

TOOL 4.2 CHECKLIST

ECE IMPLEMENTATION FEASIBILITY AND CAPACITY APPRAISAL FOR THE ESP

Checklist: Appraisal, Alignment and Feasibility for ECE Components in the ESP, ESP Results Framework and Operational Plan

This checklist builds on and is adapted from the [MOOC Module 5, Pre-Primary Subsector Analysis Tool](#), and IIEP-UNESCO and GPE's [Guidelines for ESP Appraisal](#) to support ECE TWGs as they appraise:

- ESA ECE Section(s)' Alignment with ESP's ECE Components
- ESP's ECE Components' Internal Coherence, Alignment and Feasibility
- ESP's ECE Components' Alignment with ESP's Education Sector Priorities

How to use the checklist: Read each question and select the most relevant answer. Provide a rationale for your answer.

| ECE Appraisal and Alignment Checklist Item | Yes/Somewhat/No | Rationale | If Somewhat or No, refer to the following Toolkit Section(s)/Tool(s) |
|---|-----------------|-----------|---|
| 1. Alignment of ECE priorities and strategies with ESA data and evidence | | | |
| 1.1 Are the ECE strategies based on the evidence and data from the ESA? | | | <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.4 Checklist: Review and Strengthen the ECE Section(s) of the Education Sector Analysis (ESA) Report</p> <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> |
| 1.2 Do the ECE strategies respond to the underlying subsector challenges identified in the ESA? | | | <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> |

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|--|-----------------|-----------|--|
| 1.3 Are the ECE strategies responsive to the crosscutting programmatic needs identified in the ESA (i.e. inclusion, gender, crisis, advocacy)? | | | <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> <p>SECTION 2 TOOL 2.4 Checklist: Review and Strengthen the ECE Section(s) of the Education Sector Analysis (ESA) Report</p> <p>Cross-cutting considerations across all toolkit sections.</p> |
| 2. Soundness, relevance and responsiveness of ECE strategies in the ESP | | | |
| 2.1 Does the plan include the different types of provision to maximize resources for and coverage of pre-primary services—for example, private provision and provision by civil society? | | | <p>SECTION 1 TOOL 1.2 Conceptual framework: Build to Last: A framework in support of universal quality pre-primary education</p> <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> |
| 2.2 Does the plan account for potential differences between regions or districts by directing more resources where they are needed most? | | | <p>SECTION 1 TOOL 1.2 Conceptual framework: Build to Last: A framework in support of universal quality pre-primary education</p> <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.3 List of Core ECE Cost and Financing Indicators and Variants</p> <p>Cross-cutting considerations across all toolkit sections.</p> |

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|--|-----------------|-----------|---|
| <p>2.3 Does the plan account for additional needs of the most marginalized or disadvantaged groups, such as special educational support, populations affected by crisis, gender equity considerations, language support or other?</p> <p>Note: Disadvantaged, marginalized and vulnerable young children and families are those that are socially and/or economically excluded in their communities due to vulnerability characteristics such as gender, geographic location (i.e. remoteness), disability status, orphanhood status, household wealth, household arrangements such as single headed households, being from a minority group (i.e. ethnic or linguistic minorities), and/or affected by conflict and crisis (i.e. migrants, immigrants, internally displaced persons, or refugees).</p> | | | <p>SECTION 1 TOOL 1.2 Conceptual framework: Build to Last: A framework in support of universal quality pre-primary education</p> <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> <p>Cross-cutting considerations across all toolkit sections.</p> |
| <p>2.4 Does the plan include a range of ECE service providers (e.g., government public servants, assistant teachers, community-based volunteers not on the government payroll) working in the subsector? And take into account the technical, financial, and professional development/capacity building supports needed to ensure there is adequate technical and financial capacity?</p> | | | <p>SECTION 1 TOOL 1.2 Conceptual framework: Build to Last: A framework in support of universal quality pre-primary education</p> <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> <p>SECTION 2 TOOL 2.3 List of Core ECE Cost and Financing Indicators and Variants</p> <p>“Rapid” ESP ECE implementation capacity assessment (please see below).</p> |
| <p>2.5 Do the ECE strategies in the ESP account for a stakeholder analysis of all ECE and related planning, management, implementation (i.e. service provider) stakeholders with clearly defined roles and responsibilities across all levels of the education system (national to ECE service provider/school level)?</p> | | | <p>SECTION 1 TOOL 1.3 Worksheet on Defining ‘Pre-primary’ or ‘Early childhood’ Education in Your Context</p> <p>SECTION 1 TOOL 1.4 Tip Sheet: Strategic Ideas for Establishing the ECE Technical Working Group</p> <p>“Rapid” ESP ECE implementation capacity assessment (please see below).</p> |

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|---|-----------------|-----------|---|
| <p>2.6 Do the ECE strategies in the ESP account for multisectoral opportunities for making clear linkages with other sectors such as health, nutrition, and child and social protection?</p> | | | <p>SECTION 1 TOOL 1.3 Worksheet on Defining ‘Pre-primary’ or ‘Early childhood’ Education in Your Context</p> <p>SECTION 1 TOOL 1.4 Tip Sheet: Strategic Ideas for Establishing the ECE Technical Working Group</p> <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> |
| <p>2.7 If your context has decentralized governance arrangements: are there arrangements for documenting inter-country responsiveness to national ECE strategies and how these are operationalized at various systems’ levels?</p> | | | <p>N/A</p> |
| <p>2.8 Is there an understanding of demand for the strategies and related services and the need or demand for these strategies (e.g. actual demand) and related services to be strengthened? Is the demand reported in the ESA or from other sources?</p> | | | <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> <p>SECTION 2 TOOL 2.4 Checklist: Review and Strengthen the ECE Section(s) of the Education Sector Analysis (ESA) Report</p> |

| ECE Appraisal and Alignment Checklist Item | Yes/Somewhat/No | Rationale | If Somewhat or No, refer to the following Toolkit Section(s)/Tool(s) |
|---|-----------------|-----------|---|
| 3. Internal Consistency, Alignment and Feasibility of ECE Components Across the ESP, ESP Results Framework, and Operational Plan(s) | | | |
| ECE strategies, activities, indicators and targets | | | |
| 3.1 Have the ECE strategies been prioritized and validated, including assessing initial feasibility, through a participatory and consultative process (and in contexts with varying governance levels, across systems' levels)? | | | <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> |
| 3.2 Are activities linked to specific ECE strategies? | | | <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> <p>SECTION 4 TOOL 4.1 Recommendations: Ensuring Strong ECE Components in the Operational Plan</p> |
| 3.3 Are the ECE strategies and activities coherent and compatible with one another – do the activities lead to achieving the strategy in an efficient manner? | | | <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> <p>SECTION 4 TOOL 4.1 Recommendations: Ensuring Strong ECE Components in the Operational Plan</p> |
| 3.4 Have indicators and targets been selected using specified criteria and considerations for defining ECE indicators and setting targets? | | | <p>SECTION 3 TOOL 3.2 Criteria, Recommendations and Checklists: Defining ECE Indicators and Target Setting</p> <p>SECTION 4 TOOL 4.1 Recommendations: Ensuring Strong ECE Components in the Operational Plan</p> |
| 3.5 Are there realistic targets for service provision and/or expansion of services, taking into account the current state of service availability, access gaps and the system's capacity to deliver or manage provision? | | | <p>SECTION 3 TOOL 3.2 Criteria, Recommendations and Checklists: Defining ECE Indicators and Target Setting</p> <p>Rapid" ESP ECE implementation capacity assessment (please see below).</p> |

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|---|-----------------|-----------|--|
| 3.6 Related to 3.4 and 3.5, do indicators and targets reflect both the broad science base in early childhood education and local differences and priorities? | | | <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> <p>SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool (and additional resources: template to support problem tree analysis; and Activities 3, 5, 6 and 7 of Suggested activities for a workshop)</p> |
| 3.7 Have ECE strategies, activities, indicators and targets been reconsidered and readjusted/modified through an iterative process based on simulations? | | | <p>SECTION 3 Landing Page</p> <p>SECTION 3 TOOL 3.3 Tips, Checklist, and Examples: ECE Simulation Models</p> |
| 3.8. Have ECE process and quality indicators and targets been considered as part of the ESP's operational plan? | | | <p>SECTION 2 TOOL 2.1 Spreadsheet: ECE Data Mapping and Evidence Plan</p> |
| Structure and format of ECE components across ESP documents | | | |
| 3.9 Have the ESP's ECE components been translated into a timebound operational plan? Have the ESP's ECE components been consolidated into a Results Framework that accounts for appropriate, timebound feedback mechanisms? | | | <p>SECTION 4 Landing Page</p> <p>SECTION 4 TOOL 4.1 Recommendations: Ensuring Strong ECE Components in the Operational Plan</p> |
| 3.10 Are the ECE strategies, activities, indicators and targets consistently reflected in the ESP, operational plan and results framework? Are these ECE components presented/phrased in the same way across all ESP documents? If examining multiple systems' levels' documents, are these components framed (presented/phrased) the same way across systems levels? | | | <p>SECTION 4 Landing Page</p> <p>SECTION 4 TOOL 4.1 Recommendations: Ensuring Strong ECE Components in the Operational Plan</p> |
| 3.11 Are the ECE components cross-referenced consistently (e.g. in the way they are worded and described and with the same indicators, targets, etc.) across the ESP documents? | | | N/A |

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|---|-----------------|-----------|---|
| <p>3.12 If there is a separate ECE subsector action or operational plan, is it directly linked to:</p> <ul style="list-style-type: none"> • the overall sector-wide operational plan? Is the same format/structure used? Is the cross-reference clear? • other related sectors' plans, e.g. health, nutrition, and protection and social welfare, as relevant in the context? • multisectoral plans? | | | <p>SECTION 4 Landing Page</p> <p>SECTION 4 TOOL 4.1 Recommendations: Ensuring Strong ECE Components in the Operational Plan</p> <p>SECTION 1 TOOL 1.3 Worksheet on Defining 'Pre-primary' or 'Early childhood' Education in Your Context</p> |
| <p>3.13 Have the ESP and operational plans been disseminated and validated (i.e. content agreed through a consultative process) across systems levels and in a participatory and consultative manner?</p> | | | N/A |
| Costing of ECE components | | | |
| <p>3.14 Have unit cost information and targets been communicated with costers/planners to inform simulations?</p> | | | <p>SECTION 3 TOOL 3.3 Tips, Checklist, and Examples: ECE Simulation Models (section on communication with costers/planners)</p> |
| <p>3.15 Have simulations been conducted to inform how to best use the actual budget envelope allocated to ECE (e.g. which strategies may have a focus on improving quality yet be sustained at scale for low-cost)?</p> | | | <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> <p>SECTION 3 TOOL 3.3 Tips, Checklist, and Examples: ECE Simulation Models</p> |
| <p>3.16 Is the budget process based on multiyear forecasting of expenditures and/or budget data?</p> | | | <p>SECTION 3 TOOL 3.3 Tips, Checklist, and Examples: ECE Simulation Models</p> |
| <p>3.17 Does the budget consider resources that may be available from other subsectors?</p> | | | <p>SECTION 3 TOOL 3.3 Tips, Checklist, and Examples: ECE Simulation Models</p> |

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|--|-----------------|-----------|---|
| Feasibility of ECE components | | | |
| Note: Assessing feasibility includes but is not limited to assessing that: | | | |
| <ul style="list-style-type: none"> • There is a realistic budget in place that links planned targets and activities to actual costs (at the national, regional and/or local levels) based on equitable funding formulas? For example, are budget allocations for the recruitment, training, support and deployment for teachers based on actual costs? • The human resources needs are reflected in the plan and informed by analyses and data (for example, demand and supply of pre-primary personnel; pupil-teacher ratios; current/projected turnover of staff; recruitment and training needs)? • In contexts of decentralized governance arrangements, feasibility may need to be explored at multiple systems' levels from the national to the local levels. ECE components will need to be responsive to multiple levels and not just reflect national strategies' feasibility. | | | |
| 3.18 Are there relevant and adequate resources (human, financial, time for implementation, management and coordination capacity, etc.) across all levels of the subsector for the implementation of the ECE strategies/ activities? | | | “Rapid” ESP ECE implementation capacity assessment (please see below). |
| 3.19 Is the ECE vision (goal, strategies, activities) sustainable in the long term? How might it be affected by political, financial, social and crisis contexts? Are modifications needed? | | | First see: SECTION 2 TOOL 2.2 Pre-Primary Subsector Analysis Tool – see questions on the enabling environment, and reflect on what actions are needed to ensure the enabling environment is more sustainable Then you may revisit the below tools to adjust the goal, strategies, and activities as well as their indicators and targets, as needed: SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities SECTION 3 TOOL 3.2 Criteria, Recommendations and Checklists: Defining ECE Indicators and Target Setting |
| 3.20 To what extent are the estimated costs of the ECE components compatible with the likely financial resources available? Are modifications needed? | | | SECTION 2 TOOL 2.3 List of Core ECE Cost and Financing Indicators and Variants SECTION 3 TOOL 3.3 Tips, Checklist, and Examples: ECE Simulation Models |

| ECE Appraisal and Alignment Checklist Item | Yes/Somewhat/No | Rationale | If Somewhat or No, refer to the following Toolkit Section(s)/Tool(s) |
|--|-----------------|-----------|---|
| <p>3.21 Are stakeholders responsible for management and implementation aware of their responsibilities and have accountability mechanisms in place for implementation and reporting (i.e. annual reporting and review processes, Joint Sector Reviews)?</p> | | | <p>“Rapid” ESP ECE implementation capacity assessment (please see below).</p> <p>SECTION 5 TOOL 5.1 Considerations: Reflecting ECE in Education Sector Reporting and Annual Review Processes</p> |
| <p>Alignment of the ESP’s ECE Components with the Education Sector Vision and Priorities</p> | | | |
| <p>4.1 Are the ECE priorities and components compatible and aligned (or coordinated) with national and/or international development policies and with societal views at large?</p> <p>Are they consistent with the approach to achieve the broader national development vision, the principles and values on which this approach is based?</p> <p>Note: Where there are discrepancies in alignment between the ECE subsector and education sector because of unique features of the subsector, are these clearly justified?</p> | | | <p>SECTION 2 TOOL Tools</p> <p>SECTION 3 TOOL 3.1 Guiding Questions and Tips: Refining, Selecting and Prioritizing ECE Strategies and Developing Corresponding Activities</p> <p>SECTION 3 TOOL 3.2 Criteria, Recommendations and Checklists: Defining ECE Indicators and Target Setting</p> |
| <p>4.2 Have the ESP’s ECE components (priorities, strategies, activities and related indicators, targets and costs) been checked to ensure they align with the national education system’s long-term vision?</p> | | | <p>N/A</p> |
| <p>4.3 Are the ECE components consistent and aligned (or coordinated) with the overall strategies for improving the education sector?</p> <p>Note: Where there are discrepancies in alignment between the ECE subsector and education sector because of unique features of the subsector, are these clearly justified?</p> | | | <p>N/A</p> |

Rapid ESP ECE Implementation Capacity Assessment

Implementation capacity assessment

A rapid implementation capacity assessment of the education system (which includes the ECE subsector and members of the ECE TWG) or of the ECE subsector on its own by the ECE TWG should be conducted:

- As part of the feasibility check either during the iterative process of identifying ECE components of the ESP;¹
- OR
- When reviewing and validating these components.

This is recommended to ensure that there are sufficient resources and capacities across all system levels to deliver on the ESP's objectives and targets for the ECE subsector. However, if a larger, sector-wide institutional capacity assessment has been conducted or is planned, this may not be needed.

To conduct a rapid ESP ECE Implementation Capacity Assessment, the ECE TWG should review the ECE components included in the ESP against the following factors (note: factors have been adapted from MOOC Module 5 p. 6-8).

Reflections on these factors will help the ECE TWG determine whether adjustments are needed to some of (or some aspects of) the ECE components.

Factor 1: Public sector management and institutions

- Which institutions (state and non-state) are involved in implementing the ECE components of the ESP (consider all relevant institutions, entities, organizations)? For non-state: What is the role of the non-state actors in the implementation of the ECE components (including civil society, faith-based organizations, humanitarian coordination institutions and/or agencies)?
- Do the institutions have the necessary capacities and structures in terms of:
 - Budgetary and financial management and resource mobilization (as relevant)?
 - Mechanisms for transparency and accountability (i.e. regular communication, coordination, and reporting procedures)?
- How is transparency and accountability managed and at which frequency within and across departments and systems level in an institution - (also refer to Factor 3 below)?
- How is transparency and accountability managed and at which frequency within and across departments and systems level across institutions – (also refer to Factor 3 below)?
- How will these institutions' capacity affect the implementation of the ECE strategies and activities in the ESP?
- What is the leading ministry's role in overseeing or supporting non-state ECE actors fulfill their role, etc.?
- Does the leading ministry overseeing or supporting non-state ECE actors vary in "typical" development settings and during transitions when there is an acute or protracted crisis?

Factor 2: Effectiveness of educational administration

- What are the specific roles and responsibilities of all the institutions and entities (across all system levels) involved in the implementation of the ECE strategies and activities in the Education Sector Plan?
- Are these roles and responsibilities clear and understood by all involved? Where are the roles and responsibilities documented?
- Are the links between the roles and structures clearly established (for example, the role of the teacher training entity is linked to the role of the curriculum development entity)?
- Are there established and effective communication and coordination mechanisms across institutions of the subsector, from national to local levels?
- Are there monitoring and evaluation mechanisms across the subsector to ensure accountability?

Factor 3: Profiles and competencies of individuals

- What are the qualifications and competencies of the individuals who play a role in the implementation of the ECE strategies and activities?
- Are desired competencies for different staff roles and qualification levels transparent (publicly available) per institution?
- Do institutions with staff that have similar roles have harmonized competencies – or agreed upon competencies for the subsector made publicly available- across institutions?
- Do these individuals have the necessary skills and training to undertake their tasks and roles? What might the gaps be and what kind of support might they need?

Factor 4: Aid Effectiveness (e.g. Effectiveness of contributions from development partners and other actors)

- To what extent are external resources and support needed to implement the ECE strategies and activities?
- What are the roles and contributions from non-government entities? What are their capacities and how do their capacities affect the implementation of the ECE strategies and activities?

¹ The ECE components in the Education Sector Plan are the ECE priorities, strategies and activities. In the Education Sector Plan's Results Framework, the ECE components would be the priorities, strategies and activities and their indicators and targets. In the Education Sector Plan's Operational Plan, the ECE components would be the priorities, strategies and activities and their related indicators, targets, and costs.