Introduction

Training Modules on Educational Governance at Local Levels

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ACKNOWLEDGEMENTS

This manual on Educational Governance at Local Levels was commissioned by the Basic Education Division at UNESCO Headquarters. The manual is a compilation of procedures and instruments that permit capacity building options to users at different stages of their experience with local governance and decentralization, in its policy and operational dimensions.

An International Training Manual on Educational Governance at Local Levels is an eclectic undertaking. I must at the outset acknowledge that this could only have been done by drawing upon knowledge bases created in so many different parts of the world by several agencies which are focused on the subject from different perspectives. The central issue of governance or good governance which leads to improvements in basic education, poverty reduction and entitlements with accountability is one of great global concerns. Substantial research and gathering of best practices has been underway for sometime. This has resulted in “toolkits” and “manuals” available from the World Bank, Asian Institute of Development Studies (IDS) Sussex University, UNESCO, UNDP, US AID, etc.

Moreover as e-governance expands in many countries of the South, it is also becoming increasingly apparent that many of the tools are now accessible via internet as a part of the new Information Communication Technology revolution. Each country and user can thus download relevant instruments that serve the purpose for demystifying policy and accessing tools which empower local groups. The tools, may be adapted to local contexts and can assist in setting up systems for effective decision making with optimum learning outcomes.

I would like to thank many individuals, governments and organizations:

UNESCO for its lead role in taking forward the implementation of commitments made in the Dakar Framework of Action in 2000 with active participation of member states. The Director General of UNESCO, Mr. Koichoro Matsura, has consistently focused on local governance as an anchor activity for promoting partnerships across governments, communities, civil society partners and private sector to meet the goals of EFA. The Basic Education Division under the leadership of Ms. Aicha Bah Diallo Deputy Assistant Director General for Education at UNESCO-Paris and her team. UNESCO endeavored to bring on board resources from across the world to share best practices through meetings in Paris, serving as a basis for moving forward in this key area which underpins sustainable achievement of all EFA Goals by 2015.

Ms. Faryal Khan, of the Basic Education Division, UNESCO Headquarters, for her single minded dedication to this area of work and serious collaboration on expanding concepts on the ‘decentralization audit’ whilst working in Pakistan.
The Governments of Pakistan, Thailand and Egypt for: initiating an unprecedented devolution exercise, exploring collaboratively the ICT options for local governance in the South East Asian perspectives, capacity building and sharing concepts of decentralization and local governance in the Middle Eastern context, respectively. These regional meetings have lead to many possibilities and opening spaces for civil society organizations to work hand in hand with local governments to reach EFA goals by 2015.

The World Bank, UNDP, and USAID for their continuous efforts in the important areas of decentralization, good governance and local governance from multiple perspectives including education.

Sudhaar, as ITA’s Alliance partner for pioneering and innovative approaches to District Education Planning (DEP) at a very opportune time. The District Education Planning Guideline has been drawn upon in this manual as tested tool, used across 20 districts of Pakistan.

The Sindh Education Foundation (SEF) and the Teachers Resource Centre (TRC) for their work in training of PTAs.

Ms. Nadia Bukhari in ICT transformations of this manual.
Preface

The manual is designed by UNESCO to develop responsive, participatory and accountable systems of educational governance and management to meet the six goals of Education For All (EFA) agreed by the global community at the Dakar in 2000. The Millennium Development Goals reinforce the EFA Goals for 2015 with a particular focus on universalization of education for all and the gender dimension.

As a follow up to the World Education Forum Dakar a major task is to encourage LOCAL GOVERNANCE of education, embedded in country-wide decentralization reforms or a strategic sector specific initiative to spur local decision making for improved learning outcomes at the school level for quality EFA. The modules on Educational Governance at local levels are designed as succinct guidelines for practitioners and policy makers to strengthen capacities for implementing educational governance reforms.
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The Dakar Framework for Action and Millennium Development Goals

<table>
<thead>
<tr>
<th>EFA Dakar Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Expanding and improving comprehensive education, especially for the most early childhood care and vulnerable and disadvantaged children.</td>
</tr>
<tr>
<td>2. Ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete free and compulsory primary education of good quality.</td>
</tr>
<tr>
<td>3. Ensuring that the learning needs of all young adults people and adults are met through equitable access to appropriate learning and life skills programmes.</td>
</tr>
<tr>
<td>4. Achieving a 50% improvement in levels of adult literacy by 2015 especially for women, and equitable access to basic and continuing education for all adults.</td>
</tr>
<tr>
<td>5. Eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls’ full and equal access to and achievement in basic education of good quality.</td>
</tr>
<tr>
<td>6. Improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeric and essential life skills.</td>
</tr>
</tbody>
</table>

### Millennium Development Goals (MDGs)

**Goal 2.** Achieve UPE

**Target 3.** Ensure that, by 2015, children everywhere boys and girls alike, will be able to complete a full course of primary schooling.

**Goal 3.** Promote gender equality and empower women

**Target 4.** Eliminate gender disparity in primary and secondary education, preferably by 2005, and to all levels of education no later than 2015.
General Introduction

An emergent global concern is to achieve **Quality Education For All** to address capabilities for well being and fundamental rights. Such an interpretation requires access to decision-making tools, whereby the affected have a direct stake in how they influence decisions in terms of the direction, quantity and quality of resources and to inculcate a sense of responsibility in them for tangible outcomes. Such an approach requires a people centered administrative arrangement, with sound working knowledge of **Decentralization, its possibilities and interpretations.**

**Capacity Building**

McGinn suggests that two conditions must be met for implementation of any reform, including decentralization, viz. “political support and those involved in the reform must be capable of carrying it out” (1999, p. 76). Successful local governance for improved service delivery rests on capacities and capabilities. Do planners and trainers take capacity building as a pragmatic minimalist term or as a maximizing opportunity? Capacity building as a minimalist response may mean at best a series of training workshops and seminars. However as a maximizing concept this would mean the following as illustrated in Figure I below:

---

**Figure 1**

The Capacity Building Continuum

<table>
<thead>
<tr>
<th>Minimalistic</th>
<th>Maximizing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Series of Trainings</td>
<td>Institutional strengthening</td>
</tr>
<tr>
<td>Study tour/s …events/number oriented</td>
<td>Vision/planning/strategies</td>
</tr>
<tr>
<td></td>
<td>Mobilization of resources</td>
</tr>
<tr>
<td></td>
<td>Communications systems</td>
</tr>
<tr>
<td></td>
<td>Conduct operations</td>
</tr>
<tr>
<td></td>
<td>Well-matched job</td>
</tr>
<tr>
<td></td>
<td>Descriptions personnel</td>
</tr>
<tr>
<td></td>
<td>Policy/incentives structure/</td>
</tr>
<tr>
<td></td>
<td>Career development/training...</td>
</tr>
<tr>
<td></td>
<td>Any activity which leads to an</td>
</tr>
<tr>
<td></td>
<td>Increase in effective delivery</td>
</tr>
<tr>
<td></td>
<td>/performance</td>
</tr>
</tbody>
</table>
---

**International Training Manual on Educational Governance**
The minimalistic end of the continuum is a short term instrumentalist position. The maximizing interpretation on the right side of the continuum of capacity building is a long term comprehensive approach embedded in systems and appropriate skills.

From a systems perspective McGinn and Welsh (1999) categorize capacities in four interrelated domains:

1. **The Legal Domain**: Interaction between Constitution and Rules as negotiated between the Parliament, bureaucracy and the courts.

2. **The Bureaucratic Domain**: Interaction between Rules and Staff. Personnel job descriptions matched against new performance targets. Capacity to be performance and management oriented; tolerance of diversity and other partners/civic associations and acceptance of public accountability systems with transparency.

3. **The Civic Domain**: Interaction between Staff and Civic bodies. This domain links the bureaucratic organization to civic action to ensure that bureaucracy shares powers with active citizens and associations, demanding empowerment of staff and citizens.

4. **The Political Domain**: Interaction between Civic bodies and Constitution. To ensure constitutional provision matched by supportive civic structures to enable people to participate in decentralization effectively.

This manual on local governance is thus nested in the institutional and comprehensive interpretation of capacity building. These domains will be expanded upon in sections below.

### Interpretations of Capacity, Capacity Development and Capacity Building

| **Capacity** – skills, knowledge and resources needed to perform a function. |
| **Capacity development** - process by which individuals, groups, organizations, institutions and countries develop their abilities, individually and collectively, to perform functions, solve problems and achieve objectives. |
| **Capacity building** - differs from capacity development in that the latter builds on a pre-existing capacity base to help governments, organizations and people attain a level of self-sufficiency that enables them to effectively manage their own affairs. |

### What is the purpose of this manual?

- Enabling member states (government and civil society partners) to strengthen capacities at district levels to empower, communities and local stakeholders through their participation in education learning, implementation and evaluation.
- Building capacity of the policy makers and practitioners and different levels for implementing educational governance reforms and addressing substantive equity, encompassing access, efficiency, quality and entitlements.
**Long Term Objectives**

1. Empowering communities and all local stakeholders to participate in education development.

2. Enabling developing countries to use evolving ICT tools according to capacities that are relevant to local context.

**Short Term Objectives**

1. Developing Training materials that serve as guidelines to member states for preparing capacity building plans to implement decentralization reforms.

2. Developing responsive training modules for well identified needs at local levels in some member states.

3. Providing a set of tools and techniques to local public officials and civil society representatives to promote good education practices at the local level.

4. Exposing participants to conceptual and practical aspects of policy, and context, modes of civil society participation, as well as district and school-based planning.

Education, the world over is a major public sector enterprise and is seen as a public merit good. This certainly has an impact on other sectors and can act as a powerful entry point to address issues of governance in general. However, it calls into question the capacity to participate in local governance for education. The manual is thus a response to this central concern and is intended to reach the widest of audiences through traditional and IT based modes of delivery.

**Harness new information and communication technologies to help achieve EFA goals**

Information and communication technologies (ICTs) must be harnessed to support EFA goals at an affordable cost. These technologies have great potential for knowledge dissemination, effective learning and the development of more efficient education services. This potential will not be realized unless the new technologies serve rather than drive the implementation of education strategies. To be effective, especially in developing countries, ICTs should be combined with more traditional technologies such as books and radios, and be more extensively applied to the training of teachers.

**Who are the materials designed for?**

Terms such as decentralization, governance and capacity building may mean different things to different groups and societies. Many questions emerge with respect to these terms. What are the key features of these terms? Are they inclusive or exclusive? Are they minimalistic or maximizing? Defining decentralization and governance is critical to the specific design of a capacity building program. For each country this may vary and so will
the target audience who is seen critical for this exercise. However, in general the target audience could be seen at different levels. These are listed below:

1. **District Level**
   - District or Sub National Governments, focusing their Education Departments.
   - District Field Education Managers and Planners.
   - Training Institutions
   - Civil Society Organizations (CSOs).
   - Head Teachers/Teachers
   - School Councils and SMCs
   - Families / Parents/Community Members

2. **State/Provincial Level**
   - Provincial/State Departments of Education
   - Manual Developers
   - Training Institutions
   - Umbrella CSOs engaged in policy and training

3. **Central Level**
   - Ministry of Education and their specific training or policy /planning organizations

**Duration of the Training**

Each of the four modules will take approximately three days which may be reduced to two days, if so required. The total ideal training time required is 12 days, at the end of which participants must be awarded a certificate. Whilst each module is linked to the next, it is possible that each module to be used as a self contained one to become a building block in the capacity building process for local governance in education. It is seen that the members of the target audience may be so busy that it is difficult to envisage them taking out time for 12 or even 8 days at a stretch. It may be desirable to break the training into four segments across four months or one module per month.

**What are the methods of study?**

The methodology will be a mixed one, ranging from self-study, internet search, to group and individual exercises as well as thorough field based skills on how to fill out District Education Planning and School Development Plan formats.

**Training Site Options**

- The training site options may be at District Headquarters, subject to the convenience and concentration of the target groups.
- Site based training at the school level or the cluster level may be considered depending upon the country’s local conditions and resources.

The medium of communication entirely depends upon the specified country’s local conditions.
The manual can be converted with local adaptations on a CD ROM for online learning.

Irrespective of options adopted it is vital that there are effective and sufficient facilitators designated for capacity building.

**TRAINING OPTIONS:**

The manual suggests the following for training options:

⇒ A shift from ad hoc Training to Systematic Capacity Building of Target Groups.

⇒ Proper duration that is actually required for the training of target groups to be adjusted with flexibility to suit different target groups, their knowledge base and evolving capacities

⇒ an effective field-based approach to develop simulations of district or school ensure development plans

In some countries the development of a medium term plan for education at the district or local level has become an interesting system based long term training option. The training is facilitated by professional civil society organizations. In this case the capacity building model is a maximizing one and extends over a three-year period of three phases.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Process</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>Process-based development of a three year or medium term District Education Plan</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>Implementation of reforms, procedures/system adjustment and monitoring of previous outcomes</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
<td>Review of targets and strategic scaling-up</td>
</tr>
</tbody>
</table>

The expected results are:
a. The Module will contribute to strengthening capacities of community members and local administrators to participate actively in educational decision making;
b. ICT-Based material database will be generated;
c. Increased participation of excluded groups in social and educational development;
d. Increased exchanges between distant partners.

**General Guidelines to the Facilitators for the use of Modules ?**

- The modules are designed to be taught either by one or two facilitators/instructors.

- The use of two facilitators/instructors help more coverage of small work groups and it contribute to richer group discussions as facilitators/instructors can draw on wider experience to illustrate all the major key points.

- Each module can be completed in three days ideally or two days through an accelerated process depending upon the baseline skills of the target participants.

- In case these are being conducted at different times for different audiences, the facilitator must have an ice breaker activity for introductions at the beginning of the modules so that the participants can empathies and relate to each other’s real life and professional roles throughout the training, as well as express their hopes and fears about the outcomes of the training.

---

**Ice Breaking**

*Getting to know each other and hopes and fears*
Objectives:

Participants will be able to:
- address each other by their preferred name;
- express their expectation from the workshop;
- express their individual hopes and fears;
- identify the objectives and scopes of the workshop.

Activity 1.1

<table>
<thead>
<tr>
<th>Duration</th>
<th>40 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials Required</td>
<td>charts and markers</td>
</tr>
</tbody>
</table>

At the outset, the facilitator will write down six questions on the white board and read them loudly. Each participant would be asked to ask these questions from the person sitting next to him/her.

**Questions are as follows**

1. What is your name?
2. What does it mean?
3. Who gave you this name?
4. What is your hobby?
5. What is the name of your school?
6. Why are you at this workshop?

Later on every participants in each pair introduces his or her partner to the group.
Activity 1.2

<table>
<thead>
<tr>
<th>Duration</th>
<th>25 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials Required</td>
<td>charts, markers and tape</td>
</tr>
</tbody>
</table>

In the second activity participants will be asked to share their hopes and fears from this workshop. The facilitator will write down all hopes on one chart and fears on the other one. After this, charts will be displayed in the hall.

Then participants will collectively identify the objectives and scopes of the workshop.

- Three of the modules have a Warming Up Activity, which, gives a basic insight of the respective modules and is used as an Ice Breaker for the specific topic of the module.
- The facilitators should be well versed in Policy and Context, Citizen Participation & Public Private Partnership, District Education Plan and School Development Planning and have direct personal experience in the conduct of similar studies.
- Its imperative for the facilitator to go through the subject thoroughly before embarking on the training of that respective module and, if required a resource person/s are encouraged to be invited to support the training for ensuring professional /area competence and effectiveness

**Methodology.** This Module is delivered in a participatory, interactive way. It is designed to be offered through distance learning using a blended method of classroom instruction, self-paced and peer learning.
Tips for Trainers

- While selecting a training venue, make sure that it is accessible for all the participants.
- Before the start of the workshop, make sure you have all the necessary materials (stationery, handout, confirmations from resource persons). So that lack of these do not hamper the course of the workshop.
- Selection of participants, distribution of invitations, permission from relevant agencies must be done at least two to three weeks before the workshop.
- Clarify all the workshop rules with the participants on the first day.
- **Ensure some basic rules of gender sensitivity and participation, providing women opportunities to speak and participate in a balanced manner.**
- Conduct various sessions and activities through group work.
- **Use different methods for making groups e.g. numbers, alphabets, names of the flowers and fruits, types of stationary etc.**
- Make sure that all the participants take part in the sessions, i.e. encourage and involve those participants who are shy or quiet.
- For presentations of group work, encourage those participants who are less active and shy.
- To make participants arrive on time, come on time yourself.
- Use simple and easy language during the sessions.
- Listen to what each participant has to say carefully.
How are the Modules and Sections organized?

The facilitators should be fully familiar of all the activities involved in the modules.

**THE MANUAL IS DIVIDED INTO FOUR MODULES:**

- Policy and Context
- Citizen Participation and Public Private Partnerships
- District Education Planning
- School Based Governance

**Module 1 is on Policy and Context.** It provides the theoretical and practical underpinnings to concepts of policy and context, its relationship with the local governance. The module also serves to deepen understanding of decentralization and variations on its authority models as well as on governance and typologies of decentralization.

**Module 2 is on Citizen Participation and Public Private Partnerships.** The two dimensions of civic participation for good governance are explored as is the specific manifestation of civic participation at the school level through Parents Teachers Councils or School Management Committees (SMCs) focusing on their formation and responsibilities. The third segment of this module highlights the expansion of public private partnerships in education, its policies, methodologies and options.

**Module 3 provides an overview on District Education Planning (DEP).** The meaning and relevance of district or local level planning and its relationship with local governance. The module also highlights the concept of DEP and its various components. The enabling factors/conditions for participation, its main elements and challenges.

**Module 4 is a focus on School Based Governance (SBG).** It extends a conceptual and practical clarity vis-à-vis SBG as well as on various dimensions of school effectiveness. The tool of SDP is further detailed with exercises for participants to help them gain familiarity with this important skill in order to improve learning outcomes and the learning environment. It is accompanied by section on financial skills and audit at the school level by the PTA or school councils.

The manual and its accompanying modules are meant for facilitators who can then use them with target audiences ensuring country and context specific adaptations.
Module 1 for Three-Days Training on
Understanding Context and Policy of Local Governance in Education

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Build on existing mechanisms to accelerate progress towards Education for All…. The heart of EFA activity lies at the country level. National EFA forums will be strengthened or established and countries will prepare national EFA plans by 2002 at the latest. Members of the international community commit themselves to working in a consistent, co-ordinates and coherent manner in supporting national EFA plans.

Dakar Framework of Action, 2000

Introduction

It is critical to grasp national and local policies to understand the basis of local governance and decentralization initiatives, as well as the historical and current context which may have triggered processes towards local level decision-making in any particular country setting.

Each country is embedded in its own political and social history, which serve as markers for people’s participation in planning and implementation of change. The earlier prevailing opinion that policies are made by a handful of important people in positions of authority in a hierarchical vertical setting, is being progressively replaced by a more horizontal view of sustainable decision-making systems which are participatory, locally sensitive, responsive, and people-centred. For citizens and groups to enter the domain of local level planning and decision making, it is imperative that they learn the skills of understanding local contexts as the essential building blocks of policy making. This will demystify perceptions of policy making as inaccessible and removed to a more locally accessible, owned and embedded process.

This module is a compilation of concepts, procedures and instruments that permit capacity building options to users at different stages of their experience with local governance and decentralization, in its policy and operational dimensions.

The module is divided into five sections:

1. The Meaning and Relevance of Policy and Context and its Relationship with Local Governance;
2. Understanding Decentralization and Authority Types;
3. Understanding Governance and Typologies of Decentralization;
4. Key Resources and Websites.
The Meaning and Relevance of Policy and Context and its Relationship with Local Governance

This section covers the following topics:

- What is policy and context?
- Links of international, national and local policies
- Accessing key policy documents pertaining to education

Learning Outcomes

1. Familiarity with the domain of policy and influence of local contexts on citizens’ lives
2. Skills to access key policy documents and find relevant portions pertaining to the education sector
3. Grasping various methods of citizen’s participation in policy making processes

Activities

1.1 Personal Encounters with Context and Policy
1.2 Accessing key documents and locating policy positions.
1.3 Event Mapping in education policy

Introduction

Policies are often defined as statements of intent. Today in centralized, decentralized and mixed systems, policies are simultaneously articulated at local, national and global levels. Traditionally, implementation was seen as the domain of the “Policy Officials”. The Information Technology revolution and the globalization has enabled individuals, households and firms to readily access information and opportunities. In this rapidly changing scenario, the state is increasingly accepting policy making to be a shared enterprise between various stakeholders at diverse levels, both in its design and implementation.

The greater the “Buy In” of partners at different levels, the greater of chance of policy to come alive and be implemented. In the sense, policy is emerging as a discrete, interactive activity, becoming more dispersed for ensuring legitimacy and necessary support to the State/Government.

Understanding Policy and Context are directed towards empowering local personnel and stakeholders to increase their participation in local level governance and planning. It is generally acknowledged that meaningful policies are built on:
- existing macro level trends, connected to national and sub national initiatives;
- the possibility of linkages with global policy frameworks;
- the access to, and participation in policy formation processes is seen as intrinsic to good governance and a cornerstone of citizen entitlement.

Policy is a measure of both rights and responsibilities.

“Warm Up Activity”

<table>
<thead>
<tr>
<th>Activity 1.1.1</th>
<th>Personal Encounters with Context and Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Clock] Duration</td>
<td>30 Minutes</td>
</tr>
<tr>
<td>![Hand] Undertaken By</td>
<td>Groups</td>
</tr>
<tr>
<td>![Files] Materials Required</td>
<td>coloured cards 5'x7', charts and markers</td>
</tr>
</tbody>
</table>

**Methodology**

Divide the participants into three groups. Ensure that these are gender balanced and represent a mix of NGOs, Education Officials, Head Teachers, etc.

1. **Ask the participants to write at least three responses for the following questions:**

   (a) Do you remember your first encounter with any formal or informal policy process at Local, Provincial and/or National Level?

   (b) In your opinion how can citizens influence policy-making processes of your local community?

2. **Guided by the participants responses list all suggestions on a chart/board.**

3. **Wrap up the session ensuring that suggestions are boldly categorized and posted on a chart paper which remains on the wall of the training facility throughout the length of the module.**

**Possible Responses**

1. At local level the newly elected municipal/district government called corner meetings, inviting citizens, NGOs, head teachers and district officers to:
   - discuss how to improve schools;
provide guidelines on increasing enrolment of girls and women in schools and literacy programs;
- prioritize resources for the upcoming education budget;
- Provide inputs to the local political groups on policies for education;
- make a district or local EFA Plan as input to the National EFA Plan.

2. Participation of a local/provincial education focused NGO and district education officers to:

- attend an EFA Planning meeting; or
- a consultation on Education Reforms; or
- the Provincial Poverty Reduction Strategy Paper (PRSP).

3. Participation in national consultation on:

- national curriculum reforms
- new ten year education policy
- National EFA Plan 2015

Different Levels of Policy

Links of international, national and local policies: multiple levels of policy making and their linkages

Policies are articulated at multiple levels and may be confusing to the participants. It is important to share with them examples of policies in education, their launching platforms and interplay.
### Transparency No. 1

<table>
<thead>
<tr>
<th>Type of Policy</th>
<th>Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Dakar Declaration on EFA 2000</td>
<td>International: Dakar</td>
</tr>
<tr>
<td>2 Millennium Development Goals :2000-2015</td>
<td>International</td>
</tr>
<tr>
<td>3 National Education Policy 1998-2010</td>
<td>National – Country level</td>
</tr>
<tr>
<td>4 National Plan of Action for EFA 2015</td>
<td>National– Country level</td>
</tr>
<tr>
<td>5 Poverty Reduction Strategy Paper (PRSP)</td>
<td>National</td>
</tr>
<tr>
<td>6 Provincial Sector Strategy – Policy</td>
<td>Provincial- State level</td>
</tr>
<tr>
<td>7 Provincial EFA Plan 2015</td>
<td>Provincial</td>
</tr>
<tr>
<td>8 Provincial /PRSP</td>
<td>Provincial /State</td>
</tr>
<tr>
<td>9 Local Government Ordinance</td>
<td>Provincial/Local</td>
</tr>
<tr>
<td>10 District EFA Plan – District Education Plan</td>
<td>District/Local</td>
</tr>
</tbody>
</table>

The call for EFA Plans at the international level has become a trigger for National Plans of Action, which in turn need to correspond with sub-national or provincial EFA Plans and subsequent district or local EFA Plans completing the relationship between the macro and the micro levels. The arrows in Transparency 1 above highlight the linkages.

The same may be true for Poverty Reduction Strategy Papers increasingly being required by donors from recipient countries as the development planning and financing framework for poverty alleviation. The national PRSPs require calibration at the provincial or sub-national and also at the local or district levels.

Participants can easily access these documents from sub-national, national, and international (multi-lateral/bi-lateral) websites.
Accessing key policy documents pertaining to education

Increasingly the participation of people in making of policies, strategies and monitoring is an integral expectation or a norm of policy protocols.

<table>
<thead>
<tr>
<th>Activity 1.1.2</th>
<th>Accessing key documents and locating policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Duration</td>
<td>45 Minutes</td>
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<tr>
<td>🌐 Undertaken By</td>
<td>Groups (Mixed)</td>
</tr>
<tr>
<td>📜 Materials Required</td>
<td>All key policy documents of the country to be made available to participants with key sections flagged for their convenience. Chart Paper and markers</td>
</tr>
</tbody>
</table>

Methodology

Divide the participants into mixed groups as in Activity I:

1. Find two or three key policy documents, which are relevant to your own country and local context. The key policy documents could be:
   ⇒ The Country’s Constitution
   ⇒ National Education Policy, Sector Reforms and
   ⇒ National EFA Action Plans 2015
   ⇒ PRSPs
   ⇒ Local Government Ordinances
   ⇒ Provincial Poverty Reduction, Strategy Papers, 10 or 05 years plans
   ⇒ Local Government Strategies/Policy Papers on Education and District Education Plans
   ⇒ State or District Education Policy or EFA Plan
   ⇒ Global Frameworks and instruments signed by governments such as Dakar framework of Action, Millennium Development Goals, Conventions on the Rights of the Child

2. Select two or three key documents and identify all key policy statements, notifications, specific articles that endorse citizens’ engagement with policy making and local governance:

3. The groups will report and the facilitator will wrap up underscoring the basis for local participation
Key national and local policy documents are available on websites for citizens. The facilitators in specific countries should identify these and make website addresses readily accessible for the participants.

### Activity 1.1.3 Event Mapping in education policy

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<tbody>
<tr>
<td>Undertaken By</td>
<td>Pairs (mixed)</td>
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<tr>
<td>Materials Required</td>
<td>chart paper and markers</td>
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</tbody>
</table>

**Methodology**

Divide the participants in pairs, either neighbors or a head teacher (local) with district education officer (district/field):

1. On a chart paper draw a line divided into five or ten intervals. Each interval designates a year (could be consecutive or equal intervals as per your mutual decision).
2. For each of those years remember if there was any policy decision in education which affected you or any member of your family, or local community who was in school, college or university.
3. Put down the exact event as you or your partner remember it on the left side and its impact on you or your family member.

<table>
<thead>
<tr>
<th>Event</th>
<th>Impact</th>
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<tbody>
<tr>
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</table>

Each pair will quickly present the events and the impact. Paste the completed charts on the walls for all others to see.

The facilitator will wrap up the exercise emphasizing that this exercise was to help participants familiarize with how close policies and contexts are to their lives in terms of influence and impact.
Section 2 Locating and understanding Decentralization and Governance

This section covers the following topics:

- Locating decentralization and its dimensions
- Why districts move towards decentralization
- Authority types matched with interpretations of decentralization
- Meanings of Governance
- Typologies of decentralization

**Learning Outcomes**

1. Familiarity with dimensions of decentralization
2. Understanding why different authority types link with various approaches to decentralization
3. A firm grasp of typologies of decentralization

**Activities**

1.2.1 Identifying sources of Decentralization in national/local policy
1.2.2 Identifying levels of Decentralization
1.2.3 Level and nature of Authority Transfer

**Introduction**

The fundamental concepts of Decentralization and Governance need to be clarified for the context in which capacity building is being undertaken.

⇒ Examine whether local governance being implemented is under a country wide Decentralization/Devolution Plan or is it being negotiated as a stand alone happening in a specific localized context with a policy shift towards School Based Management.
Decentralization pertains to the overall national policy or trend which advocates management and resources to lower levels of government.

The manifestations of decentralization in the form of de-concentration, delegation, devolution, privatization and public private partnerships need to be identified at the specific levels where they are observed. These will be covered in detail in section III below.

The specificity of capacity needs of the target groups will accompany the particular level of decentralization or local governance as contained in policy provision. For example if there is country wide decentralization the skills set needed for federal or central education officers is completely different to those required for district or state officers. Whilst the former needs to work as a technical facilitator and mobilize of resources, the latter at the district level has to work as a hands on enabler to ensure that service delivery can be improved by the teachers, head teachers and community members.
Thus the specific decentralization mode ‘country wide or localized’ shall determine the relevance of particular capacity building models. It is important to establish at the outset of any capacity building exercise the country’s policy position on decentralization backed by key policy documents. Decentralization as a global trend is assuming an impressive spread and there are several reasons for this trend.

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<tr>
<th>Activity 1.2.1</th>
<th>Identifying sources of Decentralization in national /local policy</th>
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<td><strong>Duration</strong></td>
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<tr>
<td><strong>Undertaken By</strong></td>
<td>Group (mixed)</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>Key policy documents e.g. constitution, local government ordinances, sector strategies/policies, notifications, others, etc. Colored cards and markers</td>
</tr>
</tbody>
</table>

**Methodology**

**Divide the participants in three groups viz. national, provincial and local**

1. Pass a set of relevant materials/documents to each of the three group and let them decides which articles or specific paragraphs identify the policy position of the country on decentralization at the three levels. If in a specific country this is only at two levels or more than three levels then use your discretion.

2. The groups will identify the relevant sections from the texts and read out to their respective groups.

3. The groups then present to the larger group sharing the texts at each logical level, from local to national or vice versa.

**Outcome**

Participants will learn to use policy documents and locate the sources of decentralization at the policy level.

**Why Districts Are Decentralizing?**

Decentralization in education has occurred globally in response to five primary pressures:

1. Demands from powerful constituencies - in particular parents, community groups, legislators, business, and, in some instances, teachers' unions - for (a) more input into and control over the schooling process and (b) tougher accountability measures responsive to local levels
2. Strong feeling among constituencies that the current educational structure is not working well for increasing numbers of students
3. The inability of massive bureaucracies - with their characteristic centralized policies, common work rules, and top-down decision-making structures - to respond effectively to the widely varying needs of local schools and communities
4. The rapidly changing nature of work and the workplace, and the concomitant perception that schools are not keeping pace with the current demands of society
5. Growing competition for public resources from the advocates for school choice, scholarships, vouchers, and privatization

These pressures create a climate of crisis that demands substantive changes in the ways education systems /schools structure the learning environment, deliver educational services, govern themselves, and are held accountable.

To reinforce the reasons for decisions to decentralize there are six factors which can be listed in summary form:

- To improve student achievement
- To achieve greater accountability
- To bring decision-making closer to the point of teaching and learning
- To create ownership among school communities for improved instructional programming
- To increase community involvement
- To create a system for more efficient use of resources

Decentralization rests upon two major assumptions. The first is that by moving decision-making and accountability closer to the child and classroom, education will improve. Shifting decision-making responsibility to local schools means redistributing power among various groups - principals, teachers, and parents - who have a legitimate stake in the content and quality of education. Proponents of decentralization believe that reallocation of power and authority to these key stakeholders will make schooling more responsive to the unique needs of local communities and will capitalize on the knowledge, creativity, and energy of people at the school and community level.

The second major assumption underlying decentralization is that the most persistent problems in education can be attributed to the structure of schooling. Reformers who see the structure of schools at the root of education's problems have proposed essential revisions in the ways in which school systems are governed and structured, the roles adults play in schools, the content of the educational programs, and the processes used to educate children. This aspect will be covered in module four on school based governance.

**Locating Decentralization and Local Governance**

Policy and context give insight into where the country stands on the key issue of decentralization, whether the latter is in place as a policy directive or is it more localized. The policy position of the specific country on decentralization and local governance may vary. Decentralization could be advocated for enhancing political legitimacy, improving service delivery through professional expertise, inclusion of local groups and market efficiency. Its triggers may be all three or a combination to address, fiscal and legitimacy crises. Decentralization is a complex multifaceted concept. Rondelli et.al., has elaborated four degrees of transfer of authority (1984).
De-Concentration

De-Concentration redistributes decision making authorities and financial and management responsibilities among different levels of the central government. It merely shifts responsibilities from central government officials in the capital city to those working in regions, provinces and districts. It shifts authority from implementation of rules but not for making them.

Delegation

Through delegation central government transfer authority decision making and administration of public functions to administrative tiers at local levels or to semi autonomous organization not wholly control by the central government, but ultimately accountable to it. Usually these organizations are given a great deal of discretion and decision-making.

Devolution

When governments devolve functions, they transfer authorities for decision-making, finance and management to quasi-autonomous units of local government with corporate status. In a devolve system, local government have clear and legally recognized geographical boundaries over which they exercise authority and with in which they perform public functions. It is this type of administrative decentralization that underlies most political decentralization.

Privatization and Public Private Partnership

Privatization can range scope from leaving the provision of goods and services entirely to the free operation of the market to a more ‘mixed’ position of fostering ‘Public private partnerships’ (PPPs), in which government and the private and civil society sectors co-operate to provide services or infrastructure (PPPs will be elaborated further in module 2). Decentralization and its various dimensions can thus be seen on a continuum in any specific country context.

Transparency

The Continuum of Decentralization

Local governance can be part of a wider decentralization reform process or may be more localized to local tiers of government at the municipality level or even the school level as a part of education reform processes.
What is Local Governance?

Local governance comprises a set of institutions, mechanisms and processes through which citizens and their groups can articulate their interests and needs, mediate their differences and exercise their rights and obligations at the local level. It requires partnership between local governmental institutions, civil society organizations and private sector for participatory, transparent, accountable and equitable service delivery and local development. It necessitates empowering local governments with authority and resources and building their capacity to function as participatory institutions that are responsive and accountable to the concerns and needs of all citizens. At the same time, it is concerned with strengthening of grassroots democracy and empowering citizens, communities and their organizations such as CBOs and NGOs to participate as equal partners in local governance and local development process.

Local governance is attributed to local level planning, a lower level of governance created to ensure that government is brought to the grassroots population to give its members a sense of involvement in the political processes that control their daily lives. These levels include provincial or district administrations, urban municipalities and country and rural councils. Free and fair elections supervised by impartial electoral bodies determine the composition of local government and ensure its legitimacy.

A local governance process can mature when the strengthening of local government through decentralization goes hand-in-hand with a deliberate effort to mobilize and strengthen civil society structures and institutions at lower levels in a manner that would allow their relationship with sub-national authorities to become more interactive. Civil Society is located below sub-national governments and includes actors and structures that initiate social or political action, ranging from individuals, organized pressure groups, associations, churches and agencies, to the media. Furthermore, it encompasses private sector bodies, parent-teacher associations, trade unions, and local community groups. Rarely appreciated in the so-called "modern" governance systems, is the array of formal and informal organizations that include local and informal structures and systems of traditional leadership that are located outside the realm of the formal political domain.
**Activity 1.2.2**  
**Identifying levels of Decentralization**

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<th><strong>Duration</strong></th>
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<tr>
<td><strong>Undertaken By</strong></td>
<td>Group (mixed)</td>
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<tr>
<td><strong>Materials Required</strong></td>
<td>the decentralization grid; colored cards and markers</td>
</tr>
</tbody>
</table>

**Methodology**

Divide the participants into mixed groups. Hand out I will be used in this exercise with a large cut out posted in the room.

Each group is to be handed over Handout I and asked to identify which type of decentralization can they identify with in their own contexts and why.

Each group will then report against the large cut out of Hand Out I putting a cross against the specific form of decentralization they associate with most e.g. Deconcentration, delegation, devolution, privatization and public private partnerships.

**Outcome**

Participants will begin to internalize the attributes of decentralization in various forms as essential vocabularies of a policy shift.

**Level to Which Authority is Transferred**

**Hand Out**

The level to which authority is transferred under various phases or stages of decentralization is further guided by the predominant interpretation of the government who want to propagate democratization through professional expertise, popular or community inclusion or market forces. It is likely that all three can be present under decentralization simultaneously or separately. However, it is useful to understand the categorization of groups and the reasons for giving one or the other more importance in the management of decentralization.

1. **Professional Expertise**

This position on governance assigns authority primarily to those with expert technical knowledge about how best to operate the education system. Conventional wisdom says that education professionals know most about how to govern schools.
Decentralization reforms which rely on Professional Expertise vary in the level of the education system to which authority is transferred. In many countries, the initial stage of reform has transferred authority from professionals in the central government to professionals in the state or provincial government. Decentralization in Argentina has meant the creation of ministries of education in each of the 24 provinces of the nation. The Russian Federation has decreed that each of its 89 provinces will have an autonomous ministry of education. In both cases the ministries are expected to make many of the decisions previously made by the national ministry. There is no provision for direct citizen participation in decision-making.

Countries in which states and provinces enjoy considerable autonomy under the Constitution have transferred authority downward to school districts. India, for example, is engaged in a long-term effort to give district officials more autonomy in the management of their education systems (Govinda 1998). Similar programs are underway in Bangladesh (Rahman & Aziz, 1997), Nepal (Lamichane, Pradhan, & Thapa, 1997), Pakistan (National Reconstruction Bureau, 2000) and Tanzania (Lillis, 1990). These reforms assign primary authority for management to District Education officers; most governance decisions remain at the provincial or state level.

In some countries authority has been transferred to schools. This kind of reform is often called School-Based Management although in some cases it qualifies as School-Based Governance. Reforms have varied according to whether authority was transferred solely to principals (called administrative control); whether teachers were included (called professional control); and the extent of community participation (Murphy & Beck, 1995).

2. Democratic Inclusion

This position seeks governance of education by persons who have been selected through a political process. The process of selection is such that those selected are not nor need be “expert” in education or governance. Authority is inherent in the position, and not in special attributes of the elected representative. Actions are right or correct because the authority takes them, not because they agree with expert knowledge.

The important distinction between the Democratic Inclusion and Professional Expertise basis for decentralization is not whether the government is democratic or not, but whether governance of education is legitimized by expertise or by political right. Some otherwise highly democratic countries with high levels of local participation in politics (e.g., the Scandinavian countries) entrust the control of schools to professional educators who enjoy considerable autonomy. In other countries reforms have sought to reduce control by professional educators by giving authority to local communities. Proposals to shift from professional to democratic control of education sometimes signal a loss of public confidence in professional expertise.

Some Democratic Inclusion reforms have transferred managerial responsibility to regional and municipal governments. Brazil and Colombia share control of education between elected officials in state governments and elected officials in municipal governments. In Colombia teachers are hired and paid by the state, municipal governments have control over all other aspects of the operation of schools. The elected mayors exercise control through the councils they appoint. In Ghana elected district assemblies supervise the decisions of Directors of Education at the district level.
In other countries authority has been shifted to the school level. In El Salvador parents elect representatives to school councils that have authority to hire, monitor and fire personnel, manage funds provided by the central ministry, collect additional funds and organize other community activities in support of the school. After eight years of successful pilot operation the ministry has decided to apply the general model to all public schools (Lardé de Palomo, Agruello de Morera, Jacir de Lovo, & Córdova, 1999). Beginning in 1993 Nicaragua allowed schools to institute governance councils with autonomy in hiring and firing both principal and directors, setting schedules, choosing methods of instruction, selecting textbooks, setting voluntary fees, and making and administering the school budget. Members of the councils include the principal, teachers, parents and students; numbers vary with the size of the school but non-professionals are the majority. A recent evaluation of the reform reports confusion among participants as to what local autonomy or governance means; the different actors, parents, teachers and directors, interpret their authority in different ways and with different levels of satisfaction. In general parents react negatively to having to pay more for education (Rivarola & Fuller, 1999).

The NGO called Fé y Alegria (Faith and Happiness) controlled by the Jesuit Order of the Catholic Church, runs non-fee-charging schools in 12 countries of Latin America. These schools are financed by subsidies from ministries of education (salaries of teachers and principal), foundations and international assistance agencies, and voluntary fees from the local community. Schools are opened when a community invites the assistance of Fé y Alegria. Community groups build the school, and a parent association is organized to work with the principal (chosen by Fé y Alegria, often paid by the ministry). Parents are expected to participate in their children's studies, and to be actively engaged in school programs. Most schools become community centers that take on development projects and cultural activities. Many schools raise fruit and vegetables. The official curriculum is supplemented with locally developed materials (Rugh & Bossert, 1998).

Democratic Inclusion reforms are more likely to occur in strong states, that is, in societies in which sharing power with local communities is not likely to destabilize the central government. These societies already have achieved a high level of social equity across regions, classes, ethnic and religious groups. Societies that already are well integrated, that have in place systems for political and social dialogue, can tolerate higher levels of diversity. The central government is not threatened when a local community constructs an education different in content and practice than that which professionals would choose. Of more importance (to all levels of government) is that the community remains committed to the use of peaceful means to settle differences with other communities.

4. Market Choice

The Market Choice position distinguishes between governance of the production of education, and governance of its consumption. Most countries once assigned to the State monopoly authority for the production of education, and required all children to be educated in State-controlled or State-approved schools. In a market system individuals have freedom both in the production of education, and where children will be schooled (Patrinos & Ariasingham, 1997). These can be, but usually are not, the same individuals.

Proponents of the market position assert that professionals lack and can never have the knowledge necessary to satisfy the desires and needs of those whom education is supposed to serve. Rule by professionals, they say, is necessarily a form of tyranny in which people are forced to consume what others think is good for them.
The market position also attacks democratic participation as a means to satisfy the legitimate desires and ambitions of members of a society. Politics is necessarily inefficient and corrupt. Democracy, with its insistence on majority rule, limits the freedom of minorities because “winners get to use public authority to impose their policies on the losers.” (Chubb & Moe, 1990). The market is the best way to use information about what people want and what satisfies them. Competition between schools for support by consumers, it is hypothesized, will result in innovation, improvement of education quality, and elimination of bad schools.

Parents of students are a major group of consumers. Ultimately, say market proponents, parents pay for the education of their children, as part of the community that supplies the revenues of the state. Parents have a personal stake in the education of their child. Each parent has detailed information about the child's interests and abilities. Each parent is better able than any teacher to sense when an instructional method or curriculum is failing to achieve what the parent seeks.

Markets can be said to exist when three conditions are met:
- there is variety in the quality and content of education provided;
- consumers are informed about options; and
- consumers are able to choose among the options.

According to this definition, there is no market if all public schools are the same and private schools follow a national curriculum and use the same teachers as public schools. There is no market if the only alternative schools are too expensive, or located far away.

The "consumer" in this definition does not have to be the individual student and parents/guardians, but could be a community, or even a provincial or state government or a private corporation that chooses among educational producers. In other words, it is possible to create a market mechanism within a public education system, to create opportunities for choice that are accessible to all consumers whether they are individual persons, corporations or governments.
Activity 1.2.3  Level and nature of Authority Transfer

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<td><strong>Undertaken By</strong></td>
<td>Group (mixed)</td>
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<tr>
<td><strong>Materials Required</strong></td>
<td>colored cards and markers</td>
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**Methodology**

Depending upon the number of participants divide participants in two sets of groups representing schools and districts.

The texts read earlier in the segment will also be used as handout for the participants for reference.

For each level the specific group will identify the level and nature of authority transfer whether this is to the Professionals, Elected Personnel/communities or to the Market Forces. Each group will present their conclusions with evidence.
Introduction:

This section covers the following topics:
- What is the meaning of Governance?
- What is Good Governance?
- What are the typologies of Decentralization?

Learning Outcomes

1. Grasp the meanings of governance
2. Familiarize themselves with typologies of decentralization and how these may affect them in local contexts

Activities

1.3.1. Meanings of Governance and Applications
GLOBAL PERSPECTIVE ON GOVERNANCE

1. **[UNDP]** Governance is the exercise of economic, political and administrative authority to manage a country’s affairs at all levels. It comprises mechanisms, processes and institutions, through which citizens and groups articulate interests, exercise their legal rights, meet their legal obligations and mediate their difference.
   

2. **[OECD]** Governance denotes the use of political authority and exercise of control in a society in relation to the management of its resources for social and economic development. This broad definition encompasses the role of public authorities in establishing the environment in which economic operators function and determine the distribution of benefits as well as the relationship between the ruler and the ruled.
   
   Ref. [http://oecd.org/dse](http://oecd.org/dse)

3. **[CGG]** Governance is the sum of the many ways individuals and the institutions, public and private manage their common affairs. It is a continuing process through which conflicting or diverse interests may be accommodative and co-operative action taken. It includes formal instructions and regimes empowered to enforce compliance, as well in formal arrangements that people and institutions either have agreed to or perceive to be in their interests.
   
   Ref. [www.cgg.ch/welcome.html](http://www.cgg.ch/welcome.html)

4. **[World Bank]** As described in the 1994 report, Governance: the world bank’s experience, “Good governance is epitomized by predictable, open and enlightened policy making (that is transparent processes); a bureaucracy imbued with a professional ethos; and executive arm of government accountable for its actions; and a strong civil society participating in public affairs; and all behaving under the rule of law.
   

**Governance vs Management**

“Governance differs from management in that it includes authority over the objectives of action as well as over the methods of action. An educational institution is ‘governed’ locally when it is held accountable by local stakeholders using evaluative criteria they have chosen or approved. The concept of Governance is meant to include not only control of decisions about the operations of educational organization, but also control over decision about the dimensions along which that performance will be evaluated”.

Mc Ginn, 2000
Implicit in the above definitions is the notion of ‘Good Governance’.

Good governance, as a policy framework, encompasses:

- An effective state i.e. one that possesses an enabling political and legal environment for economic growth and equitable distribution;
- Civil Societies and communities that are represented in the policy making process, with the state facilitating political and social interaction and fostering societal cohesion and stability;
- A private sector that is allowed to play an independent and productive role in the economy.

Its characteristics are described in Handout 2 below.
Handout 2

Characteristics of Good Governance

Participation
All men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their interests. Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively.

Rule of law
Legal frameworks should be fair and enforced impartially, particularly the laws on human rights.

Transparency
Transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them.

Responsiveness
Institutions and processes try to serve all stakeholders.

Consensus orientation
Good governance mediates differing interests to reach a broad consensus on what is in the best interests of the group and, where possible, on policies and procedures.

Equity
All men and women have opportunities to improve or maintain their well being.

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Effectiveness and efficiency
Processes and institutions produce results that meet needs while making the best use of resources.

Accountability
Decision-makers in government, the private sector and civil society organizations are accountable to the public, as well as to institutional stakeholders. This accountability differs depending on the organizations and whether the decision is internal or external to an organization.

Strategic vision
Leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded.
## Activity 1.3.1 Meanings of Governance and Applications

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<td><strong>Undertaken By</strong></td>
<td>Group (mixed)</td>
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<tr>
<td><strong>Materials Required</strong></td>
<td>colored cards and markers</td>
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### Methodology

(a) Form groups with mixed participants;

(b) The Transparency of Good Governance and also handouts will remain on the wall and copies will be with all participants;

(c) All the participants will engage in the following questions for collective responses to:

1. How does governance differ from management?

2. What does this sentence mean to your group?
   “An educational institution is ‘governed’ locally when it is held accountable by local stakeholders using evaluative criteria they have chosen or approved”.
   - Who are the local stakeholders?
   - What does accountable mean for an education institution?
   - What could be the performance or evaluative criteria that the stakeholders may have approved or chosen give examples?

### Outcome

Participants will begin to learn the possibilities of exercising good governance at local or school level in terms of: who are the key players, why do they agree to approve a common criteria for performance to which they are accountable.

---

## Decentralization and Typologies

Recap the transparency on the Continuum of Decentralization

| The Continuum of Decentralization |
|---|---|---|---|
| De-concentration | Delegation | Privatization/PPP | Devolution |

---

International Training Manual on Educational Governance
Types of Decentralization

There is no one size fits all in ‘Decentralization’ as it embraces a variety of concepts. It must be carefully analyzed in any particular country before determining the projects and programs are supporting reorganization of Financial, Administrative, or Service Delivery Systems.

Decentralization Typologies should be distinguished because they have different characteristics, policy implications and conditions for success.

**Decentralization Typologies**

<table>
<thead>
<tr>
<th>POLITICAL</th>
<th>ADMINISTRATIVE</th>
<th>FISCAL</th>
<th>ECONOMIC OR MARKET</th>
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<tbody>
<tr>
<td>Political decentralization aims to give citizens or their elected representatives more power in public decision-making. This typology corroborates with the Capacity Need of the Legal and Political Domains.</td>
<td>Administrative Decentralization refers to transfer of responsibility for the planning, Financing and management of certain public functions from the central govt. and its agencies to feed units of govt. Agencies, subordinate units or levels of govt., semi autonomous, public authorities or corporations or area wide, regional or functional authorities.</td>
<td>If local governments and private organizations are to carry out decentralized functions effectively, they must have an adequate level of revenue, either raised locally or transferred from the central govt. as well as the authority to make decisions about the expenditures.</td>
<td>Privatization and deregulation are seen as the ultimate form of decentralization in market oriented systems. Because they shift responsibility for functions from the public to private sector, in every country local governments are also privatizing by contracting out service provision or administration. This has taken the form of deregulation for provision and printing of textbooks and setting up of examination boards through a Cabinet Decision on 2002.</td>
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</tbody>
</table>

Decentralization as a major policy shift cuts across so many dimensions and domains engaging with different categories of government and political representatives, market and civil society actors. There is often friction between the bureaucratic and political bosses in local areas and citizens need to negotiate these tensions for the benefit of the collective good.
How do we know that decentralization is achieving its original objectives of improved people-centred service delivery? For this purpose indicators of decentralization as they relate to the administrative, political and financial domains and the decentralization audit are handy.

**TOOL 1**

**Key Indicators for Monitoring Decentralization and Local Governance**

Following are the key indicators that highlight the key factors of decentralization and local governance:

**Administrative**

- Ultimate findings of success on a number of responsibilities specifically reserved to local government.
- Local government actions overturned by central government.
- Scope of responsibilities clearly defined for each level.
- Rate of local laws passed without any discrepancy applied by central government.
- Rate of local government staff hired independently by local government alone.
- Degree of assignments of functional responsibilities from central government to local government.

**Political**

- Method of constitutional and legal reforms to transfer power.
- Level of consultation with local officials on national policy issues and the level of acceptance by the central government authorities.
- Rate of registered voters in local elections compared with the elections at national and provincial levels.

**Financial**

- Increased legislative authority to collect local taxes and fees for local use.
- Periodical financial graph of revenue owned by local government.
- Rate of residents paying local taxes.
- Independence allowed in utilization of central government financial transfers.
- Rate of local government budget mandated by the central government.
- Existence of local economic development strategies and incentives.
TOOL 2

Indicators Correspond with Various Dimensions of Decentralization.

Administrative Dimension

- Number of responsibilities specifically reserved to local government (as opposed to central government)
- Number of reforms passed at local level, relative to recommended or promoted reforms
- Number of local government actions overturned by central government
- Scope of responsibilities clearly defined for each level
- Number or percentage of local laws passed without hindrance from central government
- Percentage of local government staff hired independently by local government
- Degree of assignment of functional responsibilities from central government to local government

Financial Dimension

- Increased legislative authority to levy and collect local taxes and fees for local use
- Trends in local own-source revenues
- Percentage of locally generated revenue retained by local governments
- Percentage of residents paying (specified) local taxes
- Degree of independence in use of central government financial transfers
- Percentage of local government budget mandated by central government
- Existence of local economic development strategies and incentives

Political Dimension

- Passage of constitutional and legal reforms to transfer power (i.e., local governments have protected legal status and specific powers and responsibilities)
- Number or percentage of local government decisions overturned by central government
- Level of consultation with associations by local officials on national policy issues
- Laws supporting freedom of association and speech
- Percentage of citizens registered to vote and percentage of registered citizens voting (disaggregated by gender and ethnicity) in local elections
- Percentage of executives, administrators, candidates, and elected officials who are women or minorities
Key Indicators for Monitoring Decentralization and Local Governance

Follow Up Activity

<table>
<thead>
<tr>
<th>What are the Changes and who makes them?</th>
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<tr>
<td><strong>Duration</strong></td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
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</table>

Methodology

(a) The facilitator will elaborate the typologies of decentralization.
(b) Four Participants will be invited to express their views on their understanding on typologies of decentralization. Each participant will given three minutes.
(c) The facilitator will comment on each presentation and conclude the session on how the participants have comprehended the typologies.
TOOL 3

Deciding Who Controls What

Job Descriptions matched against responsibilities is crucial to effective decentralization and local governance. Participants need to be made aware that in their own local settings they need to conduct an exercise resulting in an in-house document comprising of four factors for all personnel in their respective departments and settings.

1. Identification of Position in relation to the tier of government

2. Job description of that specific position with authority level as formally given to that position

3. What incentives are linked to that position, if any

4. What are the possibilities for human resource or skill development with that position and who will be responsible for these to be met.

Human Resources and their Role under Decentralization
The next module is a focus on maximizing the role of citizens and their participation in local governance. This is a key challenge of decentralized systems. The module on citizens participation and public private partnerships will highlight core concepts, tools and skills to understand the dimensions of partnerships for good governance and education.

Section 4

Key Resources and Websites


Module 2 for Three-Days Training on Citizenship Participation and Public Private Partnerships

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Introduction

Learners, teachers, parents, communities, non-governmental organizations and other bodies representing civil society must be exposed to new and expanded political and social scope at all levels of society, in order to engage governments in dialogue, decision-making and innovation around the goals of basic education. Civil society is rich with experience and has a crucial role to play in identifying barriers to EFA goals, developing policies and strategies to remove them. This is essential in order to foster the development of accountable, comprehensive and flexible educational management frameworks. In order to facilitate this process, capacity will often have to be developed in the civil society organizations.

Dakar framework of Action, 2000

Today good governance is synonymous with citizen’s participation. This is true for all social and economic sectors. Education is a public good. In most countries, education is the largest sector in terms of allocations, institutions, personnel and influence. The challenge of Education For All and the Millennium Development Goals for 2015 has made governments conscious of mobilizing citizens to become partners in local decision making, planning and implementation. Partnerships are central to improvement of key indicators, such as enrolment, retention, completion at the primary, middle and secondary levels, as well as gender equality and opportunities for lifelong learning.

The Dakar Framework of Action (2000) calls for strategies to ensure participation of civil society in the formulation, implementation and monitoring of educational developments. There has been a corresponding adjustment by the state to establish more robust partnerships with civil society. Globally many national-level initiatives have been taken to promote good governance with the support and participation of civil society.

National, regional and local educational authorities have an obligation to provide basic education for all. But they can not be expected to supply every human, financial or organizational requirement. Only new and revitalized partnerships among all sub sectors and forms of education can be a viable solution. Recognizing the special role of teachers, parents, administrators and educational personnel, partnerships between education and other government departments, partnerships between government and non governmental organizations, the private sector, local communities, religious groups and families, can help achieve Quality Education For All. When we speak of “An Expanded Vision and a Renewed Commitment”, partnerships are at the heart of it.

This module provides concepts, tools and techniques for promoting good governance at the local level through partnerships. It offers conceptual and practical explanations of civic participation and governance in education, the role and operations of SMCs/PTAs, extending to the growing domain of public private partnerships. The module is accompanied by a series of practical experiences and case studies.
Objectives

- To understand the significance of local governance and how it relates to civic participation in education;

- To recognize how to promote local level planning and participation at the school or facility level through SMCs and PTAs;

- To understand the opportunities, modalities and challenges of public private partnerships in education.

Sections

1. Local Governance, and its relationship with citizen’s participation
2. Citizenship Participation through SMCs or Parents Teachers Councils (PTCs)
3. Public Private Partnerships in Education
4. Case Studies and Exercises. These may be treated as optional and used according to best judgment of the local context
5. Key Resources and Websites
### Section 1: Local Governance and its Relationship with Civic Participation

This section covers the following topics:
- What is civic participation and what are civil society organizations?
- What is the relationship between civic participation and governance?
- What are the key characteristics of CSOs?
- What are some mechanisms for monitoring through citizens’ participation?

#### Learning Outcomes

1. Familiar with key characteristics of civic participation and governance
2. Learn about the pre-requisites for civic participation
3. Knowledgeable about different mechanisms for civil society participation for better decision making

#### Activities

2.1.1 Benefits of Citizens’ Participation
2.1.2 Importance of Local Governance and Civil Society Participation
2.1.3 Different Ways of Civic Participation
2.1.4 Civil Society Participation in PRSPs
2.1.5 Tools for Civic Participation
What is Civil Society and Governance?

Civil society represents a range of all types of non-government associations, organizations and groups who have a collective stake in improved functioning of society through traditional and alternative delivery systems.

At its simplest, civil society is the arena in which people come together to pursue the interests and issues they hold in common. What could such common interests be? Education, religion, economic activity, making of a park, road, health facility, school or infrastructure, health problems etc. Such associations are not for profit, and are only political in as much that they are concerned enough about something to take collective action. In this sense all the organizations and associations including the family and state are embedded in a local context, belonging to religious and professional organizations, labor unions and the media, grass root association, NGOs of different kinds and many others groups.

Civil society refers to the wide array of non governmental and non profit organizations that have a presence in public life, expressing the interests and values of their members and others based on ethical, cultural, political, scientific religious or philanthropic consideration.

Governance or local governance, may be understood as *the traditions and institutions by which authority in a country (or a local community/municipality) is exercised for the common good* (World Bank). This exercise of authority includes three points:

- The process by which those in authority are selected, monitored, and replaced;
- The capacity of the local government to manage its resources effectively, and to implement sound policies;
- The respect of citizens and the local government for the institutions that govern economic and social interactions between them.

Governance, therefore, includes the State, but also transcends it by including civil society and those oversight committees that foster civic participation. The State, in order to create an encouraging political and legal environment, needs the support and approval of civil society to facilitate political and social interactions, such as mobilizing groups to participate in economic, social and political activities. Education today represents a sector which covers all three arenas for ensuring that all citizens, without discrimination, are equipped with skills and information to improve to their livelihoods.

The State also needs the private sector and civil society organizations (CSOs) to link local communities with improved access to fulfillment of basic needs, activate the market and generate jobs/income and improve social services. Such conscious partnerships are referred to as Public Private Partnerships (PPPs). PPPs are spread across government, private sector and CSOs and are increasingly being used for education development and new arrangements in local governance through civic participation. Good governance, with civic participation can provide more productive investment, supply better public goods, obtain more effective resources, spur faster economic growth, and alleviate poverty.
Recapping Characteristics of Good Governance

These characteristics of good governance were identified in UNDP’s 1996 Workshop on “Governance for Sustainable Human Development”.

1. Participatory
2. Sustainable
3. Legitimate and acceptable to the people
4. Transparent
5. Promotes equity and equality
6. Able to develop the resources and methods of governance
7. Promotes gender balance
8. Tolerates and accepts diverse perspectives
9. Able to mobilize resources for social purposes
10. Strengthens indigenous mechanisms
11. Operates by rule of law
12. Efficient and effective in the use of resources
13. Engenders and commands respect and trust
14. Accountable
15. Able to define and take ownership of national solutions
16. Enabling and facilitative
17. Regulatory rather than controlling
18. Able to deal with temporal issues
19. Service-oriented
Civic Participation

Civic participation may be regarded, as the process by which citizen’s concerns; needs, values, expectations and problems are taken into account into the governmental decision-making process. It is a two-way communication process between the government and citizens, with the overall goal of better decisions, supported by the public and fostering the increased well-being of the population as well as the reduction of poverty.

The state, in order to create an encouraging political and legal environment, needs the support and approval of civil society and private sector to facilitate political and social interactions, for promoting positive economic, social and political activities. Good governance can supply better public goods, obtain more effective resources, reduce and/or alleviate poverty, provide more productive investment and spur faster economic growth for human well-being.

Development is a multidimensional process involving major changes in social structures, popular attitudes, and national institutions. Civic participation is crucial to development. To participate in the development process and thus in the decision-making process, citizens need to be willing to learn, and to negotiate and interact with the governance works, how decisions are made, how civil society is organized. Interested parties must know the mechanisms and instrument for participation, and be aware of national authorities’ willingness to meet with them as well as their levels of tolerance.

Civic participation thus builds collective action between government authorities and citizens, and it raises awareness on development responsibilities by civil society and its involvement in public policy design. Civic participation starts the process toward a more open, inclusive, and transparent society, and it strengthens democratic institutions.

Civic participation includes three interrelated elements:

- an open and transparent government, involving citizens in its activities and decision-making processes;
- a consistent and persistent flow of information from the government to its citizens and vice-versa; and
- efficient ways of informing citizens about their roles and responsibilities to participate as equal partners.

Civic participation is the combination of these three elements, so that national plans are developed and carried out jointly in a manner that is as responsive as possible to the needs and desires of citizens (LGA, Romania).

Civic participation refers to the space constructed by citizens to work next to their authorities in the decision-making, policy-formulation, and implementation process. It refers also to the execution and monitoring of governmental activities, with the purpose on improving the quality of life of the population. Nowadays, civic participation contributes to the public agenda, to access public goods such as education and health effectively, fight against corruption and inefficiencies, and to the development process for improved living standards.
How to achieve civic participation?

Citizens participate mainly when they feel they are an integral part of the process, they have the necessary information and they see their demands take shape. In order to realize a better impact from civic participation, a basic confidence and sincerity must exist towards the agent who administer the public sphere, based on three elements:

- Information - its frequency and quality
- Transparency - accuracy and fullness of information available for public scrutiny
- Accountability - a system of checks and balances on public decision making

Civic Participation Information + Transparency + Accountability

Access to Information

Access to information means that every citizen should be able to find, discover or receive any piece of information or knowledge that she/he requires in order to function effectively. Access to information is a basic right of every citizen and the cornerstone of democracy. Without access to timely, appropriate and accurate information, correct decisions are hard to make. Information is vital for decision-making at the public level. It is also indispensable for making judgments, evaluations and assessments of situations for which decisions have to be made. Accurate and timely information may be necessary for survival. If a person fails to find out where the best facility for urgent medical care exists, it could lead to death. Information is also essential for participation in public debate about any policy, procedure or law that is proposed. Without appropriate information, citizens cannot ensure their input into public policy. National issues cannot be understood without information. Information is so basic for democracy and good governance that the independent media, one source of public information, has been called the Fourth Pillars of Democracy.

I What Constitutes Information :

- Facts
- Concepts
- Ideas
- Pictorial and graphic data (drawings, maps, pictures, diagrams)
- Quantitative data/Statistics
- Qualitative data
- Theories
- Hypotheses/conjectures

II What are the Forms/Types of Information :

- Ordinary, everyday understanding/observation
- Technical/specialized knowledge related to a specific field
• Factual and quantitative information for making quick assessments
• Theoretical knowledge based on relations between facts and concepts

III What Kinds of Information may be required by the Community:

• Knowledge of best practices
• Knowledge of other districts/Tehsil’s/Villages
• Knowledge of government policies, programs and laws

IV. Sources of Information/Knowledge:

• Everyday, street encounters/experiences
• Print media (newspapers, magazines, journals)
• Electronic media (TV, radio, internet)
• Pamphlets and leaflets by organizations
• Books
• Other councilors, teachers and members of community

Transparency

Transparency means that all public transactions are open and available for scrutiny by any representative or member of the public. It means that all procedures, methods and mechanisms devised for the use of state assets (their sale, price) should be open, just and available for scrutiny. Records of all transactions involving public assets should be strictly maintained and audited in order to ensure that the dealing was fair, open and transparent. Without transparency public trust cannot be assured. The function of transparency is to diminish the possibility of corruption. The following are the main characteristics of transparency:

- Transparency means that all dealings are open and their details available for public to see.
- Records and books are kept so that they can be checked.
- Impartial and merit-based procedures are used for awarding of positions and contracts of all kinds.
- The procedures are open and available to inspection.
- Transparency enables accountability to be ensured.
- All public dealings involving money, materials and positions must be transparent in order to be democratic.
- No public record or procedure should be opaque or hidden.
- Transparency should be collectively ensured.
- All public and elected officials must clearly report how they spent public funds and there should be ways of independent checking and verification.

Accountability

Accountability is an essential feature of good governance. Without accountable public officials (elected and non-elected), there can be no answerability to the people in whose name the officials govern. Accountability is the only way in which the citizens can keep track of how their tax money is spent and whether it has been spent wisely and judiciously.
Through the process of accountability, citizens can also question the laws, policies and implementation procedures and mechanisms devised in their name. States often ensure accountability through public bodies such as the Public Accounts Committee. The function of accountability is to prevent corruption and devise methods of dealing with it in case it is detected. The following are some of the main characteristics of accountability:

- Accountability means that those in responsible positions are answerable for their activities and utilization of resources to their electors and others.
- Accountability is important because without it those who pay taxes or otherwise contribute do not know how their funds were spent and whether such spending was effective and useful regarding the purpose for which it was done.
- Without accountability improvements and changes cannot be made.
- Accountability of all public and elected officials is demanded by those for whom they are working.
- Accountability is a system of checks and balances.
- Accountability has to be ensured through mechanisms and procedures devised for this purpose.

**Civic Participation: What can this do to benefit citizens?**

- It builds collective action between government authorities and citizens.
- It raises awareness on development responsibilities by civil society.
- It creates possibility for citizen’s involvement in public policy design.
- It seeks engagement of citizens in the design, execution and monitoring of governmental activities, with the purpose of improving the quality of life of the population.
- It starts the process towards more open, inclusive, and transparent society for greater accountability.
- It strengthens democratic institutions from local to national and micro to macro levels.
- It adds to the acceleration of economic growth, the reduction of inequality, and the alleviation of poverty by improving services and local opportunities.
Module II: Citizenship Participation and Public Private Partnerships

Activity 2.1.1 Benefits of Citizens’ Participation

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<tbody>
<tr>
<td><strong>Duration</strong></td>
<td>15 Minutes</td>
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<tr>
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<td>Individuals</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>charts and markers</td>
</tr>
</tbody>
</table>

**Methodology**

Place two identical charts on the walls of the training venue. Divide the participants into two random groups. Ask participants to walk across to the two identical charts displayed in the hall and indicate benefits of citizen’s participation in education related matters at a local level such as school, literacy center, girls education or non-formal education etc.

**Wrap up the session reading out loud the suggestions of the participants on the chart reinforcing their understanding of the core concepts of citizen participation in education.**

**Ensure that the chart remains on the wall of the training facility throughout the length of the module.**

Nowadays, local governments and civil society increasingly perceive poverty and inequality as problems which co-exist with poor levels of education. They can be confronted more efficiently through the creation of alliance between governments, civil society and the private sector. More transparent, participatory, and efficient governments open to civic participation and public scrutiny, have become a high priority. Where there is integration among these various factors, significant results can be expected: informed knowledge, coalition building leading to collective action, and transparent political leadership at the local level.

Citizens seek to recover trust in their local authorities and institutions. They demand more information on how public goods of which education and health are the most important are managed and how efforts are being made to ensure that they have access to these services, their planning and their budgets.
Activity 2.1.2 | Importance of Local Governance and Civil Society Participation

<table>
<thead>
<tr>
<th>Duration</th>
<th>20 Minutes (10 mn writing and 10 mn feedback)</th>
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</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Paired Group Activity</td>
</tr>
<tr>
<td>Materials Required</td>
<td>coloured cards and markers</td>
</tr>
</tbody>
</table>

**Methodology**

1. Ask the participants to pair up with their next door partner and write at least three suggestions boldly on a colored response card for the following question:

**Why is local governance important and what is the role of civil society in its functioning?**

2. Wrap up the session according to the best suggestions on a chart ensuring that the categories placed on the chart can provide a comprehensive summary of the suggestions reflecting the core concepts that have been learnt through this activity.

**Possible answers**

**Local Governance**
1. Provides space for citizens to influence government decisions for the collective good.
2. Creates legitimacy and trust for government through sharing of power with citizens through transparent and well-publicized channels.
3. Makes decision making processes accessible to citizens at local levels.
4. People can become familiar with:
   - Local government offices and systems;
   - Ways to access key public information;
   - Key personnel who have a direct or indirect role in decision making;
   - The annual planning and budget calendar when citizens can influence decisions regarding development targets and budgets.
5. Citizens can learn the various forms to place complaints and issues for local government to consider for action and improvement.

**Civic Participation**
1. It can help us influence decisions through an organized platform.
2. It is an opportunity to engage meaningfully with specific organizations as different sectors have different types of civic participation platforms eg.
   - schools: PTAs;
   - health facilities: health committees;
   - water and sanitation: water and sanitation or local water associations
3. It can help us become focused about issues and their resolution for local government to take notice.
4. It makes us think about our special skills to help influence and improve local services for the common good.

There are more common ways to improve civic participation skills at an individual level. These are displayed in the handout and or chart or slide on an overhead projector.

**Handout**

**Five easy ways to activate your civic participation**

<table>
<thead>
<tr>
<th>Basic Level of Civic Participation</th>
<th>Activated Level of Civic participation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Read the newspaper</td>
<td>Keep a file of newspaper clippings about local issues and learn about the facts and the people involved in finding solutions.</td>
</tr>
<tr>
<td>Join a community organization</td>
<td>Become an active member, for example, by serving on a committee or board of directors, organizing a community project, or recruiting additional members.</td>
</tr>
<tr>
<td>Vote in elections</td>
<td>Support a candidate for office by distributing leaflets, displaying a yard sign, attending a rally or debate, or introducing a local candidate to friends and neighbors.</td>
</tr>
<tr>
<td>Donate money to a community organization or a political campaign</td>
<td>Raise money to help to sustain a community organization or to support a political campaign.</td>
</tr>
<tr>
<td>Volunteer for community service</td>
<td>Start a community organization or citizens’ task force to solve a community problem.</td>
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</tbody>
</table>
Activity 2.1.3 | Familiarization with Different Ways of Civic Participation

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<td><strong>Undertaken By</strong></td>
<td>Group Activity</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>coloured cards and markers</td>
</tr>
</tbody>
</table>

**Methodology**

Divide the participants into three groups. Ensure that these are gender balanced and represent a mix of NGOs/CSOs/PTAs, education officials, head teachers, etc.

Three case studies given to the three groups with questions to be responded to for each one separately:

- a) policy-making
- b) civic freedom to information, and
- c) budget making

Wrap up the session with responses from all three groups clarifying why they responded in specific ways highlighting connections between what is civic participation, benefits of civic participation and variety of ways for civic participation, reflecting the core concepts that have been learnt through this segment and specific activity.

**Group**

<table>
<thead>
<tr>
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<th>Participation in Policy-Making</th>
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Government is interested to design a new education policy in consultation with citizens. There are two different opinions:

First opinion is that it would only be wastage of time and resources to involve a lot of people in this process as only some learned people could do this in a better way. As those experts are aware about the basic needs of the community so this would be a useless exercise.

The second one is that only people involved in education process (*teachers, parents and other involved*) are aware about ground realities and their suggestions would be more practical. So they should participate in policy-making and their opinion should be considered.
Questions:

1. Shall citizens participate in policy-making?
2. Is it people’s right to participate in policy-making?
3. What could happen if citizens are not involved in policy-making?
4. What kind of mechanisms can be adopted by the government to ensure citizen participation?
5. Whom do you think is well-informed about the needs of the citizens?

Group 2 Participation in Decision-Making

Government has decided to ban some T.V channels. According to government some programs and news against the ideology of country are presented on these channels and no one is permitted to show anything contrary to ideology. Most of those banned channels are news channels. Citizens are protesting against this decision. They think that access to information is their basic right and by doing this government is violating their right so they are not ready to accept this decision.

Questions:

1. Are citizens’ protest justified?
2. What would happen if the citizens do not have access to all channels?
3. Do you think access to information is their basic right?
4. If yes, should they take some steps?
5. What should they do?
Group 3 Participation in Budget Formulation

The District Government is working on annual budget preparation for education in these days. A group of citizens has a point of view that as this matter directly affects common citizen’s lives so it is their basic right to be a part of the activity, and shall kept informed of everything. According to them their suggestions should be taken very seriously and their concerns should be addressed in the education budget. On the contrary, many government officials think that this is very sensitive matter so there is no need to involve citizens.

Questions:

1. Do you think that participation in budget formulation is citizens’ right?
2. Are they justified to demand this kind of information?
3. What will happen if citizens could participate in budget formulation?
4. What should the citizens do in this regard?
5. How government can assure citizen participation in budget formulation?

Present the figure to the Participants and keep it displayed as an overhead. The facilitator guides the participants through the various segments of the figure prior to presentation of the next activity.

The facilitator must have knowledge of: local government systems of that country; policies on good governance and citizens participation processes; and information on poverty estimates and or Poverty Reduction Strategy Papers (PRSPs) for the country or province.
Activity 2.1.4 | Civil Society Participation in PRSPs

<table>
<thead>
<tr>
<th>Duration</th>
<th>60 Minutes (20 mn reading, 20 mn writing and 10 mn feedback)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Group Activity</td>
</tr>
<tr>
<td>Materials Required</td>
<td>coloured cards and markers</td>
</tr>
</tbody>
</table>

Methodology

Divide the participants into three groups. Ensure that these are gender balanced and represent a mix of NGOs, education officials, head teachers etc. Each one will attempt the same case study with the specific questions at the end of the case.
A Case Study on Civil Society Participation in Poverty Reduction Strategies

Paradise is currently suffering from 40% living below the poverty line and its key indicators on education reveal that less than 50% of children are enrolled and girls net enrolment is only 25% compared to 50% for boys at the primary level. Its economic and social indicators are stagnating. However, the new government which has been elected only 6 months ago is resolved to turn the situation around with the help of private sector, NGOs, communities, unemployed educated youths and youth groups, and development partners. It has been announced that there will be a 100% increase in the allocations for student stipends targeting the poorest from primary to college level. The national government has recently launched its Poverty Reduction Strategy Paper (PRSP) processes as required by the donors. To mobilize partnerships in policy and strategy formulation the national government has asked district governments to ensure that civil society is fully represented in the process and their opinions are taken into account at local levels. The civil society groups should include representatives from NGOs, school management boards/PTAs, chambers of commerce or local business associations, health management committees, women’s groups, unemployed but educated youth, etc. The government also wants a plan to ensure that this group remains associated with implementation and monitoring of the PRSP after it is finalized.

Questions for collaborative responses from the large group:

1. Why do you think government wants to involve citizens in the design of the poverty reduction strategy? Which groups is it highlighting for participation?
2. How is poverty linked to low education indicators?
3. Why does the government want to engage in partnerships? What could be the advantages and possible disadvantages of partnerships?
4. Through what mechanisms will the civil society groups remain engaged in the PRSP’s implementation and monitoring. Give examples from education.
Are legal, policy and regulatory frameworks necessary to involve the private/civic society sector effectively?

For a Civil Society Organization (CSO) to have an organized and influential voice it must have legal status. A key attribute of CSO is its legal standing or how it is registered with the local or national authorities. In each country the instruments for registration of NGOs may vary i.e., the societies act, social welfare acts, company laws, trust laws, charities commission etc. These legal instruments will have to be to be identified for local country contexts by the facilitator.

Where Panchayats, SMCs, PTAs, Citizen Community Board (CCBs) are designated by constitutional amendments and legal notifications these associations are fully empowered accordingly to influence decision making in how education services are delivered at the facility and local levels. Their responsibility and authorities are also defined. However, sometimes the government may not always interpret the authority in favor of these bodies.

Characteristics of Civil Society Organizations (CSOs) in Development:
CSOs in the context of education are seen as independent professional groups that work closely with schools and school districts to support instructional and organizational improvement; act as critical intermediaries in education innovation and reform initiatives.

1. They extend the reach and capacity of districts by providing needed sources, including monetary and intellectual capital.
2. Forge links between schools and a range of community partners.
3. Serve to keep reforms on track.
CSOs can be seen fulfilling any set of the following functions:

**CSO Functions**

- **Representation i.e., organizations which, aggregate citizen voice**
- **Advocacy and technical inputs i.e., organizations which provide information, advice and lobby on particular issues**
- **Capacity Building i.e., organizations that provide support to other CSOs/government, including funding**
- **Service Delivery i.e., organizations that implement development programs or provide services**

The **civic domain** links the bureaucratic – organizational to **civic action** whereby bureaucracy shares power with civic associations in planning, implementation, management and monitoring of education. This requires an attitudinal shift and also the necessary skills and knowledge base to participate in effectively meeting the Education goals and targets.

The **civic capacity** is demonstrated through civil organizations’ participation in governance at various levels, electoral participation and integration in cooperative joint ventures with the government.

The **core characteristics required by the organizations are**: literacy and numeric skills; organizational and management; communications; tolerance of mutual rights independent of caste, gender, beliefs etc; tolerance of participation of all; acceptance of public accountability and reporting systems.

1. Collect the following materials: Inventory of statutory civic associations and bodies authorized to implement provision of education, inventory of voluntary civic associations active in the provision of education at each level of governance, inventory of statutory associations and voluntary bodies in a given area involved in education and training of citizens to implement rights and duties.

2. Use these materials to produce a descriptive profile of civic capacities to support decentralization

3. Carry out an evaluation of quantitative and qualitative of civic capacity by level of governance, region district and locality.
4. Using these materials produce a short, medium and long term Civic Investment Plan to enable citizens and their associations to work effectively in implementing governance and decentralization

Outcome: Active citizens in the community with knowledge, skills, experiences and values to support and enable them to play a full role in decentralization.

The Mechanisms in Government and Civil Society for Introducing Civic Participation in Implementation and Monitoring:

The smaller size of the local level government the better this is for creating a systemic strategy of cooperation among the civil society and a government. Practical strategies to promote civic participation at the local level have to be addressed by local institutions through a participatory process of institutional reforms. This diagram shows the steps for achieving sustainable institutional reforms through civic participation:

1. A local survey can be conducted to find out about the state of service delivery in education in a municipality. This can be done through a public opinion survey.

An important aspect of a well-planned strategy is conducting surveys. Surveys of citizens, businesses, and households should be conducted by reputable academics to uncover key local problems. Identifying an independent firm is a crucial step in the process, in order to avoid political interference during the period of data collection. The results of the surveys describe and identify the main governance-related problems pertaining to lack of civic participation, corruption, and performance in the municipality.

2. Once the information has been received on the state of service, in order to prioritize areas for reform, the local government and civil society should use participatory working groups to identify the problems and incentives at the municipal level (i.e. lack of information, accountability, low salaries, complex regulatory framework).

3. After the problems are identified, and diagnosed, civil society and the local government can be mobilized as
stakeholders through a formal workshop to propose innovative ways to address these problems.

4. An Action Plan is developed for implementation backed by resources.

5. The process of implementation is then periodically monitored and evaluated jointly by government and local citizen’s groups.

All these initiatives imply different levels of transparency, information, and power-sharing among local governments. The local assemblies are open plebiscites or referendums on specific issues, initiated by the mayors. Information on assembly issues is shared with the people, who are then asked to either give their opinion or their decision on the issue under consideration. A more systematic, recurrent yearly process is carried out in municipalities in order to assemble a yearly budget on the basis of community preferences.

The use of these tools, together with a participatory process, has resulted in some cases in a complete overhaul of the administration. Changes can include a reduction in staff and the redesign of some processes, which permit the municipality to transform itself from a highly unstable and corrupt state, to one of relative stability and good management.

Some civic participation mechanisms for creating effective alliances, such as those in Campo Elias, are: referendums, “veedurias,” public audiences for accountability, information and complaint offices, sectoral collective action groups, public audiences for budgets, citizen oversight committees, and participative workshops. In an IT driven world, new instruments for civic participation are being introduced, such as “e-citizen” and “e-government” for participation to be supplemented by modern electronic mechanisms.

A brief explanation of some participatory mechanisms is given below:

**Participatory workshops**
Create formal opportunities for authorities and citizens with the object of identifying, analyzing, proposing, and prioritizing the most important problems of the country. These can be in the form of workshops as occasions that look for agreement on subjects of national and local interest, such as the vision and targets for education and budgets.

**Information and citizen complaint offices**
Offices to provide useful information to citizens, mainly on public interest matters, on the government in general, its mission, programs, execution of such, goals reached and commitments contracted by institutions that administer public goods. They channel citizen concerns and respond to complaints in a timely and efficient way.

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**Civic Participation Mechanisms at Local Levels**
- Participatory workshops
- Information and citizens complaints offices
- Sectoral collective action groups including PTAs/SMCs
- Public hearings for accountability
- Public hearings for budgeting
- Citizen oversight committees
- Neighborhood governments (neighbors workshops)
- Radio audiences
- Tripartite Control Committees
- E-citizens
- Government to Citizens (G2C)
- Ombudsneighbor
**Sectoral collective action groups including PTAs/SMCs**
Made up of representatives of civil society and the government, and tied to certain sectors like health, education, human settlements and others. They are constituted by working groups to analyze the situation of the sector and to propose necessary changes. SMCs and PTAs are examples of education sector action groups. These are formed for local governance at school level with established roles and responsibilities. These may be formed through a legal cover or simply by notification. They are composed of representatives of the school teachers, the head teachers, parents, community members/NGOs and local political representative.

**Public hearings for accountability**
Public meetings summoned by the authorities to inform citizens on the fulfillment of obligations and promises assumed by public institutions.

**Public hearings for budgeting**
Public meetings allowing civic participation in the formulation and control of budgets. Their objectives are to develop a system that facilitates citizens’ access to information on public management, to impel mechanisms of transparency and accountability, and to create a space for citizens to have a voice in the use of the public budgets.

**Citizen oversight committee**
Mechanism of control and bipartite control, integrated by authorities of administrative public institutions and organized citizens. The objective is to exert control on the execution of public works, striving for transparency and efficiency in the use of the resources.

**Neighborhood governments (neighbors workshops)**
Mechanisms to open communication channels between local authorities and neighbors. This mechanism allows citizens to discuss neighborhood situations, analyze problems, and seek out joint solutions.

**Radio audiences**
A common and effective mechanism through which local governments can provide information about its activities at the local level. Through this mechanism, the mayor or equivalent official, using an “open microphone,” communicates once a week with the community, accounts for the actions of the municipality, and hears from local citizens.

**Tripartite Control Committees**
Mechanism integrated by representatives from the three sectors of society: civil society, local government, and beneficiaries. These committees are in charge of evaluating demands from the Public Hearings for Budgeting. It represents a step ahead in the decentralization process, allowing local citizens to participate in decision making over projects for the next fiscal year.
Ombudsneighbor
This person is the representative of the neighborhood to the municipal authorities. His/her function is to assure local citizens human rights and oversight local management activities.

E-Citizens
A government management/business strategy which aims to make government services and information accessible to its citizen 24 hours a day, 7 days a week, mostly by self service. The key concept from a citizen’s point of view is to have a one-stop shop/web portal to access government through the internet (PC, laptops, internet-enabled TV, or kiosks).

Government to Citizen (G2C)
Many citizens are choosing to go online, not in line, for their public services. Citizens are accustomed to constant access and superior service from private sector online businesses. A public agency must have a web presence that meets citizen demands for service anywhere, anytime. But having a web site is not enough: online and real-world systems must be integrated so citizen service is seamless at every point of contact. This mechanism enables agencies to provide citizens with a high level online interaction that is fully integrated with other facets of operations, and allows more accountability and provision of information.

Wrapping up this section, the following activity will help the participants to have a strong grasp over the ideas discussed in Section 1.
Activity 2.1.5 | Tools for Civic Participation

<table>
<thead>
<tr>
<th>Duration</th>
<th>30 Minutes (20min. reading, 20 min. writing and 10 min feedback)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Group Activity</td>
</tr>
<tr>
<td>Materials Required</td>
<td>coloured cards and markers</td>
</tr>
</tbody>
</table>

Methodology

Prepare an overhead of the different tools presented earlier for civic participation in planning, implementation and monitoring. This can be displayed at the outset of this activity to help participants remember the headings.

Divide the participants into three groups. Ensure that these are gender balanced and represent a mix of NGOs, education officials, head teachers etc.

Ask the participants to write minimum two suggestions on the following questions:

⇒ Briefly describe in your own words and in simple bullets, what does civic participation mean in planning and monitoring?
⇒ What are the two or three most appropriate planning and/or monitoring tools for your context and why?
⇒ Can you think of the checks and balances for local governance in your local municipality/area?

Wrap up the session according to the suggestions received from the participants and jotting them on a flip chart, which can then be displayed on the walls.

Civic participation in education service delivery at schools and non-formal education centers is achieved through well-known platforms such as PTAs, School Management Councils, and Village Education Committees etc. These platforms are legitimate to the extent that they are participatory and fully endorsed by the local community. The next section will elaborate on this mechanism.
Section 2

School Management Committees (SMCs) Parents Teachers Associations (PTAs) or Parents Teachers Councils (PTCs)

To participate in the overall development process and informed decision making, citizens have formal and informal mechanisms to engage in various partnership options with the government. In the education sector there has been a growing trend of citizenship participation for improved service delivery in the form of School Management Councils (SMCs) as well as other forms of partnerships such as Village Education Committees, Family Education Committees (FECs), with public sector to improve education quality and choice. Today participation is not simply seen as mere presence in meetings but a more active role in decision-making processes to influence learning opportunities, quality of learning facilities and learning outcomes.

This section covers the following topics:

- What are SMCs/PTAs and what are their aims and objectives?
- What are the responsibilities of SMCs/PTAs?
- How do activate SMCs and duties of office bearers?
- Importance of administrative financial records for SMCs/PTAs?

Learning outcomes

1. Describe the aims and objectives of PTA/SMC formation
2. Identify the steps in the formation of a SMC/PTA
3. Explain the duties of office bearers
4. Understand the importance of administrative and financial record keeping by PTAs/SMCs

Activities

2.2.1 Group Exercise on Diagnostics and Action Planning by SMCs
2.2.2 How to Activate or Set up a SMCs in a School
2.2.3 Duties and Responsibilities of Office Bearers of the SMC
2.2.4 Importance of PTA/SMC Administrative Records
2.2.5 Importance of Financial Records of PTAs/SMCs
To counter slow decision making in centralized systems, decentralization and the emergence of School Management Councils (SMCs) and local School Boards has been a recurrent reality in both developing and developed countries. Whilst decentralization pertains to the macro level provision of policy, procedures and allocations, SMCs represent the micro level operationalization of policies and planning at the school or community level. “Macro planning refers to planning taking place at the highest possible spatial unit and micro-planning refers to planning taking place at the lowest spatial unit for planning” (NIEPA, 1997). SMCs are seen to play an increasingly central role in improving service delivery at the facility level. SMCs are thus the local governance platform to manage local decisions for the effective running of the school. SMCs are seen as formal bodies either notified and/or legally established by the government.

**School Management Committees (SMCs) and PTAs** are seen as government sponsored CSOs, created by government notification or through law. These are the anchor organizations for local level governance at the school level. In any country SMC/PTAs have the following characteristics:

- **Composition**: comprises parents, teachers and community members – gender balanced;
- **Roles and Responsibilities**: spelt out in the notification or law for addressing issues of access, absenteeism, gender gaps and quality in education;
- **Authority**: given through a formal document, e.g. to hire and fire personnel, to spend resources of the SMCs/PTAs, participate in curriculum and school policy, other jurisdiction for decisions;
- **Legal or notified**.

It is often assumed that where there are SMCs /PTAs there shall be some form of School Based Management system at work at the facility level. However, this may not be always true in formal schools. Many countries have SMCs but have not shifted to SBM.

For non-formal education programs Village Education Committees (VECs) or Parents Education Committee (PECs) are created to perform similar functions as SMCs/PTAs but with less bureaucratic structures and procedures. These may be more effective as a result.

In every country many manuals, videos and guides have been developed to strengthen SMCs /PTAs to perform their work efficiently for improved service delivery at local levels. ([www.sef.org.pk](http://www.sef.org.pk), [www.worldbank.org](http://www.worldbank.org))

**SMCs/PTAs are thus platforms for civic participation to address education service delivery at local levels.**
What is PTA/School Council?

The Parents Teachers Association or School Council works on a non-profit basis for improving the quality and access to education in the community. It is a non-political forum where parents, teachers and community representatives can provide an effective representation of the community.

Aims and Objectives

The aims and objectives of PTA / School Council are:

- To work for the well being of every student of the institution in the home, the institution and society;
- To enhance awareness and understanding of parents that they have a vital role to play in the provision of quality education;
- To encourage active involvement of parents in improving the standard of the institution;
- To create awareness among the people involved that optimum use should be made of the educational facilities being offered by the government, and avail expertise of the community members;
- To motivate the parents especially in the rural areas to send their children to school;
- To consider ways and means to decrease dropout rate and teacher absenteeism in the institution;
- To develop a congenial and harmonious relationship between parents and teachers avoiding bureaucratic rigidity on both sides;
- To mobilize community resources for improvement of the institution and benefit of the students.
### Activity 2.2.1

<table>
<thead>
<tr>
<th><strong>Diagnostics and Action Planning by PTAs/SMCs</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Duration</strong></td>
</tr>
<tr>
<td>** Undertaken By**</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
</tr>
</tbody>
</table>

#### Methodology

Divide the participants into three groups. Ensure that these are gender balanced and represent a mix of NGOs, education officials, and head teachers etc.

All participants will participate in this group exercise on Diagnostics and Action Planning by SMCs. They would have to identify:

- Any two problems that their local school may face;
- Three or four reasons for these problems;
- Who are the key stakeholders (allies and opponents);
- Resources (human and material) required to solve the problems;
- Action Plan: Four key areas of action (just the headings).

The three groups will present their organized responses and the facilitator will provide constant feedback and links between the logic of an organized exercise in identifying, diagnosing and action planning at the school level.

In many countries the most frequent complaint or bottleneck is that the level of responsibilities are not matched by the correspondent authorities thereby creating constraints to action. At other times it is seen that SMCs/VECs are given authority for a limited time period to execute a project or activity and then this authority is withdrawn without any information at the whim of the government or local authorities. For SMCs/Local governance groups to be effective at the school level, ensure that their rights are not unilaterally withdrawn they need to know the steps for their organizational formation, their basis for local and legal support, responsibilities and authorities.
Number of Members of PTAs/SMCs
The number of members of PTAs/SMCs, may range from 5-20 with mixed participation of women and men or in some countries these may be segregated in boys and girls schools. *Mixed participation is always desirable.* The size of the PTA may depend upon the size of the school and or community where this is being formed. Each country may have its own rules and these need to be established by the facilitator or training agency.

The next series of steps highlighted by the facilitator are interactive and built with the participants.

**Functions of SMCs or Parents Teachers Councils (PTCs)**
SMCs have thus various formal dimensions to their effective functioning:

**I. Internal Governance and Management.** This includes their formation through the General Body, Elections, Diagnosis of the education facility, vision, roles and responsibilities, access to formal policy documents, ability to plan and budget for their priorities, resource mobilization, financial management and reporting and subcommittee formation.

**II. Education Quality.** Education vision in a school setting, monitoring teacher attendance, supporting teacher development, monitoring student attendance and support for needy students, school maintenance, support with making of teaching aides and monitoring of exams/assessments.

**III. Advocacy with Local Authorities.** Communication with education managers, negotiating skills on Education needs for various age groups, reforms, taking action for change.

In many instances SMCs are lying dormant, existing only on paper and very few are actually active. In large scale projects which are taking place across the world for providing impetus to meeting of EFA goals and implementation of the National Plans of Action, a key feature is capacity building of SMCs/PTAs/School Councils/PTCs etc. as the fundamental local governance platform for enhancing basic education.

**How do you activate SMCs for participation in school improvement?**

**How do you set up a Village Education Committee for education planning and implementation?**
Activity 2.2.2 | How to Activate or Set up a SMC/PTA

<table>
<thead>
<tr>
<th>Duration</th>
<th>90 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Group Activity and Role Play</td>
</tr>
<tr>
<td>Materials Required</td>
<td>charts and markers</td>
</tr>
</tbody>
</table>

Methodology

The participants of the training are divided in various groups representing at least five actors. These are:

a. Facilitator for creation of SMCs/PTAs
b. Head teacher/teachers
c. Parents
d. Elected local councilors
e. NGOs or community representatives

Each group can be created through colored cards representing different actors who are then grouped according to the required mix per group. Groups thus created will participate in a role play on:

1. Issues of a school and need to find local solutions
2. Formation of a SMC/PTC/PTA
3. Roles and responsibilities of a SMC/PTC/PTA

The steps pertaining to the above are presented below which all participants must read in a handout given to them by the facilitator or alternatively depending upon the audience skills can also be covered by the facilitator collectively prior to the role play. This adaptation is left to the specific context.

This activity in the school or learning facility can be led/facilitated by a motivated head teacher and her staff, or by the local education officer, or by a of a civil society organization.
1. **Call a General Body meeting of all parents and local community at the school.** Invite parents through a small note sent with students, an announcement from the village or local public loud speaker.

Dear Parents/Community Members

You are invited to a General Body meeting at School __________ on mm/dd/yy at 10.00 am to help improve the quality of education through your active participation.

The agenda will be as follows:

a. Identification of problems of education in the school/learning facilities and
b. Formation /activation of the SMCs/PTA /VEC.

We look forward to your presence so that we may identify the right persons for this task to help improve our school and education activities.

Please be punctual so that we may start the meeting on time

Sincerely,

Head Teacher /Local Education Officer
Name of School __________

2. **The meeting begins on scheduled date and time.** People are given a margin if they do not arrive on time. In some cases it has been seen that on the first call community may not respond fully and only 10% of the parents show up. In that case after discussion with the members present the facilitator requests for another meeting date/time soon after. The process is repeated.

3. **When the quorum is complete of at least 20-25% of parents and local representatives, share the purpose of the meeting:**
   a. to highlight problems of the school;
   b. to set up a SMC to help solve the problems through an organized formal platform.

4. **Problem analysis at school level:** the facilitator will ask the GB to identify the problems of the school. The facilitator will categorize the results of the responses in organized manner on a poster chart so that this exercise can be fully visualized by the participants present. These issues may cover areas such as:

A. **Environmental**
   - No or non-functioning toilet, water facilities
   - No playground
   - No or broken boundary walls
   - Poor conditions of classrooms
   - No electricity or
   - Insufficient capacity or number of classrooms in the school
B. Academic
- High drop out rate
- Poor transition rate or completion rate of students who take eight years to complete primary instead of six, etc
- Poor performance of teachers
- Absenteeism of teachers
- Insufficient number of teachers for the required classes
- Insufficient or poor learning materials in schools
- Poor skills of head teacher in dealing with teachers and parents

C. Social Development
- Poverty as children are very poor and cannot afford education costs
- Harsh treatment of students whose rights are violated
- Poor environment of school and health of children
- Needs of children who are have special problems who will solve them
- Needs of parents who also require information on quality education and support for their learning needs. Can the school be a place to support that?

D. Financial
- Insufficient funds available with the school
- Insufficient allocations for school needs
- Ban on schools for raising funds
- Inability of teachers to spend school funds for fear of audit rules and possible violations

The facilitator will repeat the issues and confirm them with the audience.

5. Formation/activation of School Councils/PTAs
The facilitator of the meeting will then ask the audience that in order to solve these multiple problems it is important to be organized as a formal body. The provision for this is in the notification (refer to local/provincial/state notification or law) to form a SMC so that its suggestions and actions as a collective body will have a legal sanctity.

6. Once the GB responds positively to the suggestion then the facilitator will describe from a prepared chart the various office bearers of a SMCs and their roles and responsibilities. The office bearers could be:

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chairperson</td>
<td>HT/P* Chairing and confirming the agenda of meetings. Signatory</td>
</tr>
<tr>
<td>Vice Chairperson</td>
<td>HT/P Holds meetings in absence of Chairperson Joint Signatory</td>
</tr>
<tr>
<td>Secretary</td>
<td>Teacher Sending out agenda/notice, keeping minutes/ decisions</td>
</tr>
<tr>
<td>Treasurer</td>
<td>P/Teacher Managing the accounts of SMCs, recording income/expenditure, receipts and decisions of SMCs for spending funds</td>
</tr>
<tr>
<td>Members</td>
<td>P/NGOs* Members of sub-committees for specific Councilors tasks</td>
</tr>
</tbody>
</table>

* HT = head teacher;  P= parent; NGO= non government organization
Detailed role descriptions could be as follows:

**Chairperson**
- To keep contact with the community and members.
- To ensure the attendance of all members in the monthly meetings.
- To search for means of resources.
- To take decisions keeping in view the opinion on all members.
- To see that the PTA functions according to rules and regulations.
- To maintain accounts along with the assistance of the Co-Chairperson and to ensure its right use.

**Co-Chairperson**
- To perform all the duties of Chairperson in his absence.
- To keep contact with the community members to raise the numbers of admission in schools.
- To ensure the use of teaching aids in classes.
- To look after financial and other affairs to maintain a joint account with the chairperson and to be responsible for all PTA records.
- To keep all the concerned officials inform of the monthly meeting and other details of the task perform with the cooperation of PTA.

**General Secretary / Treasurer**
- To prepare the agenda of the monthly meeting in occultation with the chairperson.
- To fix the time and date of the meeting and to send written information to members.
- To keep the record of the decision taken in the previous meeting.
- To keep all the records of the PTA ion safe custody.
- To operate accounts during the absence of the Chairperson and Co-Chairperson.
- To make an estimate of expenditure under various heads and present it to the members of the PTA, and to spend it with the permission of the PTA.
- To collect PTA membership fees, to receive donation from the community members (cash or kind), to issue receipt and to keep a record of the same.
- To present a report of the monthly income and expenditure before the PTA Executive Committee and the Annual Report before the General Body meeting.

The signatories for the PTA/SMC bank account must be drawn from parents and school.

These may be drawn from the parents, head teacher, teachers local civil society members, and even students. In many countries there may be fixed role for the head and the teachers eg. Chairperson/Vice Chairperson and Secretary respectively.
7. Duties and Responsibilities of PTA: Administrative, Development, and Financial Duties

The basic aim of establishing PTAs to improve schools. It has therefore, to work in all areas associated with school education; which means demarcation of duties in all financial, development and administrative fields and keeping order and discipline on each department. The activities pertaining to these fields could be:

**Administrative duties of a PTA**
- To hold monthly meetings.
- To make agenda and to keep records/minutes of the meeting.
- To hold Parents Day to celebrate National Days.
- To keep in contact with persons / departments that matter.
- To find resources and solutions to the problems already discussed.
- To contact education department officials and to get permission, where it is necessary for taking care of major problems.

**Financial duties of a PTA**
- To open the PTA bank account.
- To check the finances of the PTA and to solve the problems already discussed.
- To make arrangements for providing uniforms and books to deserving children.
- To find resources for celebrating festivals.
- To collect membership fees, monthly contribution from philanthropic persons and to collect donations.
- To keep regular records of income and expenditure and to conduct an audit.
  (this portion will be covered further in Module IV)

**Development duties of a PTA**
- To provide teaching aids.
- To organize co-curricular activities.
- To install hand –pumps for water, to construct toilets, and do minor repairs.
- To do plantation, to have furniture repaired and to have the school building white washed.

8. The facilitator may go on to describe that the SMC must adhere to housekeeping issues such as:

- Keeping records of meetings, agendas, decisions;
- Keeping financial records of all funds raised, received from govt. and utilization and receipts;
- Keeping a formal record of the School Development Plan;
- (in the case of the Village Education Committee this could be a Village development plan);
- Forming sub-committees for specific tasks such as school construction and repair, quality of learning, support to needy students;
9. **Elections/Selection**
Once the roles and responsibilities have been shared with the GB, the facilitator will ask for nominations from the GB for the Chair/Vice Chair, Treasurer, Secretary and Members. For each one, a vote may be taken by a simple show of hands or through a voting slip.

10. After completing the election process, the full profile of the SMC members thus elected must be put on a chart paper and posted outside the main office of the school. The profile would contain their profession, address, contact numbers and sometimes their area of interest and contribution to the school.

<table>
<thead>
<tr>
<th>SMC</th>
<th>Name</th>
<th>Names/ classes of children at school</th>
<th>Profession</th>
<th>Address</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chairperson</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Vice Chair</td>
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<td>Treasurer</td>
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<td>Secretary</td>
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<td>Members</td>
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11. With the successful completion of this task the dates are decided for the regular meetings. Often SMCs pre decide this for a designate date in the month mutually convenient to all members. The newly appointed secretary records this decision and ensure that the agenda and notice will be sent at seven or five days earlier.

Ideally SMCs need to be strengthened through a formal plan for capacity building in designate areas. In many countries this is evident such as in Egypt managed by World Education for the New School Program and Community Development through Parent Teachers Councils (PTCs) ([www.worlded.org](http://www.worlded.org)) or in Pakistan ([www.sef.org](http://www.sef.org)). In almost every country there are many SMCs training activities underway which can be substituted in this segment for the specific details and country relevant policy environment and activities.

**PTA Records**

The importance of a task can be judged from the maintenance of correct documents. Documents reflect the transparency if the task, but are also helpful in further planning. The preparation and maintenance of PTA documents, is critical. It is also very important that documents be prepared according to planned systems. A quick exercise will help participants focus on the issue.

- **Time:** 10 minutes

- **Methodology**
  - Question participants about why making and keeping records is important for a PTA.
  - Note down the responses of the participants on a large sheet of paper.
Possible answers

- It makes supervision simple.
- Efficiency can be judged.
- New members can learn.
- One can learn from past mistakes.
- One can be aware of changes.
- Audit becomes easy.
- It assists in future planning.
- One can estimate future income and expenditure.
- At this point the participants will realize the importance of maintaining records.
<table>
<thead>
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<th>Activity 2.2.3</th>
<th>Importance of the PTA Records Administration Record of PTAs</th>
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<tbody>
<tr>
<td>Duration</td>
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<tr>
<td>Undertaken By</td>
<td>Groups</td>
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<tr>
<td>Materials Required</td>
<td>hand out, response cards and markers</td>
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</tbody>
</table>

Methodology

- Give each participants handout (questionnaire to discuss the PTAs administrative record).
- Participants should be instructed to read the questionnaire carefully and to fill it individually.
- When the questionnaires are filled ask each participants to give his/her opinion.
HAND OUT

Administrative Record of PTAs

Questionnaire

1. How many registers should be maintained to keep PTA administrative records and for which task?

2. Whose responsibility is it to record the minutes id the meeting of the Executive Committee?
   - Chairperson
   - Co-Chairperson
   - General Secretary

3. Who do you think should record the minutes of General Body meeting?
   - Chairperson
   - Co-Chairperson
   - General Secretary

4. Is it essential to send the agenda before holding the General Body meeting?
   - Yes
   - No

5. When and under whose are should the PTA administrative record be kept?
   - in school
   - with the Chairperson
   - with the General Secretary

6. Should the members be sent the agenda id the meeting of the Executive Committee?
   - Yes
   - No

7. Should the Administrative record of the PTA be shown to Educational Officer during supervision?
   - Yes
   - No

8. Should the PTA Administrative record be sent to the DEO officer regularly?
   - Yes
   - No

9. What are the uses if keeping administrative records?

10. Whose responsibility is to communicate?
    - Chairperson
    - Co-Chairperson
    - General Secretary
    - Others

11. Whose responsibility is to look after the administrative records?
    - Chairperson
    - Co-Chairperson
    - General Secretary
    - Others

Note
The activity of preparing records in this manner is aimed at stressing its need and importance for the participants, who will be able to understand all the facets of the task with the help of questions. They will also be able to reexamine their own views and attitude with the help of other members during group discussion. This activity will clarify the duties of the members of the Executive Committee through the importance of administrative records. The participants will thus understand the importance of record keeping, the problem and the method used in this work.
Agreed opinions should be noted on a large paper. Note down all these points on a flip chart.

Possible responses of the participants could be:
- It is very essential to keep register of PTA income, expenditure and day-to-day work.
- It is General Secretary’s duty to maintain a work register of the PTA Executive Committee activities.
- Maintenance of a work register of the Executive Committee too is the duty of General Secretary.
- The invitations for the meeting of the Executive Committee General body must also enclose the agenda with them.
- It is essential to present the administrative records to the officers of education on demand.
- The General Secretary’s duty is to send all invitations in regard to meeting and matters regarding the PTA.
- Examination of all administrative record is the duty of the Chairperson.

The Criteria for an Effective PTA/SMC

- The demonstration of ownership and commitment (this can be measured through the work plans developed by PTAs and worked accordingly).
- Belief and confidence in the process (this can be measured by participation in meetings and the time spent on school affairs).
- An awareness and understanding of the needs of the school, the teacher(s) and the students.
- Ensuring gender equity and the participation of women in PTAs as planners and decision makers.
- The required skill to create required support is active/efficient and gives time to the school.
- More children attracted to the school, a reduced dropout rate and ensured regularity of children and teacher.
- Transparent procedures for maintaining account and records.
- Proper record keeping for the activities delegated by the government.
- Undertaking of income generating/ resource mobilization activities.
- On a self-help basis enlist the help of parents for school improvement i.e. the physical and learning environment.
SMCs as Formal Legal Local Government Entities. Case of Pakistan

In some countries SMCs are being converted into a local government bodies such as Citizen Community Boards (CCBs) a provision for CSOs to be registered under the country wide devolution reform (Pakistan - FAQs of Citizen Community Boards (CCBs) www.education.gov.pk)

CCB is a non-profit registered legal body with the district governments to improve service delivery through voluntary and self-help initiatives. The CCBs will contribute in project designing, implementation, management and monitoring at grassroots level.

A. What are the functions of CCBs, or areas of work?
   - Improvement of delivery of service by a public facility;
   - Development and management of a new public facility;
   - Welfare of the handicapped, destitute, widows and families in extreme poverty;
   - Establishment of farming, marketing and consumers' cooperatives;
   - Identification of development and municipal needs and mobilization of resources;
   - Formation of stakeholders associations (means voluntary associations such as PTAs, SMCs, Patient Hospital Associations, Farm Water Associations, etc) for community involvement in the improvement and maintenance of specific facilities; and,
   - Reinforcing the capacity of a specific Monitoring Committee at the behest of the concerned Council.

B. What is the governance mechanism of CCB?
   - Membership: All voluntary – non-elected citizens are eligible. PTAs/SMCs/PTSMCs are eligible to become CCBs, but no elected representative can become a member of CCB. PTAs/PTSMCs/SMCs/School Councils may therefore become legal entities. This is a long standing demand of PTAs.
   - It shall have a General Body comprising not less than 25 members with a quorum of 25%.
   - It shall have a Chairperson and Secretary.
   - The Secretary shall be responsible for recording proceedings and presenting annual statement of accounts.
   - CCB shall have a Executive Committee with a quorum of 40%.

C. What is the nature of membership?
All members voluntary. Any paid CCB member must resign from membership and is eligible for membership 6 months after completion of paid work.

D. What is the duration of a CCB’s elected term?
Two years. It can be reelected for another term.

E. What local government laws are pertinent to the CCBs?
Section 98 (1) Section 100 (2) , Section 119 (2) and Section 109 (5)

F. Is there a maximum number of CCBs per district?
There can be any number of CCBs per district. There is no upper ceiling.
G. Who are the relevant officers at the district level dealing with CCBs?
   - EDO – Community Development (CD)
   - Tehsil /Town Planning officer
   - Secretary Community Development at Union Level

H. Where can CCBs be registered?
   With the EDO Community Development at the District level. The EDO–CD may nominate any officer for the purpose of registration.

I. Is there a formal registration form?
   Yes this is a simple form and it is attached.

J. How long does it take to get a CCB registered?
   Fifteen days from the day of submitting a completed registration form.

K. Are there any district funds set aside for development programs through CCBs?
   Formally 50% of the Development budget at the District, Tehsil, Town and Union level has been earmarked for CCBs. This condition was waived for 2001-2002 and in 2002-2003 this has been earmarked to 25%.

L. What are the mechanisms for CCBs to receive funds for development program?
   - The CCB may receive project-based cost sharing support from any Local Government; Section (100) (2).
   - The CCB may receive from Local Government matching grants up to 80 percent of the budgeted amount of an approved development scheme.
   - A Local Government may transfer approved budgeted amounts to any CCB within its local area for carrying out a projects, service activity transferred to or managed by CCB; Section (109) (5).

M. How many proposals can CCB submit?
   As many projects, but only two projects can be approved for funding in any one year.

N. Are there any project guidelines?
   There are detailed guidelines (Annex III). This is as per the section 119 (2) of the Local Government Ordinance.
   - The proposal must contain the complete estimates along with a bank draft for community contribution and proof of contribution. The draft would be returned if the proposal is not accepted.
   - The proposal is to be submitted at the beginning of the financial year. A cut-off date will be announced by the local government before the presentation of the budget.
   - The proposal is to be submitted to Secretary Community Development.
   - The proposal will be examined and ranked by an authorized officer.
   - Final approval will be given by the Evaluation Council/Committee.
   - If approved and upon signing of Agreement the concerned office dealing with CCBs will organize training of the CCBs in: reporting skills, for progress reports; financial reports; annual reports; and implementation/completion reports.
   - If approved the money will be released upon request from CCB within 30 days.
   - The money will be put in a separate bank account for each accepted proposal in a bank or a post office.
- A project report must be given for additional release of funds.
- A monitoring system will be set up at three levels: by CCB, Monitoring Committee of the Council, and concerned dealing officer with CCBs.
- CCB will submit physical and financial progress report as agreed.

O. **Are there any minimum limits for proposals?**
No, there is no minimum limit for the proposal.

P. **What is the matching grant amount?**
The maximum share of the government is 80% and that of community share is 20 percent in cash. The ‘in kind’ contribution shall be considered as an additional contribution of the CCB, which will help the concerned CCB in achieving higher ranking during the evaluation phase. The market value of in kind contribution shall be made by the concerned local government.
Public Private Partnership in education is a collaboration of government and private sector companies, individuals or NGOs in the funding, management, operations to support education.

“A Public Private Partnership is defined as any arrangement between a government and the private sector (inclusive of CSOs) in which, partially or traditionally public activities are performed by the private sector.” (Savas, 2000)

This section covers the following topics:

- What is PPP and the different partners that enable Public Private Partnerships?
- The mechanisms in government and civil society for introducing civic participation. Examples of the benefits of civic participation.
- The types of PPP in education and institutional arrangements.

Learning Outcomes
1. What is PPP and who are the key stakeholders?
2. The key areas of work for PPP in education
3. Options for PPPs in education

Activities
2.3.1 The Benefits of PPP in Education
2.3.2 Different Options and Institutional Arrangements for PPP
2.3.3 PPP: Options, Benefits and Problems
PPPs have been on the rise sometimes triggered by the government itself and sometimes by CSOs and sometimes even by the local industry keen to improve the quality of human resources. There are multiple partners in PPPS illustrated below:

Public Private Partnership in Education

A collaboration of government and private sector companies, individuals or NGOs in the funding, management, operations to support education.

Collaboration at:

a) government owned institutions
b) community owned sites and
c) private sector sites

“"A public-private partnership is defined as any arrangement between a government and the private sector (inclusive of CSOs) in which partially or traditionally public activities are performed by the private sector." (Savas, 2000)\textsuperscript{1}.\n
To overcome constraints and challenges faced by the education sector partnerships are sought between different agencies.

Key partners/participants that enable PPP:

- The Government
- The Private Sector
- Civil Society
- Educational
- Bilateral and Multilateral Donor
- Private Philanthropy

The Government

The driving force of the new PPP initiative in its recent incarnation may be the government itself to address both fiscal and legitimacy concerns. The government may thus design reforms for the sector and provide incentives to increase private sector participation in government schools or on community and private sector sites. It may also encourage the setting up of autonomous bodies to tap private sector such as the education foundations. The government may also promote deregulation of the sector. While the framework and policies put in place are by-in-large sound, the challenge remains in the effective and sustainable implementation of PPP. These issues include the (i) buy-in and compliance of the various stakeholders, (ii) effective coordination of this large and complex effort, and (iii) deployment of qualified and willing human resources to successfully implement the action plan.

The Government is increasingly changing its role to a variety of options as a :

- **Provider** … providing priority services, which are not ‘buyable’
- **Financier** … targeting the needy
- **Regulator** … creating conducive environment for entry, basic quality and standards

Increasingly education as a public merit good is seen as a joint enterprise as the state moves from its position of a provider to that of an arranger/facilitator/regulator.
Private institutions and individuals have traditionally played a large role in the delivery of education. Private sector presence may vary from country to country and within country from province/state to province. These may account for a substantive student enrollment.

Historically, some of the oldest and most prestigious centres of learning in various countries have been set up and are managed by private organizations, individuals and trusts. Private education trends reveal that it has evolved from being a rich, elite and urban phenomenon to that of mainstream, lower and middle-income rural Pakistan as well. In all, private sector participation in the education sector continues to grow, which gives more students access to education and decreases the burden on the government. The government may in turn enter into outsourcing the provision of public goods through vouchers or stipends or in the case of Hong Kong and Netherlands buying public places in private schools.

Civil Society and Non-Governmental Organizations
Some of the leading purveyors of change in the education sector have been non-governmental and civil society organizations. Over time, however, in addition to promoting issues such as adult literacy and girls’ education, many CSOs also became involved in the delivery of education, especially in under-served areas. With the growth and participation of NGO and CSOs in the education sector, the government has increased its level of interactions with such organizations to leverage synergies and promote change through these different channels.

Multilateral and Bilateral Donor Agencies
Many multilateral and bilateral donor agencies currently provide funds, technical expertise and other resources to improve access to Quality education for all through PPP on government or off government sites.

Private Philanthropy
Private individuals have historically been significant benefactors of education in all developing and developed countries alike. From setting up schools to donating funds to educate a child, private citizens have generously committed to bridge the gap in educational opportunity that exists in our country. However, there has been little research done on the trends within philanthropic giving, especially with respect to private sector business and the country’s corporations. In 1998, the Aga Khan Development Network (AKDN) conducted a study on Pakistan’s charitable contributions and determined that Pakistanis gave approximately US $1.3 billion in cash, kind and services that year.
What is the Scope of Partnerships?

In section one the representation, advocacy, service delivery, capacity building and social functions were listed as various options for CSO functioning. At a more specific level, these may extend to:

- Undertaking Public Private Partnership (PPP) for innovations in education development through collaboration between Public Sector, Private Sector and NGOs;
- Community financing to address resource gaps which need to be factored in costs, inputs and acknowledged, who pays what for education development;
- Designing and Monitoring PRSPs, NPA for EFA and other macro reforms through citizenship participation.

Pure public and pure private provision of education is an ideal construct, often mediated by many options exercised by local communities and other stakeholders to make education deliver the desired objectives. Just as government institutions fall short of the quality of supply so do the private sector institutions require interventions in the form of ‘grant in aid’, subsidies, incentives or other support to sustain the service as desired by consumers.

The partnership therefore exhibits the following characteristics:

1. Common objectives – the partnership is undertaken for the purpose of implementing objectives that have been agreed to by the groups involved. These objectives are developed through a process of communication that is acceptable to all actors involved; partnership understood here is a joint investment for the production of a shared value;
2. Formal agreement to undertake the activities; and
3. Activities that build on each other’s strengths and overcome weaknesses.

“What partnerships hope to actually achieve matters most. Partnerships are not ends in themselves. The value of partnerships goes beyond market efficiency and community participation. The use of partnership relies on the judgment of whom to form partnerships with and how they can best combine their strengths.”

Partnerships are complex and each involves different levels and types of conflict of interest and different ethical responsibilities.
Issues and problems with PPPs

Clarity about objectives where partnerships may not always be linked to the challenges of the education sector.

Lack of well-defined governance structure for a proper distribution of responsibilities to all players requiring a clear legislative framework for both sectors, defining roles and responsibilities at central, provincial and district levels. Clarity on ‘for profit’ and non-profit organizations.

Lack of trust and mechanisms, requiring relationship building and between all sectors.

Accountability of all partners and mechanisms to ensure greater end user participation.

So that the public good can be achieved for all. It is measurable by clients and consumers.

Respective Roles of the Two Sectors

Placement of decision-making authority about education is not solely a matter of centralization or decentralization; nor is it solely a matter of state power, teacher power or parental power. The critical issue is achieving the best balance among legitimate, but competing interests. The best balance will vary from society to society and over time within a society as contexts, value definitions and priorities change. Negotiating the terms under which public and private sectors cooperate to provide education in developing countries is a critical issue.

A small exercise will help participants in clarifying benefits of PPP.
Activity 2.3.1 Benefits of PPP

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<td><strong>Duration</strong></td>
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<tr>
<td><strong>Undertaken By</strong></td>
<td>Group</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>coloured cards 5’x7’, charts and markers</td>
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Methodology

Divide the participants into three groups ensuring as always that these are gender balanced and represent a mix of NGOs, Education Officials, Head Teachers etc.

Ask them to brainstorm on the following question.

→ Briefly describe the benefits of PPP for education?

The participants must note their responses on colored cards, which are discussed collectively. The facilitator will ask for a volunteer to help her/him to paste the responses on the wall by categories.

Wrap up the session according to various suggestions received, reinforcing the broad categories e.g. better service delivery, better understanding between govt. and CSOs, improved negotiation skills for planning, mobilization of resources from different partners to overcome constraints, etc.

In every country the specific forms that PPP takes in education varies according to the opportunities and policy environment present.
### Activity 2.3.2 Types of PPP in Education

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<td>Materials Required</td>
<td>coloured cards 5’x7’, charts and markers</td>
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</table>

#### Methodology

Divide the participants into three groups ensuring as always that these are gender balanced and represent a mix of NGOs, education officials, and head teachers etc.

1. List all Types of PPP in education that you are familiar with in your own local context.

2. Identify on a table against each type of partnership:
   - Who Owns:
   - Who Manages:
   - Who Decides:
   - Who Pays:

For the first activity, possible options could be:
- School improvement program or adopt a school program;
- Agreements between CSOs and district governments for partnerships in capacity building, service delivery and planning and budgeting;
- Community public partnerships for school upgradation in afternoon shifts. Creating post-primary opportunities for access and quality;
- Promoting ICT opportunities through PPPs in government schools which are also used as Community Learning Centres (CLCs);
- Charter schools, education action zones, beacon schools and leased schools.

**PPPs to be effective must be formalized through various available tools acceptable and agreed between Government and Civil Society Groups.**

#### What are the Formal Institutional Arrangements for Partnerships?

There are formal instruments for different types of tools for partnerships. These may be in the form of:

- **a.** Memorandum of Understanding between NGO/Private Sector and District Government: legally protected. Duration: 3 to 10 years for individual schools.
- **b.** MoUs between government and CSO for the entire district in areas of capacity building, service delivery and support to planning and budgeting ([www.itacec.org](http://www.itacec.org)).
- **c.** Charters and/or lease agreements between government and CSOs to manage specific schools with devolved responsibilities.
- **d.** Countries may issue notifications for involvement of CSOs in education development options. A sample notification is attached (Annex).
Activity 2.3.3 | What is a PPP: Options, Benefits and Problems?

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<td><strong>Duration</strong></td>
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<tr>
<td><strong>Undertaken By</strong></td>
<td>Brainstorming</td>
</tr>
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<td><strong>Materials Required</strong></td>
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**Methodology**

The facilitator now presents participants with the following questions:

- In your own words, briefly describe what is a PPP.
- What are the different options for PPP in education in your local/country context?
- What are the benefits of civic partnership through PPP in education?
- What could be the potential problems in PPPs?

Wrap up the session reinforcing the level of understanding achieved by the participants on all key concepts and areas of PPP in education.

Aspects of citizen participation and public private partnerships need to be embedded in the district education planning process as cross-cutting needs. Module III on District Education Plan is a focus on macro and micro areas of work at the district and school level, where the local community plays a lead role in ensuring that the priorities of the children and the community are well reflected. Module four covers the micro development of a School Development Plan with the held of School Councils/PTAs.

International Training Manual on Educational Governance
Annex I

Government of Pakistan
Ministry of Education
(draft)

Islamabad – … , 2002

Notification

No.F.1-6/2002-ESR. III - In pursuance of sections 109 and 119 of devolution plan, and chapter 28 (all paras) entitled “Grants in Aid”, of . The accounts and audit of the Government of Pakistan First Edition, the Federal Government has allowed the participation of civil society organizations (CSOs) in the implementation of Education Sector programs as per guidelines given below:

Option I

1. CSOs at the district level shall follow the Local Government Finance Rules, Chapter XII, specifically sections, 109, sub-sections 5, 12 a), and section 119 (annex I). The financing instrument for CSOs to participate in Education Sector programs relates to the development budget earmarked for bottom up planning through the Citizen Community Boards (CCBs). For carrying out education functions that have been devolved to the districts, CCBs shall be seen as partners, and hence eligible for accessing up to 30% Education Sector program funds.

2. NGOs, CBOs, Non-elite Private Sector/ SMCs/PTAs/School Councils shall be eligible to become CCBs (process and forms see annex). CCBs may engage with, both civil works, as well as other areas as indicated in the Education Sector programs and the respective letters of agreement signed between the Provincial and District governments.

3. CCBs’ duration shall be two years and may have a minimum of 8, and maximum of 25 members. The focal district officer for CCBs shall be the Executive District Officer (EDO) - Community Development. The registration may take place at district and/or Tehsil levels.

4. CCBs shall access funds according to prescribed rules (annex II).

5. CCBs’ cash contribution to the matching grant shall be at least 20%. According to the prescribed rules this shall be in ‘cash’, and not in kind.

Option II

6. The second option for financing CSOs to participate in Education Sector Programs would be the ‘Grants-in-Aid’ mechanism. This would follow accounting, audit and monitoring guidelines as provided by within the body of a Grants-in-Aid Memorandum of Understanding (MoU). This mechanism is fully covered under the Provincial Financial Rules and the Accounts and Audit of the Government of Pakistan issued by Auditor General. All financing through this mechanism shall be governed by the rules specific to grants in aid.
Provided that:

I. For district level implementation of education programmes, CSOs may participate as CCBs following the procedures of local government finance, sections 109 and 119.

II. SMCs/PTAs/PTSMCs and School Council are eligible to become registered as CCBs.

III. All registered CSOs shall be eligible to receive Grants in Aid at district, provincial and federal levels and shall follow the appropriate guidelines for monitoring, accounting and audit procedures as prescribed in the respective financial rules.

IV. For Islamabad Capital Territory and all such federally administered areas where the devolution plan has yet to be implemented, a provisional system of appropriate financial rules shall be notified by the federal government – finance division. This may be amended at an appropriate time as an addendum to this notification.

This issues with the concurrence of the Planning and Development Division, Finance Division, and National Reconstruction Bureau vide their letter numbers F7(263).

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<td>4</td>
<td>Case Studies Exercises from Different Countries</td>
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</table>

In the case studies below, you will see the step process in which the government and civil society design a participatory action plan and the tools used during the implementation process. Also the case studies will review the monitoring process used and how the impact of the reforms was evaluated.

**Learning Outcomes**

1. Experience different scenarios for civic participation in various parts of the world pertaining to public private partnerships in education;

2. Transparency of the budget processes;

3. Participatory diagnostics;

Activity 2.4.1 | Open Discussion Group Case Studies

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<td>Brainstorming</td>
</tr>
<tr>
<td>Materials Required</td>
<td>flip charts and markers or OHP</td>
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</table>

**Methodology**

The Facilitator divides the participants into four groups and give them one case study to analyze with specific questions at the end of each case study:
- PPPs in Pakistan
- Obninsk, Russia. An open discussion on the topic
- Campo Elias, Venezuela. An open discussion on the topic
- Report cards in Banglalore, India. An open discussion on the topic
Case Study I

POLICY REFORMS and PPP

Pakistan

Starting in the mid-1990s, a major shift has occurred in the Government of Pakistan’s (GoP) approach to the country’s education sector. The government has officially recognized that the public sector on its own lacks all the necessary resources and expertise to effectively address and rectify our low education indicators. Moreover, it has taken the bold step to assert and involve the private sector and civil society organizations (CSOs) in the financing, management and delivery of education services in Pakistan. In essence, the GoP sees its role shifting from being a provider of instruction to also acting as a facilitator of the education sector in Pakistan.

Among other initiatives, the GoP has undertaken policy reforms and provided incentives for PPPs to flourish in the education sector. From initiating innovative programs to working in tandem with non-governmental organizations (NGOs) that run public schools, the government has stepped up its efforts to include various other stakeholders in the delivery of education in our country. While the collaboration of these different players in the education sector is not a new phenomenon in Pakistan’s history, it is the first time that this interplay has been recognized, supported and given a mandate to succeed.

Policy Context

Reform in the education sector is set in the broader context of decentralization undertaken by the government. As per the Constitution, the education sector is administered at the provincial level with oversight and coordination at the federal level. However, as per the Devolution Plan of 2001, responsibility for the delivery and management of education has shifted to the district. On the one hand, decentralization has defined the delivery area and given each of Pakistan’s 104 districts increased autonomy over the provision of education in their areas. On the other hand, it has highlighted the stark disparity of capacity in the different districts and the general lack of knowledge about PPPs at the local level. Moreover, there are inevitable transition issues pertaining to the devolution plan regarding the evolving mechanisms on operationalization of partnerships between political, administrative and civil society partners for the effective delivery of education.

The Education Sector Reform (ESR) Action Plan

In April 2001, the Ministry of Education launched the ESR Action Plan: 2001 – 2005. This document serves to detail the objectives of the GoP’s education policy in general and specifically with respect to PPPs. The ESR purposefully recognizes that the government does not have the resources or expertise needed to manage the complex education sector and actively advocates PPPs. It goes a step further by stating that, “the private sector and civil society organizations are not only encouraged to mobilize financial resources but also join in designing, executing and monitoring education activities.” Accordingly, the government has tried to create an enabling environment for growth of PPP enterprises by providing incentives and by deregulating the sector. Examples of such actions include the liberal grant of charters, restructuring of the education foundations as autonomous bodies, development of multiple textbooks and accreditation of private examination boards. In essence, the ESR is a comprehensive nation-wide program aimed to increase access,
equity and quality of education at all levels. An enabling environment for growth of PPP enterprises by providing incentives and by deregulating the sector. Examples of such actions include the liberal grant of charters, restructuring of the education foundations as autonomous bodies, development of multiple textbooks and accreditation of private examination boards. In essence, the ESR is a comprehensive nationwide program aimed to increase access, equity and quality of education at all levels.

Importantly, the ESR action plan gives PPPs visibility and a new significance. One of the nine components of the ESR’s Policy Statement states that, “governance of educational institutions shall be strengthened and PPP shall be introduced to improve management, financing and planning.” Moreover, the new action plan also allocates measurable targets to PPPs. In the future, specific PPPs indicators will be added to the newly introduced quantifiable goals set of the overall education sector. The current objectives for PPPs are detailed in the table below:

**Detailed Objectives of the PPP Initiative, along with Targets**

1. **Objectives**
   - Increasing access to quality education at all levels.
   - Improved service delivery through PPP.

2. **Targets**
   - Provision of incentive package for the non-elite private sector.
   - Involvement of the private sector in the management of under-utilized public sector institutions.
   - Provision of grants and soft loans through five restructured Education Foundations.
   - Adopt School Program or School Improvement program in 7,000 schools.
   - Community Participation Project (CPP) for school up-gradation in afternoon shifts from primary to middle and middle to secondary and higher secondary levels.
   - Introduction of IT courses in schools / college through private sector under PPP in 5000 institutions.
   - Access to public funds – 25% utilization of funds at district level through CCBs and PTAs.

**The Government’s Incentive Program**

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<table>
<thead>
<tr>
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<tbody>
<tr>
<td>1.</td>
<td>Income Tax Exemption for teaching faculty and researchers are in place on a sliding scale whereby income greater than Rs. 1,000,000 receives a tax reduction of 5% all the way down to annual income of Rs. 60,000 receiving a tax reduction of 80%.</td>
</tr>
<tr>
<td>2.</td>
<td>Exemption of custom duties and other taxes on import of education equipment / material is granted to institutions which are recognized, aided or run by the government [SRO 362(I)/2000 dated 17/06/2000, see Annex E for detailed reference].</td>
</tr>
<tr>
<td>3.</td>
<td>Provision of land free or on concessional rates in rural areas. In urban areas, respective departments / organizations shall undertake appropriate zoning for educational institutions in residential areas.</td>
</tr>
<tr>
<td>4.</td>
<td>Electricity shall be provided on domestic tariff rates.</td>
</tr>
<tr>
<td>5.</td>
<td>Provision of concessional financing for establishing rural schools through respective Education Foundations and credit through Khushali Bank and other such financial institutions.</td>
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POLICY REFORMS and PPP  
Pakistan

Countries may issue notifications for involvement of CSOs.  
A sample notification is attached (reading Handout.)

Handout

Government of Pakistan
Ministry of Education  
(draft)

Islamabad – , 2002

Notification

No.F.1-6/2002-ESR.III In pursuance of sections 109 and 119 of Devolution Plan, and Chapter 28 (all paras) entitled “Grants in Aid”, of the Accounts and Audit of the Government of Pakistan First Edition, the Federal Government has allowed the participation of civil society organizations (CSOs) in the implementation of Education Sector programs as per guidelines given below:

Option I

1. CSOs at the district level shall follow the Local Government Finance rules Chapter XII, specifically sections, 109, sub-sections 5, 12 a), and section 119 (Annex I). The financing instrument for CSOs to participate in Education Sector programs relates to the development budget earmarked for bottom up planning through the Citizen Community Boards (CCBs). For carrying out education functions that have been devolved to the districts, CCBs shall be seen as partners, and hence eligible for accessing up to 30% Education Sector program funds.

2. NGOs, CBOs, Non-elite Private Sector/SMCs/PTAs/School Councils shall be eligible to become CCBs (process and forms in Annex). CCBs may engage with, both civil works, as well as other areas as indicated in the Education Sector programs and the respective Letters of Agreement signed between the provincial and district governments.

3. CCBs’ duration shall be two years and may have a minimum of 8, and maximum of 25 members. The focal district officer for CCBs shall be the Executive District Officer (EDO) - Community Development. The registration may take place at district and/or Tehsil levels.

4. CCBs shall access funds according to prescribed rules (see Annex II).

5. CCBs’ cash contribution to the matching grant shall be at least 20%. According to the prescribed rules this shall be in ‘cash’, and not in kind.
Option II

6. The second option for financing CSOs to participate in Education Sector Programs would be the ‘Grants-in-Aid’ mechanism. This would follow accounting, audit and monitoring guidelines as provided by within the body of a Grants-in-aid Memorandum of Understanding (MoU). This mechanism is fully covered under the Provincial Financial Rules and the Accounts and Audit of the Government of Pakistan issued by Auditor General. All financing through this mechanism shall be governed by the rules specific to grants in aid.

Provided that:

V. For District Level implementation of education programmes, CSOs may participate as CCBs following the procedures of Local Government Finance, Sections 109 and 119.

VI. SMCs/PTAs/PTSMCs and School Council are eligible to become registered as CCBs.

VII. All registered CSOs shall be eligible to receive Grants in Aid at district, provincial and federal levels and shall follow the appropriate guidelines for monitoring, accounting and audit procedures as prescribed in the respective financial rules.

VIII. For Islamabad Capital Territory and all such Federally Administered Areas where the Devolution Plan has yet to be implemented, a provisional system of appropriate financial rules shall be notified by the Federal Government – Finance Division. This may be amended at an appropriate time as an addendum to this notification.

This issues with the concurrence of the Planning and Development Division, Finance Division, and National Reconstruction Bureau vide their letter numbers F7(263).


Questions

1. What is the policy provision for PPPs?
2. What is the incentive regime approved by the Cabinet?
3. What are the two mechanisms discussed for CSOs to access government programs and funds?
4. What are the conditionalities for CSOs in the two options?
5. What is the duration of the arrangement according to the notification?
6. What is missing in the notification to secure a consistent policy for CSOs?
Case Study II

CREATION OF TRANSPARENT LOCAL GOVERNMENT BUDGETS
Obninsk, Russia

Obninsk is a city of 110,000 inhabitants located just a few hours’ drive from Moscow. It is a self-declared “experimental” city, which has tried to break from the Soviet legacy, to create a transparent local government through civic participation. With a little help from Eurasia grants, Obninsk has developed a “mini-constitution” which declares the communities right to voice and opinion. There have been many successes in improving and developing the links between authorities and citizens to reduce opportunities for corruption by local officials and increase civic participation in policy-making.

One novel example of transparency by the local government in Obninsk is the transparency of the budget process. While developing the budget, the city administration puts the draft on their Internet website. By doing so, they encourage comments and input from the community. Additionally, the government posts on the internet the budget for the previous year, which includes taxes, revenues and expenses. In addition, on a pilot basis, public goods are being procured over the Internet. Not only can local administrators easily access this information, but the community is encouraged to come to city hall and use one of the general computer terminals to check up on such information as well (www.obninsk.ru).

Municipal governance reform in Obninsk is already beginning to spill over into reforms at higher levels of government and in other cities. A former mayor of Obninsk, who was one of the champions of governance reform at the city level, is now a legislator at the provincial level. He is working with other legislators in his province to stimulate governance reform in the provincial administration. Other civic leaders from Obninsk are beginning to work with civic leaders in other regions of Russia to provide technical assistance in the process and substance of governance reform.

Questions

1. What problem did Obninsk have?
2. Who benefited from the reforms, and who was harmed?
3. How do you rate the local government and civil society participation in Obninsk?
4. What are the lessons you have learned from this experience?
5. How can you apply those lessons to your own municipality?
Case Study III

PARTICIPATORY DIAGNOSTICS

Campo Elías, Venezuela

Campo Elías is a municipality located in the state of Mérida, Venezuela. The municipality has an area of 572 square kilometers. The population of 125,000 consists of 89 percent urban and 11 percent rural inhabitants, and it is estimated that 39 percent of the population lives below the poverty level. In the past, corruption adversely affected the provision and maintenance of services, as well as the quality of life in Campo Elías.

A diagnostic study was carried out in order to identify problematic areas of the municipality. Using this study and the training received by the local government during workshops by the World Bank Institute, the mayor, her staff, and civil society worked in participatory working groups to prioritize for reform and develop a detailed action plan for governmental reform.

Thanks to this process, an action plan was successfully implemented, including technical assistance from the Bank to enhance accountability, transparency, cost-effectiveness, and credibility in the delivery of services. In order to achieve these standards, the following instruments were implemented:

(i) simplification of administrative procedures, including the implementation of procedural manuals;
(ii) Neighborhood Public Audiences;
(iii) a Public Budget Municipal Session;
(iv) a Public Accountability Committee;
(v) a Communal Control and Fiscalization Committee;
(vi) a Local Public Management Plan;
(vii) a Trilateral Neighborhood Commission;
(viii) a Trilateral Municipal Commission;
(ix) a Diagnostic Workshop;
(x) a Public Contracts Commission;
(xi) an Office of Development and Citizenship Participation;
(xii) a Citizenship Participation Municipal Ordinance,
(xiii) a Municipal Ordinance for the Office of Citizenship participation;
(xiv) a Control Corruption website; and
(xv) free access to local government information.

Questions

1. What problem did Campo Elías have?
2. Who benefited from the reforms, and who was harmed?
3. How do you rate the local government and civil society participation?
4. What are the lessons you have learned from this experience?
5. How can you apply those lessons to your own municipality?
Case Study IV

MONITORING and EVALUATION
Bangalore, India

‘Report Cards’ are the output following a largely quantitative survey of citizens’ level of satisfaction with the quality of public services across different services, the cause of the level of their satisfaction or dissatisfaction, and citizens’ alternatives for tackling current problems. This report card is usually carried out by an NGO, sometimes together with a market research company. The results are shared with NGOs, citizen bodies, and service providers and are widely publicized in the press. NGOs using Report Cards are expected to educate and mobilize the media, other public interest groups, and the citizenry at large between surveys to facilitate mechanisms for citizens’ voices to develop and express themselves.

The Report Cards were started by Samuel Paul, a former World Bank employee, now with the Public Affairs Centre, an NGO based in Bangalore. Technical support was provided by the marketing research firm, Marketing and Business Associates Pvt Ltd (MBA) (Upp,1995: 2). Funding sources vary according to the organization using the Report Card.

The assumption is that, by using systematic sampling across all subsections or segments of citizens and large samples, the results produced represent, with a high degree of confidence, the views of most people. The method is therefore seen to amplify the voice of those citizens within the sample area and category (e.g. Bangalore slum dwellers).

The organization carrying out the survey (sometimes in consultation with other groups) defines the issue or problem, decides which service to focus on and which “specific population” is to be “measured,” and determines the types of information needed from various population groups. The voice of the sample group is articulated and amplified through the reporting, interpretation, and dissemination of results by the organization carrying out the Report Card.

Report Cards have also been used in Ahmedabad, Calcutta, Madras, Pune, Baroda and New York City. They can be designed to fit the specific focus and objectives of the groups wanting to quantify public perceptions. Furthermore, the mechanism apparently has earned credibility among public officials wherever it has been used.

The mechanism is considered effective for articulating collective expressions of citizen needs and interests, and for clearly summing up the ratings and opinions of large sample groups. Awareness and group solidarity is built among NGOs, who get together and mobilize from a common picture of citizen satisfaction with service provision. NGOs are expected, in turn, to build citizen awareness around the issues highlighted, and to press for resolution of the issues thrown up by the Report Card.

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1 This case study is extracted in part from: Bringing Citizen Voice and Client Focus into Service Delivery: Case Study, Report Cards, India (Institute of Development Studies, University of Sussex, England: http://www.ids.ac.uk/ids/govern/citizenvoice/pdfs/repcardsindia.pdf).
However, the mechanisms of data gathering and mobilization have raised questions. The Report Card emphasizes the collection of data from individual citizens around issues that are defined by the surveying organization; the data are then presented to officials in a mediated fashion. Such an approach is less effective at building citizen awareness and group solidarity than one in which issues are raised and defined by citizens, mobilization occurs on a communal basis, greater information and transparency is sought, and the accountability of public officials is more immediate.

Despite the assertions by PAC that all sorts of other mobilization and awareness building should occur around the Report Card, these processes appear somewhat peripheral to the method. Without these, the Report Card is little more than a quantitative snapshot of citizens’ satisfaction levels based on current information, with no element of citizen empowerment or mobilization.

Questions

1. What problem did Bangalore have?
2. Who benefited from the reforms, and who was harmed?
3. How do you rate the local government and civil society participation?
4. What are the lessons you have learned from this experience?
5. How can you apply those lessons to your own municipality?
Key Resources and Websites

Cunill-Grau, Nria. “Responsabilizacion por el Control Social.”


Websites for Citizen Participation and PPP

http://www.ids.ac.uk/ids/govern/citizenvoice/pdfs/repcardsindia.pdf)
www.nrb.org.pk
www.education.gov.pk
www.worlded.org
www.sef.org
www.itacec.org
www.civicmind.com/qboost.htm
www.kit.nl/specials/html/de_decentralization_in_detail.asp

http://www.worldbank.org/wbi/communityempowerment/Modules/LocalGov_Module.doc
World Bank site on social capital: www.worldbank.org/poverty/scapital
World Bank site on decentralization: www.worldbank.org/decentralization

http://www.undp.org/governance/local.htm

USAID Center for Democracy and Governance internal web site:

Africa Regional Dialogue on Decentralization: www.usaid.gov/leland
USAID Local Government Center for Europe and Eurasia:

International Forum for Cooperation on Local Government in Latin America and the Caribbean, supported by USAID/LAC: www.latinterforum.org

Other Technical Publications from the Office of USAID Democracy and Governance
Decentralization and Democratic Local Governance Programming Handbook PN-ACD-395
Democracy and Governance: A Conceptual Framework PN-ACC-390
Handbook of Democracy and Governance Program Indicators PN-ACE-070
http://www aku.edu/ied/raps/policydialogue/dialoguepublicprivate/gdialogue.shtml
http://www.vitalpakistan.net/FeedBacks-Public-Private-Partnership.htm
http://www.vitalpakistan.net/A%20Vision%20and%20Concept%20of%20Public%20Private%20Partnership%20in%20Education%20Field.htm

3 ESR 2001 – 2005, pg. i
4 ESR 2001 – 2005, pg. 3
5 ESR 2001 – 2005, pg. 11
Module 3 for Three-day Training on
on
District Education Planning
For
Local Governance

Prepared by:

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**Introduction**

**Develop responsive, participatory and accountable systems of educational governance and management:** The experience of the past decade has underscored the need for better governance of education systems in terms of efficiency, accountability, transparency and flexibility so that they can respond more effectively to the diverse and continuously changing needs of learners. Reform of educational management is urgently needed — to move from highly centralized, standardized and command-driven forms of management to more decentralized and participatory decision-making, implementation and monitoring at lower levels of accountability (Dakar Framework of Action, 2000).

**It is widely acknowledged that as countries move from management to governance, the trend illustrates a rising** number of decisions made at local levels. Local officials and stakeholders are now asked to manage resources with accountability, making informed decisions on effective deployment of resources. Local management increases the likelihood that education planning and accompanying systems will run more efficiently with sensitivity to the needs of gender and disadvantaged groups, through mobilization of community support at the school or facility level.

Local governance for effective decentralization relies on local level planning to establish baseline indicators/benchmarks, against which time-bound target setting accompanied by relevant strategies has to be undertaken. Local level planning is area based and area-specific. It may be at the school, village, neighborhood, cluster/block, and district level. The commitment to EFA goals also requires sub-national planning exercises to ascertain how the six goals as agreed at Dakar will be met. The challenge entails skills in micro and macro planning. Many countries have rich experiences in this area, e.g. India, Brazil, Indonesia, China, Thailand, Philippines, Vietnam, Pakistan, etc.

All planning draws its basis from policy and context. This has been covered in Module I. However, it is vital to refresh the linkages with participants at this time to ensure that they fully comprehend this element. Policy principles and guidelines are drawn from national, provincial/state and local level sources. Since the past twenty five years there is an increasing obligation to international instruments of policy to which governments have become signatories, e.g. the Convention on the Rights of the Child or CRC, Convention on the Elimination of All kinds of Discrimination Against Women or CEDAW, EFA Jomtien (1990) and Dakar (2000), ILO Conventions, etc.

It has also been concluded from Module II that Citizenship Participation and Public Private Partnerships are of critical importance to meet the goals of EFA at the national level. The types and domains of participation have been discussed earlier as well as options for PPP. Local level planning is rendered null and void without citizens or community participation, ensuring gender balance and representation of disadvantaged and/or minority groups.

This Module, among others, will cover the following issues:

- The meaning and relevance of District or Local Level Planning and its relationship with local Governance
- The concept of DEP and its various components. The enabling factors/conditions for participation, its main elements and challenges
Objectives

The District Education Planning (DEP) module is designed to render the following:

- To understand the core areas of District Education Planning
- Linkages between micro and macro planning
- The critical importance of CSOs in DEP

At the end of the module, participants will be able:

- to grasp the significance of DEP as a planning tool and how it is related to local governance in education
- to recognize how to promote decentralization and participation at the local level
- to understand the opportunities and challenges for local governance

Methodology

This module is delivered in a participatory, interactive way. It is designed to be offered through distance learning using a blended method of classroom instruction, self-paced and peer learning.

Activity

Before you begin...

Do you think you can remember your first experience with local level planning at the neighborhood, village or district level? What did it entail? Were you able to influence outcomes? If yes, then please explain through specific examples.

Can you list categories of local level stakeholders who may be important in local level planning?

How do you think participation by local stakeholders may have a better impact on the decision- and policy-making processes of your community?
Section 1

The Levels of District Education Planning and the Implications of Local Governance

This section will cover the following topics:

- What are the different levels of district-based education planning? What is the relationship of macro to micro planning?
- What is a decentralization audit?

District based consists of micro and macro planning and it can be conceived at three levels.

**Micro Planning:**

i. **Household Based** – for obtaining child focused education information system to address issues of access and equity. Questions are asked on how many family members in the household have had education experiences; how many children go to school, drop out or miss out on basic education; what are the reasons for not attending an education facility.

ii. **School Based** – for obtaining information on facilities at the learning site and for undertaking school development planning (Module IV) to ensure optimum use of facilities and cater for learner-centred budgeting systems.

**Macro Planning:**

iii. **District Based** – for consolidating micro planning in a three to five year medium term macro plan for the whole district/state or equivalent unit of administration. A district education plan (DEP) is a framework to operationalize micro level plans at the household and school levels.

School based data is often collected through a school census referred to as EMIS. However, household based data in local areas is not always collected and neither is medium term district education planning undertaken in many countries of the world.
It is important that users of this manual would have by now grasped the premise of the earlier modules on:

- policy and context
- the principles of civil society participation as well as policy and public private partnerships

These are the building blocks which create a basis for district education planning. DEP is premised on policy and context at multiple levels as well as possibilities for citizenship participation and public private partnerships to expand options for improving quality education for all.

The current and next module focus on the core areas of district based and school based planning representing the macro and micro levels respectively. This would enable users to practice concepts, principles and skills learnt earlier. District Education Plans (DEPs) and School Development Plans (SDPs) provide concrete frameworks within which an operational plan can be developed for an area and site specific context.

Macro level DEP and micro level implementation are closely interlinked. The former works at the district/municipal government level to develop macro plans, while the latter works with individual schools and communities at grassroots level to promote school based planning and implementation.
The processes of macro and micro planning and their relationship are illustrated in the diagram below:

**Figure I**

**Macro Planning**

**District Level**

Assumes

Inter-department collaboration between offices of education, community development and finance and planning are critical to the development of a DEP.

DEP is operationalize through sub-programs or project proposals against which budgets are allocated.

**Micro Planning**

**Sub-district**

Cluster

School level

Implementation & Community based work

**NOTE:** The arrow shows linkages between micro and macro planning. After the completion of work at the grassroots level, the plans of cluster, sub-district can be taken up by the district government for implementation.
II. How do you measure the level of decentralization/local governance? What are the tools of a decentralization audit?

**TOOL – 1: Decentralization Audit**

Decentralization and local governance reforms are seen as dynamic processes from policy to implementation and impact. There is an ongoing need to measure the level of local governance against core benchmarks. This takes the form of an audit.

- An audit means examination of all financial matters.
- Auditing is necessary for the monitoring of all organizations and increasing their transparency.
- Auditing means to analyze, to examine, etc.

The concept of audit in financial matters has been extended to other sectors so that we speak today of Gender Audit, and Decentralization Audit, etc, carrying the notions of ‘taking accounts of; analyzing and examining benchmarks and performance’. A decentralization audit must be designed to cater for specific needs of the end users. Some intended uses are as follows: District Education Officers/Planners, Civil Society Partners, SMCs/PTAs and other Monitoring Groups.

A decentralization audit can be seen as:
1. A formative feed back regarding the actions of specific administrative tiers where reforms are being implemented.
2. Enabling governments to ascertain the improvement in service delivery and enhance opportunities as well as assuring trends in institutional arrangements for partnerships.

An audit on decentralization measures assures the following features.

**General Features**
- What authority is transferred?
- Who receives the transferred authority?
- Who makes decisions across levels?
- What decisions are made across levels?

**Features Specified for Policy and Planning**
- Do Provincial/Sub-district strategies reflect local governance or decentralization as stated in the “Policy Document/s”?
- Are district based education plans prepared according to policy provisions and new set of roles and responsibilities?
- Is the national educational policy, EFA Action Plan formulated in line with district education plans?
Features Specified for Education Programming:
⇒ To what extent are education programs sensitive to processes of decentralization?
⇒ Do SMCs/PTAs/local NGOs and other partners participated in planning or the implementation of education programs at local levels?

Features Specified for Quality Assurance:
⇒ Do SMCs/PTAs participate in matters of curriculum, classroom management and teaching?
⇒ Do Head Teachers/Teachers involve their consent in curriculum, choice of text books or on going school based assessment system?

Features Specified for Monitoring:
⇒ Do SMCs/PTAs or local NGOs participate in different evaluations of school performance.
⇒ How frequent are the evaluations are done by local level partners in education.

The inter linkage of all the monitoring systems, is highlighted in the figure below:

![Decentralization Audit](image)

Each aspect of programming, quality and monitoring can be further broken down into inputs, processes and outputs (annexes).

In developing sub-programs at district and local levels the proposals need to be screened through an audit for local level planning.

At the district level it is vital to undertake an audit of institutional capacity, or the match between responsibilities and authorities. The bureaucratic domain has a direct impact on day to day administration.
The Bureaucratic Domain – Interaction between rules and staff. Personnel job descriptions matched against new performance targets. Capacity to be performance and management oriented; tolerance of diversity and other partners/civic associations and acceptance of public accountability systems with transparency.

To understand the domain of rules and personnel or the bureaucratic domain do the following:

a. **Collect the following materials**
   a. Any orders, rules and regulations made through legislation regarding district based administrative authorities and responsibilities
   b. The existing laws
   c. The common law
   d. The customary laws
   e. Financial ordinances and rules
   f. District, provincial and central financial rules

b. **Through these materials produce the comprehensive collection of rules related to governance and provision of education**

c. **Carry out the following analysis to see if the rules enable, inhibit or are neutral in their impact on decentralization**
   a. Identify linkage of rules to constitutional provision
   b. Identify and analyze rules for their capacity and capability to support and sustain decentralization of the governance of education systems
   c. Identify any deficiencies in respect of rules and recommend remedial steps

d. **Use the materials to produce**
   a. A short report on powers, and authorities capabilities and capacities
   b. Report on the deficiencies in respect of the capacities and powers to support decentralization and governance of education system

This exercise illustrates the bureaucratic domain linking the institutional and organizational, the rules and the people who apply them.

e. **Outcome:** will be a program to address the institutional capacities and capabilities of the ministry/departments of education, and ancillary organizations

( McGinn & Welsh 1999)
What is a District Education Plan (DEP)?

This section will cover these following topics:

- What is a DEP and how conducive it is to civil participation;
- The mechanisms in government and civil society for introducing civic participation;
- What is a decentralization audit in planning;
- Examples of the benefits of civic participation.

At district level, the District Education Departments are increasingly expected to develop medium term or three to five year District Education Plan (DEP) with the support of district/state governments. The DEP is a macro plan with set time-bound targets to ensure access of all children in a specified geographical area to quality education. The improvement must be measured in terms of enrolment, retention and learning achievement. The underlying principle of developing DEP is bottom up, need based, and realistic planning process involving communities, teachers, children, district education officials and elected representatives. The plan is complemented by data from village/locality and household level data or Management Information Systems (MIS) which provides information on types and state of all education institutions, teacher posting, enrolment, and number of children of school going age in the district for micro level implementation.

The DEP outlines all interventions planned to be implemented, such as, social organization of school councils/parent-teacher associations, improvement of physical conditions of schools, building new schools, activate non functional schools and school management committees, addressing teacher shortage, undertaking teacher training, initiate early childhood education program, establishing literacy centers, improve secondary education, providing educational aids, and introducing technical/vocational stream in selected high and higher secondary schools. All these activities are quantified with estimated costs. The DEP also provides information on all resources available to the district under different heads from the district level such as the District Annual Development Plans, special programs of the provincial/state and central government as well as an estimate of private sector, CSO and community contribution. More importantly, the DEP outlines the mechanism for major interventions with emphasis on community involvement at micro level school based planning and implementation, and identifies areas of public-private partnerships in developing, implementing and monitoring the status of progress of the District Education Plan.

An important component of the DEP is identifying the various areas in which the District Education/Literacy Department need to enhance their current capacity. These areas may include: management and administration, information system, school monitoring systems, children assessment, teacher training capacity, equipment and transport among others. Capacity building may include: activating district teacher training institutions, resource centers as well as making District EMIS Reporting System functional. The DEP addresses the concerns of bridging gender gaps and issues of inclusion by allocating proportionally
higher resources to girls and highlighting needs of those excluded as indicated by the child focused EMIS data. The DEP outlines strategies for bridging resource gaps, identifying capacity needs in understanding and mobilizing public private partnerships schemes, IT-education linkages and any innovative interventions that are in the pipeline.

The DEP must become a public document, put on websites and made available in key public offices. It must be reviewed on bi-annual basis and modified according to the feedback and the status of progress. Implementation can be reported on a quarterly basis to make the public aware of the status of implementation of the District Education Plan. The DEP can provide the most concrete basis for micro-planning to support institution based reform and implementation at the school level. Community mobilization, formation and strengthening of school councils, school based management, planning and implementation, tracking systems of local level key education outcome and intermediate indicators, will be embedded in the three year DEP. Where possible, efforts will be made to support macro and micro plans through new information communication technologies (NICTs) for optimum effectiveness.

Process for Developing District Education Plan

One of the primary objectives of developing District Education Plans is to mobilize the political and bureaucratic leadership, to win their commitment for developing and implementing the plans leading to quality education for all children. District governments need to identify civil society organizations with experience in working with the government education sector and willing to provide support in developing district education plan. Facilitating in developing DEPs may be undertaken in following steps:

**Step I.**
A planning team may be constituted at the provincial, sub-regional or even district level through public/private partnership from government and non-government professionals with expertise in planning and communication. This team must have the following characteristics:
- Good communicators;
- Members with expertise in policy;
- Current trends in education sector;
- Facilitation skills for group dynamics;
- Familiarization and use of databases/statistics and analysis on simple software using Access;
- Documentation for rapid transfer of information collected to a policy and planning document.

**Step II.**
The planning groups must visit the district headquarters and organize orientation and planning exercises at the district level. The district or state government must form a District/State Education Core Team (DECT) or a District Education Steering Committee (DESC). The DECT is put together by the District mayor and/or administrator.
Step III. The representatives of DECT must comprise of:
- District Mayor and District Administrator (the political and administrative heads) for political will and resource commitment;

and representatives from:
- Across key departments of education, community development, information and finance and planning;
- Civil society organizations active in education at the district level;
- Private sector engaged in education;
- Others may be co-opted from time to time as required.

Step IV. These groups must be provided a thorough orientation to policy and context as well as the purpose behind DEP.

DEP requires professional facilitation. The facilitation team may come from a professional NGO, or facilitators experienced in managing DEPs. The facilitators must have strong conceptual, inter-personal communication and documentation skills.

Step V. The planning team shall assist the DECT to:
- undertake a situation analysis of education at the district level;
- articulate its Vision, Mission, Objectives, leading to realistic target setting;
- devise strategies for reaching the targets with the help of specific sub-programs/projects;
- compile all information arrived at during the exercises;
- undertake participatory costing options for the interventions proposed;
- support the district government in drafting the District Education Plan complete with all elements including year wise targets and cost/budget estimates.

(Tools for undertaking those above elements are presented in the section below)

Step VI. Information on available resources shall be provided by the concerned department/officer for finance & planning. Consultation may have to be done with the officer dealing with construction and civil works especially concerning infrastructure improvement of schools and other educational institutions.

Step VII. The planning team will require district census or population information, and EMIS/information on schools, teachers, and children available with District Education/Literacy Departments to complete the draft plan.

Identify all sources of legitimate data for developing district education baseline
- focused – EMIS at the household level in a designate area. if available at the time;
- dissemination of information to local groups collected at the community level on data collected;
- enabling communities to collect analyze and develop action plans for Q-EFA;
- setting goals, targets & performance indicators or mapping for EFA Goals at local level.
Step IX. Once the draft DEP is completed it must be formally presented to stakeholders and the district political and administrative heads for approval. In some countries the draft DEP may be presented to the District Council and approved by the Council to ensure its legitimacy, resource commitments for a particular time period of at least three years.

Operationalize DEPs: Action Steps after Approval of District Education Plan by District Government

1. District Government needs to develop targeted annual plans based on the District Education Plan. The designate District Education Core Team (multi-sectoral) need to coordinate and work together to come up with annual plans.

2. District Education officer and their teams shall have the responsibility of implementing and monitoring the plan. The department needs to seek collaboration of one or more civil society organizations actively working in the district on education and having experience in planning, monitoring, information processing and documentation. Following action steps may be required:

   a) Division of budgetary resources according to financial year
   b) Identify interventions for current financial year:
      ▪ Prepare and verify school lists for identified interventions
      ▪ Identify civil society partners for implementation at various levels
      ▪ Initiate community mobilization at the village/ neighborhood and cluster level and organize SMCs/PTAs
      ▪ Facilitate in developing proposals for approval and release of funds
      ▪ Initiate capacity building process with the District Education/Literacy Departments
      ▪ Issue Progress Report each quarter
      ▪ Develop detailed plans for next financial year on similar pattern
   c) Prepare detailed plans for utilization of literacy funds
   d) Facilitate where it is a priority, colleges and institutions (other than schools) to prepare development proposals
   e) Develop capacity building proposal for training institutions,
   f) Develop plan for making District EMIS Reporting System functional

For each sub-program a project needs to be put in place, sensitive to considerations of decentralization and local governance.

Decentralization Audit - Designing Education Programs at District levels

All sub-programs to be designed need to be undertaken through a local governance/ decentralization lens. We have already covered concept clearance of decentralization, typologies and civic participation in Modules I & II. Sections of a project document need to be screened for the following areas:
1. Project Plan
   - Did local stakeholders participate in the planning of the project?
   - How did they participate -levels (consultations, information, feedback, negotiations)?

2. Project Goal
   - Does the goal of the proposed project address issues of equity? Gender/urban/rural/ minorities, marginalized (nomads)?
   - Who are the stakeholders who framed the goals?

3. Objectives/Purpose
   - Do the objectives reflect needs at district and at local levels?
   - Do the objectives reflect baselines/benchmarks derived at local levels?

4. Implementation Strategy
   - Who will implement the project?
   - Will the implementers include local stakeholders?
   - Where are the key activities located? Central, provincial, district or local levels.
   - Who are the target beneficiaries by location?

5. Partnership strategy
   - Who are the key partners? PTAs/SMCs/NGOs / non-profit private sector.
   - What is the role of CSOs? In planning, implementation, monitoring and evaluation? Is there a legal provision for CSO participation? (Annexes)

6. Budget and Finance
   - Sources of funding or resource flows: central, provincial/state, district /municipality, private?

7. Policy linkages Upstream and Downstream
   **Downstream**
   - Does the project link with the District Education Plan or the School Development Plan?
   - Is the project responsive to the needs of the specific district /locality?

   **Upstream**
   - Does the project link with the National EFA Plan?
   - Does the project link with the PRSP?

8. Expected results
   - Location of the benefits of expected results – central, provincial, district or school?
   - How will the activities /outputs make a difference to local level outcomes/ social indicators?

9. Monitoring and Evaluation
   - Does the project provide mechanisms for participatory evaluation?
   - Do SMCs/PTAs participate in monitoring at the school level? If yes then how?

Decentralization audit can also be undertaken through an input, process and output exercise for areas of policy planning, programming and education quality as elaborated in Module I on Policy and Context.
Planning Exercises for DEP

A variety of planning exercises need to take place for conducting a situation analysis of a local area, estimating needs, costs and targets. Some are given below which can be conducted in groups or individually. These can be undertaken manually or through excel sheets for IT based training option.

Planning work: Day 1

Exercise 1  
Basic Information

Use information available with District Education/Literacy Departments

<table>
<thead>
<tr>
<th>Institution</th>
<th>No of. Institutions</th>
<th>Non Functional Institutions</th>
<th>Teachers Posted</th>
<th>Teacher Shortage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Feeder schools</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary-Boys</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary-Girls</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Elementary-Boys</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Elementary-Girls</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High-Boys</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High-Girls</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Madrassa (religious schools)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NFPE Schools</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Special Education</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Colleges</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
## Exercise 2

### Eligible Children and School Enrolment by Gender

#### Use the latest District/State Census

<table>
<thead>
<tr>
<th>Population Category</th>
<th>District Population</th>
<th>Gender</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population 3-5 Age Group (ECE)</td>
<td>_______</td>
<td>Girls</td>
<td>_______%</td>
</tr>
<tr>
<td>Population 5-14 Age Group (Elementary)</td>
<td>_______</td>
<td>Girls</td>
<td>_______%</td>
</tr>
<tr>
<td>Population 15-16 Age Group (Secondary)</td>
<td>_______</td>
<td>Girls</td>
<td>_______%</td>
</tr>
</tbody>
</table>

#### Use Current Data Available with District Education/ Literacy Departments

<table>
<thead>
<tr>
<th>Govt School</th>
<th>Boys</th>
<th>Girls</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Primary or ECE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Feeder Schools</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Elementary</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Higher Secondary</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Estimated Enrolment in Private/ Non Formal Schools _________
## Exercise 3

### Minimum Standards for Primary Schools

<table>
<thead>
<tr>
<th>Description</th>
<th>Minimum Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>No. of classrooms</td>
<td></td>
</tr>
<tr>
<td>No. of teachers</td>
<td></td>
</tr>
<tr>
<td>Physical Facilities</td>
<td></td>
</tr>
<tr>
<td>Others</td>
<td></td>
</tr>
<tr>
<td>Utilities</td>
<td></td>
</tr>
</tbody>
</table>
Exercise 4

Targets & Performance Indicators 2001-2004

- Raise Enrolment by ______ %
- Reduce Dropout by ______ %
- Improve Examination Results by ______ %
- Bring ______ Primary Schools to Minimum Standards
- Activate ______ Non-functional Primary Schools
- Seek ______% Community Contribution in School Infrastructure Improvement
- Design/Implement School Examination/Student Assessment System in _____ schools
- Train ______ primary, elementary and high school teachers
- Design/Implement District EMIS Reporting System
### Example of Costing Sheet - Primary School Interventions

**Participants:** District Education Officer/Planning/Budgets Officers

<table>
<thead>
<tr>
<th>Intervention</th>
<th>Girls Schools</th>
<th>Boys Schools</th>
<th>All Schools</th>
<th>Rate</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Mobilization of School Councils/ PTAs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minor Infrastructure</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Major Infrastructure</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hire Contract Teachers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teaching Aids/Science Education</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Early Childhood Education</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Co/Extra curricular Activities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Exercise 6

Implementing Mechanisms

Participants: District Education Officers, field teams, District Officer works department,

Differentiate between major infrastructure (to be done by department of education and
department of building/works and Minor Infrastructure to be done by SMCs/PTAs.

Outline steps for following:
- Activate School Councils
- Infrastructure Improvement by School Councils
- Contract Teacher Hiring
- Identifying and Collaborating with Partner NGOs
- Organizing Teacher Training
Exercise

7

Managing ECCE & Literacy Centers

**Participants:** Concerned officers, Staff, Local NGOs involved in NFE and ECE

**Scope of Work**

- Establish _____ ECCE Centers in _______ sub-district or cluster
- Establish ______ Literacy Centers in ________ sub-district or cluster
- Monitoring of existing Literacy Centers in the District

**Action Plan**

1. **ECCE Centers**
   - Site identification
   - ECCE course contents and learning material
   - Teacher identification and recruitment criteria
   - Teacher training
   - Improving classroom environment of ECCE centers

2. **Literacy Centers**
   - Site identification
   - Literacy centers course contents and learning material
   - Identification and selection of NGOs to manage literacy centers
   - Teacher identification and recruitment criteria
   - Teacher training
   - Identification and finalization of pre vocational program contents, material and instructors
   - Design monitoring system for new Literacy Centers and for assessing performance of implementing NGOs
   - Design monitoring system for existing Literacy Centers and for assessing performance of implementing NGOs
**Exercise 8**

**Capacity Building of District Education and Literacy Departments**

**Participants:** District Education Officers/Literacy focal persons and active Civil Society Organizations

- Improving Internal Information System
- Improving Internal Management & Administration System
- Design/Implement School Performance Monitoring System
- Improvement of District EMIS Cell
- Enhancing Teacher Training Capacity
- Requirements in terms of equipment, physical facilities, mobility
## Exercise 9

### Bridging Inequities in Resource Allocation

**Participants**: EDO(E), EDO(L), DEOs, Dy. DEOs

#### Address Gender Gap

<table>
<thead>
<tr>
<th>School Type</th>
<th>% Age of Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Girls Schools</td>
<td></td>
</tr>
<tr>
<td>Boys Schools</td>
<td></td>
</tr>
</tbody>
</table>

#### Address Rural-Urban Gap

<table>
<thead>
<tr>
<th>Urban/Rural</th>
<th>% Age of Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rural Schools</td>
<td></td>
</tr>
<tr>
<td>Urban Schools</td>
<td></td>
</tr>
</tbody>
</table>

#### Address Disadvantaged Areas Gap

<table>
<thead>
<tr>
<th>Tehsil</th>
<th>% Age of Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
Section 3 Monitoring Tools

The DEP annual action plan or work plan is itself the concrete monitoring tool which contains annual targets, to be achieved for various sub-sectors of education as identified by the DECT. For each sub-sector the plan may look like as follows.

The group will then be assigned task to monitor these on a quarterly, six monthly or annually. This may take the shape of a formal field visit reviews and finalized by revisiting the DEP on. DEP here is an interactive planning tool.

Just as DEP’s scope is the district or the next module is a focus on school as the key unit of planning and implementation reinforcing a global trend towards local governance which is closest to the service being delivered.

Optional Readings

Readings on Participatory Monitoring

Participatory Monitoring and Evaluation: Learning from Change

Summary
Development organizations need to know how effective their efforts have been. But who should make these judgments, and on what basis? Usually it is outside experts who take charge. Participatory monitoring and evaluation (PM&E) is a different approach, which involves local people, development agencies, and policy makers deciding together how progress should be measured, and results acted upon. It can reveal valuable lessons and improve accountability. However, it is a challenging process for all concerned since it encourages people to examine their assumptions about what constitutes progress, and to face up to the contradictions and conflicts that can emerge.

Why the interest in Participatory Monitoring and Evaluation?
Monitoring and evaluation (M&E) is vital if governments and aid organizations are to judge whether development efforts have succeeded or failed. Conventionally, it has involved outside experts coming in to measure performance against pre-set indicators, using standardized procedures and tools.
Participatory monitoring and evaluation (PM&E) has emerged because of recognition of the limitations of this conventional approach. It is attracting interest from many quarters since it offers new ways of assessing and learning from change that are more inclusive, and more in tune with the views and aspirations of those most directly affected. This shift in thinking has been prompted by:

- the surge of interest of participatory appraisal and planning, a set of new approaches which stress the importance of taking local people’s perspectives into account;
- pressure for greater accountability, especially at a time of scarce resources;
PM&E provides an opportunity for development organizations to focus better on their ultimate goal of improving poor people’s lives. By broadening involvement in identifying and analyzing change, a clearer picture can be gained of what is really happening on the ground. It allows people to celebrate successes, and learn from failures. For those involved, it can also be a very empowering process, since it puts them in charge, helps develop skills, and shows that their views count.

**Beyond the conventional approach**

PM&E differs from conventional monitoring and evaluation approaches in several important ways:

<table>
<thead>
<tr>
<th>Conventional M&amp;E</th>
<th>Participatory M&amp;E</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Who plans and manages the process:</strong></td>
<td><strong>Role of ‘primary stakeholders’ (the intended beneficiaries):</strong></td>
</tr>
<tr>
<td>Senior managers, or outside experts</td>
<td>Design and adapt the methodology, collect and analyze data, share findings and link them to action</td>
</tr>
<tr>
<td><strong>How success is measured:</strong></td>
<td><strong>Approach:</strong></td>
</tr>
<tr>
<td>Externally-defined, mainly quantitative indicators</td>
<td>Internally-defined indicators, including more qualitative judgments</td>
</tr>
<tr>
<td><strong>Approach:</strong></td>
<td>Adaptive</td>
</tr>
</tbody>
</table>

**What is Participatory Monitoring and Evaluation?**

Participatory Monitoring and Evaluation is not just a matter of using participatory techniques within a conventional monitoring and evaluation setting. It is about radically rethinking who initiates and undertakes the process, and who learns or benefits from the findings.

Early examples of PM&E date back to the 1970s. There are many different forms depending on who is participating, at what stages they are involved, and the precise objectives.

Community-based versions, where local people are the primary focus, sit alongside other forms geared to engaging lower level staff in assessing the effectiveness of their organization, and working out how it can be improved. At the heart of PM&E, however, are four broad principles:

- ‘Participation’ – which means opening up the design of the process to include those most directly affected, and agreeing to analyze data together;
- The inclusiveness of PM&E requires ‘negotiation’ to reach agreement about what will be monitored or evaluated, how and when data will be collected and analyzed, what the data actually means, and how findings will be shared, and action taken;
- This leads to ‘learning’ which becomes the basis for subsequent improvement and corrective action;
- Since the number, role, and skills of stakeholders, the external environment, and
other factors change over time, ‘flexibility’ is essential.

A wide range of methods and tools have been developed to carry out PM&E. They all seek to compare the situation before and after a particular project, of set of events. They include home-made questionnaires and scientific measurement techniques adapted for use by local people, as well as more innovative methods such as oral histories, and the use of photos, video and theatre.

**Practical applications**

PM&E is being used for many purposes. Some governments and aid organizations are using it a way of becoming more accountable, by giving intended beneficiaries the chance to speak out about local impacts. At a community level, PM&E is being used to help motivate people to sustain local initiatives and manage conflicts. Banks and other large commercial enterprises are employing similar approaches to assess their ethical and environmental performance, for instance though social audits The following examples illustrate the range of application:

**Getting the right end of the stick in Zambia**

CARE Zambia, a non-governmental development agency, wanted to implement projects in a more responsive manner, and ensure they learned better from their own project experience. First, a baseline was established in dozens of villages using well-being ranking and other participatory methods. Now changes are being tracked in the best and worst-off households to assess project impact and help plan new initiatives. Joint analysis has helped communities and staff define - rather than just speculate about - changes, and has encouraged communities to take action on their own.

**Steps and methods**

Methods commonly used include:

- **Maps**: to show the location and types of changes in the area being monitored.

- **Venn diagrams**: to show changes in relationships between groups, institutions, and individuals.

- **Flow diagrams**: to show direct and indirect impacts of changes, and to relate them to causes.

- **Diaries**: to describe changes in the lives of individuals or groups.

- **Photographs**: to depict changes through a sequence of images.

- **Matrix scoring**: to compare people’s preferences for a set of options or outcomes.

- **Network diagrams**: to show changes in the type and degree of contact between people and services.
Most PM&E processes involve a sequence of steps:

**Defining sustainability**
The international conservation organization, IUCN, is testing alternatives to the usual top-down approaches to assessing sustainability. One alternative invites local people to score the health of their community and ecosystem on a 'sustainability barometer'. It can be a revealing process. In a pilot study in India, villagers generated their own evidence showing dwindling natural resource stocks. This led them to rethink long-held assumptions about the abundance of natural resources, and prompted them to take steps to address key problems, particularly water scarcity.

**Supporting indigenous governance in Colombia**
In Colombia, ACIN, an association of indigenous people covering 13 communities, is involved in monitoring and evaluating its own multi-sectoral regional development plan. They are looking at links between productivity and environmental and cultural factors, tracking changes over time and comparing plans with results in a systematic way. This has helped communities recognize their strengths and improve their management capabilities, which, in turn, is leading to changes in power relationships. Links are being made between communities, providing the concerted voice needed in negotiations with national and provincial government, and the private sector.

**Sustaining the process**
Such examples show how PM&E has created new ways of measuring change, while helping build the monitoring and evaluation capacity of the people involved. Nevertheless, problems have been encountered. Common mistakes are:

- Assuming that all stakeholders will be interested in taking part;
- Imposing inappropriate indicators and methods in an effort to standardize and save time;
- Being unclear about how information will be used, and by whom; collecting unnecessary information;
- Starting too big, too soon.

Opening up the assessment process to a wider range of stakeholders may also expose conflicts over what is most important, how it should be tracked, and whether goals are being met. Failure to predict and deal with conflict can lead to frustration. When carried out well, however, PM&E can provide a framework for clarifying and negotiating differences between stakeholders and developing a consensus on what the priorities are.

PM&E is not just a research process, therefore; it is a social, political and cultural one, too. To be sustainable it requires openness, a willingness to listen to different points of view, a recognition of the knowledge and role of different participants, and an ability to give credit where credit is due.

**Selecting the best indicators**
Indicators are central to most monitoring and evaluation processes. They can be qualitative or quantitative, and provide a way of spotting and measuring underlying trends. In Uganda, for example, the number of households eating 'beer bananas' is an indicator of hunger, since this type of bananas is only eaten during times of food shortage.
Selecting the best indicators is not always easy:

- It is a balancing act between choosing locally-relevant factors, and those that can be applied more widely;
- The more stakeholders that are involved, the longer the process of selecting indicators can take;
- Indicators should capture intangible as well as tangible changes, particularly in projects that value factors such as personal and social development. For example, the InterAmerican Foundation uses an approach that encourages the inclusion of indicators such as 'cultural identity', 'self-esteem', and 'degree of civil responsibility'.

**Implications for development agencies**

Most development recognized are well aware of the shortcomings of conventional M&E approaches. The promise of better performance evaluation, and the positive impact it can have on those who take part, is encouraging many of them to try PM&E. But it is no easy option. It can also provoke more far-reaching changes than realized.

For recognized supporting participatory development, monitoring and evaluating throws up a particular challenge. Although there have been attempts to develop recognized indicators, these are bound to be problematic, since the quality of participation can only really be assessed through a process which is itself participatory.

PM&E can only thrive in recognized willing to review their procedures and attitudes, and change them where necessary. Flexibility and patience are essential, since more time is needed to design and adapt the process than when standard procedures are used. Organizations need to create this space if PM&E is to work.

With many governments and development agencies favoring devolution and recognized, PM&E has an increasing role to play. If responsibility is to become more recognize, and based on the diverse needs and priorities of local communities, progress can no longer be measured using recognized top-down indicators. New, more versatile, and more devolved processes are required to track and assess change.

Two main challenges stand out if PM&E is to flourish. First, bringing together people’s different ways of looking at the world challenges established notions of what constitutes rigorous data collection and analysis. Conventional concepts of validity and reliability of data are being questioned as methods are combined in new ways and ‘experts’ interact more with local people. Adopting PM&E requires the acceptance of new, less rigid, standards of credibility of information, and a appreciation of when information is ‘good enough’ for the task at hand – rather than being perfect.

The second challenge is in scaling up the process, especially in cases when PM&E is being introduced into projects and programmes that they are not participatory. In such situations, there is a much more of a learning process to go through. Experience suggests that it is best to start small and create opportunities for PM&E to be tested before it is introduced more widely. A trial phase helps staff and other stakeholders come to grips with the new approach and its implications. During this phase it may make sense to use PM&E in parallel with conventional M&E processes, rather than as a substitute. Having a high level ‘champion’ can also be a big advantage, someone in authority who can create room to manoeuvre while experiments take place, and who understands that making mistakes is an important part of the learning process. Training is another key ingredient. It is required at all
levels, from villagers right through to senior management. As well as concepts and methods, training needs to address questions of behavior and attitudes, since these are crucial to any participatory process.

PM&E offers an opportunity to redefine development and its impacts, and create a communication channel between those in power and those living with the consequences of development decisions. But to be meaningful, policy makers and development agencies must recognize that their plans and programmes might be fundamentally challenged, and be prepared to respond accordingly.

**Further reading**


**Useful web sites:**

More information on participation and PM&E is available on the IDS website, at: [www.ids.ac.uk/ids/particip](http://www.ids.ac.uk/ids/particip)

IDS Policy Briefings are published by the Institute of Development Studies and aim to provide concise, up-to-date reviews of important development issues.

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E-mail: ids@ids.ac.uk

Module IV on School Development is the natural link between a district education plan and a school’s specific planning process with the local community. A School’s Development Plan is to support the ultimate objective of quality for effective schools which follow a well laid out school improvement process, helping local communities to sharpen their skills on governance for education.
Notification

No.F.1-6/2002-ESR.III In pursuance of sections 109 and 119 of Devolution Plan, and Chapter 28(all paras) entitled “Grants in Aid”, of the Accounts and Audit of the Government of Pakistan First Edition, the Federal Government has allowed the participation of civil society organizations (CSOs) in the implementation of Education Sector programs as per guidelines given below:

Option I

1. CSOs at the district level shall follow the Local Government Finance rules Chapter XII, specifically sections, 109, sub-sections 5, 12 a), and section 119 (annex). The financing instrument for CSOs to participate in Education Sector programs relates to the development budget earmarked for bottom up planning through the Citizen Community Boards (CCBs). For carrying out education functions that have been devolved to the districts, CCBs should be seen as partners, and hence eligible for accessing up to 30% Education Sector program funds.

2. NGOs, CBOs, Non-elite Private Sector/ SMCs/PTAs/School Councils are eligible to become CCBs (process and forms attached/annex). CCBs may engage with, both civil works, as well as other areas as indicated in the Education Sector programs and the respective Letters of Agreement signed between the Provincial and District governments.

3. CCBs’ duration shall be two years and may have a minimum of 8, and maximum of 25 members.

The focal district officer for CCBs shall be the Executive District Officer (EDO) - Community Development. The registration may take place at district and/or Tehsil levels.

CCBs shall access funds according to prescribed rules (attached/annexes)
4. CCBs’ cash contribution to the matching grant shall be at least 20%. According to the prescribed rules this shall be in ‘cash’, and not in kind.

Option II

5. The second option for financing CSOs to participate in Education Sector Programs would be the ‘Grants-in-Aid’ mechanism. This would follow accounting, audit and monitoring guidelines as provided by within the body of a Grants-in-aid Memorandum of Understanding (MoU). This mechanism is fully covered under the Provincial Financial Rules and the Accounts and Audit of the Government of Pakistan issued by Auditor General. All financing through this mechanism shall be governed by the rules specific to grants in aid (annexes).

Provided that:

I. For District Level implementation of education programmes CSOs may participate as CCBs following the procedures of Local Government Finance, Sections 109 and 119.

II. SMCs/PTAs/PTSMCs and School Council are eligible to become registered as CCBs.

III. All registered CSOs will be eligible to receive Grants in Aid at district, provincial and federal levels and would follow the appropriate guidelines for monitoring, accounting and audit procedures as prescribed in the respective financial rules.

IV. For Islamabad Capital Territory and all such Federally Administered Areas where the Devolution Plan has yet to be implemented a provisional system of appropriate financial rules will be notified by the Federal Government – Finance Division. This will be amended at the appropriate time as an addendum to this notification.

This issues with the concurrence of the Planning and Development Division, Finance Division, and National Reconstruction Bureau vide their letter numbers F7(263) EDU/PC/2002 dated 18th June, 2002, u.o. No. 5 (15) DFA (Edu)/2002 –1704, dated 29, 6.2002 and respectively.
Section 5

Key Resources and Websites


- NIEPA (1997). Modules on District Education Planning in Education. A 12 part series. (national institute on education planning and management, INDIA)


Useful web sites:

http://www.ids.ac.uk/ids/particip


http://www.itacec.org

http://www.pnwboces.org/cesar/cesar.htm

http://usembassy.state.gov/islamabad/wwwhamb03091701.html


http://www.nyiteez.org/NYteachercenters/resourcesmain.htm

Module 4 for Three-Days Training on
School or Site-Based Governance

Prepared by:

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Public Trust "Centre for Education and Consciousness"
Cricket House, 20 Jail Road, Lahore
Website: www.itacec.org
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<td>61</td>
</tr>
</tbody>
</table>
Module IV: School Based Governance

School Based Governance

Introduction

Quality is at the heart of education, and what takes place in classrooms and other learning environments is fundamentally important to the future well-being of children, young people and adults. It is only quality education is one that satisfies basic learning needs, and enriches the lives of learners and their overall experience of living.

Successful education programmes require: (1) healthy, well nourished and motivated students; (2) well-trained teachers and active learning techniques; (3) adequate facilities and learning materials; (4) a relevant curriculum that can be taught and learned in a local language and builds upon the knowledge and experience of the teachers and learners; (5) an environment that not only encourages learning but is welcoming, gender-sensitive, healthy and safe; (6) a clear definition and accurate assessment of learning outcomes, including knowledge, skills, attitudes and values; (7) participatory governance and management; and (8) respect for and engagement with local communities and cultures. (Dakar Framework of Action: 2000)

School or site-based governance is a focus on improving quality through localization of education delivery. It refers to the global trends of enhancing quality of instruction, strengthen and decentralize decision making, and mobilizing local resources for sustaining improvements. The problems of poor quality and poor quantity of education in centralized systems have led to experiments with decentralization and local governance in developed and developing countries alike. Traditional centralized systems of the latter half of the twentieth century have led to dissatisfactory outcomes. In such a set up, policies and their impact became distanced by the time they reached the people who were to implement them, and also the intended beneficiaries. Information and skills remained confined to a limited number of people. It has globally been realized that the remedy lies in some appropriate interpretation of decentralization, which provided possibilities for school-based or site-based governance often called school based management (SBM). In module I, we have already been alerted to the difference between management and governance (PG.).

School-based management (SBM) and school/site–based governance (SBG) are being used synonymously in this module. They refer to both formal and non-formal learning options and delivery systems. The principles of practice would apply equally to both. Site-based governance has many dimensions. Facilitators and trainers should have a clear insight into the concept of school -based governance and its practical dimensions.

SBM or SBG is a form of decentralization that identifies the individual school or the learning centre as the primary unit of improvement and relies on the redistribution of decision-making authority [to the school level] through which improvements might be stimulated and sustained

The goal of quality education can only be achieved when parents and all the stakeholders that constitute the school community are convinced that learning being imparted in formal and non-formal schools is leading to improved skills for individual and social transformation, and increased opportunities for well being. They are the direct beneficiaries in a locality

---

1 School Based Governance (SBG) includes formal and non-formal delivery systems. Some principles can be applied to both options. However, SBG originated with reference to formal schools.
whose interests and rights are closely associated with the school. Hence their involvement in schools is crucial in many ways.

It is believed that quality of education will improve significantly when people at the grass roots are involved in the affairs of school as beneficiaries and decision makers.

The community would own it and will put in more efforts and energies for ensuring school effectiveness. The notion of subsidiarity is dominant in this definition, whereby the locus of decision making and remedies lie closest to those who are affected.

This module is a compilation of concepts, and tools that will enable users to transfer the macro level skills of policy and context, citizenship participation, public private partnerships and district education planning to micro level implementation at the learning site itself.

**Objectives**

- Extend conceptual and practical clarity regarding SBG;
- Understand the various dimensions of school effectiveness;
- Introduce the tools of School Development Planning for school effectiveness.

**Expected Outcomes**

- To understand the importance SBG and how it relates to local governance in education
- To link SBG to School Effectiveness dimensions
- To become familiar with the tools of School Development Planning and monitoring
- The comprehend the skills of financial records and audit for PTAs/SMCs

**Sections**

1. The rationale and relevance for a School Based Governance for effective schools
2. What are the dimensions and tools of school effectiveness and the relevance of school culture?
3. How to undertake School Development Planning and what is a School Development Plan
4. Websites and Sources
Section 1
The Rationale and Relevance for a School-Based Governance for Effective Schools

This section covers the following topics:

- What is the rationale for Site Based Management?
- Who constitutes the key stakeholders at local levels?
- What are the different dimensions of school-based governance/management?

Learning Outcomes

1. A firm grasp of why SBM should be promoted
2. Familiarity with the concept of stakeholders
3. What constitutes SBM?

Activities

4.1.1 Constraints that hinder School Effectiveness
4.1.2 Ways to overcome these constraints
4.1.3 Describe elements of School Based Governance (SBG)
4.1.4 List stakeholders engaged in SBG

Introduction

Site-based management has been adopted by many school systems globally to increase school autonomy and to share decision-making with teachers and sometimes parents, students, and community members. Actors who have the most to gain or lose and who have the best information about what actually goes on in schools are best able to make appropriate decisions about how schools should use ever more scarce resources and how students should be taught.” Site-based management typically involves the formation of a school-based committee or council that, through legislative and/or administrative or board action, is empowered to make decisions. These decisions usually fall within three areas: budget, personnel and staffing, and curriculum/programs. (Clune & White, 1988). In Module II we covered various aspects of formation of School Council, PTA or School Management Committee (SMC), its areas of responsibility and authority. In this module we are focusing on the domain of their functioning as it relates to managing various aspects of quality learning at the learning site itself.
There are several reasons for School Based Management (SBM) which are shared below:

<table>
<thead>
<tr>
<th>RATIONALE</th>
<th>EXPLANATION FOR SBM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional</td>
<td>This rationale argues that school professionals have the experience and expertise to make the most appropriate educational decisions for the school and students. Professionals will also be able to contribute their educational knowledge related to curriculum, pedagogy, learning and school management processes. School management tasks are set according to the characteristics and needs of the school itself and therefore school members (including board of directors, PTAs supervisors, principals, teachers, parents and students, etc.) have a much greater autonomy and responsibility for the use of resources to solve problems and carry out effective education activities, for the long-term development of the school.</td>
</tr>
<tr>
<td>Improved Student Achievement</td>
<td>Improved student achievement is often seen as the primary reason for introducing SBM. This rationale is that if parents and teachers are given the authority to make decisions on behalf of their school, the climate in the school will change to support gains in student achievement. The empirical evidence to support this is not strong. However, the schools managed by the NGO called Fé y Alegría (Faith and Happiness) controlled by the Jesuit Order of the Catholic Church, runs non-fee-charging schools in 12 countries of Latin America, reveals that there is positive relationship between SBM and student learning. In these schools the government provides subsidies for teachers salaries, running expenses are also supported by international assistance agencies, and voluntary fees from the local community.</td>
</tr>
<tr>
<td>Political</td>
<td>SBM, like other decentralization reforms, are occasionally used to promote democratic participation and political stability. In many countries legitimacy is gained most concretely by including locally elected people in decision making regarding public goods, such as education and health. The central governments when moving towards democratization decentralize some aspects of educational decision-making to promote a greater sense of independence in these regions to solicit greater legitimacy for the state.</td>
</tr>
<tr>
<td>Administrative</td>
<td>SBM is also seen as a tool for administrative efficiency on the rationale that the school is the best position to allocate resources effectively to match students’ needs. This decrease in the size of the central bureaucracies may lead to greater administrative efficiency as responsibilities are devolved to local levels in the areas of, evaluation, standards, and qualifications. There are also anticipated gains in school level administrative efficiencies when local participants make decisions.</td>
</tr>
<tr>
<td>Economic</td>
<td>SBM can also be used as a tool for increasing local school-based income generation. The assumption is that by encouraging and accepting parental involvement in school level decision-making,</td>
</tr>
</tbody>
</table>
parents will be motivated to increase their commitment to the school. In turn, parents will be more willing to donate money, labour, and other resources to the school. For example, in Nicaragua, Autonomous Schools were encouraged to charge fees and use them to provide teacher incentive pay.

Involving school level actors in decision-making and reporting can create incentive for greater attention to school improvement issues. In addition, when decentralization or devolution of decision-making is used for purposes of increasing accountability, one of its central aims often is to increase the voice of those who are not heard (or at least not sufficiently listen to) in the context of traditional school governance structures.

SBM may lead to improvements in key characteristics of effective schools including: strong leadership; skilled and committed teachers; increased focus on learning; and, a sense of responsibility towards results.
Activities for this segment are grouped together for quick cumulative learning

<table>
<thead>
<tr>
<th>Activity 4.1.1</th>
<th>Constraints to School Effectiveness</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Clock] Duration</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>![Bird] Undertaken By</td>
<td>Groups</td>
</tr>
<tr>
<td>![File] Materials Required</td>
<td>coloured cards 5’x7’, charts and markers</td>
</tr>
</tbody>
</table>

**Methodology**

Divide the participants into groups of five by assigning numbers. Ensure that these are gender balanced and a mix of categories (NGOs, Education Officials, Head Teachers etc).

Ask the groups to list of constraints that hinder school effectiveness

1. Guided by the participants responses list all suggestions on a chart/board.

2. Wrap up the session ensuring that suggestions are boldly categorized and posted on a chart paper which remains on the wall of the training facility throughout the length of the module.

**Possible responses**

- Indifferent attitude of parents towards school
- Teachers’ absenteeism
- Poor physical environment or school infrastructure
- Passive classroom environment
- Shortage of teachers
- Lack of teaching support material/HIV/AIDS
- Lack of funds
- Lack of supervision
- Delayed information about policies and decisions
### Activity 4.1.2

| Possible Remedies to Overcome Constraints |
|-------------------------------|----------------------------------|
| **Duration**                  | 15 Minutes                       |
| **Undertaken By**             | Same groups as in 3.1             |
| **Materials Required**        | coloured cards 5’x7’, charts and markers |

#### Methodology

Suggest possible ways & means to overcome these constraints

#### Expected Responses

- Closer links with the community
- PTAs/School Parents Councils/SMCs to be activated
- Parent Teacher meetings
- Closer links of PTAs with the department of education
- Improved physical conditions of the school
- Community involvement in the affairs of school
- Effective supervision and monitoring
- Support to teachers and provision of teaching aides through low cost methods
- Mobilization of resources at the local level

#### Comments

These are the issues, which have led to calls for school-based governance or site-based governance. Under this system school and its community are the primary units for action, improvement, impact and outcomes. SBG enables many more people to participate from the local area in the affairs of school. It helps promote their interests and safeguard their rights. It would also ensure transparency, effectiveness and efficiency.
Activity 4.1.3  Brainstorming School Based Governance

<table>
<thead>
<tr>
<th>Duration</th>
<th>15 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Same groups as in 3.1 &amp; 3.2 to continue</td>
</tr>
<tr>
<td>Materials Required</td>
<td>poster paper and markers</td>
</tr>
</tbody>
</table>

Methodology

How will you describe school-based governance? Participants should refer to the principles covered in the previous modules.

Possible Responses

- School-based governance is based on concepts of local level planning or decentralization.
- It is a bottom up system of governance, which calls for mobilization of civil society, i.e. the people at the grass roots whose interest and rights are closely associated with the school need to be involved in the affairs of the school.
- There are several reasons to build closer links between schools and the communities.
- There are educational, administrative and economic reasons.
- Children do certainly better when they feel their parents and teachers are interested in their education and are involved in the affairs of the school.
- As regards economic reasons, no government can afford to provide buildings, their repair and maintenance, staffing and other resources without the help of local people. Local people or community can be of great help if they are motivated and their resources are properly mobilized and effectively utilized.
- Administration can be enhanced when planning, mobilization of resources, implementation and monitoring of School Development Plans (SDPs) takes place at the local level with the help of stakeholders.

Comments

SBG can occur with or without macro level or country wide devolution. However, if it emerges as a result of a policy shift towards devolution then the administrative tiers and personnel also tend to come closer to the school at the district or sub-district levels. The operational tier of governance is then the district and not the state or province. The district in turn may be supported by sub-district or cluster level administration. There are many different stakeholders to support SBG at local levels.
Activity 4.1.4  Listing Local Stakeholders

<table>
<thead>
<tr>
<th>Activity 4.1.4</th>
<th>Listing Local Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Duration</strong></td>
<td>15  Minutes</td>
</tr>
<tr>
<td><strong>Undertaken By</strong></td>
<td>All participants brainstorming</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>chart paper/markers or white board/ markers</td>
</tr>
</tbody>
</table>

Methodology

The facilitator will write responses on a white board or chart paper as all participants give suggestions.

Possible Responses

- District level partners or the department of education and other departments, CSOs
- Sub-district partners
- Local CSOs – civil society organizations general or designated
- PTAs/SMCs
- Village Education Committees
- Old Students Associations
- Parents
- Teachers
- Students

Comments

Success of school based governance lies in close collaboration of all the stakeholders with each other. The role of the Head teacher is critical as a mobilizer, agent of change and is a link between local communities and administrative tiers. This role must be strengthened for school effectiveness. He/she has to build closer linkages with all stakeholders and involve them in all the processes right from needs assessment to planning and mobilizing resources to implementation and finally monitoring outcomes and utilization of resources.
Section 2: School Effectiveness

This section covers the following topics:

- What are the dimensions of School Governance?
- What is School Effectiveness? Linking dimensions, rationale and outcomes/effectiveness of SBG
- School culture and case studies for school Improvement through head teacher led initiatives

Learning Outcomes

1. Identify various dimensions of school-based governance
2. Relate to all nine elements of school effectiveness
3. Concepts and tools be exposed on what constitutes school culture and the role of the head teacher in school improvement/effectiveness

Activities

4.2.1 Brainstorming Dimensions of SBG
4.2.2 Rating on a School Assessment Tool
4.2.3 School Case studies and Alternative Scenarios

Dimensions of School Governance

In Unit I we identified the list of stakeholders who would contribute towards school-based governance. Stakeholders work together as they have a coalition of interests. Their functions will be different but aims and objectives will be the same. In this unit we will discuss various dimensions of school-based governance and see which agency, body or stakeholder has to perform which function.
## Activity 4.2.1 Dimensions of School Based Governance

<table>
<thead>
<tr>
<th>Activity 4.2.1</th>
<th>Dimensions of School Based Governance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Duration</strong></td>
<td>25 Minutes</td>
</tr>
<tr>
<td><strong>Undertaken By</strong></td>
<td>Brainstorming with the whole Groups</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>flip chart and markers</td>
</tr>
</tbody>
</table>

### Methodology
Brainstorming with the whole Groups. Facilitator to write down ideas on what are the dimensions of School Based Governance

### Comments
The responses can be categorized under following headings:
1. Policy/planning
2. Economic/financial/ mobilization of resources/budget
3. Academic / Quality/School effectiveness
4. Personnel Management /Administration
5. Community participation, parents participation and school management

Site-based governance is introduced to ensure easier participation of civil society i.e. people at the grass roots in decision making, planning, mobilization of resources, implementation of their plans and its monitoring. Civil Society groups are to remain involved right from brainstorming the issues to school development plans, and their monitoring so they will own them and contribute their, mental, physical and monetary resource towards school effectiveness. SBM is embedded in the paradigm of the whole school approach, school improvement and school effectiveness.
NINE CHARACTERISTICS OF HIGH PERFORMING SCHOOLS

Research has shown that there is no single solution that schools can adopt to ensure high student performance. Rather, high performing schools tend to have the following nine characteristics.

1. **Clear and Shared Focus**: Everybody knows where they are going and why. The focus is on achieving a shared vision, and all understand their role in achieving the vision. The focus and vision are developed from common beliefs and values, creating a consistent direction for all involved.

2. **High Standards and Expectations for All**: Students, teachers, and staff believe that all students can learn and meet high standards. While recognizing that some students must overcome significant barriers, these obstacles are not seen as insurmountable. Students are offered an ambitious and rigorous course of study.

3. **Effective School Leadership**: Effective instructional and administrative leadership is required to implement change processes. Effective leaders are proactive and seek help that is needed. They also nurture an instructional program and school culture conducive to learning and professional growth. Effective leaders can have different styles and roles - teachers and other staff, including those in the district office, often have a leadership role.

4. **High Levels of Collaboration and Communication**: There is strong teamwork among teachers across all grades and with other staff. Everybody is involved and connected to each other, including parents and members of the community, to identify problems and work on solutions.

5. **Curriculum, Instruction and Assessment Aligned with Standards**: The planned and actual curriculum is aligned with the essential academic learning requirements (EALRs). Research-based teaching strategies and materials are used. Staff understands the role of classroom and state assessments, what the assessments measure, and how student work is evaluated.

6. **Frequent Monitoring of Learning and Teaching**: A steady cycle of different assessments identify students who need help. More support and instruction time is provided, either during the school day or outside normal school hours, to students who need more help. Teaching is adjusted based on frequent monitoring of student progress and needs. Assessment results are used to focus and improve instructional programs.

7. **Focused Professional Development**: A strong emphasis is placed on training staff in areas of most need. Feedback from learning and teaching focuses extensive and ongoing professional development. The support is also aligned with the school or district vision and objectives.
8. **Supportive Learning Environment**: The school has a safe, civil, healthy and intellectually stimulating learning environment. Students feel respected and connected with the staff and are engaged in learning. Instruction is personalized and small learning environments increase student contact with teachers.

9. **High Level of Family and Community Involvement**: There is a sense that all have a responsibility to educate students, not just the teachers and staff in schools. Parents, businesses, social service agencies, and community colleges/universities all play a vital role in this effort.
Activity 4.2.2  Rating Your School on Effectiveness

<table>
<thead>
<tr>
<th>Duration</th>
<th>15 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Pairs assigned by the facilitator</td>
</tr>
<tr>
<td>Materials Required</td>
<td>copies of handouts and pencils</td>
</tr>
</tbody>
</table>

Methodology

1. Using the scale in Handout No. 3 above rate the school in which you are associated as a teacher, head teacher, supervisor, parent.

2. Paste these ratings on the walls to see where your specific school stands on the effectiveness dimensions.

Participants can take these back with them after the end of their training.
Hand Out 3

SCHOOL ASSESSMENT TOOL

High performing schools tend to have a combination of common characteristics. To help assess your school in these areas and facilitate the school improvement process, circle the number that best describes the extent to which each statement listed below is true in your school.

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>No Extent</th>
<th>Little Extent</th>
<th>Moderate Extent</th>
<th>Great Extent</th>
<th>Very Great Extent</th>
</tr>
</thead>
<tbody>
<tr>
<td>All staff have a clear understanding of a common focus.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Staff share and believe in the same focus and vision.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Staff set high standards for all students.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Staff have high expectations for all students.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Leaders know what is needed and seek help when necessary.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Various staff assume different leadership roles.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Staff plan and work extensively with one another.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Staff communicate frequently about academic matters.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Curriculum and instruction are aligned with state standards.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Staff understand and use assessments to guide instruction.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Student progress is analyzed on a regular basis.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>More support is provided to students who need help.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Professional development is focused in areas of most need.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Extensive and ongoing professional development is provided.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Students feel safe in a healthy learning environment.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Students feel respected and connected with teachers and staff.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Many families actively participate in school-related activities.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>The community has many links to the school.</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>

An analysis of the above statements can help determine the areas in which your school may want to concentrate its improvement efforts.

OSPI 1/2002
A well run school exhibits the following characteristics:

- people know what is happening;
- purposes are clear;
- there is conscious attention to systems and processes;
- people are clear about their own contributions;
- acceptable practices/processes are well known;
- there is a strong focus on making it easier for everyone to do well;
- improvement has priority over change;
- people find it easy to work together;
- problems are valued for the opportunity to learn and to reduce the likelihood of the recurrence;
- people learn from their efforts;
- continuous improvement is based on this learning;
- resources are released by reducing rework;
- people attend to the needs of the next person;
- sound admin reduces disruptions/distractions from the main purposes;
- constraints are identified and addressed;
- sound administration allows maximum attention to teaching and learning.
Activity 4.2.3 | Case Studies Analysis

<table>
<thead>
<tr>
<th>Duration</th>
<th>15 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Pairs assigned by the facilitator</td>
</tr>
<tr>
<td>Materials Required</td>
<td>copies of handouts and pencils</td>
</tr>
</tbody>
</table>

Methodology

The facilitator should divide the whole group into two sub groups and give each group a copy of one of the case studies given below.

Guide the participants to:

- Go through the case study and analyze the key profiles of each school circumstance.
- Make a list of problems of that particular school on one side, and match it with relevant dimension of SBG, eg. administrative, planning, school effectiveness/quality, resource mobilization etc.
- Suppose you are given the charge of that particular school under SBG, what strategies will you adopt.
- Develop an alternate case study of the school in new/improved situation.
Case Study 1

Mr. Tioman is the Head teacher of a High School in the suburbs of Salubia. He is known for his hard work and honesty. Teachers, his pupils and even the community respect him. Since his appointment in this school, the school has been showing excellent results. The school football team has been declared the best team in the district tournament.

Our visit to his school was a surprise. On our arrival at the school we found him busy with the gardener. The school, which was mostly in the open, gave a very clean look. Pupils were sitting in the courtyard with their respective teachers. The Head teacher recognized the team, gave a warm welcome and offered to take them for a round of the classes. Amazingly, he knew the names of students in each class and was also aware of their talents as he introduced them. The team members asked them some general questions and some relevant to their texts. To our surprise, they answered confidently and correctly.

Mr. Tioman's joy was visible as he patted them. After a detailed round, he took us to his office. It was a medium sized room, which also served the purpose of a staff room as well as a Head teacher’s office. There was one more room but its roof was dilapidated, as was that of the science laboratory. The teachers’ attendance register was proof of the fact that teachers were regular. However, the school's subject specialists in Maths and Social Studies had retired and no replacement had been provided. Upon asking whether they never availed any casual leave, the teachers remarked that “Mr. Tioman himself is so punctual and so kind that we prefer to be at school rather than sit at home.”

The record of pupils' performance was enviable. Every year five to six students won the scholarships.

Mr. Tioman complained that the department only sends appreciation letters occasionally but does not help in specific areas to improve the school. There is no proper school building and they have to face great difficulty when it rains. Community respects him but they do not involve themselves in school matters.
Case Study 2

Miss Ursula is the Head teacher of a Girls Middle School. It is situated in a village twenty kilometers from Jamoke. The Head teacher is a graduate (14 years of education) with a one year Education Diploma. There are five teachers on her staff list. It is a 3-room building with damaged boundary walls. The basic facilities of water, sanitation and electricity are lacking and there is no toilet either, though the community houses have all these facilities.

Community belongs to low-middle class. Men are educated. They work in factories, farms or in offices in the town. There are some well-to-do families too.

Miss Ursula is not happy as she complains of poor enrollment and high drop-out rate. Moreover the results are also discouraging. Well-to-do families have started shifting their daughters to the Govt. High School in the town which is known for quality education and co-curricular activities. In that school the number of teachers is adequate and it has all the facilities of a good school.

The block Education Officer visited Miss. Ursula’s school last Monday. It was a surprise visit. She found mismanagement in the school. Girls in classroom were quite passive. Classrooms and playgrounds were untidy. There was no learning equipment in the school. The only science kit provided by the department was locked in the store. Bags of supplementary Reader given under a good Middle School Project for the library could not be located.

The Education Officer took a detailed round of the school, the classes and the premises and checked the record. She also checked School Council’s meeting register. After that she had a meeting with the Head teacher and the staff. She expressed her displeasure and gave them some guidelines. She promised that she would visit the school next month.

Presentations will be made before the whole group. Whole group discussion should take place and the session be evaluated through questions.
The Alternative – A Positive Case Study

Government Girls Elementary School, in Timpo has a beautiful building with eight spacious, airy rooms and a large playground. It has all the basic facilities such as water, sanitation, boundary wall, toilets and electricity.

The Head teacher is a committed lady. She has education up to Masters along with a one year education certification. She belongs to the same village. The number of teachers is eight, of which two have recently been hired by the School Council/PTA, according to the new government directives whereby PTAs may hire local teachers from their school funds.

Until last year the community was not satisfied with the school situation. The previous Head teacher had to travel long distance and was often late or on leave. She neither called the PTA meetings nor involved teachers in the affairs of school. She always complained of lack of facilities and lack of departmental co-operation. Now the present Head teacher has activated the PTA according to the government guidelines for empowering communities. The PTA meetings are held regularly, and its bank account reveals collection of handsome funds. As per new rules for school based improvement through local governance, she took PTA’s permission for removing all broken and irreparable furniture and equipment rotting at the school premises. The money received from selling these items has been put in the PTA or School Development account.

Small work teams in special focus areas of clean environment, maths and language, repairs and maintenance, and fundraising have been made in the school. Teachers and parents are in charge of those teams. Students take part in co-curricular activities and are actively engaged in their studies. The present school building was completed only recently with the help of community. The community collected funds on self-help basis and developed low cost solution to new classrooms using local materials and know how. All matters are discussed, planned and reviewed with the PTA. The Head teacher has authority to relay all final decisions to the Department, which are arrived through consultation with the PTA, the teachers and parents. Each year the school submits its detailed School Development Plan to the department for its emerging needs along with budget estimates, in time so that the funds could be allocated according to the prescribed format, under the new policy guidelines. Students’ achievement rate has increased because of parents’ involvement, who not only contribute financially but also monitor their attendance and homework. District and sub-district education officers are also kept informed. Girls’ enrollment has increased and the community is very happy.
Characteristics of Effective Schools | Decentralization variables that can contribute to specific characteristics of effective schools
---|---
Leadership | School directors are selected by the community using transparent criteria.
School improvement plans are developed locally.
Resources are transferred to schools for the implementation of school plans.
Skilled and committed teachers | Schools are given the authority to make curriculum and pedagogic changes.
Teachers have significant responsibility for developing school improvement plans.
Directors are given the authority to provide a substantive evaluation of teachers’ performance.
Schools are given the authority (and resources) to make their own decisions as to the type of training to be provided to teachers.
Focus on learning results | The school improvement plan emphasizes goals of improving learning (and associated results, such as reducing dropout and repetition).
Information on learning at the level of the school is transparent.
Responsibility for results | Directors have fixed-term appointments, which may not be renewed if improved learning goals are not met.

Literature on SBG/SBM reveals that whilst it may manage to mobilize communities, ensure professional expertise it may or may not lead to enhancement of learning outcomes.
Linking Dimensions, Rationale and Outcomes/Effectiveness Dimensions of SBG

The following table will be distributed among the participants for individual reading first and then facilitator directed collective reading and reinforcement to linkages.

<table>
<thead>
<tr>
<th>Dimensions of SBG</th>
<th>Rationale</th>
<th>Outcome</th>
</tr>
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<tbody>
<tr>
<td>Administrative and Personnel Management</td>
<td>May increase the commitment of school personnel and community support for school. Resources may be used to match school/ students’ needs. Hiring of teachers may ensure implementation of School development Plans. Delivery of Performance report to teachers, parents. Preparation of School calendar</td>
<td>Increase in administrative efficiency Improvement in teachers’ performance Development of school improvement plans More accountability Transfer of administrative and management power to grass root level</td>
</tr>
<tr>
<td>School Effectiveness</td>
<td>- Improvement in teaching learning environment - Provision of physical facilities - Preparation of SDPs</td>
<td>- Skilled and committed teachers - Focus on student learning and achievement - Teaching Aids provided - SDPs implemented</td>
</tr>
<tr>
<td>Community Participation/ Parents' Participation</td>
<td>Parents • Community support for school • Close monitoring • Increase in student/teacher attendance • Higher standards of performance • Accountability</td>
<td>• Development of sense of ownership in the community • Provision of physical facilities and teaching support material • Provision of incentives by the SMC • Continuous professional development and continual process of accountability. • Correlation between parental presence in schools and improved teacher attendance (El Salvador)</td>
</tr>
</tbody>
</table>
**Module IV: School Based Governance**

**Mobilization of Resources/Funds/Budget**
- SBM as a tool for increasing site-based income generation
- Parental involvement in decision making motivates them and they are more willing to donate money, labour and other resources to school such as time to schools.
- Mobilization of local resources

<table>
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<th>Notes</th>
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<tbody>
<tr>
<td>- In Nicaragua, for example, autonomous schools were encouraged to change fees and use them to provide teachers incentive pay and other school improvement purposes.</td>
</tr>
<tr>
<td>- In India parents contribute more time to school construction</td>
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**Policy/Planning**
- SBG may develop its vision policies as per goals set by the community.
- School development programmes will be planned at local level.

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<th>Notes</th>
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<tbody>
<tr>
<td>- School policies as an index of school – community cohesion</td>
</tr>
<tr>
<td>- Preparation of SDP as per need assessment at the grass root level hence proper implementation.</td>
</tr>
<tr>
<td>- Delegation of decision making power to head teacher and stakeholders.</td>
</tr>
</tbody>
</table>

The facilitator will initiated the discussion and bring to the notice of the participants that none of the dimension has an impact in a vacuum. All are interlinked. The major factor which would help bring a change in the system is that there is a sense of conviction among all the stakeholders that the goal of quality education is possible only through provision of:

- Educational, working environment or school climate or culture (reading as handout)
- Trained, committed teachers
- Resources – human, financial, technical
- Decision making power
- Teacher development programs
- School development planning
- Community’s active support and involvement
- Community ownership of school and its programs
- Continuous monitoring and accountability systems at local levels, which are predictable and participatory as a critical part of site based governance
Hand Out 7

School Culture – the Critical Dimension

Organization Culture and School Effectiveness

Every organization has a culture, that history and underlying set of unwritten expectations that shape everything about the school. A school culture influences the ways people think, feel, and act. Being able to understand and shape the culture is key to a school's success in promoting staff and student learning. As Fullan (2001) recently noted, "Reculturing is the name of the game." A school invents and reinvents its culture as a dynamic process.

When a school has a positive, professional culture, one finds meaningful staff development, successful curricular reform, and the effective use of student performance data. In these cultures, staff and student learning thrive. In contrast, a school with a negative or toxic culture that does not value professional learning, resists change, or devalues staff development hinders success. School culture will have either a positive or a detrimental impact on the quality and success of staff development.

School culture is the set of norms, values and beliefs, rituals and ceremonies, symbols and stories that make up the "persona" of the school. These unwritten expectations build up over time as teachers, administrators, parents, and students work together, solve problems, deal with challenges and, at times, cope with failures. For example, every school has a set of expectations about what can be discussed at staff meetings, what constitutes good teaching techniques, how willing the staff is to change, and the importance of staff development (Deal & Peterson, 1999). Schools also have rituals and ceremonies—communal events to celebrate success, to provide closure during collective transitions, and to recognize people's contributions to the school. School cultures also include symbols and stories that communicate core values, reinforce the mission, and build a shared sense of commitment. Symbols are an outward sign of inward values. Stories are group representations of history and meaning. In positive cultures, these features reinforce learning, commitment, and motivation, and they are consistent with the school's vision.

The school's culture either supports or sabotages quality professional learning. Developing and sustaining a positive, professional culture that nurtures staff learning is the task of everyone in the school. With a strong, positive culture that supports professional development and student learning, schools can become places where every teacher makes a difference and every child learns.

Section 3

School development Planning (SDP)

This section covers the following topics.
- SDP as a tool for school effectiveness
- Who participates in SDPs?
- Elements of SDPs and linkages to SBG
- How to prepare a SDP and introduction to concepts on participatory budgeting and tracking?
- Role of PTA/School Councils in management of School Records

Learning Outcomes

1. Understand what is SDP & its importance
2. Identify the areas in which SDP can help achieve the goal of SBG
3. Have knowledge of steps involved in preparing a SDP
4. Prepare a SDP
5. PTAs learn how to manage school records

Activities

4.3.1 Brainstorming on what is a SDP
4.3.2 Which aspects of a school can be improved by a SDP
4.3.3 Elements in successful completion of a SDP
4.3.4 Policy and its linkage with SDP
4.3.5 Prepare a School Development Plan for a specific school
4.3.6 Three short activities on PTA records
School Development Plan (SDP) as a Tool for School Effectiveness

School based Planning: Making School Developing Plans

Facilitating School Development Plans (SDPs) is a key device to engage PTAs/SCs in school improvement and activities aiming at improving quality of education. In many countries of Asia, Latin America, Africa, New Zealand, UK, and USA this activity has been demonstrated to be the most potent social mobilization vehicle. This would require regular and continued visits to government schools to attend PTA/SC meetings to support and organize them. PTAs/SCs can be facilitated in preparing SDPs focusing on infrastructure improvement, participation of children in development interventions through recreational activities and imparting teaching skills to teachers. PTAs/SMCs along with teachers and other community members including formal education committees and elected representatives, identify schools needs and set targets for school performances.

The SDP is used as a tool to organize communities at the grass roots level and to win their genuine support for improvement in quality education. The SDP comprises five components (see diagram below) covering all schools activities approaching quality education targets. These plans are target oriented reflecting schools’ needs and their performance. Facilitating SDPs is helpful in monitoring and evaluating school performance. SDP has been seen as a vehicle in maintaining interest of SMC / PTA throughout the academic year.

---

**School Development Planning** …
is an ongoing process that helps schools as complex communities to meet the
dual challenge of enhancing quality and managing change.

**The School Plan** …
is the product of that process. It serves as a reference document that guides
the activities of the school and facilitates monitoring and self-evaluation.

**The Desired Outcome** …
of process and product is the provision of an enhanced education service,
relevant to pupils’ needs, through the promotion of high quality teaching and
learning, the professional empowerment of teachers, and the effective
management of innovation and change.
**A Process**

School Development Planning is a process undertaken by the school community to give direction to the work of the school in order to ensure that all pupils receive a quality education in terms of both holistic development and academic achievement.

The process is based on a number of presuppositions:

1. The quality of a school’s education provision is the product of a complex interaction of factors, which must be planned for in a co-ordinated way;
2. As education is a partnership enterprise, quality planning should involve input from all the partners in the school community;
3. The quality of a school’s education provision is rooted in the expertise and commitment of the principal and teaching staff. Therefore:
   - The key agents in the process are the principal and teachers, whose partnership in planning is the cornerstone of effective school development.
   - A key focus of the process is on supporting and empowering the principal and teachers in their work by providing for their professional needs in terms of working environment and professional development. These presuppositions help to determine the characteristics of the school development planning process.

The School Development Planning Process is:

- **Systematic**
  It involves a systematic approach to the planning work that is already being done in schools: it co-ordinates and integrates piecemeal planning activities into the coherent structure of an overall plan.

- **Collaborative**
  It is essentially a collaborative process that draws the whole school community together in shaping the school’s future. While it depends largely on the collaboration of the principal and the teaching staff, it should also include appropriate consultation with all key stakeholders in the school community: Patron/Trustees*, Board of Management, support staff, parents, pupils, local community, and the Department of Education and Science.

- **Ongoing**
  It is an ongoing process, rooted in a school culture of systematic self-review, in which policies and plans are continuously developed, implemented, evaluated and revised in the light of the school’s fundamental aims and the changing needs of its community.

- **Progressive**
  It is a cyclical process that yields cumulative and progressive results. Each planning cycle builds on the outcomes of the previous cycle.

- **Enhancing**
  School Development Planning is a means, not an end – a means of enhancing the quality of educational experience in the school through the successful management of innovation.
and change. Accordingly, the process is sharply focused on the educational needs and achievements of the pupils and concomitantly on the professional development and empowerment of the teachers. Finally, as every school is unique, the operation of the planning process will vary considerably from school to school. The School Development Planning process is flexible. It is not a set of rules to be followed blindly but a framework for collaborative creativity. Each school must adapt the framework to suit its own particular circumstances.

The fundamental purpose of School Development Planning is to enable the school to achieve and maintain the highest possible level of effectiveness in meeting the educational needs of its pupils in a culture that is characterized by change.

School Development Planning promotes:

- **School Effectiveness**
  Internationally, there is widespread acceptance among educationalists that collaborative School Development Planning is a powerful means of promoting school effectiveness. It enables the school community to develop a clear vision of what the school is about and where it is going, a shared sense of purpose, a common set of goals, and consensus on the means of attaining them. It constitutes the school as a learning organisation that focuses on meeting the professional needs of teachers in order to meet the educational needs of pupils.

- **School Improvement**
  School Development Planning is a continuous improvement strategy. It provides a mechanism for systematic self-evaluation that enables the school community to review its progress, identify priorities, and prepare plans for further improvement.

- **Quality Enhancement**
  School Development Planning directs the attention and energy of the school community in a systematic way on the central task of the school: the provision of a quality education that is appropriate to the abilities and needs of all its pupils. It focuses on enhancing the quality of teaching and learning through collaborative action.

- **Staff Development**
  School Development Planning enhances the professional role of teachers and promotes their professional development. It helps to ensure that teachers:

  a) Are empowered to contribute decisively to the development of the school.
  b) Are enabled to exercise a greater degree of ownership over the central issues that influence their work, thereby enhancing their sense of being in control of events.
  c) Are offered opportunities to engage in collaborative policy-making, planning and teamwork and to participate in the leadership and management of development work.
  d) Are involved in the identification of their own professional development needs and the specification of provision to meet those needs.
  e) Are enabled to extend their professional skills.
  f) Are encouraged to reflect on and learn from their professional experiences.
  g) Are affirmed and supported in their work through the creation of an ethos of collegiality and co-operation.
Module IV: School Based Governance

- **Partnership**
  School Development Planning promotes partnership in the school’s development by engaging the major parties in the school community—principal, teachers, parents, pupils, PTAs/SMCs or Boards—in a collaborative dialogue focused on identifying and responding to emerging educational needs. Participation in this dialogue fosters the partners’ commitment to and ownership of school policy.

- **Effective Deployment of Available Resources**
  Formalised School Development Planning enables the school to specify resource requirements and to target available resources towards meeting priority needs.

- **Management of Change**
  School Development Planning helps the school community to manage change effectively by enabling it to control the pace and direction of internal change and to build a capacity to respond rapidly to new challenges.

- **Furtherance of Aims and Priorities of National Education System**
  School Development Planning provides a structure that enables the school community to subscribe to the stated aims of the national education system and to incorporate national education priorities into the work of the school. There are many models of the School Development Planning process. Each school community will decide on the model that is best suited to its own particular circumstances.

The following basic generic framework can assist schools in the development of their own customised models within their specific country and local contexts. It outlines the key operations that will form part of every planning model.
Activity 4.3.1  Brainstorming on “What is SDP?”

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<tbody>
<tr>
<td><strong>Duration</strong></td>
<td>15 Minutes</td>
</tr>
<tr>
<td><strong>Undertaken By</strong></td>
<td>All participants</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>charts and markers</td>
</tr>
</tbody>
</table>

**Methodology**
Participatory approach i.e. brainstorming with the whole group and the facilitator notes down responses systematically.

**Possible Responses**

Participants may respond in the following manner:
- Any planning which is meant for school development.
- School improvement plan.
- SDP is prepared to improve school’s physical conditions.
- Planning to solve school’s problems.
- Students’ achievement level can be enhanced through SDP.
- A plan for a school illustrating its mission, do’s and dont’s and directions.
- Head teacher along with PTA/SMC is responsible for proper implementation of SDP.
- Teachers and students should be involved in implementation.
- Change in education system can be brought if the community participates in SDP.
- Community needs should be assessed before preparing an SDP.
- SDP is a tool for effective implementation of SBG.
The Participants in School Development Planning

School Development Planning is essentially a collaborative process that draws the whole school community together in shaping the school’s future. Accordingly, it requires the appropriate involvement of all the key stakeholders: SMCs/PTAs/ Board of Management, Head Teacher /Principal, teaching staff, support staff, parents, students, and local community.

SMCs/PTAs /Board
SMCs/PTAs have a particular responsibility for the ethos and status of the school and for matters requiring capital and or development expenditure. Accordingly, they must be consulted on topics that pertain to these issues. It is the responsibility of the PTA to seek approval of the members of needs identified to address in the planning process. In many developing countries there is normally one council to address governance issues and this is not separated by two separate governing bodies such as Trustees and a Governing Board as in the western countries of UK, Ireland etc. The PTAs/SMCs are to also arrange for the preparation of the school plan, and to ensure that it is regularly reviewed and updated. Accordingly, they must ensure that the planning is done. Most of the work involved will be delegated to the head teacher and teaching staff, who will keep the PTA informed on progress. PTAs/SMCs often have statutory and legal responsibilities and on aspects of the plan that have a significant financial dimension, and it may wish to highlight particular issues as planning priorities. The Board may participate directly in the planning process through its establishment of or representation on planning teams.

The Head Teacher /Principal
The Head Teacher plays a prominent role in the leadership and management of the planning process. Some of the responsibilities are shared with the PTA/SMC/ Board of Management. Some aspects may be delegated to members of the teaching staff through the in-school management structure or through the establishment of planning teams. The Head teacher has a responsibility, under the direction of the PTA /SMC/Board, with the collaboration of the in-school management team and the teaching staff, for

- the initiation of the planning process,
- the creation of a climate conducive to collaboration,
- the motivation of the staff,
- the establishment of the planning infrastructure,
- the organisation of activities and resources,
- the arrangement of consultation, communication and approval procedures,
- the management of the plan’s implementation and evaluation.

The Teaching Staff
The whole-hearted participation of the teaching staff is crucial to the success of the planning process:

- The whole staff should be actively involved in the clarification of the school’s mission, vision and aims, in the review of the school’s current situation, and in the establishment of development priorities. The process should be designed to enable all members of staff to participate in discussion and decision-making.
A Steering Group of staff may be established to oversee the process as a whole. A Steering Group could be constituted in a number of ways: for instance, it could be drawn largely from the in-school management team, or it could be established on a broadly representative basis, to include a range of interests and skills. Ad hoc staff teams may be established to undertake tasks related to review, design, implementation or evaluation. Such teams represent one possible model of staff participation in development planning. Ideally they should be constituted on the basis of interest and expertise. They provide a professional peer support structure within which teachers can share ideas, work collaboratively, and learn from each other. Accordingly, they can play a major role in the process of staff development for school improvement. Over a period of time, every teacher should have the opportunity to become involved in the work of an ad-hoc team.

Some schools may wish to integrate ad-hoc teams with the in-school management structure by appointing members of the in-school management team as ad-hoc team convenors.

It is essential that the full staff be kept informed of the work of all teams and that the draft plan be agreed by the full staff prior to its implementation. The Guidelines will offer suggestions concerning staff structures for School Development Planning.

The Support Staff
It is advisable that the support staff be consulted during the review process on aspects of school life that are relevant to their work. They should also be kept informed of the school’s development plans.

Parents
It is important that parents are involved in the planning process. Through their representation on the Board of Management and through the Parents’ Association, where one has been established, parents can readily be consulted in the clarification of the school’s mission, vision and aims, the review of the school’s current reality, the establishment of priorities, and the development of policies on issues such as discipline or homework. All parents should be kept informed of relevant outcomes of the planning process.

Students
The commitment to the Convention on the Rights of The child by member states of UNESCO provides for consultation with students in the preparation of the school plan. The review procedure may include a Students’ Questionnaire or a Group Discussion of representatives to ascertain the views of a representative sample of students on aspects of school life. Where a Students’ Council has been established mostly in senior schools, it can be consulted in the preparation of aspects of the school plan and can be invited to participate in the dissemination of relevant sections of the school plan to the student body. Students should be kept informed of relevant outcomes of the planning process.

Local Community
The local community can be involved in the planning process in a number of ways. The review process includes a consideration of local context factors that impinge on the school, and this might necessitate a survey of the local community to establish views, requirements, or opportunities. Representatives of the local community could be asked to
participate in planning joint school-community projects. The school could draw on the expertise of relevant members of the local community in planning to address particular issues. In many places, the local community is already involved in a range of specific programmes.

The Role of the Department of Education

The core functions of the Department of Education in decentralized systems includes strategic planning and policy formulation for the system as a whole, budgeting and the allocation of resources. Thus, the Department plays a major role in establishing the context within which individual school development planning takes place, in terms of national aims and priorities, curriculum development and implementation, and the availability of resources for implementation. Advice and support may be sought from the named education field manager for each school or from supervisors /managers with responsibility for the various subject areas. The Department also promotes quality enhancement through the provision it makes for curriculum and other support services and for the in-career development of teachers.
The basic framework is a planning cycle that revolves around a central core.

- The Core consists of the school’s mission, vision and fundamental aims.
- The Planning Cycle comprises four key operations: review, design, implementation and evaluation.

The SDP comprises five components:

- A. School/Vision Mission
- B. Review
- C. Design
- D. Implementation Targets
- E. Evaluation
The process can be represented diagrammatically as follows:

*Basic Framework of School Development Planning Process*

![Diagram](image)

The School Development Planning process often begins with the Core: the formulation of Mission, Vision and Aims. Some schools, however, find it more helpful to begin with the Review and to allow their understanding of their mission, vision and aims to become enriched and clarified through participation in the planning process, and in particular through reflection on the local, national and international context factors that will influence the shaping of the school’s future.

**The Core: Mission, Vision, Fundamental Aims**

The school’s statement of its mission, vision and fundamental aims articulates why the school exists, what it wants to create, and what it considers to be the fundamental purpose of education. The statement is a response to the question, “What are we really about in this school?”

**Mission** can be defined as a general statement of the overall raison d’être of the school. It should be brief enough to be memorable and challenging enough to make one think.

**Vision** can be defined as a statement of the desired future of the school, of how it wants and needs to be. It beckons towards betterment.

The terms **Mission** and **Vision** are often used interchangeably in the literature. The school community need not worry unduly about the distinctions. The key considerations are:

- The mission and vision of a school cannot be simply handed on from one group to another. They must be developed and clarified through a process of shared reflection on the values, beliefs and aspirations of the school community.
- The formulation of mission and vision should address the following questions:
  - Whom does the school serve?
  - What service does the school provide?
  - How is that service provided?
  - What are the key ideals, beliefs and values that the school stands for?
**Aims** can be defined as broad statements of the educational goals that the school seeks to attain. They flow from the mission and vision. In general, they will relate to the promotion by the school of the intellectual, physical, social, personal, spiritual, moral and aesthetic development of all its pupils.

The function of the statement of Mission, Vision and Aims is:

- To give a clear sense of direction to the work of the school
- To inspire the school community with a common sense of purpose
- To provide a framework from which policies and priorities can be derived
- To establish a reference point against which the school can evaluate the success of its activities

**The Planning Cycle**
The Planning Cycle can be structured around a number of key questions, which can be related to the key operations:

**School Development Planning Operations**

<table>
<thead>
<tr>
<th>Question</th>
<th>Key Planning Operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Where in the school now?</td>
<td>Review the current situation</td>
</tr>
<tr>
<td>Where do we want the school to be at the end of the planning cycle?</td>
<td>Identify priorities for development</td>
</tr>
<tr>
<td></td>
<td>Specify goals</td>
</tr>
<tr>
<td>How will we get there?</td>
<td>Specify targets/objectives</td>
</tr>
<tr>
<td></td>
<td>Design detailed action plans</td>
</tr>
<tr>
<td></td>
<td>Implement the action plans</td>
</tr>
<tr>
<td>How will we check whether we are getting there?</td>
<td>Monitor the implementation</td>
</tr>
<tr>
<td>How will we know if we have got there?</td>
<td>Evaluate the implementation</td>
</tr>
</tbody>
</table>

**Timeframe**
The time-frame for the completion of the Planning Cycle as a whole – review, design, implementation and evaluation – will vary from school to school. It is envisaged, however, that a time-frame in the range from three to five years would be appropriate for most schools in which there could be several or as many SDPs.
1. **REVIEW**

The purpose of the review is twofold:

(i) **Description:** to compile a comprehensive account of the school’s current situation with a view to:
   - Heightening the awareness of the school community of how and why the school functions and of the context in which it operates.
   - Providing data for analysis as a basis for decision-making.

(ii) **Analysis:** to establish the school’s internal strengths and challenges and the opportunities and threats presented by its external environment, with a view to:
   - Identifying needs that must be addressed.
   - Identifying factors that must be taken into account in planning for the development of the school.
   - Prioritizing areas for development.

### Areas for Review

There are many ways of classifying the various aspects of the school for the purposes of review. The following table offers one possible categorization:

<table>
<thead>
<tr>
<th>Review Areas</th>
<th>Content Factors</th>
<th>Curriculum</th>
<th>Care and Management of Pupils</th>
<th>Staff Organisation and Development</th>
<th>School Home Community Links</th>
<th>School Management and administrate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission, Vision, Aims</td>
<td>School</td>
<td>Provision</td>
<td>Pastoral Care and Personal Development</td>
<td>Deployment</td>
<td>Relations with Parents</td>
<td>IN-School Management Structure</td>
</tr>
<tr>
<td></td>
<td>Local</td>
<td>Planning and Co-ordination</td>
<td>Health, Safety and Welfare</td>
<td>Empowerment</td>
<td>Parents Council</td>
<td>Organisational Climate</td>
</tr>
<tr>
<td></td>
<td>National</td>
<td>Implementation: Teaching and Learning Processes</td>
<td>Discipline</td>
<td>Health, Safety and Welfare</td>
<td>Relations with Local Community</td>
<td>Monitoring and Evaluation Procedures</td>
</tr>
<tr>
<td></td>
<td>International</td>
<td></td>
<td></td>
<td>Professional Development</td>
<td></td>
<td>Management of Finance, Plant and Resources</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Routine Administration</td>
</tr>
</tbody>
</table>
Elaboration on components of each area is given below:

- Mission, Vision, Aims
- Context Factors: School
  - Local
  - National
  - International

**Curriculum: Provision**
Planning and Co-ordination
Implementation: Teaching and Learning Processes
Outcomes: Pupil Progress and Attainment Levels

**Care and Management Pastoral Care and Personal Development**
Pupils: Health, Safety and Welfare
Discipline

**Staff Organisation and Deployment**
Development: Empowerment
Health, Safety and Welfare
Professional Development

**School-Home- Relations with Parents**
Community Links: Parents’ Council
Relations with Local Community

**School Management In-School Management Structure**
and administration: Organisational Climate
Monitoring and Evaluation Procedures
Management of Finance, Plant and Resources
Routine Administration

**Scope of the Review**
A full-scale in-depth review of all aspects of school life is a major undertaking. **It is not necessary to complete such a review** before commencing on the planning process proper. The school may find it more manageable to conduct an **Initial Review** to identify a **small number** of key areas that would benefit from an immediate **Specific Review**. The school can then plan a **Schedule of Specific Reviews** so that all areas of school life are reviewed over a defined period of time. The frame of reference for all reviews is constituted by the school’s mission, vision and aims and by the context factors that impinge on its development.

**Review Instruments**
The Review should be designed to establish (a) the facts, and (b) the views of the school community, in relation to the areas of school life that are under review, to ensure that the process results in a realistic assessment of the school’s development needs. The choice and design of review instruments will be determined by these considerations.
Review instruments include:
- Surveys of relevant data already in the school: for example, attendance
- Records, drop-out rates, examination results, and existing documentation in relation to policies and practices
- Questionnaires or focused group discussion, brainstorming with stakeholders
- Interviews
- Checklists
- SCOT (Strengths, Challenges, Opportunities, Threats) Analysis Forms
- Evaluation Grids

Outcome of the Review: Identification of Needs
The outcome of the review is the identification of a number of school needs that should be addressed and a number of possibilities for development.

Prioritisation
The school’s resources of personnel, expertise, energy, time and money are limited. Accordingly, the needs and possibilities must then be prioritized in terms of:
- their importance to the development of the school, in the light of all the context factors;
- the current capacity of the school to address them;
- the current commitment of the school to dealing with them.

In selecting priorities, it is important to be mindful of the need to achieve an appropriate balance between maintenance and development. Continuity with past and present practices must be maintained to provide the stability that is the foundation of new developments. Reforms do not necessarily change everything. Consideration must be given to the amount of development work that the school has the capacity to sustain. Development planning must accommodate the consolidation of past change, the introduction of current change and preparation for future change.

Where a school is undertaking formalised whole school planning for the first time, priorities to be addressed in the first planning cycle may include the development of an appropriate planning infrastructure:
- Establishing structures for delegation, collaboration, consultation, and communication
- Designing a customised model of the school development planning process
- Devising systematic procedures for monitoring and evaluation
- Clarifying the school’s mission, vision and aims
- Documenting the school’s policies in key areas
<table>
<thead>
<tr>
<th>Activity 4.3.2</th>
<th>What Strategies/Measures can a Head Teacher or Supervisor Adopt to Assess the Needs of Students, Staff and Community?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Duration</strong></td>
<td>20 minutes</td>
</tr>
<tr>
<td><strong>Undertaken By</strong></td>
<td>Brainstorming in plenary or the larger group</td>
</tr>
<tr>
<td><strong>Materials Required</strong></td>
<td>chart paper/markers</td>
</tr>
</tbody>
</table>

**Expected Responses:**

- Classroom observation
- Students’ results
- Questionnaires
- Staff appraisal
- Meeting with class monitors
- Staff supervision
- Staff meeting
- Parent-teacher and SMC meetings
- Meetings with local community sub-groups
### 2. DESIGN

The Design stage encompasses designing the structure of the overall school plan, devising action plans to address the priorities, and drafting and compiling the component sections of the plan so that it can be communicated to the whole staff and presented to the Board of Management for approval.

**Action Planning**
In the Design stage, the priorities identified in the Review are translated into specific objectives or targets, and Action Plans are designed to achieve those objectives.

<table>
<thead>
<tr>
<th>Step 1: What do we want to achieve?</th>
<th>Define the Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objectives should be SMART: Specific, Measurable/Monitorable, Achievable, Realistic, Timed.</td>
<td></td>
</tr>
</tbody>
</table>

That is, they should be precise enough to indicate the results required. They should be measurable or monitorable so that progress can be gauged. They should be achievable within the limitations of the school’s circumstances. They should be based on realistic assumptions about human behaviour, the nature of organisations, and eventualities. They should indicate the time frame within which they are to be achieved.

<table>
<thead>
<tr>
<th>Step 2: What could we do to achieve it?</th>
<th>Identify possible courses of action</th>
</tr>
</thead>
<tbody>
<tr>
<td>It is important to explore the available options in order to identify the one that will best achieve the objectives.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 3: How will we achieve it?</th>
<th>Choose and specify a course of action</th>
</tr>
</thead>
<tbody>
<tr>
<td>At this stage, the focus is on identifying exactly what is to be done. A course of action is chosen. Tasks within it are clearly defined and the order in which they are to be addressed is specified.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 4: What resources will we need?</th>
<th>Identify resource requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>The resource implications of the chosen course of action are identified with a view to specifying precisely the human, organisational and physical resources required to implement the plan.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 5: Is our action plan workable?</th>
<th>Review the plan/Revise if necessary</th>
</tr>
</thead>
<tbody>
<tr>
<td>It can be helpful at this interim point to consider whether the chosen course of action is capable of being implemented in the school, especially in the light of the resource requirements, and whether it is likely to bring about the attainment of the objectives.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 6: Who will implement it?</th>
<th>Assign remits and responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each task within the specified course of action is assigned to an individual or group within the school so that it is clear who is responsible for what.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 7: When will it be implemented?</th>
<th>Establish a time-scale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Schedules and deadlines are established to give momentum to the work of implementation, thus facilitating progress.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step 8: How will we know if it has worked?</th>
<th>Identify criteria for success Specify monitoring and evaluation process</th>
</tr>
</thead>
<tbody>
<tr>
<td>It is important to identify the criteria by which progress will be judged. These criteria will facilitate monitoring during the implementation period and evaluation at the end of it.</td>
<td></td>
</tr>
</tbody>
</table>
### Step 1: What do we want to achieve? Define the objective.

Objectives should be SMART: Specific, Measurable/Monitorable, Achievable, Realistic, Timed. That is, they should be precise enough to indicate the results required. They should be measurable or monitorable so that progress can be gauged. They should be achievable within the limitations of the school’s circumstances. They should be based on realistic assumptions about human behavior, the nature of organizations, and eventualities. They should indicate the time frame within which they are to be achieved.

### Step 2: What could we do to achieve it? Identify possible courses of action.

It is important to explore the available options in order to identify the one that will best achieve the objectives.

### Step 3: How will we achieve it? Choose and specify a course of action.

At this stage, the focus is on identifying exactly what is to be done. A course of action is chosen. Tasks within it are clearly defined and the order in which they are to be addressed is specified.

### Step 4: What resources will we need? Identify resource requirements.

The resource implications of the chosen course of action are identified with a view to specifying precisely the human, organizational and physical resources required to implement the plan.

**Infrastructure & Development Needs**

**Minor infrastructure projects:** SMC/ PTA will implement minor infrastructure projects utilizing District Government funds and community contribution. Projects may include repairs & maintenance of rooms, toilet, drinking water supply, electricity connection, boundary wall, provision of furniture & fixtures.

**Major infrastructure projects:** District Governments will be responsible to implement major infrastructure projects that may include construction of new rooms, major repair of dangerous buildings, science lab, provision of computer equipment and any other requirements categorized under this head

**Educational aids:** May include education kits, display material/ models, blackboards, art material, classroom decoration material etc

**Teacher training:** District Government to arrange for appropriate teacher training programs

**Children activities:** CSO and PTA/ SC will undertake these activities
Step 5: Is our action plan workable? Review the plan/revise if necessary.

It can be helpful at this interim point to consider whether the chosen course of action is capable of being implemented in the school, especially in the light of the resource requirements, and whether it is likely to bring about the attainment of the objectives.

Step 6: Who will implement it? Assign remits and responsibilities.

Each task within the specified course of action is assigned to an individual or group within the school so that it is clear who is responsible for what.

Step 7: When will it be implemented? Establish a time-scale.

Schedules and deadlines are established to give momentum to the work of implementation, thus facilitating progress.

Step 8: How will it be monitored and against which criteria?

Specify monitoring and evaluation process
It is important to identify the criteria by which progress will be judged. These criteria will facilitate monitoring during the implementation period and evaluation at the end of it. This planning sequence can be applied to the design and production of the school.

Outcome of design process: the draft school plan
The outcome of the design process is the draft school plan, a key component of which is a set of action plans related to the development priorities identified in the review process. These plans specify:
- What targets are to be attained;
- Who will do what, when, and with what resources, to attain them;
- What will be done to ascertain how well they are attained.

Further information on the design process will be given in the Guidelines. The Draft School Plan must be submitted to the staff and approved by the PTA/SMC or Management prior to implementation. It is important that the school community be kept informed to ensure the maintenance of a positive, supportive climate for the implementation.

Plan document itself.

Activity Schedule
An activity schedule sometimes also referred to as an annual workplan is important as this clearly lays out when, the specific targets are to be achieved and who is primarily responsible for them.
Activity 4.3.3 | Steps Involved in the Successful Completion

<table>
<thead>
<tr>
<th>Duration</th>
<th>20 Minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Whole group of participants... brainstorming</td>
</tr>
<tr>
<td>Materials Required</td>
<td>flip charts and markers</td>
</tr>
</tbody>
</table>

Methodology

Brainstorm with the whole group on what steps are involved in the successful completion of SDP.

The facilitator would make it clear that no school development programme can be effective unless it caters to the needs of children who are the central figure in the school. Knowledge of their physiological, development and academic needs is essential. Assessment of their needs will naturally lead to the assessment of teachers’ needs. Because if students in a particular class are not doing well, then question may arise that where the fault lies? Whether the teaching methodology or the academic background of the teacher needs improvement?

Needs assessment should therefore be the first step in this cycle of school improvement. This cycle is to be seen as a repetitive and iterative one setting new goal posts at every review of implementation to incorporate new areas which need to be addressed.

Expected Responses

- Planning at grass root level
- Exploration of resources
- Mobilization of resources
- Implementation of plan
- Monitoring & evaluation
Activity 4.3.4 | School Development Planning – Priorities

<table>
<thead>
<tr>
<th>Duration</th>
<th>60 minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Groups with a mixed membership of planners, practitioners and end users</td>
</tr>
<tr>
<td>Materials Required</td>
<td>chart papers/flip charts for each group and coloured markers</td>
</tr>
</tbody>
</table>

**Methodology**

In sub-groups of five, discuss which aspects of school can be improved through SDP. After the sub groups have made their presentations, whole group discussion will take place to identify the areas SDP may encompass.

The facilitator would sum up the discussion by pointing out that as SBG aims at enhancing School effectiveness, hence all the factors that contribute towards school effectiveness, may be addressed in SDPs. In order to reap the benefits of SBG it is essential that the Headteacher has a clear knowledge of these factors.

Following handouts will be provided to them to read and discuss in sub groups the factors and characteristics of a good/well – run school.

**Expected Responses**

- Provision of Physical facilities
- General Administration
- Close relationship with community – effective communication
- Shortage of teachers
- Poor enrolment
- Construction of boundary wall
- Provision of A.V. Aids
- Provision of library books
- Improvement in teaching methodology
- Problem of absenteeism of teachers and students
- Shortage of funds
- Low achievement of students
- Provision of lab equipment
- Provision of furniture
- Weak/Gifted students
- Co-curricular Activities
3. IMPLEMENTATION

During the implementation process, the tasks specified in the action plan are carried out. It is important to establish structures and procedures whereby teachers involved can be supported in their work. Such support might include:

- The encouragement, affirmation, or advice of colleagues;
- Administrative or practical assistance;
- Advice from an education expert or people with relevant expertise—the Support Teams for specific programmes are a valuable source of advice;
- Training in relevant skills;
- Contact with other schools involved in similar projects.

Monitoring

Constructive monitoring, or formative evaluation, facilitates effective implementation. It is a way of discovering if the plan is working and of assessing how well it is working, so that corrective action can be taken as soon as it becomes necessary. Thus, it can prevent waste of time and effort. Monitoring procedures can include:

- Review meetings (full staff or small groups) to discuss progress in the light of the success criteria, highlight difficulties, suggest approaches to problems
- Informal discussion or more formal interviews with participants or stakeholders to get feedback on the continuing appropriateness of targets, tasks, remits, resource-specifications and time-scales
- Observation by outsiders with relevant expertise or concerned citizens
- Use of formal review instruments at specified stages within the time-scale of the plan

Monitoring can lead to the adjustment of any aspect of the action plan.

4. EVALUATION

Self-evaluation is the key to ongoing improvement. At the end of the planning cycle, it is important that the school community evaluate the success of the implementation in attaining the targets and addressing the school's development needs.

The evaluation process reviews the extent to which it has been possible to achieve the objectives that were specified in each Action Plan or project: fully, partly, or not to any significant extent. The outcome of the evaluation feeds in to the next planning cycle.

- Projects that were successfully completed may be consolidated and integrated into school life.
- Projects whose objectives were partly achieved may be continued into the next cycle, perhaps with modifications arising from the identification of difficulties and barriers to success.
- Projects whose objectives were not achieved to any significant extent may be radically revised, or may be replaced by new projects with a better prospect of addressing the particular development priorities.
The self-evaluation process takes account of the experience of all those involved in the implementation. It is concerned with the collection of evidence in relation to the success criteria with a view to drawing conclusions and making recommendations.

Evidence can be gathered from:
- Questionnaires
- Documents and records
- Discussions
- Interviews
- Pupils’ work
- Observation
- Independent evaluation reports

Each Action Plan is evaluated in the light of the evidence, conclusions are drawn about its success, and recommendations are made in relation to future action.

The planning process then proceeds to the next cycle. Drawing on the outcomes of the evaluation that has just been completed, the school community once again reviews its operations to identify priority issues, designs and implements action plans to address these issues, and evaluates the implementation to guide the ongoing development of the school.
**Activity 4.3.5 | Making a School Development Plan**

<table>
<thead>
<tr>
<th>Duration</th>
<th>3 Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undertaken By</td>
<td>Same group as in Activity 4.3.3.</td>
</tr>
<tr>
<td>Materials Required</td>
<td>charts (at least 6 per group) and markers</td>
</tr>
</tbody>
</table>

**Methodology**

Prepare a School Development for your school as per your priorities.

This is a group activity so that each participant prepares a workable SDP according to his/her needs and priorities in one of the Key areas.

Format for making School Development Plan is enclosed (annex XII).
School Development Plan

Name of the school: _______________________________________________________

Name of the head teacher: ___________________________ Tel: __________

EMIS Code: ___ City/Town/Village: _______ Cluster Council:____ Cluster #: ___

Mayor /Head of Cluster: _________________ Education Supervisor/ AEO _________

Center School Name: _____________________________________________________

Vision/ Objective of the School:

1. _______________________________________________________________________
2. _______________________________________________________________________
3. _______________________________________________________________________
4. _______________________________________________________________________

Norms of the School:

1. _______________________________________________________________________
2. _______________________________________________________________________
3. _______________________________________________________________________
4. _______________________________________________________________________
5. _______________________________________________________________________ 

Targets:

1. _______________________________________________________________________
2. _______________________________________________________________________
3. _______________________________________________________________________
4. _______________________________________________________________________
5. _______________________________________________________________________
### Development Needs

<table>
<thead>
<tr>
<th>S. #</th>
<th>Needs</th>
<th>Qty</th>
<th>Estimate</th>
<th>Collaboration / Participation</th>
<th>Duration</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SMC Grant</td>
<td>Community</td>
<td>D.G</td>
</tr>
<tr>
<td>1</td>
<td>Learning Material</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Human Resources</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Trainings</td>
<td>3</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>4</td>
<td>Literacy</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Laboratory</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Sports Equipments</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

D.G. – District Government,  
SMC – School Management Committee,  
M.T. – Mid Term (6 Months to 1 Year),  
S.T. – Short Term (6 Months)  
L.T. – Long Term (1 Year plan)

### Physical Needs

<table>
<thead>
<tr>
<th>S. #</th>
<th>Needs</th>
<th>Qty</th>
<th>Estimate</th>
<th>Collaboration / Participation</th>
<th>Duration</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SMC Grant</td>
<td>Community</td>
<td>D.G</td>
</tr>
<tr>
<td>1</td>
<td>Rooms</td>
<td>1</td>
<td>Repair</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>New Construction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Latrine</td>
<td>2</td>
<td>Repair</td>
<td></td>
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<td>New Construction</td>
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</table>

D.G. – District Government,  
SMC – School Management Committee,  
M.T. – Mid Term (6 Months to 1 Year),  
S.T. – Short Term (6 Months)  
L.T. – Long Term (1 Year plan)
SDP Implementation
Proposal of the Project

Name of the school: ____________________________________________________________

Name of the head teacher: ________________________ Tel: ________________________

City/Town/Village: ________________________ Cluster: ________________

Mayor: ________________ Center School Name: ________________________________

<table>
<thead>
<tr>
<th>Sr. #</th>
<th>Need</th>
<th>Estimate</th>
<th>Duration</th>
<th>Remarks</th>
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Community Participation | School Council Grant | Total Budget
--------------------------------------------------------------------------------------------------

Supervisory Committee
1. ________________________ 2. ____________________________________
3. ________________________ 4. ____________________________________
5. ________________________

Members of School Council

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
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<tbody>
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</table>

Signature  Head Teacher  Assistant Education Officer
### SDP Implementation

*Project Completion Report*

Name of the head teacher: ___________________________ Tel: _______________

City/Town/Village: ____________ Cluster #: __________

Center/ School Name: _______________________

<table>
<thead>
<tr>
<th>Sr. #</th>
<th>Recommend Need</th>
<th>Completion of Work</th>
<th>Expenditure</th>
<th>Remarks</th>
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<table>
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<tr>
<th>Community Participation</th>
<th>School Council Grant</th>
<th>Other</th>
<th>Total Budget</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

**Supervisory Committee**

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
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<tbody>
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<td>1.</td>
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<td>5.</td>
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</tbody>
</table>

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Signature

Head Teacher

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International Training Manual on Educational Governance
Formats of SDP will be distributed amongst the groups for discussion and unanimous approval by the participants.

Infrastructure Improvement Proposals
Once a School Development Plan is prepared, the SMC/PTA members organize a meeting for need prioritization considering the most effective interventions and available resources. After prioritization, they make proposals with accurate cost and resource estimation. A Supervisory Committee is selected to ensure that the proposal can be implemented in a satisfactory manner. The proposal is to be submitted according to that local district’s or country’s procedures. The proposal is approved by the concerned authorized cluster/sub-district education officer, after which, actual work can be started. The notified Supervisory Committee is responsible for procurements, quality of work, and maintaining accounts. The committee and SMC/PTA may be supported by partner civil society organizations in managing the implementation work. After the proposal implementation, a Project Completion Report is filled up and complete documentation is maintained for audit purposes.

School Development Planning & Participatory Budgeting
Participatory planning is closely linked to budgeting as reflected in the SDPs. School Management Committees have a key role to play. Participatory budgeting is a process in which stakeholders debate, analyze, prioritize, and monitor decisions about public expenditures and investments. However, for SBB to emerge it requires core administrative and financial procedures to be shifted and aligned to school based systems and devolved authorities. This is a policy shift and evidence of the policy must be available in reliable notifications pertaining to administrative authorities, finance and audit systems.

Stakeholders in the case of the school are the PTAs/Boards/SMCs as well as locally elected representatives. Participatory budgeting and tracking can occur in three different stages of public expenditure management:

- **Budget formulation and analysis:** PTAs participate in allocating budgets according to priorities they have identified through the diagnostic journey when preparing SDPs; formulate alternate budgets; or assess proposed allocations in relation to a government’s policy commitments and stated concerns and objectives.
- **Expenditure monitoring and tracking:** PTAs track whether local government/district school spending is consistent with allocations made in the budget and track the flow of funds to the agencies responsible for the delivery of goods and services.
- **Monitoring of public service delivery:** PTAs and general body of parents and other community members as citizens monitor the quality of education services provided by government in relation to expenditures made for these goods and services, a process similar to citizen report cards or scorecards as was shared earlier for Bangalore in Module II.

In several countries where school based budgeting is in vogue, each school has been notified to paste its school budget prominently in the school so that parents and local stakeholders can see what funds have been allocated, received and how they are being spent.
Increased participation in budgeting can lead to the formulation of and investment in pro-poor policies, greater societal consensus, and support for difficult policy reforms. Experiences with participatory budgeting have shown positive links between participation, sound macroeconomic policies, and more effective government. Participatory budgeting processes have been utilized in a number of different countries, including Ireland, Canada, India, Uganda, Brazil, and South Africa. Three examples of participatory budgeting—in Ireland, Porto Alegre, Brazil, and South Africa—are available on the following website: [http://www.worldbank.org/poverty/empowerment/toolsprac/tool06.pdf](http://www.worldbank.org/poverty/empowerment/toolsprac/tool06.pdf)

**Site Based Governance - Financial Skills Required School based budgeting**

- Concepts of need-based budgeting;
- Headteachers/Teachers/SMCs/Local Councillors /Local Boards need skills to deal with funds-utilization procedure and audit;
- Access to information on budgeting processes, types of grants (local, provincial and federal) available for education;
- Developing projects/proposals for grants;
- Procedures for community financing/ contributions and counting the full costs;
- Making and reviewing an Annual School Development Plan (SDP).

School based budgeting and SDPs are naturally linked to each other. SDP is of little value if SBB and School based disbursal of resources do not accompany the exercise. Education Departments, in countries where financial authorities are not devolved, must be in a position to extend a phased disbursal of resources to the school level. Issues of capacity to absorb enhanced resources are inter-twined with policies which do not favour devolved financial systems. The vicious cycle of low capacity to utilize and low authority to spend must be converted into a virtuous cycle by a policy shift to pass on certain essential spending functions to the school level governed by the School Boards/School Councils, who can also be provided with regular opportunities to enhance capacities/skills through timely information, user friendly formats for policy notifications, budget preparation and monitoring, and face to face and online learning training, where technologies have become accessible.
Activity 4.3.6 Three Short Activities on PTA Record Financial Report PTA

<table>
<thead>
<tr>
<th>Activity</th>
<th>Details</th>
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<tbody>
<tr>
<td>Duration</td>
<td>1 Hour</td>
</tr>
<tr>
<td>Undertaken By</td>
<td>As given under each sub-activity</td>
</tr>
<tr>
<td>Materials Required</td>
<td>Hand out 6</td>
</tr>
</tbody>
</table>

Methodology

- The participants should be divide into five groups.
- Each group should be given Hand Out 6 (Questionnaire on the financial records of the PTA).
- The groups should be instructed to read the questionnaire carefully and write the answers to the questions after mutual discussion.
- The group leader should present the result of the discussion.
- Each point should be noted on the flip chart and the participants should be invited to ask questions.

Possible responses

- The records of income and expenditure should be maintained separately.
- The PTA so decides it may keep other records along with it.
- There is no bank available near by the PTA account may be kept by the treasurer.
- The account and the cheques should be signed by the Chairperson and Co-Chairperson.
- The Chairperson and the treasurer will give their approval for expenditure.
- Before any funds are taken out, they must be approved by the Executive Committee.
- In case of emergency the Chairperson can take out Rs.1000/- which should later be approved by the Executive Committee.
- All funds should be received formally under receipt and be maintained by the treasurer.
- It is essential to present the records of the PTA meeting to officials of the department of education.
- If the officials of the education department request, they should be shown all records.
- While presenting a summary of the responses, the participants should be told how essential it is to maintain detailed records. It is also required that theses records should be presented to officials of the Education Department on demand or in the regular course of events. This activity thus highlights the power and responsibilities of the members of the Executive Committee.

Note: The above mentioned activity can also give the participants the opportunity to study details of the record, and that the PTA functions effectively and transparently.
Financial Record (PTA)

Questionnaire

1. Should there be a separate register for income and expenditure?
   - Yes
   - No

2. Should the PTA maintain other register besides income and expenditure register?
   - Yes
   - No
   If yes then which other?

3. Is it essential to make an annual budget (details of income and expenditure) for PTAs?
   - Yes
   - No

4. If there is no bank nearby, where should the PTA account is opened, who should open the account?

5. If the account cannot be opened at any place, or until the account is opened who should have responsibilities?

6. Who should have the power to spend the money at the time of need?

7. Who and how many people should be allowed to sign the cheques when the account is opened?

8. Is it essential to take the permission of PTA before withdrawing funds from the bank?
   - Yes
   - No

9. (a) Should any office bearer of the PTA be allowed to take out money from the bank at times of emergency?
   - Yes
   - No
   (b) If yes who should be given this authority?
   (c) Should this authority be for a specified amount or any amount needed.
      - Specified amount
      - According to need
   (d) If the amount is specified, how much should it be?
10. Is it essential to get the approval of the PTA after the amount if taken out from the bank for any purpose?
   Yes   No

11. Who should receive the PTA fees or donations?
    Chairperson  Co-Chairperson  General Secretary  Other

12. Is it necessary to present the PTA administrative register to the officials of Education Department?
   Yes   No

13. Is it necessary to show the financial register to the officials of Education Department?
   Yes   No

The group should be instructed to read the questionnaire carefully and each question should be discussed and its answer written.

- 30 minutes should be given for this task.
- Each group should be required to elect its own group leader to present the result of discussion.
- At the end of time the group leader must be present his/her report.
- If there is any confusion or difficulty in the mind of any member or group on understanding of any point he/she should be allowed time to further discussion.
- This practice should be repeated with each group.

Importance of Audit for PTAs

Title: The Need for an Audit

Introduction: in order to standardize PTA tasks this working must be transparent. This is possible only when all records especially the financial records are maintained properly. In order to do this the financial records must be audit annually. This will create an atmosphere of trust among the members of the PTA. Since PTAs have started functioning only recently and have no previous practical example to follow, more information on the subject is required through mutual discussion during the training programme.

Time: one hour

Essential Material: coloured card size 6x, according to the number of participants.

Methodology:
- The 6x6 cards should be distributed among the participants.
- Each participant should be asked to write what they understand by the term “audit” on the card.
- Participants should be given 5 minutes for the task.
At the end of the time, cards should be collected.
Classify the responses of the participants and put them up on the board.

**Expected responses**

- An audit means accounting.
- Examination of all financial matters is known as an audit.
- Auditing is necessary for the monitoring of all organizations.
- Auditing means to analyze, to examine etc.

After getting back the participants responses on the meaning of term “audit”, the rest of the activity should be completed, as under:

The participants should be divided into five groups. Each group should be asked to discuss the following three questions:

1. Why is audit of the PTA necessary?
2. What method should be used for auditing?
3. Who will appoint the Auditors?

(30 minutes should be given for the above task)

At the end of the time ask each group leader to present the result of the group discussion.

**Expected responses**

- In order to prove that the PTAs work is transparent an audit must be done.
- The PTA members will work with more confidence.
- Annual auditing must also be done by the Government.
- The Executive Committee of the PTA must have an audit done every 6 (six) months.
- Auditors should be appointed by the Executive Committee.

At the end of the session the participants should be told about the importance of an annual audit.

This module has attempted help participants complete the full circle in learning skills in local governance for education development. The four modules have helped the target groups to learn techniques on how to engage with policy and context (Module I); explore partnerships and citizenship participation options for democratic societies (Module II); learn steps for preparing a District Education Plan from a more comprehensive and meaningful macro and medium term perspective (Module III) and finally apply skills to the most local and micro level of the learning facility or the school level for ensuring quality learning opportunities through a school development plan for an effective learning institution (Module IV). These modules can be used together or separately in a stand alone modular form but ideally would be most beneficial if used sequentially.
Section 4 

Sources and Websites


http://www.deni.gov.uk

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Produced by the Department of Education for Northern Ireland
http://www.sdpi.ie/site_map.html


http://www.sdpi.ie/


http://www.aesd.ca/programs/schooldevelopment/model_planning.htm