

TOOL 5.3: CHECKLIST

SUBNATIONAL IMPLEMENTATION OF THE PLAN CHECKLIST

Note: The following checklist is intended to help anticipate the expected increased role of the sub-national levels in the implementation of the plan or strategy.

Checklist: Subnational Implementation of the Plan

CHECKLIST ITEM	YES / NO	RATIONALE	IF NO
A. ANALYSIS			
1. Have actors at the subnational level been involved in the situation and problem analysis?		<ul style="list-style-type: none"> Build consensus with and increase ownership by subnational actors, which should help ease implementation. 	<p>It is important that actors at subnational level are involved in the situation and problem analysis to increase ownership. However, if that has not been done or if subnational actors have not been sufficiently involved, it is recommended that the emerging findings and outcomes of the situation and problem analysis be widely shared and discussed with them in order to receive their input and validation and ensure full ownership.</p> <p>Their contributions to the construction of an intervention logic/theory of change will further increase ownership by actors at the subnational level. This can also take place during the priority program development phase, where challenges will be discussed again, to help identify strategies and activities.</p>
2. Does the situation analysis include an institutional capacity analysis that includes the subnational level?		<ul style="list-style-type: none"> Describe how the public administration works, in terms of rules and practices, roles and responsibilities, autonomy, coordination, policies and plans, civil service governance. 	<p>It is essential to assess capacities of the individual, organization, and the institution, and their relationship with external stakeholders, before moving to subnational level implementation to limit the risks of blockage due to inadequate capacities.</p> <p>Chapter 13 (Functioning and effectiveness of the educational administration) of the <i>Education Sector Analysis Methodological Guidelines, Volume 3</i> proposes a method for institutional analysis, providing a framework to assess the</p>

		<ul style="list-style-type: none"> • Appraise the effectiveness of organizational units, in terms of mandates, functions and structures, management practices, resources and accountability. • Determine the relevance of individual officers' profiles and competencies, in the light of their functions and tasks, and the existence of opportunities for professional training and incentives to improve performance. • Identify public and nongovernmental stakeholders involved in education planning and management, their roles, and information sharing, communication and coordination mechanisms with the government, as well as the nature of the relationships. 	<p>functioning and effectiveness of an educational administration, with a particular focus on educational planning and management. This analysis can serve as a basis to later identify strategies to enhance individual, organizational, and institutional capacities for improved education service delivery. A brief focused on the methodology for the analysis of the functioning and effectiveness of an education administration can also be found here.</p> <p>The analysis must go beyond the national level to take into account the specificities not only of the sub-national level but also of each state/region/province. If such an analysis was not completed prior to implementation, or if such an analysis was conducted but not sufficiently so during the development of the ESP, you can highlight the need to conduct such an analysis as part of the ESP's activities to take place during the initial years of plan implementation. The results can then be used during the mid-term review.</p> <p>Also see Tool 4.2 (Checklist: ECE implementation feasibility and capacity appraisal for the ESA), which includes a rapid ESP ECE implementation capacity assessment.</p>
<p>3. Does the situation analysis include subnational actors' mapping and analysis?</p>		<ul style="list-style-type: none"> • Identify the actors and stakeholders at the sub-national level who could be good relays in the implementation of the ECE strategy/plan or who may have possible conflicts of interest and other situations that could constitute bottlenecks. 	<p>This should ideally be embedded as part of the aforementioned institutional analysis.</p> <p>See Chapters 13 (Functioning and effectiveness of the educational administration) and 14 (Stakeholder mapping and problem-driven analysis) in Volume 3 of the Education Sector Analysis Methodological Guidelines for more support in identifying these actors.</p>

B. POLICY FORMULATION

<p>1. Does the strategy or plan clearly define the expected results for the sub-national levels (results framework)?</p>		<ul style="list-style-type: none"> • Set realistic (and equitable) objectives, strategies, and activities. • Support (equitable) budget allocation and the building of subnational action plans. • Increase ownership by subnational levels. • Identify responsibilities. • Build monitoring at subnational level. 	<p>Objectives, strategies, and activities should take into account subnational disparities or directly address subnational concerns that were identified in the ESA/situation analysis. Areas of intervention, such as key strategies and activities, should be flagged to improve the effectiveness and functioning of the administration at the subnational level. Objectives, strategies, and activities should also be aligned with challenges identified and that results/targets set at the subnational level are realistic and sustainable from both financial and human resource levels.</p> <p>If the plan or the strategy does not define clearly expected results for the subnational levels, consider "regionalizing" the targets set at the national level. This regionalization should take into account the contexts and in particular the baseline situation of the different regions. The targets set for the different regions must be realistic and consistent with the resource allocation.</p>
<p>2. Does the strategy or plan define the role to be played by the sub-national levels?</p>		<ul style="list-style-type: none"> • Identify responsibilities. • Increase ownership by subnational levels and ease implementation. 	<p>Complete the implementation plan with this information.</p> <p>Clearly defined roles and responsibilities increase the chances of successful implementation and make it easier to place accountabilities.</p>
<p>3. Has the risk analysis and the risk mitigation measures taken into account that sub-national levels will be "strongly" or even "directly" involved in implementation?</p>		<ul style="list-style-type: none"> • Define risk mitigation measures. 	<p>It is useful to carry out an analysis, even a rapid one, of the risks and to identify measures to manage and mitigate these risks.</p> <p>See Tool 4.2 (Checklist: ECE implementation feasibility and capacity appraisal for the ESA), which includes a rapid ESP ECE implementation capacity assessment.</p>

C. POLICY COSTING

<p>1. Did the costing take into account the effect on costs of delegating implementation to subnational levels?</p>		<ul style="list-style-type: none"> Define a strategy for public procurement that takes into account delegation to subnational levels. 	<p>It would be worthwhile to carry out a rapid study or review of the impact of delegating budget execution, including procurement, to sub-national levels. This cost and time impact analysis should identify the types of contracts that could be handled in a piecemeal fashion at sub-national level and those that would benefit more from being handled centrally as a bundle.</p> <p>This also may depend on the context and degree of decentralization. For example, in some countries in Europe and Central Asia, procurement and capital investments are undertaken by municipalities while national governments set standards and norms.</p>
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D. ACTION PLAN AND IMPLEMENTATION ARRANGEMENTS

<p>1. Are ECE-related action plans at the subnational level adequately budgeted?</p>		<ul style="list-style-type: none"> Increase ownership at sub-national level. Increase accountability at sub-national level 	<p>The ESP at the national level should be translated into subnational action plans which are aligned to national plan targets. The construction of regional action plans increases the chances of successful implementation and facilitates monitoring and resource allocation.</p> <p><u>Tool 4.1 (Recommendations: Ensuring strong ECE components in the operational plan)</u> provides guidelines for the development of national action plans. The same guidelines can be used for the elaboration of subnational plans while keeping coherence with the national plan.</p>
<p>2. Do the action plans (or any other implementation document) define clear responsibilities and accountabilities of subnational level actors?</p>		<ul style="list-style-type: none"> Facilitate monitoring at the subnational level. Increase accountability at subnational level. 	<p>Introduce in the action plan the responsible structures and levels for each action/activity.</p> <p><u>Tool 4.2 (Checklist: ECE implementation feasibility and capacity appraisal for the ESP)</u> also includes some items that refer to ECE operational plan implementation feasibility and alignment.</p>

E. MONITORING AND EVALUATION

<p>1. Does the results framework highlight key strategies/activities/results that are performed at the subnational level?</p>		<ul style="list-style-type: none"> • Regionalize the results and objectives of the plan post ESP development phase. • Set up inclusive monitoring instruments. 	<p>Disaggregate the targets and milestones in the results framework to show the expected contribution of each region, province, or district.</p> <p>Targets are generally developed at the national level in most cases. However, key strategies/activities/results that are performed at the subnational level should be highlighted here. For instance, this may include the percentage of ECE subnational inspectorates with required qualifications, the percentage of subnational annual operating plans with ECE capacity building activities.</p> <p>You may also have indicators on reducing regional disparities, such as regional gaps in pre-primary gross enrolment ratios (GER) or regional gaps in the percentage of the inspectorate trained on ECE.</p> <p>This webinar provides more information about best practices for inclusive monitoring and evaluation in data collection systems</p>
<p>2. Does the monitoring committee or board of the action plan include subnational level actors?</p>		<ul style="list-style-type: none"> • Facilitate monitoring and increase accountability at the subnational level. 	<p>Expand, to the extent possible, the Monitoring Committee to include representatives from sub-national levels.</p> <p>Tool 5.2 (Tip Sheet: Subsector coordination arrangements) is designed to identify the structure and membership of an ECE subsector coordinating body and may be helpful in addressing this item.</p>