Improving Learning Outcomes in East Africa 2009-2013

Strategy Update 30 September 2011

UWEZO
THEORY OF CHANGE

Key Actors
- MoE
- Government
- MPs
- NGOs
- Professionals
- Donors

Communicate Findings Widely

Assess Learning Countrywide

Focus inputs to learning outcomes

Engaged Citizens
- assess learning
- time with children
- follow up teachers
- & school
- pressure on MPs
- & authorities

Improved Literacy and numeracy

Improved Learning
- sharper incentives
- improved accountability
- different teaching

Rigorous evidence and lessons

Global Knowledge

Ongoing Independent Evaluation

managed by Twaweza
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EXECUTIVE SUMMARY

Uwezo, meaning ‘capability’ in Kiswahili, is a four year initiative to improve competencies in literacy and numeracy among children aged 6-16 years in Kenya, Tanzania and Uganda through an innovative, citizen-driven and public accountability approach to social change. Uwezo enables policy makers as well as ordinary citizens – parents, students, local communities and the public at large – to become aware of actual levels of children’s literacy and numeracy, and build on that awareness to stimulate practical community and policy change across East Africa.

Uwezo is at the midway point of its first four year (2009-2013) program cycle. A tremendous amount has been achieved, and lessons learned. This document is an updated version of the original four year strategy and proposal that incorporates adaptations made based on experience and learning. It is organized in seven sections as follows: (1) the situation analysis; (2) theory of change; (3) goal, outcomes and outputs; (4) program activities; (5); governance and staffing structure; (6) risk management; and (7) budget.

Across East Africa near universal enrolment (save for regional disparities) has been achieved in primary education. But while children are signed up for schooling in impressive numbers, Uwezo’s key concern is whether all children are learning. From its earliest conception, Uwezo has sought to shift attention from school inputs to the attainment of learning outcomes. Only two years into the program, there are clear signs that Uwezo’s work is bearing fruit. The scale of Uwezo’s reach – covering hundreds of thousands of households – coupled with the simplicity of its assessment tool, annual recurrence, and wide communication has created an unprecedented level of focus on the question of basic competencies across the region. Uwezo has generated new information on children’s literacy and numeracy across East Africa. There has been widespread exposure to the findings, which has triggered an array of reactions. Going by media reports and conversations with citizens, there is a heightened awareness on the poor state of learning and the necessity of refocusing on competencies. After initial resistance, governments, policy makers and politicians too have come around to accepting that school quality needs serious improvement.

In the next two years, Uwezo will continue to use the annual learning assessment report to catalyze countrywide debate and practical citizen action to improve learning, and create pressure for policy change from the bottom-up. Uwezo’s approach will continue to have the following key components:

- a large household-based survey covering all districts in each of the three countries;
- the use of a simple tool to assess literacy and numeracy that can be easily administered by citizens;
- inspiring a citizen volunteer-driven approach to conduct the assessment over a few days;
- instant feedback of the assessment results to parents/guardians, children and local leaders;
- communication through the media and other forms to create broad public debate and engagement;
- facilitating thoughtful monitoring, external evaluation and learning throughout whose lessons are fed back into the work, as well as shared globally; and
- repeating the above cycle each year to create sustained momentum for change.

In particular, greater emphasis will be placed on strengthening communication at all levels so as to inspire action. Concerted effort will be made to move from information and discussion alone to practical action on making a difference in learning. This involves two way communication to achieve better understanding; building the capacity of data collectors to discuss learning in a more coherent manner; exploring and diversifying means to communicate with ordinary citizens, with a particular focus on women and people with low literacy; and strengthening citizens own organizing ‘cells’ and efforts. While we see ‘pressure from below’ as the best way in which to concentrate the minds of policy makers to make the necessary changes, Uwezo will also engage directly with key actors on policy matters on a selective basis as strategic opportunities arise.

While the Uwezo approach has been designed after careful analysis of the context and development effectiveness, it nonetheless remains an experiment whose final outcome remains uncertain. Uwezo therefore takes learning and evaluation very seriously, in collaboration with Twaweza. Ongoing work is documented thoroughly and informs a simple monitoring system. Feedback from citizens and key actors is valued and systematically elicited and used to improve work. To assess impact, and better understand the specific drivers of change, a team of researchers from MIT and Princeton University has been commissioned by Twaweza to
undertake a mixed method evaluation of Uwezo involving randomized experiments and ethnographic studies. Uwezo also stands to gain from the larger ‘jigsaw puzzle’ of evaluations that have been commissioned by Twaweza.

Finally, while this Uwezo program cycle ends in 2013, there is a clear need to continue Uwezo for at least another five year period. For this reason, Uwezo’s organizational basis and growth is being consolidated with leadership, quality assurance and oversight from Hivos/Twaweza. Staffing is being reviewed and rationalized to strengthen quality and better fit the Uwezo’s mission. Governance arrangements are being adapted to ensure greater support, quality and accountability, and provide a solid foundation for the eventual establishment of Uwezo as an independent entity. Interested parties across Africa wishing to establish Uwezo like initiatives will also be supported through cross learning, so as to contribute to deeper learning across the continent.

The revised total budget over the 4 year period (2009-2013) covering the three countries and the regional activities is USD 19.1 million. This amount is higher than in the original budget; the increase can be explained by the decision to undertake assessments in every district across in Kenya, to deepen focus on communications, increased staffing to manage the increased scale, relationship building and follow-up, and a strengthened regional office to ensure effective support, learning and oversight. It does not include funding of independent evaluations, which are undertaken through Twaweza. Of the total budget about half is funded, and discussions for a further USD 7 million are in advanced stages, leaving a shortfall of about USD 2.1 million.
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1. SITUATION ANALYSIS

A longer situation analysis was outlined in the original strategy document; here we discuss only the three main factors that have informed the development of the Uwezo initiative.

1.1 GOVERNMENTS HAVE PRIORITIZED EDUCATION BUT CHILDREN ARE NOT LEARNING

Kenya, Uganda and Tanzania are members of the global community that made a collective commitment in the Dakar Framework for Action (UNESCO 2000) to achieve six goals by 2015. Since then, particularly in the last decade, schooling has expanded dramatically across the region. Tens of thousands of new teachers have been trained and recruited, and tens of thousands of classrooms and other infrastructure built. Official school fees have been formally abolished, and government leaders led by presidents have exhorted parents to send children to school. This has led to millions more children being enrolled for schooling, and in all three East African countries universal enrolment, including gender parity, has largely been achieved.

But do these achievements mean that there is an explosion of learning in the region?

The evidence suggests not. The unprecedented growth of schools, teachers and enrollment has not been matched by improvements in quality. Schools across East Africa today are characterized by insufficient and poorly trained, under motivated teachers, overcrowded classrooms, a lack of adequate teaching/learning materials, and an outdated, didactic teaching pedagogy. As the clock ticks down to 2015, Goal 6 of the Dakar Framework of Action, “improving all aspects of the quality of education and ensuring excellence of all so that recognizable and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills” remains unmet.

The three East African governments, having earlier taken an implicit stand of ‘enrolments first, quality second’, are increasingly coming to accept that they have a quality crisis, and often in collaboration with development partners have designed several policy initiatives and actions. But many of these approaches rely on a top-down technocratic policy making process that has failed to gain traction and produce concrete changes on the ground. Uwezo’s own findings from the first two years demonstrates that vast majorities of children in school are not able to perform at the required level, and too many complete primary schooling without basic competencies in reading and arithmetic. Because the tests are set at the Grade 2 level, 100% of children in Grade 3 and above should be able to pass the test. But as Figure 1 demonstrates, across the three countries, children performed much lower than required.

![Figure 1: Performance on 2010 Uwezo English and Numeracy tests, by grade](image)

In such moments it is tempting but call for greater investments in education, but lack of resources is unlikely to be the core problem behind poor results. In the past decade all three governments in the region have increased spending by up to threefold in the past decade, and now allocate upwards of 6% of their GDP to the education sector. A reason these investments are not yielding better results may be explained by their being spent on aspects that are not the biggest drivers of learning. The bulk of government expenditure goes toward
construction and teachers’ salaries, but there is little evidence to show that these measures are strongly linked to improved learning. Moreover, the amounts provided for the capitation grant, a specific transfer based on enrolment meant to be used at the school level for quality improvements, has remained constant despite or declined, despite high inflation. Figure 2 compares budgets for education and performance in national examinations over the same period.

![Figure 2: Tanzania 2000-10: Budget allocation to education compared with 10th grade national examination pass rate](image)

1.2 NUMEROUS ASSESSMENTS ARE UNDERTAKEN, BUT HAVE HAD LITTLE IMPACT

Assessments that measure actual learner competencies are regarded as an effective method of evaluating education systems across the world. Pre-Dakar statistics (1995-1999) hold that only 58% of developed and 28% of developing countries participated in national, regional or international learning assessments that measured specific outcomes. Data covering the period since 2000 shows that the numbers increased to 81% and 50% respectively.1

Before the introduction of Uwezo, there was at least three major regional and national learning assessments in East Africa. These are: the Monitoring Learning Achievement (MLA) projects under the auspices of UNICEF; the Southern Africa Consortium for Monitoring Educational Quality (SACMEQ) project spearheaded by IIEP/UNESCO; and country propelled national assessments, for example the National Assessment of Progress in Education (NAPE) in Uganda (Greaney and Kellaghan 2007: 103-107) and the National Assessment System for Monitoring Learner Achievement (NASMLA) in Kenya.

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The first national assessment of student achievement for in-school children outside of public examinations in East Africa is credited to SACMEQ I, which was conducted in 1995-1998. Both Kenya and Tanzania were among the seven African countries that participated then and in the two subsequent assessments. Uganda has since also joined and participated in SACMEQ II and III, in addition to conducting the home grown NAPE since 1996. SACMEQ was mainly driven by UNESCO’s International Institute for Educational Planning (IIIEP) and implemented under the auspices of the National Examination Boards of respective countries. All are relatively small sample-based school surveys. MLA and SACMEQ in particular view capacity-building and strengthening of the policy/research nexus as major objectives (Kellaghan and Greaney 2004).

MLA, SACMEQ and NAPE like assessments were all conceived as higher-end policy related, involving mainly planners and managers, and designed primarily to provide information for policymaking (and not to increase public awareness and/or stimulate public debate). The value of these assessments, however, is limited where the ‘research-policy-implementation’ linkages are not effective, such as in East Africa. Information from these data collection and analysis efforts is underutilized, because its form is often complex or users are simply unaware of them (e.g. UIS 2004a:8).

Much is made of using SACMEQ to study achievement changes over about a five-year period. However, there is little evidence to show that they have helped trigger greater policy clarity or change. The overly technical nature of these assessments may have made the findings inaccessible to the very audience they had targeted. In addition, “there has often been quite a gap between the data collection and the publication of (SACMEQ) results” (Postlethwaite, undated: 16). SACMEQ results for 2008 are yet to be released officially and indications are that the results, like previous experience dictates, will come five years after data collection.

The two government propelled national assessment centers in the region (NAPE in Uganda and NAC in Kenya) have demonstrated more efficiency in releasing the results and to a wider audience. These centers have in the past two years sought to chart alternative paths of communicating the findings to policy implementers (such as district education officers and head teachers). Efforts have been made to develop friendly and understandable communication material aimed at inducing changes in practice. The Uwezo approach offers a complementary approach that can stimulate wider public action from the bottom up to refocus education.

Table 3: Major International, National and Regional Learning Assessments

<table>
<thead>
<tr>
<th>Assessment</th>
<th>Sponsor</th>
<th>Countries</th>
<th>Target Pop.</th>
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<th>Frequency</th>
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<td>PIRLS</td>
<td>IEA</td>
<td>17</td>
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<td>2001, 2006</td>
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<td>NASMLA</td>
<td>MoE, Donors through KESSP</td>
<td>Kenya</td>
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<td>Math, English</td>
<td>Variable</td>
<td>2009</td>
</tr>
<tr>
<td>LLECE</td>
<td>OREAL/UNESCO</td>
<td>16</td>
<td>Grade 3,6</td>
<td>Math, Reading, Writing, Science</td>
<td>10 year cycle</td>
<td>1997, 2007</td>
</tr>
<tr>
<td>ASER</td>
<td>Independent, home grown</td>
<td>India, Pakistan</td>
<td>6-14 year olds given Grade 2 test</td>
<td>Literacy, numeracy</td>
<td>Annual</td>
<td>Annual since 2005</td>
</tr>
<tr>
<td>Uwezo</td>
<td>Independent, home grown</td>
<td>Kenya, Uganda, Tanzania</td>
<td>6-16 year olds given Grade 2 test</td>
<td>Literacy, numeracy</td>
<td>Annual</td>
<td>Annual since 2009</td>
</tr>
</tbody>
</table>

Source: Lockheed (2008); UNESCO (2007); Uganda National Examinations Board
1.3 CSOS HAVE LIMITED REACH AND CREDIBILITY, BUT NEW COMMUNICATION CHANNELS ARE INCREASINGLY POWERFUL

Governments have the most important role in reforming education; but they need to be held accountable by citizens to perform well. We have seen from foregoing discussion that neither educational assessments nor technocratic policy reform processes have in themselves brought the policy and service delivery changes necessary to improve student learning. Throughout East Africa, and globally (e.g. WDR 2004), there is a growing realization of the need for locally-driven, broad based accountability in bringing about and sustaining better service delivery. Perhaps the most crucial interface in this regard is the manner in which citizens can routinely demand better responsiveness and accountability.

Citizen engagement is usually understood to be organized through civil society organizations (CSOs). The number of CSOs in East Africa has grown tremendously in recent years, and many of them have moved beyond filling gaps and service delivery towards analysis, advocacy and governance reform. However, many CSOs face significant challenges in areas of integrity, quality leadership, succession planning, internal governance and sustainability. In contrast to the liberal notion that a CSO is formed to advance citizens’ social justice agendas, observers note that in East Africa ‘the typical NGO is primarily created to access donor funds’. Most CSOs have very limited reach, and act in an ad hoc, short-term and ‘projectized’ manner that is rarely strategic – a situation that is not helped by the ways in which donor requirements are structured. CSOs’ abilities to reach and connect with citizens and enable citizen organizing at scale are especially weak, limiting their political resonance and legitimacy. Moreover, this sort of elite capture can supplant and undermine civic action, and exclude those who are not able to play the ‘development game’.

How to work with citizens and selected the organizations that can best engage them needs to be a careful task. Uwezo’s two year experience has affirmed that with care, a vibrant mix of citizen groups can be found. The typical Uwezo partner organization ‘is local and run by citizens, is based within the sampled district, is operational, and has local presence in their area of operation’. This organization is selected after a rigorous identification process that involves institutional assessment. These carefully selected partners implement actual assessment. The implementation model has largely been successful. It is decentralized and ensures widespread participation of people located in the villages and districts. Uwezo can rightly claim to have overcome the ‘city centric’ character of many national efforts. The decision to seek organizations rooted within the community is strategic as it accesses groups and persons who feel an obligation to their communities. A reciprocal relationship is nurtured as Uwezo offers the needed and legitimate space for partners to be active.

The mass media and other new forms of communication are growing rapidly and thriving in East Africa. In the last 15 years, following the liberalization of the media sector, Kenya, Tanzania and Uganda have all moved from having one to two state/ruling party owned newspapers, one state run radio station and one or no TV station, to each having tens of newspapers, dozens of radio stations and several national and regional TV group(s). As Afrobarometer and other studies reveal, media constitutes by far the most significant source of information for most citizens. The growth of media has also created unprecedented space for access to differing viewpoints and public debate, especially via the wide network of FM radio stations many of which broadcast in local vernacular languages. For example, the Uganda FM radio scene has seen the emergence of the so-called Ekimeezza (roundtable discussions), on the topical issue of the day that commands an incredibly high listenership and is conducted both in English and most popularly in various local languages. The saying that ‘life is lived in the media’ or that ‘an issue is not an issue until it is in the media’ are perhaps no exaggeration.

The spread of mobile telephony in terms of providers, coverage, number of subscribers and services perhaps has been even more spectacular. Through mobile phones citizens are both better informed and have greater space for direct voice and engagement, particularly through SMS. The growth of cell phones has dramatically
altered communication possibilities in both urban and rural contexts. In Tanzania, over 13.9 million people own cell phones, in Uganda 8.2 million and in Kenya, by December 2010, there were almost 24.9$^2$ million subscribers, in contrast to a few hundred thousand who had any phone access a decade ago. Cell phones are quickly becoming the leading source of Internet browsing, and this is likely to increase with the imminent installation of three fiber optic cables that will serve East Africa.

These developments in mass media and mobile telephony are not without limitations. Cost and access, while improving, remain challenges. Independence of media is threatened by increasing consolidation of ownership, government dominance in providing advertising revenue, and retrogressive legislation. The quality of media content is another problem, particularly in terms of limited investigative journalism and coverage of rural issues. These are reminders that media is no panacea, and that working with it is fraught with its own unique set of difficulties. Nevertheless, the fact that both mass media and mobile phones are taken seriously by and reach millions of citizens is an important opportunity for Uwezo to consider in its own efforts.

In summary then, we understand the situation as follows. Significant and increased investments in education across East Africa have dramatically raised enrolments, but enable little learning. Basic literacy and numeracy levels are unacceptably low. Government examinations systems measure the wrong aspects, and alternative assessments such as SACMEQ have failed to improve practice. The crisis in education in East Africa is acknowledged by most experts and increasingly articulated among the public, but the dominant paradigm of progress is still marked by educational inputs (number of classrooms, teachers, books, children enrolled) rather than outcomes (what are children learning). Accountability is weak, so governments are not compelled to make the changes necessary to achieve real learning. The capacity of formally organized CSOs to enhance that accountability is undermined by their low reach and lack of credibility among the public. In contrast, however, mass media and mobile telephony provide increasing opportunities to inform citizens and enable voice.

Uwezo has been successful in organizing nationwide assessments on literacy and numeracy of school aged children; analyzing this information and presenting it in popular formats. With varying degrees across the three countries, information has reached some citizens. The challenge for Uwezo then remains: to facilitate deeper public engagement where ordinary citizens can take action to improve learning in their communities, and hold governments to account.

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BOX: THE ASER APPROACH

In India, Pratham (www.pratham.org) – an independent civil society organization – has developed an innovative methodology to produce the Annual Status of Education reports (ASER, see www.asercentre.org). ASER is a household based nation-wide survey that measures ability in basic literacy and numeracy among children between the ages of 6 and 16. The ASER approach is impressive in its scale and coverage, as well its apparent ability to focus public attention towards learning capability and galvanize public action.

A group of educators, researchers and leaders from East Africa who visited India to study the approach and seen first-hand its value and impact unanimously concluded that an ASER like approach would be useful in all three East African countries. In discussions with educators, government officials and civil society organizations, consensus emerged that an ASER type assessment would both provide data on learning outcomes and galvanize citizen action to improve the situation. As a result, Uwezo was born.

The following key features of Uwezo have been adapted from ASER:

- **Instant feedback**: Unlike other assessments in the region, e.g. SACMEQ, the results will be instant and will be shared with the child and family immediately.
- **Household based**: The tests will be conducted within the households. This will help demystify testing as a school event and aptly bring “education” and assessment to the family level, presenting families with the potential of being part of the child’s learning voyage.
- **Volunteerism**: Uwezo will draw upon volunteers to administer the tests nationally. Other than nurturing the community/civic responsibility, it shifts the assessment of learning competencies away from the domain of education professionals to the public domain, hence helping to galvanize public response and action to the schooling process. It will take into account and cut down on hidden costs.
- **Scalability**: The methodology is designed to be scalable. Nationwide scale will make it more attractive to bureaucrats because every part of the country can easily identify with the results of the survey. It will allow for comparisons, which is useful in helping one gauge standards.
- **Policy planning**: The survey is timed to provide input into the annual planning and budgeting process. The results aid in shifting prioritization to address key concerns. To convince the policy maker, Uwezo will resort to “scale and awe” to elicit response from governments who often dismiss results from smaller studies.
- **100 days analysis**: Uwezo will be done within a defined and relatively short period of time. There is no danger of collecting data that becomes stale due to long delays before analysis and use. The determination and focus within the approach is an admirable quality.
- **Periodic nature**: Uwezo will be an annual exercise. This will allow longitudinal data flow in the medium term that informs on children’s basic competencies and monitors improvements registered every year as a result of interventions undertaken during the course of the past year.
- **Collaborative spirit**: Uwezo derives its stamina from the belief that an education movement unified in its search for qualitative changes in the education sector can have more sustained impact. While there is a core group of drivers, the collaborators comprise an inclusive list of government departments/ministries, non-governmental and civil society organizations, institutions and individual who fund, conduct the survey or push for policy.
- **Building partnerships**: Current assessments are the preserve of Ministries of Education and other technical players. Uwezo on the other hand is driven by civil society. The collective approach of Uwezo that seeks concerted contribution from all will present education coalitions in the region an opportunity to collectively augment existing efforts in the area of assessment. This approach would be novel given that much of the existing NGO effort is lone ranger, localized, has small geographic coverage and limited policy impact.
- **Communications**: Uwezo realizes generating evidence alone is not enough. It will therefore share information in a manner that better informs the public, stimulates nation-wide citizen debate and creates pressure for policy change from the bottom-up – Uwezo intends to build on the ASER experience and go further, particularly through greater use of media.
- **Interventions**: The assessment findings will stimulate others to design suitable interventions in response, such as Pratham’s *Read India*, but Uwezo itself will not undertake interventions to improve literacy and numeracy in order to remain focused and avoid conflict of interest.
Uwezo’s goal is to increase children’s literacy and numeracy levels across Kenya, Tanzania and Uganda. We aim to achieve this by shifting the focus from the dominant focus on infrastructure and enrolments to children’s learning. Uwezo has chosen to focus on national educational assessment (i.e. a simple measure of children’s literacy and numeracy levels) as a key trigger for public action; the household as the initial point of democratization of access to information, and public debate as a key driver of civic and policy change.

A diagram representing Uwezo’s refined theory of change is presented on the next page. Drawing from lessons from the first two years, it puts greater emphasis on communications than before, with citizens as the main driver for change, but with a clear role for key actors. It also more clearly articulates the links between different components than the previous version. However, beyond the tweaking and adaptation of specific aspects, it would premature to draw larger conclusions from only two years of implementation.

The theory has key components within a sequential logic. However, Uwezo’s work and its effects will be carried through dynamic interventions that reach over time into and across different actors in the education sector and in society at large. These interventions do not represent simple input-output models of change on key variables; rather they are designed as non-linear and iterative triggers for multiple forms of citizen action and policy response: they attempt to fit into the lives of citizens and their social and communicative practices, rather than making citizens fit into the lives of our interventions. Our ultimate success depends on our ability to trigger critical citizen centered actions and public debate, that in turn will stimulate key actors to make the policy and programmatic changes necessary to improve the quality of education.

**Stage 1: Assess learning countrywide, each year:** Having a general or anecdotal sense that schools are not translating into learning is not sufficient to convince reluctant policy makers and politicians to change course, solid evidence is needed is needed. Uwezo establishes evidence by assessing literacy and numeracy levels for children aged 6-16 years using a large, country-wide household based sample.

There are a number of key advantages to this methodology adapted from ASER (see box above) over traditional approaches that have been used to date in East Africa. First, it is based on measurement of actual literacy and arithmetic levels (rather than perceptions or reported behavior). Second, it involves a very large, scientifically derived sample that allows for an unprecedented level of claim-making and comparison across districts. Third, the survey is conducted at a household level, which includes both in and out of school children, and helps avoid some of the potential constraints that would be present in a school setting. Fourth, the research design is so simple that it can be easily understood and implemented, in a relatively short timeframe, and with minimum error. Fifth, the survey is carried out by strategically recruited citizen volunteers and rooted civil society groups, which makes it possible to go to scale, keep costs reasonable and, perhaps most importantly, plant the seeds for continued public debate, follow-up and action countrywide – what Pratham calls a ‘social movement approach to assessment’. While a much smaller sample would be sufficient to draw credible national conclusions, Uwezo is undertaken in every district so as to stimulate local reference points for comparison, debate and action. ‘Instant’ feedback is given in each community where the assessment is undertaken so that parents, children, teachers and local leaders can have a sense of what is going on, and take action.

Another key feature is that the survey is conducted each year. The value of this is that unlike other surveys, undertaken in an ad-hoc manner once every 5-10 years, this allows for an annual updating of the data and a regular tracking of progress. The effects of corrective action can be measured without delay, providing a feedback loop that may provide incentives for improving performance. It can also help keep the issue alive on the public agenda, by effectively turning into an authoritative annual report card on the performance of public education. Two annual rounds of the Uwezo assessment have already been successfully undertaken in each of Kenya, Tanzania and Uganda, showing the feasibility of the approach. While there is still a long way to go, initial evidence from media, responses of government and discussions with citizens suggests that the terms of the debate are changing significantly from schooling inputs to a concern of children’s abilities and competencies. While initial responses from the authorities tended to quibble with the methodology, recently there seems to be a greater acceptance that quality needs to be improved. The recurring annual nature of Uwezo reinforces the pressure for refocus, and makes it difficult to relapse to business as usual.
Figure 3: Key stages in Uwezo theory of change

UWEZO
THEORY OF CHANGE

Key Actors
MoE
Government
MPs
NGOs
Professionals
Donors

Communicate
Findings
Widely

Assess
Learning
Countrywide

Citizens

Improved Learning
- sharper incentives
- improved accountability
- different teaching

Improved literacy and numeracy

Engaged Citizens
- assess learning
- time with children
- follow up teachers & school
- pressure on MPs & authorities

Global Knowledge

Rigorous evidence and lessons

Ongoing Independent Evaluation
Stage 2: Communicate findings widely and foster broad public debate: Building a solid evidence base is necessary, but usually insufficient for changes in policy and practice. Uwezo believes that concerned actors – whether parents or politicians, teachers or technocrats – will do the right thing when they are compelled to do so or have a clear incentive to act. Uwezo therefore places great emphasis on communication of findings; in fostering informed public understanding and debate about the situation and what can be done about it. The hypothesis is that sustained flows of information, debate and ideas for practical action will create ‘pressure from below’ and an ‘ecosystem of change’ that will propel individuals, communities and eventually key institutions to act in response.

In the first two years of implementation findings have been communicated in numerous ways, with some variation across the three countries. Other than printing the main report and brief of key findings in English and Kiswahili, this has included printing and distributing over a million flyers containing the tests, printing tests and follow-up actions on the inside covers of 40 million exercise books, printing over 100,000 calendars with a focus on learning, leaving behind ‘parents’ ask’ posters in each household assessed, sending out 4 million follow-up SMS messages, adverts of nationwide TV and radio, use of billboards, and extensive media interviews. However, while these activities have had large reach, they have not always been undertaken in the most strategic manner, and not all key opportunities have been used as effectively. Getting the assessment right, and the fact that the Uwezo managers have greater knowledge of research as compared to communication was probably a factor.

Building on the success and lessons of the past two years, Uwezo’s communication will be considerably strengthened in the coming two years and beyond. A dedicated communications manager will be responsible for the work in each country, with support from a dedicated communications officer in the regional office. The key communications components will be as follows:

- **Instant feedback and practical materials on what you can do:** communities involved in the household assessment survey in every district will be given instant feedback of learning levels and provided with copies of the simple assessment tool for their own continued use; as well as materials with practical steps to improve learning (e.g. ‘parents’ ask’ posters).

- **Popular materials** that reproduce the test for self-administration, stimulate questions and provide suggestions on actions to improve learning will be produced and distributed, usually by ‘piggybacking’ on channels that already reach millions of people. These include religious organizations, media, mobile telephony, consumer goods networks, and popular culture.

- **Extensive media engagement,** particularly on radio and TV, through press conferences and press releases, proactively engaging in talk shows, contributing op-eds, etc, as well as linking up with media initiatives supported by Twaweza such as ShujaazFM, XYZ, Uncle Kochikochi and URN.

- **Explore effective uses of mobile phone platforms,** through both SMS and voice, as well as pull services.

- **Engaging with citizen groups,** such as Friends of Education and other informal citizen organizing cells in two-way communication.

- **National and simplified reports** of survey findings will be distributed countrywide and disaggregated data by district will be provided at local levels. An Annual report comparing data across the three countries. Where appropriate these reports will also be provided in Kiswahili.

- **Policy briefs** that mine and analyze Uwezo data (to understand wealth dynamics, which factors are correlated with learning, etc).

- **Participating in selected national and international consultations and conferences.**

- **Revamping the website** to present information in a clean, simple and easily accessible manner, and strengthening social media presence, particularly facebook and twitter.

Throughout, information will be shared in accessible, popular formats, and two-way communication and public debate promoted. Because many methods of communication such as radio and mobile phones are used by men more than women, special attention will be given to approaches that correct for this gender bias. Differences among districts and between countries, including examples of both successes and failures, will be highlighted to foster comparison and learning. The approach will seek to both inform and raise debate, and stimulate citizen feedback. Emphasis will be placed on raising questions rather than quickly jumping to
solutions, in a manner that encourages audiences to think. Onus will be placed on a practical and shared agency – on what each citizen and policy actor can do to make a difference – rather than simply lining up behind the ‘right leader or policy’, or simply complaining about the government. This will include collecting and sharing ‘stories of change’, of how ordinary people have made a difference despite the odds.

The three countries have registered varied progress in implementing the communication element, with Kenya and Tanzania likely being ahead of Uganda. Some principles suggested in the proposal, like two way communication, targeted material have not been implemented in a satisfactory manner. A general observation during the reflection meeting is that the communication activities are not matching with the theory of change. Drawing on lessons learned, in the coming two years greater emphasis will be placed on:

- **Increased Cohesion**: The communication activities seem to be implemented in isolation of each other. There is need for a more visible planning and emphasis of how one activity builds the other. A more fluid connection is needed between the written to TV to Radio based on the principle of ‘repetition for effect’.

- **Reflexivity**: The communication activities have been implemented in relative isolation of reflection. There has been little comprehensive monitoring and analysis of the effect of the various communication outputs. In future all communication outputs will need a design that that allows its effect to be measured. This information will allow us to compare and inform where we ought to place our efforts; for example should it be on the annual national report, or the ranking sheet? In what proportions?

- **Creation of a media unit**: To be based in the regional office, this unit will unite the communication efforts, offer strategic guidance, validate all materials.

- **Oral culture**: A ‘truth’ that we have established is that ultimately, word spreads by ‘word of mouth’. If the written is spoken about, there is longevity (and some distortion) in the information. There is need for a deeper appreciation of this fact and translation in the communication activities. If we are to reach the communities, who are often not accessed by the print or electronic media, we need to think outside the box.

Partnerships: Uwezo will need to invest more in enhancing partnerships with CSOs for communication. Uwezo has met with relative success in partnerships for assessment, but not for conversations and spurring debate. Sustenance will only be built if the Uwezo ‘story’ finds a lifeline in mainstream spaces. We need to delimit creation of own spaces if we are to be effective.

Critically, in our theory of change, the citizen focus is important in at least three regards. First, a lot can be done to improve literacy and numeracy by parents, children, teachers and other ordinary citizens, even within existing constraints. Second, citizen engagement is essential to creating the public pressure needed to hold leaders and service providers to account, both at local and national levels. Third, the citizen focus creates for greater sustainability by diversifying interest, ownership and follow-up, among people who are directly affected by the poor state of learning, rather than becoming dependent on a few elite individuals who may be moved, become corrupted or change their minds.

While the citizen focus and public communication constitute the core thrust of Uwezo’s approach, we will also proactively seek, on a selective, strategic basis, to engage with key actors and processes where these present an opportunity for leverage. The actors will be determined based on each context, but are likely to include government (including the national education sector reviews and budget processes), religious leaders, teachers’ unions, the private sector and others that can exercise influence.

**Stage 3: Shift from schooling inputs to learning outcomes**: We anticipate that, increasingly over time, the communication of actual literacy and numeracy levels will lead to a realization among the public and policymakers that schooling is not enabling children to gain skills, which in turn will lead to a greater concern with how children can learn. We envisage this happening at two levels:

- **At the community level**, having become aware of the crisis, engaged citizens (parents, children, local leaders and activists) will take concrete steps to improve learning, either as individual, private actions...
Based on the lessons and limitations experienced during first two years, more emphasis will be put in the following areas:

- Exploiting the moment of now for conversation and action: More thought is needed to exploit the opportunity offered by the assessment process to take forward the action. Instant feedback has not been exploited effectively and where interest has been ignited, the momentum has not been sustained. More planning is required to build cells of citizens who do not necessarily depend on Uwezo for energy but can collectively focus on their education priorities and act on them. The potential offered by the friends of education network has not been realized.

- Partnerships: Uwezo envisages building partnerships, with professional associations, NGOs, editors and the like to take the agenda forward. More emphasis will be put on this to go beyond the traditional approach of breakfast meetings or paying for supplements in newspapers which are not as...
effective as building relationships with editors. HakiElimu and Twaweza have considerable experience and lessons in the latter which Uwezo will draw on.

- Policy: More strategic engagement will be suggested in the proposal to ensure a follow up on the policy levels. Options under review include targeting technocrats (rather than officers) and working with them to effect the changes; participating more in national and regional meets where ‘peer pressure’ can be exerted.

**Stage 4: Learn, monitor and evaluate:** Flowing through Uwezo’s different stages and forms of work is an emphasis on learning, and on monitoring and evaluation. These are critical parts of our work, and we plan to draw on Twaweza’s learning framework (see Annex 8.2).

Uwezo’s annual cycle of planning, assessment, analysis and communication provides an opportunity to learn and make adjustments each year. Uwezo acknowledges that the flow of actions from stage to stage is neither entirely predictable nor linear: it is premised on sensitive recognition and analysis of, and responsiveness to, the forms of citizen action and policy responses that are taking place. We believe that an intervention logic that aims to enable citizen action may at times be as messy and complex as the lives of citizens and the politics of policy reform in East Africa. Uwezo recognizes the importance of learning from mistakes and failures and will reflect on these honestly and openly.

These same principles have informed the appointment of a team of researchers from MIT and Princeton (LPT) to undertake an independent evaluation of Uwezo over 2010-2013, using experiments across ‘treatment’ and comparison areas combined with in depth qualitative work. The researchers will be able to assess the impact of Uwezo and shed light on which aspects of the Uwezo approach has the most impact.

The monitoring and evaluation work will be continually fed back in to assess progress, make adjustments to the approach, and try something new. Learning will be shared across the three countries through informal discussions, practical documentation and communication that is creative and accessible. We will use these lessons learned to make the necessary correctives in our program, and to inform public understanding and education practice more broadly. In addition, lessons learned are expected to be of interest to a broader international audience, and contribute to the generation of global knowledge. This in turn can contribute to improving learning in other countries, and ironically come back around to influence policy in East Africa because national leaders are at times more amendable to adhering to global norms or exhortations of key outsiders.

In conclusion, what we have presented is a schematic set of stages, which cannot fully capture the dynamic and responsive nature of the intervention logic. Our work is iterative and multiplicative, in that new assessments are done each year, new approaches tried, and new lessons learned. These new data will enable further analysis and comparisons. Localized involvement through ongoing assessments will ensure that debates at national level do not become hived off into expert forums. The new data and interpretation through learning, combined with the reconnection with grassroots perspectives, should lead to further actions and initiatives at different scales. Over time, the momentum and pressure builds, creating snowball and ecosystem effects that realign incentives and shift the education environment to a higher level equilibrium that ultimately contributes to improved literacy and numeracy, and generation of knowledge of what works.
3. GOAL, OUTCOMES AND OUTPUTS

**GOAL: INCREASED LITERACY AND NUMERACY AMONG CHILDREN**

Uwezo’s core purpose is to contribute to the improvement of the quality of education so that children learn and develop greater competencies, particularly in basic literacy and numeracy. The specific goal is to contribute to an improvement of at least 10 percentage points in literacy and numeracy levels among children aged 6-16 years in Kenya, Tanzania and Uganda by end of 2015. The primary method for tracking progress on this will be through Uwezo’s own assessment, as well as independent evaluations.

**OUTCOME 1: UWEZO ESTABLISHED AND KEY PREPARATIONS COMPLETED**

The Uwezo Initiative is established in each of the three countries; with solid organizational basis, functional working relationships with government and other actors, and solid research methodology and communications strategy in place.

The specific key outputs are:

- in each country there are capable staff and program capacity, functioning administrative and financial systems, and rigorous learning, monitoring and evaluation frameworks; and clear overall coordination, governance and accountability structure established;
- national advisory committees for Uwezo are fulfilling their roles; governments informed and support for Uwezo concept secured; close working relationship with the ASER Centre in India established; and partnerships and networks with civil society, media and others developed;
- ASER tool adapted for each national context in consultation with relevant government bodies; sample sizes and research frames established; large scale citizen (volunteer) based implementation design developed; procedure for collection, computer-entry and analysis of large data-sets in place;
- communication strategy and materials for fostering public debate and citizen action, as well as influencing thinking of key actors, in place.

**OUTCOME 2: CHILDREN’S ACTUAL COMPETENCY LEVELS ESTABLISHED**

Actual basic literacy and numeracy levels for children aged 6-16 years credibly established in Kenya, Tanzania and Uganda, data analyzed and compared between districts and across countries, and findings published in each year over four years.

The specific key outputs are, in each of the four years:

- national assessment tests and survey forms developed, pre-tested and checked for quality assurance; volunteers recruited, trained and supported to undertake the assessments;
- household-based assessments undertaken in all three countries (starting with one-third of all districts in year one and countrywide in year three);
- data from each assessment entered accurately and analyzed; comparisons between districts and across three countries made;
- accessible national and East Africa reports published (in English and Swahili); tailored information by district produced; reports and data placed on website for public access.

**OUTCOME 3: GREATER PUBLIC UNDERSTANDING AND DEBATE ABOUT LEARNING**

By end of 2015, there is greater public understanding and debate about learning, with at least 40% of parents and other community members in the assessed communities and at least 20% of parents and community leaders nationwide aware of general levels of children literacy and numeracy.

The specific key outputs are, in each of the four years:

- immediate feedback of assessments provided to parents, children and local leaders in sampled communities; and assessment tool left with sampled communities for continued use;
- assessment tool, findings and analysis disseminated in accessible formats to the public and key actors through the media, websites and email, post and key forums;
• tailored materials developed for and communicated with specific key actors (e.g. ministries of education or finance, MPs, religious leaders, journalists, teachers’ unions/associations, private sector leaders);
• (by 2015) greater coverage and debate of learning and literacy/numeracy levels in media, civil society and parliamentary discussions, and policy forums and documents (including education sector reviews).

OUTCOME 4: POLICIES, PROGRAMS AND PRACTICES EMPHASIZE LEARNING

By the end of 2015, policies, programs and practices at both national and local levels better reflect a focus on learning and improvement of literacy and numeracy.

The exact form this will take in each country (and within countries, districts and communities) will vary (see theory of change above), but the sorts of outputs we will look for include:
• greater parental and community involvement in children’s learning and their basic literacy and numeracy levels, particularly in the sampled communities;
• changes in education policy objectives that promote or establish better incentives for quality and learning, including education targets, curriculum, examinations structure, and/or teacher training, and reorientation of school inspection/quality assurance functions to better reflect attention to quality/learning outcomes;
• changes in budgets that prioritize quality and learning (particularly full funding and timely disbursement of capitation grants);
• changes in the focus and role played by teachers’ unions and other professional associations.

OUTCOME 5: LESSONS GENERATED AND INFORM POLICY AND PRACTICE

Throughout the first four years Uwezo lessons generated through rigorous learning, monitoring and evaluation; lessons used to improve Uwezo practice and shared across East Africa and globally to inform policy and practice.

The specific key outputs are:
• rigorous Uwezo monitoring and evaluation framework and learning approach, tools and practices developed (in conjunction with Twaweza’s Learning and Communications unit) developed (in year 2) and implemented throughout;
• progress against Uwezo’s outcome targets and goals systematically tracked in all three countries;
• lessons generated, documented and communicated through planning exercises, reports, website and public forums, and used to make necessary correctives and improve practice;
• external, independent evaluation to test Uwezo theory of change implemented in Kenya, other evaluative work undertaken in the other countries;
4. PROGRAM ACTIVITIES

The following section describes the main program components that have been implemented to achieve Uwezo outcomes in a manner consistent with our theory of change. This theory posits citizen agency as vital in building public pressure that would trigger actions to improve learning and reaction from policy makers. Evidence is positioned as central in informing citizens, and being used as a basis of instilling demand. While this theory will continue to propel Uwezo’s work, some changes have occurred since the proposal was first written in 2009. This section updates the context, and uses this as basis for shaping the proposal for the next two years. Each year a more specific annual (currently July to June) plan and budget is developed by the 30th of the first month of the plan year. This plan explains the major adjustments/changes that may be necessary.

OUTCOME 1: UWEZO ESTABLISHED AND KEY PREPARATIONS COMPLETED

The Uwezo Initiative is established in each of the three countries; with solid organizational basis, functional working relationships with government and other actors, and solid research methodology and communications strategy in place.

1.1 HOST ORGANIZATION CAPABILITY DEVELOPED

In the first two years, a somewhat unusual governance and implementation structure was adopted. The legal and implementation responsibility for Uwezo was held by the three host organizations: TENMET in Tanzania, WERK in Kenya and UNNGOF in Uganda. Hivos/Twaweza, provides oversight through the Uwezo regional office, which is responsible for setting standards, quality assurance, overall management and budgeting and reporting. The scale of Uwezo, unprecedented in the experience of the host organizations, necessitated strengthening and expansion of organizational capability. A key activity undertaken by Twaweza to ensure effective functioning, transparency and accountability was the commissioning of institutional assessments of the three host organizations. This resulted in strengthening key human and financial policies and related procedures. Uwezo funded the acquisition of the accounting packages and related training in each country, financed the purchase of office related equipment and material and paid for the utilities.

This governance structure has unfortunately not worked well. There have been overlaps, misunderstanding of roles, double work and limited ‘value added’ from host organizations. It is in the best interest of Uwezo to streamline and simplify the governance arrangements. The proposal is therefore for Uwezo in each country to come fully under Twaweza with a clear, single support and reporting line and with one set of policies, quality assurance standards and operating frameworks. This will make both the operations and governance of Uwezo clearer and easier to implement.

a) Staff capacity: The staff capacity of Uwezo has been assessed in two ways: (a) Has Uwezo attracted the right number of people with the right experience and qualification to implement the Uwezo plans? (b) Has the staff implemented the plan as required, in line with the annual plans and set targets? In order to view these in perspective, an initial staff rationalization, together with reorganization of the Uwezo structure was undertaken, across the three country offices so as to meet Uwezo’s assessment and communication objectives. By June 2011, all countries had permanent staff, together with part time facilitators. By July 2011, a somewhat unusual governance and implementation structure was adopted, which included a national coordinator, two national resource persons and one national facilitator in each country office (in Kenya and Tanzania) while the Uganda regional office was made up of a national coordinator and one national resource persons for Uganda. It is in the best interest of Uwezo to streamline and simplify the governance arrangements. The proposal is therefore for Uwezo in each country to come fully under Twaweza with a clear, single support and reporting line and with one set of policies, quality assurance standards and operating frameworks. This will make both the operations and governance of Uwezo clearer and easier to implement.

<table>
<thead>
<tr>
<th>Uwezo East Africa Staffing (including resource persons) (July 2010-June 2011)</th>
<th>Full time staff</th>
<th>Consultants</th>
<th>Part time (at host org)</th>
<th>Interns/Volunteers</th>
<th>Coordinators/Facilitators</th>
<th>Master trainers/Associates</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>M</td>
<td>F</td>
<td>M</td>
<td>F</td>
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<td>4</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>20</td>
<td>23</td>
</tr>
<tr>
<td>Uwezo Uganda</td>
<td>2</td>
<td>0</td>
<td>1</td>
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<td>1</td>
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<td>1</td>
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<tr>
<td>Uwezo Tanzania</td>
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<td>1</td>
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<td>4</td>
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<td>3</td>
<td>2</td>
<td>24</td>
</tr>
</tbody>
</table>
However, despite improvements, gaps still remain between organizational needs and staff positions, and the manner in which positions are filled is uneven. Uwezo shall seek to always have permanent staff in the following core areas: assessment/research, finance, administration, communications, and data analysis. To augment the capacity of Uwezo staff, specialist individuals and agencies will be engaged on a needs basis. The Uwezo scale necessitates the proactive engagement of persons, be they from the districts, or universities to augment the survey and communication aspects. A critical pool of resource persons shall be built from this body to support processes in the region. These partners, together with Uwezo staff members, will continue to be exposed to opportunities for learning through trainings or cross country sharing. Uwezo will continue to engage interns for 3-6 month periods.

b) **Financial and administrative systems:** Both internal and external mechanisms have been adopted. Internally, the finance officers from each country have been briefed on and agreed to the accounting standards; uniform accounting codes are in place across the region. These activity/purpose based codes have been amended as of July 2011 to include functional categories as well, so as to conform to accounting good practice as request by the Hewlett Foundation among others. Training for non-finance managers is organized for second half of 2011 so as to enable each to exercise full oversight. The main output of this meeting will be the Finance Standards for Uwezo. Externally, an audit for the first year of operation has been concluded, and for year 2 about to be undertaken. All these activities have been executed by Twaweza through the Uwezo regional office. The full transition to Twaweza policies will occur by January 2012.

c) **Accountability:** The move to fully manage Uwezo within Twaweza is expected to improve accountability. Uwezo will adhere to the internal rules and regulations of Twaweza and in accordance with statutory requirements and international standards.

### 1.2 SUPPORTIVE NETWORKS FOR UWEZO DEVELOPED

Uwezo recognizes that the most effective way of achieving its objectives is through collaboration with key individuals, organizations and government departments. Uwezo has therefore identified the critical parties whom it shall seek to collaborate with and rationalized the tenets that would govern the proposed partnership. The collaboration is incorporated in Uwezo’s governance structure, such as the National Advisory Committees, as well as the establishment of flexible networks with organizations in education and the media sectors. The key partnerships that have been built are with:

a) **Government Ministries:** Buy-in from relevant departments and individuals has been prioritized in a formal and practical manner. Uwezo has informed the relevant ministries about the processes and has incorporated selected members (drawn from specialist departments like curriculum, examinations, and bureaus of statistics) in the National Advisory Committees. Practically, Uwezo has involved technical experts drawn from two main line ministries (Education and Planning) in key aspects such as developing the assessment tests and sampling framework.

In future, Uwezo will expand and build strategic alliances with sister ministries in order to inform the Ministry of Education, who holds the public mandate for regulating education. Ministries in charge of economic planning (such as Vision 2030); or those seeking enhanced equity (such as Ministry of Northern Kenya and other arid lands) will be sought to build alliances from ‘within government’. Overall, cooperation with government will be sought where possible, provided doing so does not unduly delay Uwezo’s schedule of work or undermine its independence.

b) **Individuals and Organizations:** The selection of key individuals and organizations to partner with has observed a very basic tenet of partnership: that it be a reciprocal relationship in which both parties have something to offer and to benefit. Uwezo standards on partners and volunteers have been developed and will continue to offer guidance on who can partner with Uwezo, how they are identified, and terms of partnership. Individuals, who support crucial areas, will also continue to be involved in program aspects like training and communicating Uwezo results. Partnerships with professional associations, specialist organizations, editors and individuals of influence will continue to be built to further the Uwezo program objectives.
Uwezo will also participate in forums of influence. This implies continuing with active engagement, including accepting offers to sit in the executive committees and boards of coalitions of education, civil society actors or donor education groups.

c) ASER Centre: Uwezo shall not seek to reinvent the wheel and shall continue to benchmark its design and processes against ASER India. Experience has shown that better learning occurs when ASER or Uwezo staff members participate during actual implementation (as opposed to created activities). Uwezo will no longer sponsor delegations to India for broad based participation. Instead, there will be limited cross-country engagements aimed at broadening learning in specific aspects. Uwezo shall continue to engage with ASER in expert meetings similar to the one ASER attended on Tests Standards or in specific activities such as the annual ASER national training. A more unified front will be forged to communicate Uwezo-ASER methodology externally, for instance in international conferences or in participating in learning sessions that enhance our collective expertise (such as in large scale data analysis).

1.3 RESEARCH DESIGN AND IMPLEMENTATION FRAMEWORK DEVELOPED

A characteristic feature of the Uwezo data collection process is its simultaneous rigor and simplicity. While the broad framework has been adapted from the ASER methodology, effort has been made to anchor the specifics of the design within the national policies and contexts. The Uwezo standards on methodology and on test processes detail the design and give guidance on how to treat changes that may occur in subsequent years.

a) The Uwezo Tests Development Framework: In developing this framework, reference was made to the national curriculum and competencies stipulated by the Ministries of Education in respective countries. The framework retained the levels used by ASER in literacy and numeracy and was informed by the EGRA design. This framework documents the various competencies to be tested, levels of competencies and steps to be used in developing the tests. It also lays out the rules governing each test. The framework first developed in 2008/9, and critiqued and improved in 2010, will continue to guide the annual development of tests and will ensure that level of difficulty and comparability across the years is retained.

The question of what to include in the tests is a matter of constant discussion and consideration, with need to balance adding new aspects with consolidating what has been started. In each year one new aspect will be considered while keeping the core the same to enable cross country comparability across years. Among new aspects to be considered including tracking funds received, which will draw on ASER’s PAISA and Twaweza and HakiElimu’s work on capitation grants.

b) Sampling framework: An expert meeting, drawing statisticians and experts from the Bureaus of Statistics in each country, was held in 2010 and agreement was reached on the sampling framework to be used in East Africa. In line with the recommendations, it was agreed that the district will remain the unit of analysis. Sampling of districts and enumeration areas (EAs) is conducted by the respective Bureaus of Statistics. To aid easy identification of the EAs, maps have to be purchased from the Bureau. A rotational sampling frame is adopted each year. District Coordinators sample the households in each EA using a household listing and thereafter selection based on the nth number. The 20 selected households, together with five additional ones are then given to each team of volunteers. Adhering to these stipulations has resulted in the rise in costs to cover the purchase of EA maps, and enlisting of village contact persons to support the household listing process. They have however ensured rigor of processes.

c) Citizen based implementation design: The scale and methodology Uwezo adopts necessitates broad based public involvement. The design for enabling the research to occur is therefore premised upon garnering support from local communities, in the form of volunteers to undertake and coordinate the activities. Using local community members eases access to the households. In order to be more systematic, the selection criteria have been developed and are contained in the Uwezo Standards on Partners and Volunteers. A database of all partners and volunteers has been created using a variety of approaches such as open source tools (CiViCRM) or scanning processes. Still, the concept of
‘volunteerism’ has not been well understood by all. Due to poor employment prospects and a precedence set by most NGOs, participation in Uwezo is often viewed as an employment opportunity and demands for increase of the token allowances are received each year.

d) Data entry system: Uwezo has worked with Sunai, the data analysis firm that ASER uses to offer guidance on data management systems. During the first two years, national data entry centers were contracted to perform data entry, with Sunai offering oversight. Services of Sunai will be retained but there will be a shift to build capacity of local teams, with a future aim of retaining Sunai only on a consulting basis. One data entry centre (situated in Kenya) has been established. It will remain the responsibility of the Uwezo national teams to provide dummy tables that will aid analysis of specific variables.

1.4 PUBLIC ENGAGEMENT AND COMMUNICATIONS STRATEGY DEVELOPED

Communication strategy: Communication is the main driver of Uwezo’s theory of change. Where Uwezo findings are communicated creatively and powerfully, pressure and momentum will build over time and result in a tipping point. During the first year of operation, each country developed a communication strategy. The Uwezo Communications Standards, Publications Guidelines and Branding Manual have also been drafted. The communication approach situates the citizen as being central and is reached in the household. The mass media, particularly radio and telephony, are prioritized for reach and potential of two way communication. The Uwezo communication strategy is hinged upon the following perspectives:

a) Every citizen has a right to know and to receive the information/evidence in accessible formats that are clear and easy to understand;

b) Every contact is communication. Communication is interwoven within all components. All processes Uwezo engages in, including venues of communicating results, are in themselves viewed as communication;

c) Communication activities are of scale in order to reach the millions of citizens in East Africa. Uwezo piggybacks on the networks that already reach millions, builds on what works, and exploits technology and leverages assets and resources to achieve scale;

d) Communication is two way. Uwezo communication always seeks to be interactive through multiple means of communication. Citizens are encouraged to communicate with each other (through friends of education, on radio, social media) and with us (through bulk SMS);

e) Repetition for effect. Similar messages are repeated using different types of media;

f) Uwezo does not promote or advocate for any single solution for reforming education; rather we foster a vibrant, inclusive discussion that seeks to stimulate action.

Each year, each country will have a strategic planning process to ensure that communications is targeted, and understood by ALL staff. Uwezo will plan for opposition, repeat for retention, and seek to influence word of mouth messages by testing communications plans on real people. Communication activities will each be linked to measurable objectives and more effort will be made at systematic monitoring.

OUTCOME 2: CHILDREN’S ACTUAL COMPETENCY LEVELS ESTABLISHED

Actual basic literacy and numeracy levels for children aged 6-16 years credibly established in Kenya, Tanzania and Uganda, data analyzed and compared between districts and across countries, and findings published in each year over four years.

2.1 NATIONAL ASSESSMENT TESTS, TOOLS AND PROCESSES DEVELOPED

a) Development of tests: Basic literacy and numeracy competencies are measured via the ‘one to one’ administration of tests to 6-16 year olds. These tests abide by the steps laid out in the ‘tests development framework’ and premise stated in the Uwezo Standards on Tests and Test Development Processes. The tests are based on Class (standard) 2 curriculum of the respective countries. Test development panels in literacy and numeracy are (re)constituted each year. Ideally, the language policy of each country determines the languages for the literacy test. In Kenya and Tanzania, English
and Kiswahili literacy has been tested. Uganda, as determined by the thematic curriculum, will from Year 3 have tests in the dominant local languages as well as in English. The experiences of ASER and EGRA as well as the resources present in the multilingual forums present in each country will be harnessed in developing these tests. The tests panel members, that include membership from the curriculum and examination bodies, practicing teachers, and book authors, will develop several samples of which four will subsequently be pre-tested and validated by members from the national curriculum boards. Readability tests are conducted on the literacy tests to ensure a constant level of difficulty across the samples. The ‘test unit’ within the Regional Office will offer support and do a final validation of the tests to ensure they adhere to the standards. This activity commences each year, six months before the actual survey.

b) Development of data recording tools: A survey booklet comprising the village information sheet, school data sheet and household survey sheet is used to capture the data.
   - The village information sheet captures data on education and health.
   - The household survey sheet captures data on preschool, schooling status, competency level per child, and socio-economic status of the household.
   - The school data form collects data on enrolment, attendance by both learners and teachers, funding status, head teacher.

The data forms are shared with data analysts for advice and validation of data that will ease East African comparisons.

c) Pre-testing the tools: Pre-testing of the tools is a vital component of the test development processes. The tests will continue to be piloted in different environments, such as rural/urban, coastal/highland, pastoralist/settled agriculture, and improved as appropriate. At least three pre-tests are conducted in addition to one district pilot that assesses both the tests, data recording tools as well as other processes.

d) Recruiting of volunteers: The main data collectors in the Uwezo research design are volunteers. Recruitment criteria and a recruitment drive process for volunteers have been developed and are contained in the Uwezo Standards on Volunteers. Each year, a ‘call for volunteers’ is made in an effort to get broad based participation.

e) Training of trainers: Because of the scale of the Uwezo study, partner organizations and individuals are used to roll out the activities. A cascading training model shall continue to be used where Master trainers are first trained. They then train the district coordinators who in turn rain the volunteers. The two year experience has yielded a slight shift in the training because some district partners tend to be very good at logistics and organizing for the assessment in their districts, but are not good trainers. A cadre of trainers will therefore support such district partners and directly train the volunteers. The trainer of trainers (master trainers/key facilitators) shall undergo an intensive training before they train the District coordinators in two separate two to three day sessions. The Trainer/Facilitators Manual and Volunteer Manual developed in Year 1 and translated (in Tanzania) and have been revised to make them less wordy and more user friendly.

f) Research Authorization: Each country has different stipulations to meet before research can be conducted. Under the guidance of the Uwezo Regional Manager, each country coordinator shall meet all research and ethical requirements, and seek clearance in a manner that assures the integrity and independence of Uwezo.

2.2 HOUSEHOLD BASED ASSESSMENTS UNDERTAKEN

Data is collected from 20 households each in 30 enumeration areas per district in the three countries. In addition, one public primary school per village is visited. Only a third of the districts were covered in the pilot year 2009/10 (70 in Kenya, 38 in Tanzania and 27 in Uganda). In year two country wide coverage was achieved in Uganda and Tanzania (80 and 133 districts respectively), while Kenya is planning country wide coverage in year 3 (158 districts). According to the Uwezo Standards on Methodology, ‘the census frame and resource availability shall guide the treatment of the new districts. Where the new districts deviate from the census frame, old district boundaries shall be retained. Where the census frame has been respected, and subject to
availability of funds, new districts shall be included’. In view of this, the proposed census to be undertaken in Tanzania and Uganda may have implications on the district numbers in future years. The following are the key assessment activities that will be undertaken:

a) **Training of volunteers:** All volunteers undergo two-day residential training, which often commences on a Wednesday. It involves both theoretical and practical sessions with actual visits to schools and households. A volunteer manual is issued to each person serves as a reference guide during the entire data collection process. In year 3, this manual will be made more practical and illustrative, more like an “A to Z” tool.

b) **School visits:** The school visit, which takes place on a Friday morning, serves two critical functions. First, it provides an opportunity to collect data on selected variables such as enrollment, learner and teacher attendance and school facilities/materials. Secondly, it presents an opportunity of introduction to the data collectors. Once children see the data collector in school, it eases the entry to the home.

c) **Village visit:** This activity is often undertaken on a Friday afternoon and begins with a visit to the Chief’s office. The purpose is to inform the local leadership about Uwezo and complete the village information sheet.

d) **Household visits:** This activity takes place on a Saturday, which is officially not a school day. The volunteers visit the 20 selected households and administer the tests in literacy and numeracy to all children aged 6-16 living in the household on a regular basis.

e) **Process recheck:** In the first two years, process recheck of two randomly selected villages was undertaken primarily by district coordinators. The Uwezo secretariat participated in a full district recheck conducted in a district purposefully selected to represent the ‘worst’ experience. Our reflection is that district coordinators tend not to be very critical and may ‘shield’ the secretariat from ‘bad experiences’. The full district rechecks offer more lessons because they cover an entire district and members of the secretariat participate. In the next year, full district rechecks will be conducted in at least four districts, two of which will be randomly selected by the Chief Sampler while the other two will be selected based on a purpose to be determined by the countries. An independent team, including members from other countries, will be assembled to conduct the rechecks and the results will be analyzed and interpreted to guide improvement in practice.

### 2.3 DATA ACCURATELY ENTERED AND ANALYZED

Several processes ensure that data is managed and analyzed in a proper and credible manner:

a) **Data management:** In the first year, all three countries outsourced data entry. Tanzania and Kenya used Sunai to develop the data entry software while Uganda used experts from the Bureau of Statistics. In year two, Kenya set up a data entry centre that served Kenya and Tanzania, while the process in Uganda remained constant. The processes that have been set up, with Sunai offering technical support and capacity training, have proved efficient. Both Uwezo and ASER have sought out external training to improve knowledge and handling of large scale assessment data. In-country opportunities have also been identified and staff members have participated in improving their data analysis skills.

b) **Data processing:** Data processing has a three-stage level comprising:

- **Data cleaning:** The first stage is at the district level. The district coordinators, on collection of the survey sheets, countercheck the accuracy in which the data had been entered. The second stage is at the secretariat. The data analysis team checks the survey booklets for consistency of villages visited against sampling frame, numbering of data form, etc.

- **Data entry:** The first stage involves development of the data entry software, which is concluded before the data forms are received from the field. The second stage (for the case of Uganda) involves identification and contracting of the data entry centre. The secretariat maintains direct oversight to ensure that data entry clerks are trained and produce work of high quality. The third
level involves inputting of the data. Each data entry collector has an identification number for ease of monitoring of quality inputting.

- **Data re-entry:** Data is re-entered for every forth household. If more than two mistakes are noted, the entire village is re-entered. The data entry clerks are monitored and actions taken based on their performance.

c) **Data Analysis:** Dummy tables are prepared before data entry begins, and shared and validated at a regional level. Data analysis respects the principles of studies of scale (e.g. weighting of data for national averages). The units of analysis are at district and national levels. This data is compared as appropriate. Comparison presents a possibility for regions/countries to gauge their standing in relation to others.

### 2.4 DISTRICT AND NATIONAL REPORTS PRODUCED

#### a) National and district reports:
Findings are published in formats accessible to the general public. The data is presented in simple tables and clear diagrams, and other innovative methods that make the publications eye-catching will be explored. These reports, printed and distributed widely, are also available on the Uwezo websites. The national report is prepared within three months of the conclusion of the annual national assessment. This is a comprehensive report whose main intention is to communicate the status of literacy and numeracy. The national report is available in both print and CD format and posted on the websites. To date, each country has produced two national reports, while one East African report has been published.

b) At least two reports, themed and targeted to specific audiences (such as policy makers), will be prepared by Uwezo in collaboration with Uwazi annually. To date, one such report based on Uwezo Kenya findings, has been prepared and released.

### OUTCOME 3: GREATER PUBLIC UNDERSTANDING AND DEBATE ABOUT LEARNING

By the end of year 4, there is greater public understanding and debate about learning, with at least 40% of parents and other community members in the sampled communities and at least 20% of parents and community leaders nationwide aware of general levels of children’s literacy and numeracy.

### 3.1 INSTANT FEEDBACK TO STUDY COMMUNITY PROVIDED

#### a) Feedback at the household:
Uwezo assessments are carried out at the household level. In contrast to other national assessments, Uwezo provides an opportunity to parents to interact with assessments, a usually exclusive school based activity. Parents are given immediate feedback on the child’s ability to read, comprehend and do simple operations. The key assumption underlying this activity is that parents care about improving their children’s learning. Indeed many parents have confessed to having ‘their eyes opened’ due to this process. The primary actors providing instant feedback are the volunteers. In the past, a number of ‘communication’ aids were prepared to ease the process of instant feedback. Hence a ‘Parents Ask’, which outlines a number of activities parents can do, was supposed to be used as a tool to shift attention to what parents can do to support specific aspects of learning. Our reflection is that the instant feedback has not been exploited effectively and where interest has been ignited, the momentum has not been sustained. To aid this process:

- More time will be allocated during the training period to strengthen volunteers’ skills to communicate at the household level and tips for easy reference will be included in the training manual. Volunteers will be alerted on the ‘process’ issues, which in themselves may be a more powerful message, than whatever they have to say. For example, it is vital to have parents observing the process, rather than simultaneously engaging them in other aspects of the survey.
- More time will be invested in supporting the growth of cells of parents, through ‘Rafiki wa Elimu’ activities (a voluntary grouping of citizens who care about making changes in education, modeled after a concept developed at HakíElimu), to converge in their local spaces to act to improve learning in their area.
• A communication flier containing practical tips on how to improve learning will continue to be produced and will be left with parents for their future reference.

• The ‘story cards’ derived from the tests of the previous years will be left in each household. Most households have nothing to read and these cards have been received with excitement. In addition to this, popular material such as calendars, with carefully crafted messages in print and illustrations/photos, will be shared with households.

b) Community Learning: Community learning has mainly been achieved through regional/vernacular stations. In 2010, six FM radio stations were engaged in Kenya, and each week for three months, an educational theme was discussed. District coordinators and political and educational leaders were invited as guests to field questions from listeners. Space was also offered for the audience to interact via telephone call-ins, SMS and occasionally, invitation to the studio. In some cases, Facebook and e-mails were shared during the live transmission sessions. The transmission costs were heavily discounted and Uwezo can claim to have achieved a partnership with the radio stations. In some cases, the only expectation of Uwezo was to provide the content and promotional items (like T-shirts, airtime) and in return Uwezo received free transmission. The public discussion of education, targeting specific groups of listeners, will be retained as it allows increased exposure to the information.

3.2 FINDINGS COMMUNICATED IN ACCESSIBLE FORMATS

Other than providing feedback to schools and families sampled for the study, Uwezo results will also be communicated to a wider population. To aid this process the following process shall be undertaken:

a) Development of ‘easy to understand’ materials: Effort will continue to be made to share the data in friendly and interesting formats. Experience has shown that numbers are effective when accompanied with a ‘human story’. We propose therefore to give life to a story, which connects with ‘the heart’ and inspires action. To date, the Uwezo data has been presented in the following formats:
   - A four page summary report that highlights five main points. While the messages are similar to the national report, it is written in a more popular and easy to read style.
   - A district ranking sheet for each country.
   - Report cards/sheets detailing the education status of smaller administrative units (district or county in Kenya). Each card contains a call to action based on three facts.

Various materials such as one page fliers, calendars, printing on exercise book covers, inclusion in popular story books, ‘Head Teachers Ask’, ‘Parents Ask’, and ‘Citizens Ask’, have been printed in large quantities and distributed to targeted audiences.

b) Electronic media: The launch of Uwezo in the media occurred with the first national release of the results in Kenya (April 2010); and Uganda and Tanzania (October 2010). Thereafter communication via the media gained momentum as follows:
   - Radio: Engagement has occurred in two forms: through invitations to feature in specific discussion shows and through entering into contracts with stations. All three countries have participated in the former. In addition, Kenya partnered with six FM stations, most of which had provincial listenership, to air a three month discussion program. The weekly one to two hour sessions were preceded by a brief three minute drama on the education topic of the hour. A subsequent ‘reality show’ containing a head teachers competition was aired on one station. Tanzania engaged nine radio stations and each hosted six 30 minute talk shows. A seven part radio drama series has also been developed and is being aired on the nine radio stations. Three radio ads have also been developed. Uwezo in Uganda has mostly featured in ad hoc radio talk shows. In addition six radio spots have been developed and will be aired starting in late 2011.
   - Documentaries: All three countries have developed documentaries, each with a different emphasis, narrating the Uwezo process, discussing the findings or calling citizens to action.
   - TV: Uwezo has featured in the news and specific feature stories have been developed and are accessible through the website. Uwezo Kenya has specifically played a facilitative role of providing 30 second clips of visual material to TV houses that have used these new images to tell
the Uwezo story from their perspective. Tanzania has further developed and aired three TV spots. Examples of TV feature story can be viewed on:
http://www.youtube.com/watch?v=_QHmFBYmlvk;
http://www.youtube.com/watch?v=8zbN1LtkGg0;
http://www.youtube.com/watch?v=sV_KL06AVYU&feature=related;
http://www.youtube.com/watch?v=9_E2v2FpcVQ

- **SMS:** Kenya has the most advanced experience in SMS communication which is delivered through the short code “3016”. The messages provided basic facts on Uwezo findings and asked citizens to act in response. A total of 94,348 messages were sent out and 14,047 responses received back. Uganda sent out 7,000 messages.

- **Social Media:** Uwezo has established Facebook pages which have gained over 5,000 ‘friends’. The interactions to date are largely urban focused; in Kenya for example 60% of the Facebook interaction is from people based in Nairobi.

c) **Print media:** Uwezo has been featured prominently in the print media. The analysis has occasionally been in-depth, covering up to four full pages. The headlines have ranged from denial, concern, to provocative, as the following sample shows. While newspapers reach relative small audiences, they are nonetheless important because they often provide the content for radios that reach many millions, and because they are read by key actors such as MPs, government, private sector, donors and the political class.

Our analysis is that Uwezo has met with relative success in terms of achieving exposure via the media. To retain the momentum so that we can access millions of citizens in East Africa, the media activities detailed above will continue to be carried out. In order to expand reach to non-literate and female audiences that have disproportionately lower access to radio, TV and newspapers, efforts will be made to use oral culture. Partner organizations, that have been effectively trained to conduct the assessment, will need an equal level of training for communication work. More contacts need to be sustained with village-based people using their own communication channels. Sustenance will only be built if the Uwezo ‘story’ finds a
lifeline in mainstream spaces. We will delimit creation of our own spaces (such as for our launches) and seek spaces already being used by citizens. Rather than reverting to breakfast meetings or paying for special supplements in newspapers, more effort will be put into nurturing relationships with news editors. Both Twaweza and HakiElimu have considerable experience and lessons in the latter, which Uwezo will draw from.

### 3.3 Tailor Made Communication Packs for Key Actors

**Addressing key actors:** In addition to public communication, targeted materials for key actors will also be developed. Following the general public release and the community feedback of results, we anticipate considerable debate in the mass media and in local community groups. We aim to catalyze further specific forms of debate and responses through tailored media and information packages for key actors. At present, key actors do not sufficiently respond to technical presentations in closed door sessions. Such information channels are not threaded through the public domain, and remain the preserve of groups who use or guard information either simply for gate keeping, or because they do not feel public pressure to act on it. Drawing on the experiences of the earlier feedback, we will target the following groups of key actors through a range of communication and tailor-made media: government ministers, ministries of education, religious leaders, members of parliament, private sector, schooling sector and journalists. These materials will explain the issues in terms that appeal to the specific key actors, and recommend specific actions that they can take.

### 3.4 Greater Public Debate and Coverage on Learning

**Debate and coverage:** Activities related to outputs 3.1 to 3.3 will be carried out in a manner that stimulates debate and citizen involvement. Emphasis will be placed on asking questions rather than giving solutions, and on creating avenues through which people can voice opinions and act to make a difference. Linkages between different media channels and key institutions will be promoted, such as radio and SMS and parliament, so that a greater ‘programmatic’ or ‘ecosystem’ effect can be achieved. We expect the effect of these efforts to be felt from the beginning, but become especially evident over time. We will seek to demonstrate (and have it be verified through the external evaluation) that by 2015 greater coverage and debate of learning and literacy/numeracy levels in media, civil society and parliamentary discussions, and policy forums and documents (including education sector reviews), has been achieved.

### Outcome 4: Policies, Programs and Practices Emphasize Learning

By the end of 2015, policies, programs and practices at both national and local levels better reflect a focus on learning and improvement of literacy and numeracy.

As explained in the theory of change, Uwezo’s direct interventions will focus on assessment and communications. The outputs under Outcome 4 are expected to be achieved by and through other actors who will be inspired and/or compelled to do so by the level of public understanding and debate of the education challenge. Because of this ‘open-ended’ approach and contextual variances (within countries, districts and communities) the exact form this will take in each country will vary, but the sorts of outputs we will look for include the following:

#### 4.1 Greater Public Debate and Coverage About Learning

The Uwezo premise is that parents and other citizens will not sit back and wait for the education officials to do everything if they realize the deficiencies in their children’s learning and see a way of doing something practical about it. In the past two years the focus has been on the following:

- Parents follow up with their children
- Interaction with teachers
- Parents involved in school governance
- Interaction with local leaders
- Local organizing increased

The radio, popular materials, SMS, volunteers, Rafiki wa Elimu, open days, and district launches have all been used as opportunities to engage with parents. Uwezo has used the survey process to gauge parental participation in various aspects, and the analysis reveals over 80% affirming active engagement. Corroboration
has also been sought from volunteers and district based partners, and a sample of the response received is provided below.

### Sample volunteer voices on parental involvement in Kenya

- Parents now understand that education is everyone’s responsibility. Thanks Uwezo, you’ve created awareness (H. Wathika, Kiambu District).
- Parents are realizing they have a bigger role in their children’s education, apart from just paying for it (Ben, Naivasha District).
- To be frank, Uwezo changed so many people positively, especially parents, as many have the ‘Jukumu la mzazi’ hanging in their table rooms (Susan, Tigania District).
- Most parents have changed the attitude of leaving everything to the teachers. Now they are participating through asking and seeking explanation from children (Volunteer, Kangundo District).
- Ever since Uwezo started carrying out the exercise in my village, residents have realized the need to ascertain that their children get the best education (Cyrus, Mwala District).
- One parent detected child’s visual impairment through the exercise. Many others discovered they should help children read at home (Volunteer, Samia District).
- In my village, most parents have realized that active involvement of a parent helps in improving a child’s performance (Volunteer).

The communication activities targeting parents have not had the expected cohesion that results in sustained growth. A more fluid connection is needed between the various forms and based on the principle of ‘repetition for effect’. In the following year, more visible planning and emphasis of how one activity builds the other will be inputted. There has been little comprehensive monitoring and analysis of the effect of the various communication outputs. In the future, all communication outputs will need a design that allows its effect to be measured.

### 4.2 EDUCATION POLICIES AND PROGRAMS FOCUS ON LEARNING

In the past two years, Uwezo has focused on:

a) Program and policy change: In all three countries, the first release of Uwezo data was met with general denial from the ministries of education. Uwezo therefore undertook a three pronged approach, which varied by country, but generally had the following elements: presentation of Uwezo findings and approach in technical forums and briefing meetings; continued invitation to top Ministry of Education officers to be part of the Uwezo process; and via donors or friendly government officers. On the whole, there seems to be a change of attitude in government. This is evidenced by the fact that the Ministry of Education in Kenya and Tanzania has invited Uwezo to a round table discussion. There seems to be increased awareness on the essence of basic skills.

More strategic engagement is suggested in the coming years. Uwezo proposes to identify specific departments and technocrats who can influence implementation and work with them in small reference groups (e.g. on teacher capacity, competencies, etc). There will be more emphasis in networking with other groups in the region who focus on basic literacy and assessments.

b) Expertise in educational assessments: Uwezo will continue to participate in opportunities that increase our capacity to undertake national assessments that inform on the education system. In Kenya, a good working relationship has been established between Uwezo and the national assessment centre that has enabled collaboration and joint funding of assessment activities. More will be invested in nurturing such relationships and spaces across the region.

### 4.3 EDUCATION BUDGETS PRIORITIZE LEARNING

Since budgets are arguably the most important policy instrument, Uwezo will track to see whether increased interest in learning is reflected in education budgets. Particular attention will be given to whether capitation grants- that provide funds at the school level for quality improvements- are prioritized and safeguarded in the budgets, disbursed in a timely and predictable manner, and whether there is transparency on the actual use of these funds. Similar attention may be given to devolved funds such as the Constituency Development Fund (CDF) that now exists in all three East African countries. Instead of setting up its own separate tracking activities, Uwezo will seek to link up with existing activities, such as public expenditure tracking surveys (PETS).
and related activities by NGOs (e.g. Sodnet in Kenya, Uganda Development Network and the Tanzania Education Network/HakiElimu), or to the work of Twaweza. In later years consideration will be given to including a few financial related questions in the annual assessment instrument itself. Finally, Uwezo will track the uptake within policies of recent innovations such as the ‘cash on delivery’ idea (see http://www.cgdev.org/section/initiatives/_active/codaid) and other initiatives that seek to incentivize learning.

### 4.4 TEACHERS UNIONS/OTHER PROFESSIONAL ASSOCIATIONS EMPHASIZE LEARNING

Building on work under Output 3.3, and in concert with other initiatives such as Twaweza, Uwezo will track how teachers’ unions take up greater focus on learning, potentially in terms of promoting standards and professionalization in the interest of restoring respect to the status of teachers. It will be important to follow this work both at the national leadership and local practice levels.

In Kenya, a shift has occurred to target the head teachers associations rather than the teachers’ unions. The former have a professional agenda while the unions have limited themselves to teacher welfare issues. Several meetings have been held with these associations and more strategic engagement is proposed.

### OUTCOME 5: LESSONS GENERATED AND INFORM POLICY AND PRACTICE

#### 5.1 RIGOROUS M&E FRAMEWORK DEVELOPED

Uwezo is committed to undertaking rigorous monitoring of its work and effects. This will be done within a context of internal interest in learning and accountability, rather than simply to ‘please a donor’. Twaweza’s overall learning, monitoring and evaluation framework will serve as Uwezo’s overall frame as well, and adapted as needed. (See Annex)

#### 5.2 UWEZO PROGRESS TRACKED

Uwezo will track progress towards our goals against our outcome targets and outputs systematically each year across all three countries. Basic monitoring has occurred in the first two years, and the framework will be implemented fully starting in year 3. External reporting will be based on this internal monitoring, so as to reduce an unnecessary parallel process that increases transaction costs.

Basic monitoring tools have been developed, reports on progress have been produced, quarterly management meetings have been held, and both a financial audit and process audit of the assessment have been undertaken. These include:

- **Volunteer audit:** It was initially envisaged that only one process audit would be undertaken in year 2. A reflection has shown that while the audit was useful in addressing the broad areas of assessment, questions still remained on the data collectors. The volunteer audit will inform on the quality of data collectors. We need to understand if they actually have the capacity of fulfilling the varied expectations, especially those related to communication (such as instant feedback).

- **Media monitoring:** Media monitoring has been conducted by the country offices. Depth and breadth has been found lacking and analysis has been limited. Hence we do not have a good understanding of the exposure, conversation or levels of action. We propose to hire a media monitoring firm to undertake this.

- **Citizen feedback:** Working with Twaweza, develop ways to garner citizen feedback on an ongoing basis.

#### 5.3 LESSONS DOCUMENTED AND SHARED

Uwezo is committed to lesson learning in an open and honest manner, and to consciously document lessons. This includes developing a culture of and incentives for learning within our country offices, and in the exchange between the staff and key actors across the three countries. Lessons will be used to make the necessary correctives and adjustments for improved performance. They will also be shared more widely among actors through reports, websites, articles and other public forums.
This objective has partly been met. A culture of learning is in place and evidenced in some countries through the monthly seminar series. Staff exchanges across East Africa and internationally have taken place. Uwezo findings have been presented in international forums. While these actions will continue, more will be invested in documenting the lessons. ASER has developed easy to read and attractive documents that can be of value to Uwezo.

5.4 EXTERNAL EVALUATION CONDUCTED

Through Twaweza, Uwezo has commissioned a group of researchers from MIT and Princeton to evaluate the impact and key drivers of change in the Uwezo approach. The principal investigators are Prof. Evan Lieberman, Princeton University; Prof. Dan Posner, MIT; and Prof. Lily Tsai, MIT. See also Annex 8.2

LPT’s research allows for a rigorous assessment of the Twaweza/Uwezo core interventions: literacy/numeral assessments administered to students in villages and urban locations, as well as various follow-up communication campaigns. The study will provide evidence of the direct impact of the literacy/numeral assessments and the immediate follow-up information provided by Uwezo on parent attitudes and participation in their child’s education, and the impact on student performance in the short-term; and the effects of different communication campaigns in generating broader social mobilization and feelings of efficacy both in the communities in which Uwezo worked and in adjacent communities via spill over.

The findings will also provide us with a rich combination of qualitative and quantitative data on the processes that may be activated by these campaigns and how these processes may be shaped by pre-existing contextual and institutional factors. The research proposal reflects Twaweza’s interest in a multi-method analysis and an assessment that incorporates a variety of measurement strategies and analyses and has the following main components:
- Tanzania: Analysis of baseline survey data (2011)
- Kenya: Phase 1 (fieldwork started in June 2011)
- Kenya: Phase 2

Main deliverables:
- All compiled datasets collected from all stages of the research with Uwezo/Twaweza
- A scholarly paper on the motivation and findings of the Kenya Phase I research, submitted to a leading peer reviewed disciplinary and/or development journal
- A research report from the analysis of the Tanzanian “baseline survey”
- A research report from the Kenya Phase II research.
- A summary brief that explains the objectives, methods, and conclusions of the research in clear and simple language
- Periodic web-log (blog) entries about findings and field research
- Presentations at two planned research conferences hosted by Uwezo/Twaweza

OUTCOME 6: UWEZO AS A REGIONAL ENTITY IS STRENGTHENED

Since inception, Uwezo has been clear on its regional character due to the following reasons:

a. Relevance against existing trends: The East African countries have intensified the trend towards increased cooperation and integration. In the education sector, this has been illustrated with more inter-country competitions in school related activities such as essay writing, in sports and games, quizzes and so on. Data from an East African level is required and Uwezo would be filling a gap.

b. Power of comparison: Uwezo can provide a platform for measuring standards, at both inter and intra levels. The adage that one understands themselves better in comparison with another still holds. Nation state comparisons have proved appealing to policy makers who often use the results to validate or augment their positions. Already, education statistical documents, such as BEST of Tanzania, provide for such comparisons (mainly of enrolments). Comparison (or juxtaposition of similar results) is feasible given that education systems in the three countries are similar in many
aspects due to the common colonial experiences and to adoption of a similar methodology and design.

c. Quality and shared lessons from samples of scale: Many small scale projects exist in East Africa. The value has often been undermined due to a ‘closed’ approach. Uwezo from the beginning preferred an approach of scale that crosses borders. We feel that this will activate the education scene in a more energized manner because of its novelty in the region and scale. The country teams are primarily tasked with implementing activities while the region office assumes a quality control position.

The Uwezo regional office holds the countries accountable, coordinates events that ensure countries remain on track to meet their objectives, as well as learn from each other. The peer learning and pressure is an advantage accorded from the regional character of Uwezo.

6.1 STRONG ORGANIZATIONAL COMPETENCE IN PLACE
The Uwezo regional office, under Twaweza, ensures that quality plans and budgets are produced on time, annual financial audits are carried out, annual review and quarterly management meetings with the country heads are held and progress reports are submitted in a timely manner. With the shift of Uwezo under Twaweza, this will be further consolidated and strengthened through the adoption of a single set of policies and clear support and reporting lines.

6.2 STANDARDS AND QUALITY ASSURANCE OF UWEZO IMPLEMENTED
This entails ensuring that quality assessments are carried out in a timely manner, linkages with ASER India are maintained to foster greater learning innovation and quality assurance, monitoring and evaluation is carried out and reports produced. One of the key outputs from the regional office has been to coordinate and produce the Standards Documents on key aspects of the design and process.

6.3 UWEZO LESSONS AND EXPERIENCES DOCUMENTED AND COMMUNICATED
The consolidated East Africa report, which offers an added ‘pressure point’, is prepared and launched through the Uwezo regional office; lessons will be documented and more tailor-made publications targeting specific aspects of learning will be produced. Communication will also be undertaken globally on a selective basis, such as through international conferences, publications and blogging, and piggybacking on strategic opportunities such as annual meetings of the World Bank, the Open Government Partnership, and other activities in which Uwezo or Twaweza are involved.

6.4 UWEZO ELECTRONIC MEDIA PRESENCE STRENGTHENED
The Uwezo website is maintained at the regional level. It will be revamped and professionalized, to be more informative and easy to use. The region will also support the countries to be more strategic in approaches with the media. An activity planned is to engage with HakiElimu on their approach with editors and experience with friends of education. The region will seek to forge more partnerships in information communication technology that can improve Uwezo’s electronic presence.

6.5 UWEZO CONCEPT AND LESSONS SHARED
This entails responding to groups and persons interested in Uwezo. Interest has been expressed from several countries, including Rwanda, Malawi, and Mali. In the following year Uwezo shall consider engaging in Rwanda, and continue exploring support other countries, as well as work out modalities of how the initiative would need to be structured and governed in new countries. It is highly unlikely that Uwezo itself will manage work in the new countries; much more likely that we will share ideas, approaches and lessons, similar to the relationship ASER has had with Uwezo. The revised budget includes finds for exchange visits (also similar to ones undertaken in early days between East Africa and ASER in India) and participation in selected global events and conferences. Building on current informal efforts, Uwezo will explore teaming up with ASER and think tanks/ foundations in a more concerted fashion to promote shared learning objectives through joint global advocacy.
5. GOVERNANCE AND MANAGEMENT

5.1 VALUES AND PRINCIPLES

Uwezo will seek to reflect and practice sound principles of effective and transparent governance. The five key values (adapted from Twaweza) that guide our organizational culture and staff are:

Responsibility and Initiative: We cultivate among ourselves and our partners an ethic of taking responsibility and initiative, where we strive to achieve our objectives as best as we can and do what is needed because we find it important, not needing to wait to be pushed from the outside. This involves trying out different approaches and calculated risk-taking, where we seek to find innovative solutions to intractable challenges, and learn from both our failures and successes.

Reflection and Learning: We actively seek to avoid the twin traps of doing something just because we are used to doing it, and of becoming so busy that we no longer reflect on what we are doing. Among ourselves and our partners we seek to develop an explicit culture and practice of stepping back and learning, of being open to seeing what is ineffective or not working, drawing out lessons and insights, communicating these, and using them to challenge and modify our practice.

Accountability: We seek to be accountable first to the citizens of East Africa, in terms of the relevance and impact of our efforts, and in being responsive to their views, concerns and ideas. Second, we are accountable to our stated purpose, goals and objectives, and to our mentors, advisors and donors in achieving these objectives. Third, we are accountable to each other in the support and honest feedback we provide to enable each one of us to be motivated and effective.

Transparency and Communication: Except for a small range of information that needs to remain confidential, we value transparency throughout our work. This includes information on achievements and limitations, progress reports and audited accounts, and assessments and evaluations. Lessons are documented in formats that can be easily shared and accessed. Most materials are available freely to the public through our website.

Ethical Integrity: We strive to foster a culture that recognizes that we are stewards of resources meant for public good, to be used with great care and responsibility. This will involve ensuring we avoid actual, potential or perceived conflicts of interest, insisting on value-for-money, and following high disclosure and transparency requirements. There is absolutely no tolerance for corruption or use of entrusted position or power for illegal private benefit. Uwezo policies, systems and procedures will be developed to reflect these values and will draw from the strong foundations in place at key East African institutions.

5.2 GOVERNANCE AND MANAGEMENT

Uwezo had previously employed a somewhat unusual governance structure that involved implementation roles by host organizations and oversight by Twaweza. While roles were clear on paper, in practice double reporting lines and unclear mandates made it difficult for country managers to know what to do with conflicting instructions, and quality assurance was compromised. After careful consultations and review of all options, the Twaweza and Uwezo management have determined that it would be in the best interest of Uwezo and all parties concerned to streamline and thus simplify governance arrangements, with Uwezo in each country coming fully under Twaweza, with a clear, single support and reporting line, and with one set of policies, quality assurance standards and operating frameworks. This will make both the operations and governance of Uwezo clearer and easier to implement.

Twaweza’s Advisory Board shall also serve as the Advisory Board for Uwezo and fulfill the following key functions:

- Review the main program strategies, and advise how to strengthen program effectiveness
- Advise on effective learning and evaluation of Uwezo
- Foster linkages with other governmental and civil society actors and processes
- Recommend appointment of new members to the EA and national boards
- Advise Hivos/Twaweza on how it can effectively support the Uwezo Initiative
Discussions have been undertaken across the three countries with host organizations, and have either been finalized or in advanced stages. Transition to Twaweza from the host organizations will take place as of 1 October 2011 for Tanzania and by 1 January 2012 for Kenya and Uganda. Twaweza policies and systems would apply as of the stated start date. All assets procured through the Uwezo budget will be formally transitioned and continue to be used by Uwezo. Uwezo branding (logo, style) will continue to be used.

At the country level, the branding and strong national identity of Uwezo will be retained. National advisory committees shall continue to serve the country programs, comprised of experts and key actors from diverse backgrounds. These bodies are an essential part of the Uwezo strategic and accountability setup, and provide critical advice at key moments in the process. The advisory committees are presented with strategies and lessons, provide independent feedback and guidance, and foster linkages with governmental and civil society networks. Committee members generally serve two year terms, which may be renewed once. The advisory committees normally meet every quarter.

The following is the revised, simplified governance structure:

5.3 STAFFING

The key positions and roles of the Uwezo management team is outlined below:

The Regional Manager shall:

- Provide overall leadership, coordination and management for the Uwezo Initiative
- Manage quality and timely planning, fundraising, monitoring and reporting
- Promote information sharing and learning across the three countries, and share lessons widely in the region and globally
- Serve as the Uwezo spokesperson overall and at the regional level
- Scrutinize all Uwezo branded publications and communication for quality and adherence to standards
- Serve as the link between country units, Twaweza Head, donors
- Ensure that advisory committee meetings are held and are effective
- Develop a regional communication and information strategy and ensure effective implementation
- Liaise with the Twaweza Learning Manager on issues of monitoring and evaluation
- Liaise with and report to the Head of Twaweza
The Country Coordinators shall:

- Provide overall leadership and management for the Uwezo Initiative at country level, and ensure it is successfully implemented
- Ensure that the Initiative is effectively implemented at the country level in accordance with approved plans, timelines and budgets
- Ensure adherence to organizational policies, systems and procedures, and the highest levels of transparency and accountability, in cooperation with the host organization
- Prepare work plans, narrative and financial reports on time and with good quality
- Develop and take full responsibility for the assessment (tests, sampling, district coordinators, analysis), and communication of findings
- With the support of the Regional Manager, coordinate work and learning with Uwezo teams in the other East African countries
- Serve as the Uwezo spokesperson at the country level and promote/represent Uwezo as needed
- Organize effective national advisory board meetings
- Cooperate with Hivos/Twaweza and the Regional Manager, and support the country staff/hold them accountable

The CVs of the Regional Manager and Country Coordinators are available upon request.

5.4 REPORTING

Uwezo will compile one common set of plans, budgets and reports- for our own internal planning and monitoring, for our internal governance, and for our donors. The purpose is to provide a comprehensive picture to all donors of the initiative, and to reduce the reporting time so that Uwezo staff can focus their energy on achieving results. The reports are produced initially for each country and consolidated for the region, and the coordination and quality assurance functions undertaken by the Uwezo Regional Manager. The plans and reports, and their main features and timeframes are shown below:

a) **Annual Plan and Budget**: Uwezo produces an annual plan with corresponding budget each year at the start of the program year, which will be shared with all donors. The annual plan and budget elaborate on the indicative directions in this proposal, and specify in more detail the activities to be undertaken and how funds will be spent. Requests for adjustments to program and budgets (e.g. due to under expenditure in previous years, or a change in approach in response to lessons learned) are also be submitted at this time. The annual plan and budget are normally submitted to donors by the 30th day of the first month of the program year. At present the plan year runs from July to June; this may be changed to align with the January to December year used by Twaweza.

b) **Mid-year reports**: The mid-year reports are brief, of about 10 pages in length, and cover the first half year (July to December). They provide a succinct account in point form of progress and challenges, as well as an unaudited budget vs. expenditure report for the same period. A new format – in the form of a letter highlighting key aspects and lessons – has recently been tried by Twaweza and found preferable by its Board and donors, so a change to this format will be considered. The mid-year report will normally be submitted to donors by the end of the eighth month.

c) **Annual reports**: The annual reports will be detailed, and seek to meet all reasonable general donor requirements. The narrative report will provide a comprehensive account of progress made in relation to the program proposal and annual work plan. It will be highly analytical and reflective, and provide a substantive discussion on the effectiveness of Twaweza’s strategy, lessons learned and implications for future work. The financial statements will report on all normal financial requirements and will conform to the International Financial Reporting Standards. An internationally reputable audit firm appointed by Hivos/Twaweza in consultation with the host organizations will audit the financial statements. The annual narrative report and audited annual financial report will normally be submitted to donors by 30 September.
These reports will be fully public documents. The reports will be distributed to Uwezo donors and key partners and published on the Uwezo websites.

The common annual reports will first be discussed within the internal governance structures of Uwezo host organizations and Twaweza, and then submitted to donors. A joint annual donor meeting will be held at the regional level, and if needed, country level as well. To the maximum extent possible, exchanges regarding reporting will be handled in these meetings rather than bilaterally so as to minimize transaction costs, and to foster mutual dialogue among the donors. Donor parties will have an opportunity to contribute to the standards and structure of the reports, but no separate reports to meet the requirements of individual donors will be provided. Bilateral donor missions and visits will be generally discouraged, though donors may participate in ongoing work where this will not cause disruption or unduly influence outcomes.
## 6. RISK MANAGEMENT

<table>
<thead>
<tr>
<th>Potential Risk</th>
<th>Level of Likelihood</th>
<th>Mitigation Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governments/ Ministries of Education are unlikely to be keen about public</td>
<td>Low to Medium</td>
<td>• Uwezo teams in all three countries have involved education ministry officials and education sector donors to explain the Uwezo approach; after initial resistance there is a greater opening up.</td>
</tr>
<tr>
<td>light being cast on issues that undermine their positive records in education, especially public servants steeped in ‘sitting-allowance’ culture. The critical mass of potential volunteers of the technical level that can be trained quickly to the level Uwezo requires may also be in short supply.</td>
<td></td>
<td>• Close working relations will be established with the state institutions such as National Curriculum Development Centre (Uganda), Kenya Institute of Education, etc., as well as with National Examinations Boards and Councils, and state Statistics Bureaus.</td>
</tr>
<tr>
<td>particularly through an independent effort that they are unable to ‘control’. A certain level of tension with government is therefore inevitable, as is the case with ASER in India.</td>
<td></td>
<td>• Key actors able to liaise with government at high levels incorporated in Twaweza’s advisory Board and in national committees.</td>
</tr>
<tr>
<td>Although the education systems in the three countries are similar in some</td>
<td>Low</td>
<td>• Given the trend towards increased cooperation and integration between the East African countries, using a similar assessment can provide a comparable picture of learning in the three East African countries.</td>
</tr>
<tr>
<td>respects given the common colonial experiences, they are dissimilar in many</td>
<td></td>
<td>• Issues of language of instruction in Uganda being worked out</td>
</tr>
<tr>
<td>other aspects such as languages of instruction that may make cross country</td>
<td></td>
<td>• To ensure that data are comparable across the three countries, testing instruments are similar, and schedules being harmonized to allow simultaneous release in all three countries.</td>
</tr>
<tr>
<td>Comparisons and coordination difficult.</td>
<td></td>
<td>• East Africa report comparing three countries and prepared each year, with foreword from EAC Secretary General.</td>
</tr>
<tr>
<td>The aim of all three countries is to ensure that volunteers, people</td>
<td>Medium</td>
<td>• Build on experiences learned from two years, share across the region</td>
</tr>
<tr>
<td>concerned about education and are motivated to contribute, collect data.</td>
<td></td>
<td>• Draw on students and in particular develop closer links with universities</td>
</tr>
<tr>
<td>However, ‘volunteerism’ is something not ingrained in popular culture in</td>
<td></td>
<td>• Institutionalize awarding of certificates for participation.</td>
</tr>
<tr>
<td>East Africa and may be branded as ‘breaking the law’ by detractors, especially</td>
<td></td>
<td>• Use the opportunity of publicizing Uwezo findings as well as ongoing communication, including through media, to attract volunteers</td>
</tr>
<tr>
<td>public servants steeped in ‘sitting-allowance’ culture. The critical mass of</td>
<td></td>
<td>• Create ways in which website can help recruit volunteers, including by providing profiles of volunteers that can encourage others to join.</td>
</tr>
<tr>
<td>potential volunteers of the technical level that can be trained quickly</td>
<td></td>
<td></td>
</tr>
<tr>
<td>to the level Uwezo requires may also be in short supply.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Citizens are reached with the information but remain passive (i.e. do not</td>
<td>Medium</td>
<td>• Learn, build expertise and integrate effective communication strategies within the country program from the onset. Make strategic decisions on the message that needs to be communicated and develop appropriate tactics.</td>
</tr>
<tr>
<td>turn into change agents).</td>
<td></td>
<td>• Make the appeal creative and engaging, particularly use approaches that reach low literate groups.</td>
</tr>
<tr>
<td>Uwezo is unable to develop deep strategic partnerships and program</td>
<td>Medium</td>
<td>• Profile examples of similar organizations (e.g. Pratham, HakiElimu, Twaweza) and use them to inform Uwezo.</td>
</tr>
<tr>
<td>effectiveness at scale because of limited internal capacity.</td>
<td></td>
<td>• Use the new consolidated governance structure under Twaweza to simplify and harmonize systems, and develop clearer coaching, support and accountability channels.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Build a strong network of mentors and consultants, including country specific ad hoc technical advisers who can work with the Uwezo team and partners as well as follow-up.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Identify and focus on fewer but far reaching partnerships.</td>
</tr>
<tr>
<td>Outcome and Output</td>
<td>Actual 2009/10</td>
<td>Unaudited 2010/11</td>
</tr>
<tr>
<td>--------------------</td>
<td>---------------</td>
<td>------------------</td>
</tr>
<tr>
<td>1.1 Host Organization Capacity Developed</td>
<td>43,288</td>
<td>53,600</td>
</tr>
<tr>
<td>1.2 Supportive Networks for Uwezo Developed</td>
<td>35,513</td>
<td>16,141</td>
</tr>
<tr>
<td>1.3 Research Design Framework developed</td>
<td>9,409</td>
<td>54,823</td>
</tr>
<tr>
<td>1.4 Public engagement and communications</td>
<td>6,179</td>
<td>1,496</td>
</tr>
<tr>
<td>Sub total</td>
<td>94,388</td>
<td>126,060</td>
</tr>
<tr>
<td>2.1 National Assessment Tests, Tools and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 Household Based Assessments Undertaken</td>
<td>783,948</td>
<td>1,885,751</td>
</tr>
<tr>
<td>2.3 Data Accurately Entered and Analyzed</td>
<td>80,154</td>
<td>108,632</td>
</tr>
<tr>
<td>2.4 District and National Reports produced</td>
<td>44,681</td>
<td>66,771</td>
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<tr>
<td>Sub total</td>
<td>1,235,320</td>
<td>2,755,299</td>
</tr>
<tr>
<td>3.1 Communication materials in accessible</td>
<td></td>
<td></td>
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<tr>
<td>3.2 Tailor-made Communication Packs for key</td>
<td>84,783</td>
<td>345,147</td>
</tr>
<tr>
<td>3.3 Greater Public Debate and coverage about</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4 Greater Parental/Community Involvement</td>
<td>4,000</td>
<td>-</td>
</tr>
<tr>
<td>3.5 Education policies and programs focus on</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.6 Education Budgets prioritize learning</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>3.7 Teachers Unions/Professional Associations</td>
<td>86</td>
<td>5,844</td>
</tr>
<tr>
<td>Sub total</td>
<td>4,682</td>
<td>7,833</td>
</tr>
<tr>
<td>4.1 Rigorous M&amp;E framework developed and</td>
<td>1,437</td>
<td>9,623</td>
</tr>
<tr>
<td>4.2 Uwezo progress tracked and reports</td>
<td>7,692</td>
<td>15,926</td>
</tr>
<tr>
<td>4.3 Lessons documented and shared</td>
<td>1,067</td>
<td>12,181</td>
</tr>
<tr>
<td>4.4 External evaluation conducted</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Sub total</td>
<td>10,196</td>
<td>37,730</td>
</tr>
<tr>
<td>Total Program Cost</td>
<td>1,437,617</td>
<td>3,345,512</td>
</tr>
<tr>
<td>6.1 Personnel Cost</td>
<td>392,457</td>
<td>559,126</td>
</tr>
<tr>
<td>6.2 Running Cost</td>
<td>58,762</td>
<td>74,410</td>
</tr>
<tr>
<td>6.3 Internal documentation and correspondence</td>
<td>107,626</td>
<td>13,369</td>
</tr>
<tr>
<td>Total Operations Cost</td>
<td>558,844</td>
<td>646,904</td>
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<tr>
<td>Budget for the Countries</td>
<td>1,996,461</td>
<td>3,992,416</td>
</tr>
<tr>
<td>1.5% Miscellaneous/Contingency</td>
<td>76,916</td>
<td>80,762</td>
</tr>
<tr>
<td>Total for the countries</td>
<td>1,996,461</td>
<td>3,992,416</td>
</tr>
<tr>
<td>Regional Oversight and Activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strong Organizational Competence</td>
<td>84,431</td>
<td>125,044</td>
</tr>
<tr>
<td>Standard and Quality Assurance of Uwezo</td>
<td>97,058</td>
<td>189,350</td>
</tr>
<tr>
<td>Uwezo Electronic Media presence</td>
<td>11,411</td>
<td>13,055</td>
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<tr>
<td>Running cost</td>
<td>-</td>
<td>29,996</td>
</tr>
<tr>
<td>Personnel Cost</td>
<td>29,066</td>
<td>93,550</td>
</tr>
<tr>
<td>Project Assets</td>
<td>80,072</td>
<td>-</td>
</tr>
<tr>
<td>Total Regional activities</td>
<td>120,549</td>
<td>318,089</td>
</tr>
<tr>
<td>Management fee</td>
<td>125,000</td>
<td>125,000</td>
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<tr>
<td>1.5% Miscellaneous/Contingency</td>
<td>11,194</td>
<td>11,753</td>
</tr>
<tr>
<td>Grand Total</td>
<td>2,242,009</td>
<td>4,435,505</td>
</tr>
</tbody>
</table>
Main budget Components 2011-2014

![Pie chart showing budget components for 2011-2014. Programs costs at 71%, operation costs at 16%, oversight and activities costs at 10%, and management fees at 3%.]

Budgets trends (USD) 2011-2014

8. ANNEXES

8.1 MEMBERS OF ADVISORY BOARDS AND COMMITTEES:

<table>
<thead>
<tr>
<th>Board</th>
<th>Name</th>
<th>Affiliation</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Twaweza Advisory Board</td>
<td>Prof Sam Wangwe</td>
<td>Executive Director, Research on Poverty Alleviation (REPOA), Chairperson</td>
<td>Tanzania</td>
</tr>
<tr>
<td></td>
<td>Dr. Juma Mwapachu</td>
<td>Former Secretary General, East Africa Community</td>
<td>Tanzania</td>
</tr>
<tr>
<td></td>
<td>John Male-Mukasa</td>
<td>Director, Uganda Bureau of Statistics</td>
<td>Uganda</td>
</tr>
<tr>
<td></td>
<td>Dipak Naker</td>
<td>Director, Raising Voices</td>
<td>Uganda/UK</td>
</tr>
<tr>
<td></td>
<td>TBD</td>
<td></td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Dr. Sipho Moyo</td>
<td>Africa Director, ONE</td>
<td>S. Africa</td>
</tr>
<tr>
<td></td>
<td>Dr. Rukmini Banerji</td>
<td>Director, ASER</td>
<td>India</td>
</tr>
<tr>
<td></td>
<td>Smita Singh</td>
<td>Independent, Formerly Hewlett Foundation</td>
<td>USA</td>
</tr>
<tr>
<td></td>
<td>Owen Barder</td>
<td>Senior Fellow, Center for Global Development</td>
<td>UK, USA</td>
</tr>
<tr>
<td></td>
<td>Prof. Valerie Frissen</td>
<td>Professor of technology and Social Change</td>
<td>Netherlands</td>
</tr>
<tr>
<td></td>
<td>Lant Pritchett</td>
<td>Professor of Practice of International Development, Harvard</td>
<td>USA</td>
</tr>
<tr>
<td></td>
<td>Ben Witjes</td>
<td>Director of Programs and Projects, Hivos, ex-officio</td>
<td>Netherlands</td>
</tr>
<tr>
<td></td>
<td>Rakesh Rajani</td>
<td>Head, Twaweza Initiative, ex-officio</td>
<td>Tanzania</td>
</tr>
<tr>
<td>National Advisory Committees (TBC)</td>
<td>Prof. Daniel Sifuna</td>
<td>Professor of Education, Kenyatta University</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Mary Ndiangui</td>
<td>Quality Assurance Officer, Ministry of Education</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Dr. Wycliffe Otieno</td>
<td>Former Program Officer, UN Organization for Policy Services and World Bank. Education Consultant</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Rosemary Orlale</td>
<td>Executive Director, African Women and Child feature Services</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Daniel Wesonga</td>
<td>Women Educational Researchers of Kenya</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Dr. Sheila Wamahiu</td>
<td>Former Head of Education, UNICEF Uganda</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Bernard Obasi</td>
<td>Central Bureau of Statistics</td>
<td>Kenya</td>
</tr>
<tr>
<td></td>
<td>Paul Wasanga</td>
<td>Chief Executive Officer, Kenya National Examinations Council</td>
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Uwezo will use Twaweza’s overall learning framework to guide its monitoring and evaluation work. The large scale evaluations will be undertaken and managed by Twaweza, which will decide which aspects of the Uwezo approach can usefully be tracked and measured. Monitoring will be undertaken by Uwezo in accordance with simple plans and approaches developed in concert with Twaweza. The regional manager of Uwezo will liaise closely with the Twaweza learning manager to ensure effective achievement. In addition, a dedicated monitoring assistant will be recruited to pull together monitoring information. The section below contains excerpts from Twaweza’s main strategy document that is applicable to Uwezo.

Twaweza’s learning architecture seeks to cultivate a culture of critical inquiry, reflection and adaptation within the initiative, informed by nimble feedback loops between different components of our work. It is made of three main components: monitoring, independent evaluations and staff and partner learning. Effective communication – internal and external – is also an essential aspect of the picture with a dual purpose: to subject Twaweza’s work to external scrutiny and to be able to contribute to knowledge and program design across East Africa and globally. The key components of the learning architecture and relationships between them are shown in the diagram below.

**Monitoring**

Twaweza’s internal monitoring aims at documenting what we do and why, and following up on what works, and what enables learning and informed decision-making.

Monitoring at Twaweza aims at enhancing our understanding of what works under which conditions and at being transparent and accountable. Monitoring is an important part of our learning loops and closely linked to learning, insight on communication and evaluation. Monitoring generates information that allows for learning, how to do things better and make informed decisions about necessary changes and adaptations. Monitoring is also crucial for informing evaluation and for our communication with partners, public and donors. Both internal monitoring and external evaluation are closely linked to Uwezo’s and Twaweza’s outcome indicators as formulated in the metrics framework.

Twaweza collects and compiles information as follows:
- **Baseline**: knowledge about the current situation from the baseline survey (undertaken in Tanzania), will look at effects of Uwezo assessment alone (without full scale communication) and will be analyzed by LPT (see below) – a follow up to the baseline will be carried out in Tanzania in 2014;
- **Inputs**: to document Uwezo’s assessment and communication activities, at community, national and global levels;
- **Outputs**: document what has actually been done and achieved in relation to expectations, self-reporting with random checks, triangulation of information from different sources, including quick surveys, scorecards, citizen monitors, outsourced media-monitoring; support for monitoring undertaken by partners;
- **Outcomes**: to find evidence for effects regarding the shift of focus from schooling inputs to learning outcomes, including understanding of literacy and numeracy levels, an analysis of the level and quality of public debate, as picked up through immersion, citizen monitoring, media monitoring, video evaluation.

The collection of information on current partners and initiatives in a temporary database is about to be completed. The decision on the technical basis for the web platform will be made in the second half of 2011. The web interface is expected to be functional and publicly accessible in 2012.

**Internal Monitoring**
The monitoring of outputs and outcomes will be primarily compiled by the monitoring assistant, in cooperation with designated staff in each of the country offices. The main steps of the monitoring workflow are:

- Self-reporting by country offices, in accordance with agreed tools and templates.
- The Monitoring Assistant compiles and triangulates the information from each country’s reports and other sources in a database and identifies gaps or areas for further exploration.
- Information from research reports, newspaper articles, radio & TV coverage, citizen monitoring per mobile phone and SMS, and direct feedback used to build a comprehensive picture of achievements and challenges for each partnership, as well as the larger eco-system.

**Media monitoring**
At present news clippings on Uwezo and related themes are collected daily in all three countries. Uwezo will use media monitoring for two main purposes: to follow the reporting and public debate on Uwezo and related
interests and to document whenever media mentions Twaweza and its partners. This will be done in concert with Twaweza.

The information collected is expected to be made available internally to staff as well as interested external parties through an online database that is easily searchable. The information is expected to be of interest to partners, researchers, journalists, decision-makers, CSOs and donors.

**Independent evaluations**

*Twaweza’s external evaluation aims at rigorously analyzing impact, Twaweza’s contribution to change, and discussing and developing Twaweza’s theory of change, providing feedback throughout.*

As shown below education and Uwezo specifically form a key component of the evaluation. The evaluation of Uwezo will focus on outcomes and impact - How do we know what we achieved? Why did we/did we not succeed in a certain area? Does Uwezo’s theory of change work? It has been built alongside Uwezo’s interventions and broader Twaweza’s programs, from the beginning, following processes as they unfold. The evaluation is carried out by independent, external evaluators from top research institutions.

Twaweza has chosen a jigsaw approach: the idea of having one team in charge of the entire evaluation was abandoned in favour of committing a number of different research teams, each contributing unique expertise to cover the depth and breadth (sectors) of Twaweza’s work. The evaluation teams use mixed approaches and methods (RCT, econometrics, qualitative, participatory, video).

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**JIGSAW APPROACH TO EVALUATION**

The main independent evaluations underway to date are outlined below:

**LPT (Lieberman, Posner, Tsai):** Evaluation of Uwezo in Tanzania and Kenya (Jan 2011-Dec 2013). Uwezo aims to increase the agency and participation of citizens, and to improve the quality of education in East Africa, as measured by school age literacy and numeracy. The principal investigators are Prof. Evan Lieberman, Princeton University; Prof. Dan Posner, MIT; and Prof. Lily Tsai, MIT. The short version of the LPT proposal can be provided upon request.
LPT’s research allows for a rigorous assessment of the Twaweza/Uwezo core interventions: literacy/numeracy assessments administered to students in villages and urban locations, as well as various follow-up communication campaigns. The study will provide evidence of the direct impact of the literacy/numeracy assessments and the immediate follow-up information provided by Uwezo on parent attitudes and participation in their child’s education, and the impact on student performance in the short-term; and the effects of different communication campaigns in generating broader social mobilization and feelings of efficacy both in the communities in which Uwezo worked and in adjacent communities via spill over.

The findings will also provide us with a rich combination of qualitative and quantitative data on the processes that may be activated by these campaigns and how these processes may be shaped by pre-existing contextual and institutional factors. The research proposal reflects Twaweza’s interest in a multi-method analysis and an assessment that incorporates a variety of measurement strategies and analyses and has the following main components:

- Tanzania: Analysis of baseline survey data (2011)
- Kenya: Phase 1 (fieldwork started in June 2011)
- Kenya: Phase 2

Main deliverables:
- All compiled datasets collected from all stages of the research with Uwezo/Twaweza
- A scholarly paper on the motivation and findings of the Kenya Phase I research, submitted to a leading peer reviewed disciplinary and/or development journal
- A research report from the analysis of the Tanzanian “baseline survey”
- A research report from the Kenya Phase II research.
- A summary brief that explains the objectives, methods, and conclusions of the research in clear and simple language
- Periodic web-log (blog) entries about findings and field research
- Presentations at two planned research conferences hosted by Uwezo/Twaweza

**AIID (Amsterdam Institute for International Development):** The Amsterdam Institute for International Development (AIID) aims at rigorous evaluation of policy interventions in developing countries. AIID uses a battery of techniques to address impact evaluation questions while at the same time striving at rigorous statistical analysis. Locations (e.g. villages) are used as the unit of observation, while survey questionnaires are applied at the household level.

Principal Investigators are Prof. Jan Willem Gunning and Prof. Chris Elbers. The evaluation has three main components: an econometric analysis based on changes over time; high-frequency (‘real time’) monitoring of Twaweza campaigns at the village level through monthly telephone interviews with 250 village informants over three years; and a package of qualitative methods to support interpretation of the results.

Main deliverables:
- A descriptive report on the baseline survey
- A system of collecting information in the survey villages
- A second baseline survey
- Panel data econometric analysis of the various Twaweza activities, using the baseline, the data collected by the informants and the second survey round data

**ILPI (International Law and Policy Institute, Oslo)** is planning a Deep Monitoring Project in Tanzania, and has offered to collaborate with Twaweza on research design, information sharing, and analysis. The purpose is to establish an ongoing local level monitoring process to assess the impact of institutional and socio-economic reforms. ILPI proposes to build and maintain a network of long-term monitors/researchers at village and street level in all regions. The project is a combination of ethnography, based on observation and open-ended questions, alongside a more structured study and quantitative analysis.

**Wananchi Survey**, managed by Uwazi at Twaweza and expected to be launched by early 2012, will regularly contribute large amounts of systematic real-time evaluative information through mobile phones. About 10 questions will be asked in each round from a sample of about 1,250 households in each country. Information
collected will include both data on situation as well as public opinion. Topics will include health, education, water and citizen agency, and other issues of public concern. The findings will be quickly analysed, shared with media and published online and through short briefs.

**Citizen monitoring** is supported through Twaweza’s programs, and is carried out on a more ad hoc basis by volunteers and small groups. The sampling scope of these activities tends to be smaller, and process kept simple. Examples of monitoring undertaken in the past include a survey of the functionality of water points and price of water, checking whether funds have reached schools and the availability of medicines. Results are published in simple briefs and shared with media and online.

**Maweni Farm** is working with a participatory video evaluation, visiting three communities in Kenya, Tanzania and Uganda over the period of four years, to build an understanding for citizens’ experiences regarding health, water, education and citizen agency at the local level, as well as changes over time and how these are reflected in the public debate.

**Experiments** Twaweza plans to conduct controlled experiments to test possible solutions for enhancing the quality of education in East Africa. These will serve as evaluation components, as well as inform Twaweza’s programmes. Initial discussions have been held with researchers from the international evaluation community (including J-PAL, IPA and others). Between 2011 and mid-2014 the following experiments are planned: capitation grants to schools in Tanzania; local cash on delivery for teachers, whose students perform well according to independent tests in Tanzania; and cash on delivery in Uganda. For more information on experiments, see Section 4.2 of the Twaweza Strategy 2011-2014.

Other puzzle pieces and research partners will be identified by early 2012. The aim is to generate a composite evaluation, where the three countries and four sectors are covered by different approaches and methods. Twaweza is looking for specialists in rigorous impact evaluation and randomized control trials (RCTs) for experiments on education, and for researchers with extensive experience with qualitative and participatory methods for exploring mechanisms of citizen agency. Potential groups with whom contact has been made include J-PAL, IDS Sussex, University of Stellenbosch, Ideas42, CEGA, UWE, and 3ie.

**Staff and partner learning**

Twaweza’s effectiveness is increased through continuous organizational learning, making use of external research, and discussing and sharing ideas and experiences amongst Twaweza (including Uwezo) staff, its partners and partnerships. Twaweza’s aim is to contribute to global knowledge and debate by offering its own lessons on:

- the relationship between information and citizen agency;
- the relationship between citizen monitoring, accountability and the quality of services;
- new channels and methods to increase flows of information between citizens, service providers and decision makers;
- the partnership approach, interventions of scale and the eco-system of change.

Twaweza’s learning activities are aimed at its own staff, as well as partners, interns, researchers, donors, citizens in East Africa and the wider research community:

- Staff learning sessions introduce new topics, ongoing research and ideas for partnerships;
- The monthly reading club invites staff, partners, interns and interested citizens to discuss an article or a chapter on development issues related to Twaweza’s work;
- The internship program brings in young people from East Africa and all over the world to exchange ideas and gain experience in innovative development work;
- Twaweza is establishing both a physical and an online library with related books, articles, summaries and links to be shared with partners and the wider network;
- Twaweza is connecting to debates and developments in the rest of the world through participation in conferences, networks and social media.