills demand areas from their accredited programs.
- Provide a career advisory service in the form of an information centre in SQA backed by visits of SQA staff to providers and schools
- Implement a process for recognition of students' existing competencies in course applications
- Conduct situational analysis on current learning pathways.

In addition, the NUS Oloamanu Centre will organise in-country staff development training for the public sector, private sector and NGOs on an annual basis.

Under ESP implementation program 3.2, Development and application of national qualifications and programs relevant to the Samoa Economy, the SQA and NUS will:

- Coordinate and facilitate development of Samoan Qualifications and competency standards in priority sectors
- Conduct employer satisfaction surveys in 2014/15 and 2016/17 and conduct, in 2015/16, PSET tracer study of graduates from formal PSET providers in 2012, 2013 and 2014 to be used to inform PSET provision
- Develop, register and accredit new NUS courses relevant to national needs and priorities, e.g. a new Bachelor in Tourism degree
- Develop learning support, a student learning centre, and student health and welfare support in NUS
- Provide professional development and consumables support to PSET providers.

Under ESP implementation program 4.3, Policy development for PSET, the SQA will:

- Formulate a PSET funding policy and costed implementation plan using the Samoa Country Report of the Australian Council for Educational Research program, Research into the Financing of TVET in the Pacific and other relevant materials
- Undertake research-based policy development on other aspects of PSET.

### **Links with other ESP programs**

Developments within the Faculty of Education will need to tie in with developments at school level, notably the teacher professional development being progressed through implementation program 1.1, the curriculum developments under program 1.2, the ICT in schools plan under program 1.3, and assessment reform under program 1.4.

The aim of making PSET more accessible to and appropriate for people with disability and those from socially, economically or geographically disadvantaged backgrounds, will require a close linkage at all levels between the PSET implementation programs indicated above and program 2.1, Inclusive education.

### **Other cross-cutting issues**

Further steps will need to be taken to reduce the current heavy gender imbalances between low female enrolment in TVET courses for modern areas of the economy and relatively low enrolment of boys in higher education; also the high drop-out rate of women from courses run by private providers

The PSET implementation programs will need to ensure that future provision of skills will help Samoa to manage changes that will be brought about by global warming and other environmental threats and constraints, and contribute to an environmentally-sustainable economy.

### **Requirements for further research, analysis and strategy/policy development**

Further research and strategy development is needed to:

- Tackle the low status of PSET provision other than higher education – although this is a global problem
- Increase the participation in PSET of people with disability. For example, only one provider responded to a question from SQA on this issue, and the answer was negative
- Tackle the gender imbalance in PSET.

## **STRATEGY BRIEF FOR ESP TASKFORCE ON INCLUSIVE EDUCATION**

### **Background**

The values and principles of inclusive education figure prominently in MESC and other policy frameworks. Inclusive education is a multi-faceted concept. MESC policy documents, for example, discuss inclusion as “education for all” – ensuring all students complete primary schooling and proceed through secondary education. Inclusion is also seen as relating to all groups who are vulnerable to exclusion through discrimination or disadvantage (poverty, remoteness, etc.). This is increasingly seen as a broad equity issue – not just ensuring disadvantaged students attend school but also that they participate fully at school and achieve sound education outcomes. The high “at risk” percentages in literacy and numeracy in primary schools suggest that many children attend school but are not participating fully and engaging with learning. This “silent exclusion” might include students who do not attend regularly, are over-age, or have repeated grades. These students, often boys, are at high risk of drop-out, particularly in the secondary years<sup>71</sup>.

A seriously disadvantaged group are disabled students and others categorised as having “special education needs”. Meeting the needs of students with disabilities is a very strong focus of existing and new education policy development on inclusiveness in Samoa. A Special Needs Education Policy (MESC 2006) was introduced focusing on students with disability and those gifted in one or more areas. The Ministry of Women, Community and Social Development produced the Samoa National Policy on Disability (MWCSD 2009). These policies, and progress made in their implementation, are addressed in the substantive new situational analysis published in 2013 and have informed the development of a draft policy (see further discussion below).

In the light of the multi-faceted nature of inclusive education, it will be advisable to have two working groups within the taskforce – one focusing on disability/special needs inclusion at all levels, the other group on the other (non-disabled) disadvantaged groups and their access and equitable participation in ECE, schools and PSET.

### **ESP context**

In the ESP, inclusive education figures most prominently under Goal 2 (Access and opportunities at all levels) and under Goal 4 on policy development. Issues of inequitable access are discussed in the ESP (P25-26) and the Samoa Inclusive Education Demonstration Program (SIEDP) is described (P16) and critiqued (P69). The ESP’s logical progression for addressing inclusive education – from activities through to ESP outcomes and goals – is presented in the two tables below

### **Inclusive education for students living with disability**

#### **Current status and developments**

The Australia-funded Samoa Inclusive Education Demonstration Program (SIEDP) has been running since 2009 and is due to end in June 2017. This program focuses exclusively on disability and works through MESC and two NGOs – Samoa’s Special Needs Education Society (SENESE) and the Loto Taumafai School for the Disabled. It is intended that over time this program will be funded by the sector-wide investment. The SIEDP coordinator is now based in CMAD in MESC with the title of Inclusive Education Adviser. This post is expected to transition from project-funded to an established MESC position in due course.<sup>72</sup>

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<sup>71</sup> The issue of boys under-achieving is addressed in the taskforce brief on literacy and numeracy.

<sup>72</sup> While named Inclusive Education Adviser, it should be noted that this role currently focuses on disability inclusion only.

While clear gains have been made in enrolments and participation, it remains unclear to what extent SIEDP has demonstrated a replicable model for meeting the needs of disabled students. In the absence of clear national policy, finalising an SIEDFP re-design for the coming years has proved difficult. Australia, in line with its Development for All: Towards a disability-inclusive Australian Aid Program 2009–2014, remains highly committed to supporting this area and has supported MESC in taking the vital step to better understanding the overall picture in Samoa through the successful completion of the Samoa Inclusive Education Situational Analysis: Students with Disabilities under MESC in April 2013.

This analysis has provided the foundation for the development of the draft Inclusive Education Policy for Students Living with Disability (IEPSD). The draft was completed in January 2014. Final consultations are underway and launch of the finalised policy is expected in June 2014. The policy includes key activities during ESP required to implement it. Major activities here are highlighted in the second table below. It is planned, for example, to establish an Inclusive Education Coordinating Unit (IECU) under ESCD. Discussion will be needed to determine the breadth of the remit for this unit (i.e. disability or wider inclusion). This unit will need to develop mechanisms to ensure cross-ministry engagement beyond ESP, particularly with MWCSO.

### **Lessons learned**

Recent work on re-designing SIEDP has identified a number of concerns. As well as the lack of analysis of the national situation and a national policy (now both being addressed), there remain concerns over MESC capacity in the longer term to lead on implementation in this complex area involving multiple stakeholders. Strong coordination will be required of the new Inclusive Education Coordinating Unit. Monitoring and evaluation systems will need particular strengthening and long-term technical assistance to build capacity is anticipated.

## **Inclusive education for other disadvantaged students**

### **Current status and developments**

There is no over-arching strategic approach in the key GoS sector agencies to ensuring the needs of the other (not disabled) groups of disadvantaged students are met in terms of access to and full participation in education. There are two major MESC strategies, however, that seek to address these inclusion issues at the school level. These are the linked initiatives of the minimum service standards and the Samoa School Fee Grants scheme (currently at the primary level but expanding to secondary). A forthcoming initiative is the development of new minimum service standards for ECE. These will incorporate inclusiveness principles and requirements. In PSET, major strategies here are the PSET Access Grant and the development of flexible learning pathways. Activities to refine, monitor, expand, and evaluate these critically important initiatives to ensure ESP outputs are achieved are set out in the second table below.

### **Lack of knowledge base**

There is a lack of data and analysis in this area upon which to evaluate present strategies or build policy to guide future developments. There is no robust data and analysis concerning the numbers of students out of school/out of PSET, the reasons why they are excluded, where they are – and, importantly – an analysis of the barriers that exist. The only study available is the qualitative study – A Grounded Theory of Out-of School Children's Hidden Lives in Rural North West Upolu. An important additional activity under ESP will be to fill this knowledge gap (see second table below)

### **Lessons learned**

The primary School Fee Grants Scheme began in 2010 and was externally reviewed in 2012 after two years of implementation. The scheme's underlying aim is to increase primary enrolment and retention and improve school performance against the minimum service standards. The review focused mainly on the efficiency of the grant mechanism. Because of the lack of reliable assessment

data in schools, the review found it was difficult to make robust comments on the impact of the grants on student performance. Significantly, the review discussion does not touch on the impact on enrolment and retention. It remains unclear to what extent the grants scheme is being used by schools to successfully target vulnerable groups. Future MESC monitoring under ESP will involve reviewing national trends in enrolment and retention since the scheme began.

### ESP strategy and outcomes

The ESP strategy and outcomes in relation to inclusive education are in Table 5.1 below

**Table 3j: ESP strategy for inclusive education<sup>73</sup> - output/outcome/goal logic**

Relevant ESP Goals <sup>74</sup>	ESP Goal 2 Enhanced educational access and opportunities at all levels				ESP Goal 4 Improved sector coordination of research, policy and planning development
ESP Sector Outcomes	SO2. At all levels, more students, including those with disabilities, have access to quality educational opportunities				SO4a. A coordinated approach through effective partnerships ensures newly-developed policies contribute to improved quality and access across the sector
ESP Subsector Outcomes	O2.1 More students, including those from disadvantaged and vulnerable backgrounds, enrol and complete early childhood, primary and secondary schooling	O2.2 More students with disabilities enrol and complete their early childhood, primary and secondary schooling	O2.3 More students, including those from disadvantaged backgrounds, enrol and complete PSET	O2.4 More students with disabilities, enrol and complete PSET	
ESP Outputs by 2018	2.1.1 Compulsory education provision in the <i>Education Act 2009</i> reviewed and regulations developed  2.1.2 Minimum service standards (MSS) for primary and secondary fully implemented, monitored and evaluated  2.2.1 School Fee Relief Grants Schemes effectively delivered in all primary and secondary schools  2.2.2 School Fee Relief Grants effectively monitored and reviewed		2.3.1 PSET Access Grant developed, implemented, monitored and evaluated  2.3.2 Effective Career Advisory Service established  2.3.3 Effective process for Recognition of Current Competency established  2.3.4 More flexible PSET Learning Pathways established		4.2.1 Planned new policies (for ECE and school education) developed and implemented <i>N.B. This includes the inclusive education policy for students living with disability (IEPSD)</i>  4.3.1 Planned new PSET-related policies developed and implemented

The approach towards implementing this strategy in terms of planned activities for achieving the intended outputs is contained in the ESP. The taskforce will monitor these activities, outputs and outcomes, consider the outcomes of progress reports, and use this and any other available evidence to help MESC identify any changes needed to the strategy and outcomes in future years to better achieve the intended outcomes.

<sup>73</sup> Excerpt from ESP logical framework

<sup>74</sup> Inclusive education encompasses all five ESP goals, but strategies are set out under Goals 2 and 4.



## **Annex 6: Projects supported by development partners**

### **Education Sector Project II (ESP II)**

ESP II is the second phase of a program providing pooled support from the Governments of Samoa, Australia and New Zealand, the Asian Development Bank (ADB) and civil works supported by the Japan International cooperation Agency (JICA). In 2012, funds were provided for civil works by JICA at the request of the GoS. The goal of ESP II is ‘the establishment of a more equitable and effective education system that enhances learning outcomes of young people for further study, work, and adult life’.

ESP II is a follow up to a number of projects: the 2000–2006 Education Sector Project funded by the ADB and focusing on infrastructure to improve access, educational materials and teacher-training; the 1995–2004 Primary Education Materials Project and the 1999–2004 Institutional Strengthening Project funded by Australia; and the 2001–2004 Samoa Secondary Education Curriculum and Resources Project funded by New Zealand.

ESP II has six components.

1. Curriculum reform and assessment system
2. Developing effective teachers
3. Improving access to quality education
4. Strengthening capacity to undertake research, evaluation, policy analysis and planning
5. Strengthening capacity to implement and manage development projects
6. Enhanced quality of education by delivering the curriculum, assessment, learning materials, teachers training and learning through information and communications technology (ICT) via SchoolNet

The project ends in December 2014. The final year focuses on completing outstanding activities, such as the initial implementation of the NTDF, implementation of the new bilingual primary curriculum, SchoolNet and preparations for the present Education Sector Plan. The ESP II will help the latter through its creation of informal structures for sectoral coordination that are being built on for implementing the Education Sector Plan, and in strengthening M&E. The SchoolNet component of ESP II has been extended by the ADB to December 2015.

### **Samoa Secondary School Fees Grants Scheme (SSFSGS)**

SSFSGS was launched in 2010, with financial and technical support from Australia and New Zealand, to provide grants to primary schools in lieu of school fees. Originally supporting the establishment and implementation of minimum service standards (MSS), its targets are now:

- (a) The reduction of the financial burden of schooling to parents
- (b) Transferring part of the responsibility of school performance to schools through reliable funding of school improvement plans to meet MESC’s MSS.

The program involves a transfer of funding from development partners to MESC’s budget, with DP funding finishing in FY 2014/15.

The secondary scheme was launched in July 2013 to extend SFG to secondary schools, with financial support from New Zealand. The program involves a gradual transfer of funding from development partners to MESC’s budget, with DP funding finishing in FY 2016/17.

## **TVET Support Program**

The TVET Support Program, supported by the Australian Government, began in May 2011 and follows the TVET Roadmap – the outcome of a feasibility study. The program is implemented by the SQA in collaboration with the Ministry of Commerce, Industry and Labour (MCIL), NUS and TVET providers. The main objective of the program is to ‘increase employability of Samoan women and men, including those with disability, by ensuring the employment readiness of TVET graduates in areas of labour demand as measured by student outcomes and levels of employer satisfaction’. The key intended outcomes are:

- A quality assurance scheme for the national system TVET qualifications implemented
- Enhanced TVET training capacity among government and mission TVET providers
- Program for providing access to TVET opportunities by those with disabilities.

The program has been extended to June 2015 under the new TVET Roadmap 2.

## **Samoa Inclusive Education Demonstration Project (SIEDP)**

SIEDP is a five-year project from 2009–2014 with Australian funding to ‘demonstrate a model of service provision for girls and boys with disability for inclusive education which can be replicated and supported by the Government of Samoa in its future program development’. Prior to the five-year program, an Australian-managed pilot had examined means of enabling students with disability to make the transition from primary to secondary school. MESC is now managing this project and the way forward.<sup>75</sup>

The scope of SIEDP includes girls and boys from birth to the end of secondary school. It has a particular focus on inclusion of girls and boys from remote and rural areas<sup>76</sup> in Samoa and across a range of disabilities.

The delivery of this program has been unique with the use of service providers that specialise in working with children with disabilities.

The design encompassed a flexible project approach to aid delivery, allowing for further design development in light of program learning over time. In the first year of implementation (2010), work was carried out in the following areas:

- Support, resources and information for parents, families and communities
- Early intervention and support services
- Teacher support and up-skilling
- Further development of an enabling environment in Samoa for inclusive education
- Ongoing program management and learning.

## **Samoa In-Country Training Program (SICTP)**

The Samoa In-Country Training Program (SICTP), funded by the Governments of New Zealand and Australia, provides high-level practical skills training for the public sector including state corporations, and for the private and non-governmental sectors. Training focuses on enhancing on-the-job performance of the participants and, ultimately, the sectors. The program has been in existence in various forms since 1997 and it aims to provide practical skills training to enhance on-the-job performance of participants. Up until 2006, the SICTP was managed through the Samoa Public Service Commission (PSC), and was then moved to the Oloamanu Professional Development

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<sup>75</sup> Management of the non-government providers is still under contract to the Australian Government. In the long term, MESC should take on full management of this program

<sup>76</sup> Of the total adult (15+) ‘disability population’ of 2,874 Samoans, 83% (2,398 people) live in rural areas. See UNICEF (2006) ‘A Situation Analysis of Children, Women and Youth’, Table 21.

Centre of the NUS. The present funding agreement ends 30 June 2014 and will then be incorporated into wider sector support

### Post-Cyclone Evan Reconstruction Project

The December 2012 Cyclone Evan destroyed school buildings and other physical assets across the education sector. The Australian and New Zealand Governments and other development partners are providing SAT 11 million over two financial years to assist the GoS with the costs of reconstruction.

### School construction projects

There are a number of school construction projects. These include the JICA-funded Primary School Improvement (Grassroots Human Security Projects) and new school buildings for Falevao and Sapapalii Primary Schools. China is funding a number of school construction projects.

### Australia and New Zealand Scholarships

The Governments of Australia, New Zealand and Samoa offer overseas scholarships for Samoan citizens to study at the tertiary level (TVET, undergraduate and postgraduate) at institutions in Australia, New Zealand, and the Pacific region, including Samoa. In 2015, these scholarships were as listed in the table below.

**Table 4: Scholarship awards for Samoa offered by New Zealand and Australia in 2014 for 2015 intake**

Awards offered by:	New Zealand		Australia		Totals
To study in:	New Zealand	Pacific Region	Australia	Pacific Region	
Offered to:					
High achieving NUS students completing Foundation year	25	5	10	15	55
Faculty of Education Foundation students	1	1	1	1	4
Open for general public in the workplace	10	0	9	4	23
NUS staff	2	0	0	0	2
APTC graduates	7	0	0	0	7
NUS technology graduates	0	2	0	0	2
<b>Totals</b>	<b>45</b>	<b>8</b>	<b>20</b>	<b>20</b>	<b>93</b>

Source: Samoa MFAT 2015

As the lead agency under the harmonised process, Samoa MFAT is responsible for award promotion, distributing/receiving applications, vetting applications, applicant short-listing and ranking (in conjunction with Australia DFAT and New Zealand MFAT). Samoa MFAT reports to the Samoa Training and Scholarship Committee that governs the scholarships offered to Samoans. The Secretariat of the Pacific Board for Educational Assessment assesses and ranks candidates for the Open awards. The NUS provides the information for the Foundation year/certificate category.

There have been concerns about a lack of effective targeting and that only 17 awards (6%) were for study in the education sector from 2008–2012, and 45 (15%) for health. In the case of education, this has been largely because of the low quality of applications relative to other sectors. To rectify this, in FY 2014/15, 12 awards were earmarked for each of these two sectors (education and health), rising to 15 each from 2016, initially on a trial basis. MESC will be the agency responsible for coordination of awards for the education sector, through the Education Sector Coordinator.

## Annex 7: Recommendations for SICTP to be an NUS ESP program

### Background

The Samoa In-Country Training Program (SICTP) is expected to provide short-term training courses (one-to-two week) for just under 5,000 people in employment in FY 2013/14. Of these, 3,000 will be from the public sector and the remainder from the private sector and civil society. The training averages 20 trainees per course for the public sector and 13 per course for the private sector and civil society. The overall cost is expected to be SAT 370 per student, of which SAT 280 is direct course costs and SAT 90 for core staffing and other overheads.

The current SICTP activity design document produced in 2012 argues for two years of interim funding – 2013/14 and 2014/15. The document provides the following parts.

The historical and strategic context for the present program, including:

- a. The origin of SICTP in 1993 as a short-term training program for the Samoan public sector, initially funded and managed by New Zealand and later also Australia, providing trainers from these countries and from Samoa
- b. Expansion in 1999–2000 to include the private sector and civil society
- c. Location in the NUS Oloamanu Centre for Professional Development with the creation of this centre in 2006
- d. Local management in 2009 through an SICTP Program Manager reporting to the Oloamanu Centre Director, a Program Accountant and an Administrative Coordinator, all funded together with the program by Australia and New Zealand through the Ministry of Finance
- e. Funding (seen as a temporary measure) for coordinators in the private sector and civil society coordinating agencies: the Chamber of Commerce and Samoa Umbrella Organisation for NGOs (SUNGO) coordinators
- f. 2012 evaluations showing the importance and effectiveness of the training program, but its lack of financial sustainability; the evaluations recommended larger tenders of, and greater use of generic courses (to 65%); linkage to SQA to maintain quality; and consideration of charging student fees as opposed to, at present, just registration costs

Activity description with annexes including:

- g. Objectives and results framework: these do not seem to have a simple logical flow, for example, ‘a public sector of employees that are skilled and providing efficient services for the people of Samoa’ being an outcome contributing to the objective of ‘successfully conducting at least 65% of the training in packaged generic courses’ and the goal of [SICTP] ‘being responsive to the development of Samoa through high quality training to meet HR capacity building priorities’. The results framework also does not appear easy to monitor
- h. 2013–14 budget
- i. 2013–14 annual work plan

Implementation arrangements, including:

- j. Governance arrangements, including overall supervision by the Program Coordination Committee (PCC) chaired by the Vice Chancellor and meeting three times a year
- k. Monitoring and evaluation process and tools, including tracer studies and a four-week SITCP evaluation in March 2014
- l. Reporting system, involving annual reports through the MoF to the funding development partners, management and quarterly and annual financial reports to the PCC and monthly reports to the Director of the Oloamanu Centre
- m. Procurement arrangements through the MoF

- n. Commitment to gender and diversity (noting the need to balance the current female gender bias for the generic courses, and male bias for technical courses)
- o. A surprising statement that environmental and social impacts are 'not applicable'.

## Recommendations

It is recommended that SICTP becomes an activity under the Education Sector Plan.

### **SICTP as an ESP activity:**

#### Timing and general operation

- SICTP should become part of the ESP from July 2014.
- SICTP should continue to operate as at present during FY 2014/15 except as indicated in the recommendations below

#### Role within the ESP

- SICTP should become an additional NUS component of ESP program activity 2.3: PSET Access Measures, to be led by the Oloamanu Centre, contributing to the ESP output of more flexible PSET learning pathways

#### Objectives

SICTP should be seen to be contributing to the following ESP objectives, and monitored against these objectives at the level of the education sector:

- SICTP should contribute to Goal 2 of the ESP, namely 'enhanced educational access and opportunities at all levels'
- SICTP outcomes should include:
  - Access and equity: more students enrolling in and completing the courses, including those from disadvantaged backgrounds and those with disabilities
  - Quality: improved program quality
  - Relevance: increased numbers with knowledge and skills relevant to the Samoa job market
  - Education resources managed efficiently and sustainably.

The goals, outcomes and objectives in the present SICTP results framework should be revised to:

- Have a more logical flow than at present
- Contribute to the above ESP goal and outcomes: for example, the current first SICTP goal supports 3.2.1, 3.2.2 and 3.2.3 above while the second and third SICTP goals support 3.2.4. (There could also be additional objectives not directly linked to the education ESP objectives.)

#### Budgeting and financial management

Funding should continue for 2014–15 at the same level as for 2013–14, except that there should no longer be any funding for the SICTP Sector Coordinators, for capital expenses, for auditing or for the impact study.

From July 2014, procurement should be undertaken by the NUS Finance Department, rather than as before by MoF. The SICTP financial officer should report to, and be seen as an addition to the staff of, the NUS Head of Finance, working within the financial management systems of the university. The accounts should be audited by the NUS internal auditor and by the Auditor General as part of the overall NUS accounts.

#### Monitoring and reporting

Monitoring of the SICTP should include the relevant indicators from the ESP results framework:

The access and equity ESP output 4.2.1 above should include measurement of the following indicators:

- Male and female enrolment rates (which should also be split into rates for the different sectors and for generic and technical courses)
- Number of students identified as from disadvantaged backgrounds
- Number of students with disabilities

The quality ESP output 4.2.2 should (to the extent feasible) include measurement of the following indicators:

- Proportion of students completing the courses
- Courses accepted as providing credits towards internationally recognised qualifications (feeding into the ESP indicator of PSET graduates with internationally recognised qualifications)
- Trainer retention rates (for Samoan Trainers)

The relevance ESP output 4.2.3 should include measurement of the following indicators:

- Increased numbers with knowledge and skills relevant to the Samoan job market
- Reduction in percentage of employers identifying skills shortages.

## **Governance**

University reporting structure and ESP coordination

Meetings of the PCC should continue as long as felt necessary by the members, as means of:

- Securing internal coordination between the SICTP stakeholders
- Providing advice to the Director of the Oloamanu Centre in preparing, with the SICTP Program Manager, a draft of the next year's draft budget and program for approval by the Vice Chancellor's Committee.

The Program Manager should be responsible to the Director of the Oloamanu Centre for the management of the program in accordance with the agreed annual plan and budget.

The Director of the Oloamanu Centre should be responsible to the Vice Chancellor for the overall operation of the SICTP program, ensuring that the Deputy Vice Chancellor (DVC) is briefed on all significant issues through the NUS DVC meetings.

The Vice Chancellor should report on the physical and financial progress at the quarterly meetings of the ESCD. The ESCD should in turn advise the Vice Chancellor on any strategic issues from the viewpoint of the education sector as a whole and its overall policy development and resourcing.

The Deputy Vice Chancellor should represent the SICTP in ESWG discussions on the ESP programs and in preparation for the ESAC.

## **Immediate planning issues**

### Current centre-based staff

The SICTP Program Manager, Administrative Coordinator and Accountant should be taken onto the staff of the Oloamanu Centre on a one-year (or two-year) contract against a corresponding increase in the Oloamanu personnel budget, pending an evaluation of the need for these posts over the longer term. The Accountant should be taken onto the staff of the Finance Department on the same basis.

### Sector Coordinators

The Chamber of Commerce should be informed that SICTP funding for the Sector Coordinator posts will cease on 30 June 2014; and they should be asked to fund these posts from that date

### NUS 2014/15 estimates

The 2014/15 budget estimates for the NUS grant should increase by SAT 1.7 million (on top of other NUS ESP activities) against Implementing Agency Output 11 (Oloamanu Centre) to cover salaries for two staff (SAT 115,000) at the centre and SICTP operating costs, including consultancies. The Finance Department staff complement should increase by one (SICTP Accountant) at a cost of SAT 50,000.

### 2014/15 annual plans and operating budget

The annual plans and operating (i.e. non-personnel) budget for 2014/15 should be the same as for 2013/14 with the exception of the program review, audit costs and capital budget which will not apply in 2014/15.

### Website

The SICTP website should continue but with links to and from the NUS website and be updated. For example, remove the references to Australian and New Zealand funding (other than as part of the historical context).

## **Program review and longer-term plans**

### Program review

The terms of reference of the 2014 impact study and program review should be amended to include an assessment of:

- Whether, and if so to what extent, to introduce user fees, taking into account the likely impact on demand and sustainability
- Long-term SICTP staffing needs (e.g. whether three SICTP staff are needed in the long term)
- Potential for strengthening linkages with SQA, for example in regard to:
  - Recognition of SICTP courses and prior learning towards longer-term qualifications
  - Whether and how to make more use of local trainers, and develop these trainers through ESP program 1.6 (professional development of PSET trainers); and the potential, if any, for making wider use of international trainers outside SICTP
- The social and environmental impact of the courses and the potential for its enhancement, including the feasibility of encouraging more trainees from disadvantaged communities and those with disability
- Means of encouraging more men onto generic courses and women onto technical courses in non-traditional areas
- Proposals for improving the SITCP results framework.

## Annex 8: PFM and procurement assessments

### 1. May 2012 PFM assessment recommendations<sup>77</sup>

The May 2012 PFM assessment commissioned by the then AusAID concluded that the residual risks of channelling Australian aid funds through the GoS and education sector agencies systems would be acceptable if, and only if, the risk mitigation measures recommended below were to be implemented.

#### Pre-conditions for ESSP recommended in the May 2012 PFM assessment

- 1.1 It was recommended that the ESSP design should incorporate a risk mitigation strategy allowing AusAID to reduce sector budget support if GoS education sector implementation were to deviate significantly from the policy priorities and expenditure levels described in the sector plan and incorporated into any funding agreement.
- 1.2 In the case of MESC in Samoa, as first steps, budget holders and purchasing officers should be trained on the importance of separation of duties, (including budget holders decision to purchase and purchasing officers making the purchase using official purchase orders), importance of use of purchase orders as a commitment control and to prevent collusion and fraud, and made aware of the nature of disciplinary actions that will be applied. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.3 The stocktake of arrears (then planned by MoF for first half of 2012) should identify the scale of the problem in each ministry, so that the scale of the arrears issue in MESC in particular can be quantified. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.4 The ACEO Corporate Services and the Principal Internal Auditor in MESC should be given access to Finance One and user access rights allocated according to their position. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.5 AusAID should work closely with the Finance Sector Plan Committee and the MoF PFM Reform Coordinator to monitor progress on the development of the GoS internal audit strategic plan, and ensure that necessary support and technical assistance is provided for capacity building. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.6 A program of sector budget support will take on additional and unacceptable risks without an annual audit of MESC's compliance with legislation and other procedural controls. The Finance Sector Plan Committee should make an assessment of whether the Audit Office will require additional resources to guarantee that MESC will be audited every year. If necessary, AusAID should provide assistance to ensure that MESC is audited every year. If this is not achievable, the education sector policy support program design should consider including a requirement in the funding agreement for the appointment of an independent external auditor to audit MESC each year.
- 1.7 The design for the education sector policy support program should consider including a requirement that MESC, SQA and NUS table with the ESPSP steering committee their audited financial statements, as well as the findings of the annual audits, including the management

<sup>77</sup> Assessment of the Education Sector's Public Financial Management Systems, Samoa, May 2012



letter and the management response, at the next steering committee meeting after these documents become available.

**Steps recommended in the May 2012 PFM assessment for the first year of budget support**

- 1.8 All operating and procedure manuals should be brought up to date and/or completed, and include a reference to the relevant authority and provisions of the *PFM Act* or Treasury instructions that they support. The Finance Sector Plan should be amended to incorporate this task, and the Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee. If necessary AusAID should fund technical assistance to support this work
- 1.9 The NUS Financial Policies and Procedures Manual 2011 should be rewritten to ensure that it covers all aspects of financial management and control, including procurement, with sufficient level of detail and cross-referencing to higher-level legislation as to make it useful for internal control and accountability. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.10 The status of the SQA Financial Policies and Procedures Manual should be clarified to make it clear what authority it is issued under. The Manual should be rewritten to make it clear when its provisions apply, and when provisions of the *PFM Act* or instructions apply, and to ensure that it covers all aspects of financial management and control, including procurement, with sufficient level of detail and cross-referencing to higher-level legislation as to make it useful for internal control and accountability. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.11 The Audit Office should be requested to carry out a compliance audit in MESC on this aspect of internal control. (This was to take place in 2012. See also the recommendations below in the section on External Audit). The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.12 All internal auditors across the GoS and Audit Office auditors should be given general training on Finance One, and specialised training on how to use the audit features of Finance One. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.13 The AusAID Post should employ or retain sufficient expertise to monitor progress against sector plans and education outcomes, and to monitor and analyse financial reports and financial statements provided by the sector coordination unit, the sector agencies, the MoF and the Audit Office.
- 1.14 All CEOs should be educated on their responsibilities under the *PFM Act* for effective internal controls and effective internal audit; Audit Office reports should be copied to the relevant portfolio minister, the Minister of Finance, and the Public Service Commission. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.15 The MoF should review the legislative framework as it relates to responsibilities for maintaining internal control systems, an internal audit function, and audit committees for public bodies, and if necessary, make the necessary amendments. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.

### **Steps recommended in the May 2012 PFM assessment for the second year of budget support**

- 1.16 All annual reports for education sector agencies should be brought up to date prior to the commencement of any education sector budget support program. The MoF Budget Division should also work closely with PSC to build capacity and improve compliance with the legal requirements for annual reports, and should seek technical assistance if necessary. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.17 The SQA and NUS should modify the format of their audited financial statements to include a supplementary report detailing actual expenditure by output against the original and revised estimates. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.
- 1.18 Formats for approved estimates should be revised to include a column for prior year's actual; and the format for the public accounts should be revised to include a column to allow a comparison of actual expenditure against both original estimates and revised estimates. The Finance Sector Plan Committee should oversee this work, and the PFM Reform Coordinator should report regularly on progress to the ESP Steering Committee.

### **Other ongoing requirements recommended in the May 2012 PFM assessment**

- 1.19 The Australian High Commission is to monitor positions of key officials/advisers to the Finance Sector Plan, liaise with the GoS and other DPs to ensure that key vacancies are funded and filled promptly to ensure continuity to implementation of the Finance Sector Plan.
- 1.20 The Education Sector Coordination Unit will need to develop quarterly reporting formats that consolidate reporting from the MESC, NUS and SQA budget comparison reports or other systems.

## **2. May 2012 Procurement assessment recommendations<sup>78</sup>**

### **(a) National level: Legal framework**

- 2.1 Issue revised Treasury Instructions (TIs) (which are required also to make the Procurement Guidelines and Procurement Manual enforceable)
- 2.2 Revise these Guidelines to make them consistent with TIs
- 2.3 Revise Standard Bidding Documents (SBDs) to make them consistent with TIs and Guidelines
- 2.4 If the above revisions are not achieved before the start of ESPSP, the ESPSP will need to adopt a procedure for procurement and it is recommended to base this procedure on the proposed national legal framework, including any equivalent measures as recommended in Section 13.8 of this report

### **(b) National level: Strengthening MoF Procurement Division (during course of ESSP)**

- 2.5 Fill the remaining personnel positions in the MoF Procurement Division
- 2.6 Continue DP support to the MoF Procurement Division in order to:
  - (i) build its capacity

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<sup>78</sup> Assessment of the Education Sector's Public Procurement Systems, Samoa – Final Report, Kendall C and Partners, May 2012

- (ii) strengthen the quality of procurement systems across the GoS through standardisation
  - (iii) improve transparency
  - (iv) monitor compliance
- 2.7 DP assistance to develop and implement a detailed Procurement Reform Strategy resulting from the national MAPS exercise, including a National Capacity Development Plan for both public procuring entity practitioners and private sector suppliers
- 2.8 DP support to enable the GoS to adopt additional reform measures in order to rectify other deficiencies highlighted by the national MAPS exercise .

**(c) Strengthening the National External Audit Office (during course of ESSP)**

- 2.9 DP support to implement the reform program of the External Audit Office

The above measures (around AUD 1 million) should be managed and funded through the existing GoS PFM Reform Plan arrangements and supported by DP under existing funding arrangements for PFM reform. While the revision of the legal framework and preparation of a Procurement Reform Strategy should be achieved in the short term, other interventions including the strengthening of the MoF Procurement Division and the development and implementation of a National Capacity Development Plan will be achieved over the long term i.e. 3-4 years. It will be important that the required improvements are made in a pace they can be absorbed and sustained by the GoS.

**(d) Institutional level: Legal**

- 2.9 The NUS and SQA should revise their respective Financial Policies and Procedures Manuals taking into account the recommendations contained in this report
- 2.10 For the purpose of procurement under the proposed SWAp, it should be mandatory for NUS and SQA to use the national procurement legal framework or, in case of delays in revising and rolling out the revised national legal framework, the procedures adopted for the SWAp

**(e) Other institutional level**

- 2.11 Creation of the Education Sector Coordination Division (ESCD) within MESC for ESPSP (including a Procurement Unit within ESCD to advise on (i.e. provide a pool of procurement expertise available to all ESPSP entities) and monitor and document procurement processes under ESPSP for all ESPSP entities such as MESC, NUS, SQA etc.)
- 2.12 Centralisation of all MESC procurement into the MESC Corporate Services Division (CSD) with the exception of ESPII as it will end in 2012
- 2.13 Streamlining of the requisition process within NUS and SQA
- 2.14 Extensive and long-term procurement capacity building for key procuring entities in the education sector including MESC CSD, SQA, NUS, the SSFGS TOC and School Committees and Principals etc.
- 2.15 Technical assistance for all key agencies across the entire education sector consisting of a team of (3) international procurement specialists to be located in the ESCD Procurement Unit. The team would assist MESC, NUS, SQA and other education sector agencies by:
- providing procurement capacity building and on-the-job training
  - providing advice in carrying out procurement
  - improving procurement record keeping with a more structured filing system
  - assisting in centralising the MESC procurement function and improving supply chain management operations

- assisting in streamlining the procurement processes of NUS, SQA etc. Upon completion of ESPII, it should also be considered to assign some of the present procurement staff of the ESPII Assets Management Unit to the team of advisers and/or CSD as they have several years of procurement experience and this expertise should not be lost.
- 2.16 Strengthening of the internal audit functions in terms of staff numbers and skills development, including the ability to carry out procurement audits
- 2.17 Further empowering of both internal audit and the SSFGS TOC by MESC Executive through: (i) the creation of an Education Sector Audit Committee including members from various entity executives and (ii) such committee acting upon/ enforcing both the internal audit and SSFGS TOC findings/ recommendations
- 2.18 Strengthening the resources of the AusAID Post to monitor procurement processes and contract administration, including review and analysis of procurement related reports and audits. In addition, follow-up on issues of non-compliance, fraud and corruption etc. and ensure education sector entities enforce compliance with existing GoS policies
- 2.19 DP should conduct regular annual post-procurement audits, to be carried out by a procurement specialist firm throughout the life of ESPSP, so as to determine that GoS systems are being complied with, and procurement under ESPSP is being conducted in an effective, efficient, transparent and accountable manner
- 2.20 Provision that DPs will not fund procurements in cases of misprocurement, and evidenced cases of fraud and corruption

The cost of these long-term interventions was estimated to be around AUD 1 million annually. The details were to be worked out as part of the Capacity Development and Implementation Plan.

### **3. October 2013 PFM and procurement assessment recommendations**

#### **(a) Risks to be addressed prior to commencement of the ESSP in July 2014**

##### **Regulatory framework**

- 3.1 An assessment of the GoS procurement framework and systems needs to be completed. Under the leadership of the MoF, the assessment of the GoS procurement systems has been completed. The MoF contracted a consultant to work with the MoF Procurement Division to carry out the assessment using a recognised methodology, the Methodology for the Assessment of Procurement Systems, (MAPS). However, at the time of the design mission in October 2013, the findings of the MAPS assessment had not been validated and a final report had not been produced.
- 3.2 As recommended in the May 2012 PFM assessment, updated Treasury Instructions are now in place, except for Part K on Procurement. A revised Part K has been completed, and as at October 2013, was awaiting final approval by the MoF CEO. The MoF will then be able to publish the full revised TIs, including Part K, on the MoF website, and will be able to use Part K as the basis for capacity building in procurement in key sector ministries, including the education sector implementing agencies.
- 3.3 Standard Bidding Documents, Request for Quote and Contracts have been finalised by MoF and as at October 2013, are awaiting final approval by the Attorney General's office.
- 3.4 When the Treasury Instructions and Bidding Documents are formally approved and adopted, the Financial Procedures and Policy Manuals in SQA and NUS then need to be brought into line with the revised regulatory framework.
- 3.5 Formal approval and adoption of the TIs and Bidding Documents will also then allow the MoF Procurement Division to develop and deliver a procurement training program to line ministries

(including their internal auditors) on the revised procurement regulatory framework. There is an urgent need for training of SQA, NUS and MESC officials on the new Part K and the Standard Bidding Documents, especially where they support the procurement of consulting services expected under ESP.

#### **Audit**

- 3.6 Fill audit position in SQA.
- 3.7 Internal audit adviser in the MoF Internal Audit Division to support implementation of the Internal Audit Strategic Plan, functioning Internal Audit Forum, and participation of MESC, NUS and SQA internal auditors in the forum.

#### **ESP Coordination Secretariat**

- 3.8 The Education Sector Coordination Division established in MESC will need to have key positions filled for Coordinator, Planning/Budgeting & Finance, M&E, and Procurement Advisory Support. Procurement Advisory Support will need to coordinate implementation of other procurement risk mitigation measures across the corporate service units of the three Internal Auditors. If implemented as reflected in the organogram in section 6.2.1 of the ESP, the key functions recommended in the procurement assessment will have been addressed. However, the ESWG and the Sector Coordination Division of MESC will need to work with the PSC and MoF to ensure that these positions can indeed be established and funded.
- 3.9 Need for urgent filling of the Budgeting and Finance position in the Sector Coordination Directorate, with a major urgent task to update the MTEF and help SQA, MESC and NUS to complete their December version of the MoF forward estimate templates. A short-term consultancy will need to be secured to support this work.

#### **(b) Risks to be addressed during the course of the ESSP**

##### **Procurement**

- 3.10 Professionalisation of procurement cadre – there is a need for an NUS or USP course on procurement to support the professionalisation of procurement across the GoS. The MoF has held preliminary discussions with USP who are considering offering a CIPS-based course
- 3.11 The SSFGS Operations Manual also needs to be made consistent with the new procurement regulatory framework
- 3.12 There is currently no centralised database on procurements in MESC. Records dealing with procurements are spread across various divisions of MESC. MESC CSSD should maintain a central database of procurements
- 3.13 In NUS, there is a need to clearly separate the roles of procurement and payment. Financial procedures should make clear that the official authorising the purchase cannot also authorise the payment
- 3.14 MESC – Poor supply chain management needs to be addressed. There is no inventory control and this results in over-ordering, poor warehousing contaminating goods. In 2013, ordering of school stationery is now better tuned to needs, but warehousing is still an issue, and there is no inventory control system
- 3.15 Lack of follow-up on audit recommendations means that needed procurement improvements are not being realised. Currently internal audit recommendations are tending to be ignored.

## Remaining PFM risks

- 3.16 Financial reporting formats for SQA and NUS need to be supplemented. They need to produce budget comparison data, in addition to normal statements of revenue and expenditure by natural account. The budget comparison reports will need to be structured by output (i.e. those outputs reflected in the approved estimates), and distinguish between GoS funding and ESSP funding within each output. Within each output, the ESSP-funded expenditure should separate ESP programs to facilitate preparation of sector-wide reporting by the Sector Coordination Division in MESC. Budgets should be similarly cast. (This could be achieved using the MoF sector template that is currently in use by the water sector)
- 3.17 Financial reporting formats for MESC using Finance One should use the “Management Unit” field within each output to distinguish between each of the ESP programs funded by ESSP. This will facilitate preparation of sector-wide reporting by the Sector Coordination Division. Budgets should be similarly cast. (This could also be achieved using the MoF sector template that is currently in use by the water sector)
- 3.18 The MESC ACEO Corporate Services needs to be connected to the MoF Finance One FMIS

## 4. Action taken to date on the October 2013 recommendations

- 4.1 MAPs validation (see 3.1 above): workshop conducted 14 February 2014, and a final report was submitted to MoF and GoS in May 2014
- 4.2 Approval and publication of Part K of Treasury Instructions (see 3.2 above): Part K was endorsed by the MoF on 4 November 2013 and published on the MoF website. Cabinet endorsed the full Treasury Instructions 2013 document in August 2013, and training commenced January 2014 to promote awareness and understanding across government in favour of a higher standard of compliance.
- 4.3 Attorney General finalises and approves revised Service Bidding Documents, RFQ and General Conditions of Contract (see 3.3 above): The Attorney General has cleared the templates for minor works, goods and services and the General Conditions of Contract; the templates for major works are still awaiting clearance.
- 4.4 Bring Financial Procedures and Policy Manuals in SQA and NUS into line with the revised regulatory framework (see 3.4 above). In April 2015 it was confirmed that NUS and SQA have both updated their Financial Procedures and Policy Manuals to reflect the revised regulatory framework, and have had these approved by their respective Council and Board, and in the case of SQA, also by Cabinet
- 4.5 Procurement training program delivered across all government agencies and including to internal auditors (see 3.5 above): Procurement training for the whole of government on the minor works, good and services templates took place in March 2014. Further procurement training took place in March 2015, with another round scheduled in May 2015. However, sector coordinators and internal auditors (in other sectors besides education) do not seem to have been made aware of this training. MoF need to make greater efforts to ensure that sector coordination staff and internal auditors are included in these training arrangements, and not just the line ministry corporate services divisions.
- 4.6 Fill internal auditor position in SQA (see 3.6 above): The SQA internal audit position was advertised early in 2014, but received only one applicant. The job description, salary and selection criteria were revised, and the position has now been filled (as at April 2015). It is

understood however that the SQA internal auditor is reporting to the ACEO Corporate Services, rather than to the CEO. This should be reviewed by SQA as soon as possible, as this arrangement compromises the independence and effectiveness of the internal auditor.

- 4.7 In April 2015 it was confirmed that the MESC Internal Auditor has been allowed to go on full time study leave and on full pay. This means that the position is still occupied and cannot be filled by a temporary occupant. MESC will need to work with PSC and the MoF Internal Audit Division to find a creative solution to this situation. The lack of an internal auditor in MESC presents an unacceptable risk for the commencement of ESP.
- 4.8 Internal audit adviser in MoF Internal Audit Division supporting implementation of the Internal Audit Strategic Plan and participation of MESC, NUS and SQA internal auditors in a functioning Internal Audit Forum (see 3.7 above): The MoF has developed an Internal Audit Manual and Practice Guide based on international standards to support the Internal Audit Strategic Plan 2012–2016, and the Internal Audit Forum is also functioning.
- 4.9 ESCD Budgeting and Finance position filled (see 3.8 and 3.9 above): The ESCD has now filled the Finance and Budget Officer. However, the position was filled late, and the occupant was on extended sick leave at the time of the April 2015 update of the MTEF. This emphasises the need for technical assistance to help the new occupant take on this new role.

## Annex 9: Update on pre-conditions as of July 2015

EDUCATION PRE-CONDITIONS	INDICATORS	STATUS/PROGRESS/ISSUES	SUPPORT REQUIRED OR NOT – TYPE OF SUPPORT REQUIRED IF ANSWER IS YES	ACTIONS REQUIRED BY WHO AND WHEN?
1. A fully appraised and coherent sector plan.	a. A logical framework linking the activity programs to sector outcomes and goals. b. A performance assessment framework.	Both are in place – ESP was jointly appraised by GoS – MoF, DFAT and NZ MFAT. Endorsed by ESAC and subsequently GoS cabinet, before it was launched in January 2014.	No	
2. Sector governance and implementation structures in place.	a. Annual review has assessed progress on ESP implementation  b. ESWG is meeting on at least a quarterly basis, and circulated to ESAC members at least 2 weeks before the January meeting suggestions for priorities for implementation in coming year and any adjustments to the ESP arising from the annual review  c. ESAC is meeting on a quarterly basis, and January meeting provides the guidance needed to enable the sector MTEF to be updated.  d. All agreed taskforces meeting or scheduled to meet	a. Annual review held in December 2014  b. ESWG meetings held monthly, or more frequently when required (e.g. during preparation for Annual Review). Reports developed by ESWG have been circulated to ESAC. Feedback and adjustments to ESP will be incorporated the Annual Review Report and circulated to ESAC members in early 2015.  c. ESAC has had four meetings since launch of the ESP. Updates to the MTEF were supported by TA in April 2015, and this will likely be required again in February 2016.  d. ECCE Task Force now in place and meets monthly – ECE subcommittees have also been developed.  Taskforces for Teachers, Literacy and	a. No (TA support - Ian Collingwood- was provided in Nov 2014 to support this task.)  b. No  c. TA support will be required again to update the MTEF in February 2016 and subsequent years.  TA support will also be required to help establish procedures for quarterly	b. Education Sector to finalise draft Annual Review Report for circulation.



		Numeracy, IE and PSET have Terms of Reference in place. Meetings are yet to be held and will take place over the next quarter. Taskforces for ICT, Finance and Procurement are currently developing it Tors.	financial reporting d. No	d. Education sector to coordinate and establish remaining Task Forces by end of Q4 2014/15.
3. A risk matrix including risk analysis and appropriate mitigation strategies for PFM and procurement risks.		In place and has been updated regularly by technical expert. Responsibility for updating the matrix and reporting quarterly to the ESAC will need to be taken on by the ACEO of ESCD with support from the PEO M&E. This was recently updated by ESCD in June 2015.		ESCD required to maintain updating of Risk Matrix on a quarterly basis.
4. Sector Internal Audit arrangements fully in place	<p>a. MESC, SQA and NUS internal auditors in place.</p> <p>b. Internal audit adviser in MoF Internal Audit Department supporting implementation of the Internal Audit Strategic Plan.</p> <p>c. Functioning Internal Audit Forum and participation of MESC, NUS and SQA internal auditors in the forum.</p>	<p>a. SQA and NUS IA in place. However, the MESC Internal Auditor position is on full time study leave, and has not yet been replaced.</p> <p>b. In progress - MESC and MOF have now started working together to support the implementation of the Internal Audit Strategic Plan</p> <p>c. Forum for Internal Auditors in place and attended by MESC and NUS IAs.</p>		a. MESC needs to work urgently with PSC and MoF Internal Audit Division to ensure that an experienced internal auditor is in place for commencement of ESP, and that a risk based audit plan covering ESP is also in place
5. Procurement guidelines and training fully in place	a. Completed and validated MAPS assessment of procurement regulatory framework and capacity MoF CEO approves and publishes part K of Treasury instructions and its publication on the MoF website	a. MAPS assessment completed, part K of Treasury Instructions completed with associated training.		

	<p>b. Attorney General has approved revised Standard Bidding Document, Request for Quote and contracts</p> <p>c. MoF procurement division developed and delivering training program across MESC, SQA and NUS and including to internal auditors</p> <p>d. Updated NUS and SQA Financial Policies and Procedures Manuals to be in line with revised Treasury instructions, including new part K</p>	<p>b. Completed</p> <p>c. In progress. Some training has been delivered, but ESCD Procurement PEO and the MESC internal auditor have not participated.</p> <p>d. Completed</p>		<p>c. There will be further MoF led procurement training in May 2015. Training needs of the ESCD PEO Procurement should be reassessed by the ESCD ACEO in June/July 2015</p>
6. ESP costing included in the estimates for MESC, SQA and NUS	a. Costing to be included by ESCD in estimates submitted to MoF by April prior to SBS - based on consolidated annual management plans in accordance with the MTEF (as verified by the ESWG)	a. Partially completed – MTEF based Estimates submitted to MoF in April 2015 for inclusion in budget. This has been further updated as of 30 June. Another update of the MTEF can be carried out in February 2016 in preparation for the submission of the 2016/17 Estimates in subsequent years.	a. A further round of technical assistance may be required in February 2016 to support the ESCD PEO Budget and Finance in updating the MTEF and submission of the 2016/17 Estimates	a. ESCD ACEO and the PEO Budget and Finance
7. MTEF updated in line with MoF requirements	a. MTEF updated based on the annual review, submitted to ESWG, approved by ESAC in place as a basis for budget estimates by February prior to SBS	a. MTEF updated in February 2015, and needs to to be updated again in May/June 2015. In February of each subsequent year it should be updated again.	a. YES - TA support needed to update MTEF.	
8. Fully staffed and operational Education Sector Coordination Division and MESC	<p>The following are in place:</p> <p>a. Sector Coordinator (ACEO)</p> <p>b. Principal Education Officer</p>	<p>The following positions are in place as at July 2015:</p> <ul style="list-style-type: none"> <li>The Sector Coordinator position. In place as</li> </ul>	Long Term TA required to support Sector meet its quality reporting and monitoring requirements	Education Sector currently recruiting remaining positions. ESCD looking at options on how to deal

ACEO Corporate Services Division	<p>(PEO) Sectoral budgeting and finance</p> <p>c. PEO Sectoral Monitoring and Evaluation</p> <p>d. PEO Policy and Planning</p> <p>e. PEO Sectoral reporting, communications and advocacy</p> <p>f. PEO Procurement and contract management support</p>	<p>of 20 April 2015.</p> <ul style="list-style-type: none"> <li>• PEO Sectoral M &amp; E.</li> </ul> <p>The following positions are currently being recruited. With interviews commencing Friday 24 July.</p> <ul style="list-style-type: none"> <li>• PEO Policy and Planning</li> <li>• PEO Sectoral Reporting, Communications and Advocacy.</li> </ul> <p>The following positions have currently been advertised in the Public Service Circular:</p> <ul style="list-style-type: none"> <li>• PEO Sectoral Budgeting and Finance</li> <li>• PEO Sectoral Procurement and Contracts Principal</li> </ul> <p>It is hoped that these positions will be in place by August 2015.</p>	<p>for GOS and DPs and to help mitigate capacity risks.</p>	<p>with long term absences with PSC and MESC.</p>
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## Annex 10: Alignment between ESP/ESSP and PESDA

This table shows the alignment between the ESP/ESSP in Samoa and Australia aid's overall Pacific Education and Skills Development Agenda (PESDA).

PESDA	ESP/ESSP
<b>Performance Targets and Indicators</b>	
Improved enrolment and completion rates in basic, secondary and post-secondary education <i>Indicators:</i> Net enrolment rates and completion rates	<b>ESP Goal 2</b> (Access) performance targets cover improved enrolment and completion rates in basic, secondary and post-secondary education, using net enrolment rate and completion rate targets
Improved learning outcomes <i>Indicators:</i> Improved literacy and numeracy rates for primary school children	<b>ESP Goal 1</b> (Quality) sector outcome is 'Improved learning outcomes at all levels', with targets focusing on improved literacy, numeracy and recognised PSET qualifications
Increased employability <i>Indicators:</i> Increased numbers of young people with regionally accepted and/or internationally recognised qualifications	<b>ESP Goal 3</b> sector outcome is 'Improved employability of school leavers as a result of education and training responding to national economic, social and cultural needs' with targets including percentage of PSET graduates finding employment. <b>Goal 1</b> has indicators in 'Increased numbers of young people with regionally accepted and/or internationally recognised qualifications'
<b>Priority Interventions (a) Access</b>	
Reduce financial and social barriers to basic education	Provision of school fee relief grants and program focusing on inclusion of disadvantaged students
Upgrade existing school facilities	Strengthened coordination of infrastructure improvement and developing standards
Strengthen pathways between secondary school and post-secondary professional, technical and vocational education and training and between post-secondary providers.	Developing policy for TVET in schools, developing new PSET programs better linked to the labour market and recognising existing competencies, and introduction of more flexible learning pathways
<b>Priority Interventions (b) Quality</b>	
Strengthen early childhood education	Program establishing a policy for strengthening early childhood education
Ensure that schools and teacher training institutions are staffed with sufficient numbers of motivated and competent teachers/trainers	ESP supports ongoing National Teacher Development Framework including improved working conditions. Program to upgrade teacher training skills
Establish high quality, evidence-based teacher professional development programs	Teacher professional development is a key part of the National Teacher Development Framework
Ensure schools have access to high quality curriculum materials and assessment tools that strengthen learning in the early years	ESP is supporting curriculum development and evaluation, and development of assessment tools, focusing on strengthening early years learning
Develop and implement robust language policies	ESP is evaluating and strengthening the bilingual primary education policy
Strengthen school and institution autonomy and accountability, and introduce minimum service and learning outcome standards for schools and grants as a means of supporting these standards	School and PSET autonomy and accountability will be strengthened by the ESP through minimum service standards, backed by the school fee-relief grants and PSET access grants
Strengthen leadership and management, and management systems and tools, at the school, regional and national levels for general education and skills development	Leadership and management at school and PSET levels will be covered through the ESP professional development courses and at national levels by the management training ESP programs. (There is no regional level of leadership and management.)
<b>Priority Interventions - Skills/Qualifications</b>	
Strengthen a wide range of viable local training providers, both public and private, urban and rural, to ensure they are able to flexibly provide recognised	ESP focuses on these areas of PSET via support to a TVET Roadmap

skills and qualifications that are in demand and valued in the national, regional and international labour markets	
Ensure that post-secondary skills development opportunities, both locally and in the region, are accessible to women, people with disabilities and those living in rural areas and on outer islands	The ESP program 'Inclusive education at all levels' focuses on these issues
Consolidate and extend the role of industry as a critical partner in developing, delivering and monitoring the quality of regional and national training provision	Industry will play a key role in the ESP program developing national programs relevant to the Samoa economy, including the use of employer satisfaction surveys
<b>Implementation Strategies</b>	
Partnerships	The DP-GoS partnerships, especially those involving Australia and New Zealand, play a key role in the ESP coordination framework, and in the policy-level deliberations fostered by the Policy-based Incentive Fund
Strengthening regional institutions	The Australia–Pacific Technical Centre is an example of a regional institution that will participate in and be strengthened by the ESP
Strengthening accountability for service delivery and outcomes	ESSP will strengthen the use of output-based budgeting, M&E, auditing and reporting systems
Promoting evidence-based decision-making	One of the programs focuses on knowledge-based decision making, supporting policy research and analysis
<b>New Ways of Working</b>	
The Pacific Partnerships for Development	ESSP and ESP link with experience in other Pacific countries
Promoting sustainable programs and making long-term commitments which are "on policy" and "on budget"	The ESSP is working through government ESP programs that are therefore in line with established government policies, form part of the sector budget and are designed with a view to sustainability
Drawing on global best practice on institutional reform and capacity development	Use of international consultancy report and international research
Partnering with private sector firms and industry associations on skills development	The development of PSET will involve apprenticeships and other means of partnering with private sector firms and industry
Performance incentives as a cornerstone of the aid relationship	ESSP includes a Policy-based Incentive Fund
In-house technical and advisory support	Design, monitoring and review of ESSP will make use of in-house technical and advisory support