

Chapter **29**

# PLANNING PROCESSES

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To address emergency needs, that is, to identify and co-ordinate programmes and priorities for action within an agreed timeframe (usually very short term) based on rapid assessment of needs and analysis of the situation.**
- **To set the stage for medium-term reconstruction and longer-range development planning, that is, to agree on a planning framework with all stakeholders as a prerequisite for co-ordination among actors and longer-range planning.**

### CONTEXT AND CHALLENGES

Ongoing system performance is enhanced by systematic planning, yet emergencies require rapid response. While it is true that disparities will arise in the provision of resources due to insecurity, political disagreement, and donor agendas, for example, planning is still an essential activity for the effective and efficient use of limited resources. Following a crisis, the needs and expressed expectations of affected groups will normally be immense. Educational authorities must be able to set priorities – an important component of the planning process. There may be external donors and agencies to co-ordinate. Without planning, it is likely that resources will be wasted and services duplicated, that gaps and disparities in service provision will appear, and that local educational authorities will be sidelined.

Effective planning requires political agreement on values and goals as well as technical processes. Such agreement often proves difficult under conditions of civil conflict, yet education may provide a potential venue for parties in conflict to come together and work on concrete problems related to concerns of all. State education budgets generally decrease dramatically during situations of conflict as an ever-increasing amount of money is spent on military/security sectors. Education ministry staff for planning and statistics may also need strengthening and additional training in order to cope with the co-ordination of external actors and, ultimately, with reconstruction planning.

Planning for emergencies depends on the duration of the displacement, conflict, or disaster. It must respond to immediate, short-term, and medium-

term needs as well as to local action, strategic, and system needs – all of which will be affected by the causes and the scale of the disruption. During the emergency phase, short-term plans are produced to guide urgent provision of services, and the focus is on quick resumption of educational services to affected groups to assist in overcoming trauma and in the return of normalcy. Detailed educational planning requires time and technical expertise, which may not be feasible or readily available during emergency phases, yet to whatever extent possible, short-term planning should be done with the needs of longer-term planning in mind. For example, the immediate collection of baseline data will help measure the long-term impact of services provided.

### PALESTINIAN FIVE-YEAR EDUCATION DEVELOPMENT PLAN

In 1994, as soon as authority for Palestinian education was transferred from Israeli hands to the Palestinians, UNESCO offered its assistance in the creation of the Ministry of Education and the development of the education system. IIEP was entrusted specifically with the construction of planning and management capacity within the education system.

It was clear that the ministry had to start moving away from simply responding to emergencies towards strategic planning involving a long-term approach on managing the education system. A project was therefore launched in October 1998 to help the ministry strengthen its capacities in policy formulation and planning and to create its first five-year medium-term education development plan. This project also included a functional audit on four levels: central, ministry, district and school in order to formulate rules and regulations to improve the efficiency of the ministry and to make it ready for a successful and smooth implementation of the educational vision and the five-year plan.

It took the ministry and IIEP a year to formulate jointly the first draft of the plan. Meetings were organized in various districts to discuss the draft with community representatives, parents, political and social activists, leaders, education officials, principals, teachers, students and officials from other ministries (especially planning, finance, higher education and labour). More than 200 representatives from international and donor agencies and Palestinian academic and social institutions were invited to discuss the modified draft in a Consultation Workshop in October 1999. As a result of this workshop, it was concluded that the five-year plan was too ambitious and unrealistic in attempting to address all the immense needs in education in Palestine within five years. Therefore, with technical assistance from IIEP, the ministry reworked the plan, and cut it down to almost one third of its original estimated development cost.

Consensus on the plan within Palestinian society was made possible thanks to the systematic approach and the negotiating skills within the ministry developed during the two-year existence of the project. In August 2000, the ministry initiated the recommendations of the functional audit, and a central restructuring took place in order to implement the Five-Year Education Development Plan properly.

The five-year plan has now been fully implemented and completed in Palestine, and an evaluation of its results is ongoing.

Source: Adapted from Mahshi (2001).

The fluidity of emergency situations necessitates flexible and realistic planning based on ongoing situation analysis and reports. Standard planning approaches may not be well designed for the rapid response that is required, but well-designed, ongoing planning processes may help reduce the negative effects of emergencies on the education system as a whole. Plans should be periodically checked and modified as necessary to reflect changing circumstances. During early reconstruction, planners should produce a detailed, realistic strategic plan for medium-term development of the education sector (normally for a five-year period). This plan should fit within the broader national development plan or framework and, over time, as access questions are resolved, focus is likely to shift to the quality of education, its relevance to the needs and livelihoods of individuals and to the development of society at large.

Planning for refugee populations must consider the long-term prospects for repatriation and the implications of these prospects for education. In this case, it is essential to consider which language of instruction, which national curriculum, which certification of completion, which teacher certification, salary scale and terms of service are to be used. Planning for repatriation and reintegration of refugees should begin with dialogue across borders, and an assessment of differences between the education provided while in exile, and education in the home country, as well as the implications for returnee students and teachers. Planning in the area of origin must also consider the possible differences in educational provision, especially if circumstances have favoured one group. Planning for IDP populations must consider the safety of IDPs, the difficulty of identifying some IDP populations, and their educational needs in light of their potential vulnerability. Again, explicit plans need to be made to facilitate re-entry and reintegration of IDPs into the national education system in their home areas.

Ideally, planning needs to be carried out by local educational authorities. At a minimum, however, planning should be under their supervision or conducted with their involvement. Otherwise, educational authorities will not be fulfilling their responsibilities for provision of education to all children and young adults in their territories. Therefore, it is advisable to set up a unit within the Ministry of Education that will be responsible for planning for all phases of emergency and reconstruction. This unit can assume responsibility for co-ordination, or a separate unit can be set up to manage external relations since, typically, a number of actors and agencies, international and domestic, respond to emergencies. The urgency of the needed response and the involvement of multiple agencies often tend to result in the marginalization of local educational authorities, particularly if they are not proactive. International agencies should be reminded of their responsibility to co-ordinate with local educational authorities. (See also the *Guidebook*, Chapter 38, 'Co-ordination and communication'.)



## STRATEGIC ACTION PLAN FOR THE DEVELOPMENT OF HIGHER EDUCATION IN AFGHANISTAN

After several decades of civil war, Afghanistan has experienced a near breakdown of its entire education system, all levels of which are currently in the stage of profound rebuilding and restructuring. Higher education remains vital as the country is in crucial need of developing its human resources in order to staff the national administration with qualified officials, rebuild its health system and generate wealth through the development of its private sector. With this in mind, the public authorities of Afghanistan called upon IIEP to initiate a process for the preparation of a Strategic Action Plan for the development of higher education in Afghanistan.

The process of the plan was designed by IIEP and the Afghan Ministry of Higher Education to be open and participatory. A team from IIEP originally worked together with a group of officials from the Ministry of Higher Education in Afghanistan for two weeks during September 2003 to: (a) collect data; (b) diagnose the current status of higher education; and (c) make informed recommendations on a comprehensive set of political choices for restructuring and rebuilding the whole higher education system.

The plan consisted of two major parts, part 1 providing an analytical framework and foundation for part 2, which detailed the projects required to realize the plan. Within the first section, the team addressed a whole range of issues related to the institutional fabric of the system, its governance structure, admission and student policies, management of academic staff, improvement of the quality of teaching and learning, physical facilities and finance and management issues. The analysis of these issues took the form of arguments in response to explicitly formulated questions, followed by an identification of existing options, and a decision on the best course of action. Part 2 of the plan then dealt with the implementation of the confirmed policy choices: What is to be done by whom, when and with what resources? Activities were grouped under projects, responsibilities allocated, timeframes established and cost estimations finalized.

Given the need to make higher education a strong tool for nation building, every effort was made to equip the central authorities with the capacity to shape the future of their own education system. They were placed in charge of all major decisions relating to structures and processes, national procedures for student admission, teacher training and recruitment, and common rules of organization of study programmes. For such policy decisions, the ministry was also advised to draw upon professional bodies such as a Council for Higher Education and Afghanistan Evaluation and Accreditation Agency.

Source: Adapted from Ministry of Higher Education, Afghanistan and IIEP-UNESCO (2004: 13-14).

## SUGGESTED STRATEGIES



### Summary of suggested strategies

#### Planning processes

1. **Constitute an emergency planning group or unit to co-ordinate emergency activities within (or by) the educational authorities.**
2. **Co-ordinate activities and agencies.**
3. **(Simultaneously) share information with the people most affected by the emergency and other stakeholder groups.**
4. **Monitor and review implementation and modify action plans accordingly.**
5. **Relate short-term activities to long-range planning.**
6. **Conduct a sector analysis.**
7. **Formulate education policies.**
8. **Draft a medium-term education development plan.**
9. **Consult national stakeholders.**
10. **Consult funding agencies.**
11. **Plan implementation.**
12. **Begin and monitor implementation, review progress and modify implementation plans as necessary.**

## Guidance notes

### 1. **Constitute an emergency planning group or unit to co-ordinate emergency activities within (or by) the educational authorities.**

- What is the charter of the planning unit?
  - How will it relate to the longer-range planning activities of the ministry/ education officials and government/authority?
  - How long will it be operational?
  - How will it relate to/interface with other sectoral planning groups (e.g. health, water and sanitation, etc.) and the agency tasked with overall co-ordination of the humanitarian response (e.g. a national authority or perhaps the United Nations Office for the Co-ordination of Humanitarian Affairs (OCHA) or another United Nations agency such as UNHCR or UNICEF)?
    - Will someone from the education planning group participate regularly in overall co-ordination group meetings?
    - Who will be responsible for ensuring that the work of the education planning group is shared, on a timely basis, with the overall co-ordination group? (See also the note on information sharing, below.)
- Who will be the chair of the education planning group? Will government educational authorities take the lead or will that function be assumed by another organization such as UNICEF, UNHCR, UNESCO or OCHA?
- Who will serve as members of the planning group? While composition of the unit will vary according to circumstances, will membership include at least education authority representatives, local education officials, representatives from the affected communities, and representatives from the United Nations and other agencies assisting in emergency relief?
- Has the education authority compiled a list of actors/agencies and their activities? Is the list updated periodically (at least monthly)? Do various agencies involved assist in maintaining this list?
- Are the affected groups (refugees, IDPs, national population in various regions) encouraged to select representatives or focal persons to liaise with planners/co-ordinators?
- Where will the unit be located?
  - Will it be housed in the Ministry of Education, or another official part of the government or authority?
  - If temporarily housed elsewhere, when will government take over operations?



## 2. Co-ordinate activities and agencies.

- Does the planning co-ordination unit meet regularly?
- Does it identify gaps, duplication and competition in the provision of planned activities and services?
- Does it seek to address needs in order of priority, based on the initial and subsequent needs assessments and analysis?
- Does the unit call on individual agencies and organizations to address gaps, duplication and competition?
- Does the unit have an explicit communications and co-ordination strategy? (See the *Guidebook, Chapter 37, 'Co-ordination and communication'*.) Have the expenses for this strategy been budgeted?
- Does the unit publicize its work (see below)?

## 3. (Simultaneously) share information with the people most affected by the emergency and other stakeholder groups.

- Has the co-ordination unit shared the rapid needs assessment and action plans with the various actors? (See also the *Guidebook, Chapter 28, 'Assessment of needs and resources'*.) Do these include:
  - A description of the needs in the various affected areas?
  - A general timeframe for services to be provided?
  - An estimate of the cost of resources required?
- Have a sufficient number of copies of the report/summary been made available?
  - Are they available in the national language(s) and in international language(s) as appropriate?
  - Are the reports published on an accessible website, if available?
    - Have other actors established links to the report on their websites (again, if internet is available)?
    - If internet access is difficult for educational authorities, are other agencies asked to assist in posting reports, e.g. OCHA via its ReliefWeb site ([www.reliefweb.int](http://www.reliefweb.int))?
- Do local (provincial/regional/district) education officials or members of the co-ordinating unit meet periodically with representatives and focal persons from groups most affected to get feedback on assessment reports, plans, situation reports and on actual implementation?

- Does the co-ordination unit meet with a broader group of actors/donors to present and discuss the results of the assessment report and subsequent plans and activities of the co-ordinating unit and other actors?
  - Are the media invited?
  - Is this information published on the internet?
  - Is the information updated frequently based on new data provided by other actors?

#### **4. Monitor and review implementation and modify action plans accordingly.**

- Has the co-ordination unit developed a detailed plan for monitoring implementation of various projects/programmes?
- Is some group clearly charged with responsibility for monitoring implementation (perhaps the co-ordination unit or a sub-group)?
  - How does this group report to educational authorities?
  - Are they provided with sufficient resources and logistical support to conduct monitoring and review activities?
- Does the monitoring group report to senior educational authorities and also co-operate with local educational authorities, representatives of affected groups and the chair of the education co-ordination unit to monitor and review implementation?
- Are monitoring/review reports prepared on a regular basis? Are the reports disseminated to stakeholders?
- Are action plans periodically (at least quarterly) reviewed and modified, based on results of monitoring and assessment activities?

#### **5. Relate short-term activities to long-range planning.**

- Does the emergency co-ordination unit meet regularly with planners and other education officials to ensure smooth co-ordination between emergency, reconstruction, and long-term development planning?

## PLANNING FOR THE MEDIUM AND LONGER TERM

During the reconstruction phase, a more formal and systematic process is used in planning to meet medium-term reconstruction and longer-term development needs in the education sector. While planning in the emergency phase may be led by an outside agency, during reconstruction it is directed to a much greater extent by national and local education officials and agendas. The extent to which national officials drive decision-making may depend, in part, on technical capacity in the ministry, as well as ministry competence and assertiveness. Information is essential for effective planning. Therefore, a functional educational management information system (EMIS) must be established, if one is not already operational. (See also *Guidebook, Chapter 34, 'Data collection and educational management information systems (EMIS)'*). The standard process consists of seven steps:

1. Conduct an education sector analysis.
2. Formulate education policies.
3. Draft a medium-term education development plan.
4. Consult national stakeholders.
5. Consult funding agencies.
6. Plan implementation.
7. Begin and monitor implementation, review progress and modify implementation plans as necessary.

### 6. Conduct a sector analysis.

(See the 'Tools and resources' section for an explanation of education sector analysis.)

- Has a national steering committee been constituted to oversee the sector analysis? Does the steering committee include top-level policy-makers, representatives of other relevant sectors, and representatives of the community and the private sector?
- Has the steering committee determined the scope of the analysis to be conducted? That is, have the issues to be included in the analysis been defined? Sector analyses typically examine:
  - Access (gross and net enrolment rates and completion rates for both primary and secondary education).
  - Equity (access by gender, rural-urban, ethnicity, or other groupings).
  - Quality and relevance of education.
  - Learning and other outcomes.
  - Internal efficiency<sup>1</sup> of the education sector (e.g. repetition rates).
  - External efficiency<sup>2</sup> (e.g. mismatch with employment opportunities, skills shortages).

1. 'Internal efficiency' refers to how well (effectiveness relative to cost) the organization achieves its shorter-term objectives (e.g. Gains in academic achievement, etc.) (Kemmerer, 1994).
2. 'External efficiency' refers to how well the organization achieves its longer term objectives (e.g. good citizens, productive employees, etc.) (Kemmerer, 1994).

- Management and structure (See also *Guidebook, Chapter 30*, ‘Project management’ and *Chapter 33*, ‘Structure of the education system’).
- Costs associated with the education sector.
- Learning and other outcomes.
- Have sub-sector teams been formed? Who serves as members of the teams – education officials, community members, teachers, international consultants?
- Typically, teams are organized around sub-sectors of the system, e.g. primary education, teacher training, etc.
- Teams are typically charged with collecting, analyzing, and interpreting data, and presenting results for their sub-sector.
- Has a technical analysis team, made up of educational planners familiar with sector analysis, been formed to advise the sub-sector teams?
- Are data collected, analyzed, and interpreted and then presented in an accessible format?
- Are the results, including conclusions and recommendations, available in national language(s) as well as the relevant international language(s) if international groups are involved?
  - Are copies of the report broadly available?
  - Are they posted on the internet, if available?
  - Are public forums arranged to discuss the findings, conclusions and recommendations?

## 7. **Formulate education policies.**

- Has the national sector analysis steering committee drafted policies based on the findings and recommendations of the sector analysis?
- Are meetings organized to discuss the draft policies with representatives of stakeholders and other actors?
  - Does the national steering committee revise the policies based on these meetings?
- Is there a process by which educational authorities then approve the policies?

## 8. **Draft a medium-term education development plan.**

- Is a team constituted to write the plan, based on policies formulated earlier? Does the team include education planners and officials from the relevant departments and, if at all possible, the most senior education official as chair?
- Does the team include meaningful representation of implementers and beneficiaries?
- Is a team constituted for each development programme area? Are these teams charged with detailing proposed activities and projects within each programme area?
- Are plans analyzed for cost implications and for demographic changes?
- Does the committee produce a draft plan document for review?

## 9. **Consult national stakeholders.**

- Is the draft plan or a summary available in the national language(s) as well as relevant international language(s)?
- Are copies of the draft plan distributed within the ministry, to senior officials from the various central ministry departments, and provincial directorates?
  - To other ministries?
  - To broader national stakeholder groups and representatives, including teachers' groups and affected communities?
- Are consultation meetings organized for education officials from the various departments and provinces as well as with political leaders, community representatives, and representatives of civil society?
- Is the original document modified based on results of these meetings?

## 10. **Consult funding agencies.**

- Is the modified plan available in the appropriate international language(s)?
- Is a consultation meeting organized with local donor representatives?
- How does dialogue occur between national ministries and donor agencies?
- Are transparent procedures in place for the finalization of the plan?
- Is a final plan produced in national languages and the appropriate international language(s)?
  - Is an international consultation/donor pledging meeting organized?
  - Are representatives of national stakeholders and donor representatives from headquarters invited?

- Is the plan document sent well ahead of time to all participants?
- Are funding agencies encouraged to make pledges and to decide the kind of financial support they want to provide?
  - Some financial support options include: basket funding<sup>3</sup>, budget support<sup>4</sup>, programme funding, and project funding<sup>5</sup>.
- Are implementation and reporting procedures and the scheduling of disbursements discussed with funders?
- Is the final plan discussed with the relevant parliamentary body, according to local law and custom?
- Does that parliamentary body have to rectify the plan?

### RECONSTRUCTION ISSUES IN AFGHANISTAN

“Consultations with Afghan educators and other stakeholders during this preliminary assessment indicate that the development of a long-term vision and a national education policy are immediate priorities. The national education policy, medium-term plan and strategy should address some of the following key areas:

- Decentralization: identification of which powers can be decentralized to which levels.
- Governance: determination of policy authority of key stakeholders.
- Public/private partnerships: role in governance, extent of private sector involvement and accountability in service delivery, construction.
- Community role in: resource mobilization, school governance, access-quality monitoring.
- Equity: gender parity in enrolment, equity in enrolment and achievement.
- Teaching force: level of qualifications, competence, status and remuneration.
- Technical and vocational training: degree of flexibility and relevance, and market linkage.
- Tertiary: degree of autonomy, linkage to private sector, balance of research and teaching.”

Source: ADB, World Bank and UNDP (2001) in Sinclair (2002: 101)

3. Basket funding occurs when several donors pool their funding into common ‘baskets’, or joint accounts, that support an overall programme or a sector within a government. Donors who pool funds agree to shift their support from individual projects to a common pool that is managed by one of the donor partners. There is increased reliance on common procedures, e.g. appraisal, reporting, monitoring and evaluation, and joint review processes. Some pre-conditions may apply to the release of donor funds. Funds are dispersed from the pool to a government on a periodic basis, based on a government’s reporting of sectoral expenditures for that period (adapted from World Bank, 2003).
4. Budget support is an aid modality which consists of financial assistance provided directly to a partner country’s budget on a regular basis, using its own financial management systems and budget procedures (adapted from World Bank, 2005).
5. A ‘programme’ is a set of interrelated projects, centrally managed and co-ordinated, and directed towards the attainment of specific (usually similar or related) objectives. A ‘project’ is a planned undertaking designed to achieve certain specific objectives within a given budget and within a specified period (adapted from MFA, Denmark, 2004).

## 11. Plan implementation.

- Have the programme teams produced detailed annual implementation plans? Have they identified:
  - The departments and units responsible for implementation?
  - The schedule for implementation?
  - Relevant indicators to be monitored?
- Is implementation appropriately decentralized?
- Are implementation plans collected into a single document, translated into national and international languages, with sources of funding and schedules specified?
- Are copies of the implementation document distributed to all concerned parties, especially those responsible for implementation, other ministries and donor representatives?
- Do annual education budgetary allocations reflect the financial requirements of the implementation plans?

## 12. Begin and monitor implementation, review progress and modify implementation plans as necessary.

- Are implementers and beneficiaries as well as education officials involved in monitoring, reviewing progress, and modifying implementation plans? (See also the *Guidebook*, *Chapter 30*, 'Project management' and *Chapter 34*, 'Data collection and education management information systems (EMIS)').

# TOOLS AND RESOURCES

## 1. What is education sector analysis?

The Education Sector Analysis (ESA) or Sector-Wide Approach (SWAP) in education is a common tool used in the development of education systems. Once conflict is over and the situation is stabilized, a general overview of the education system and a review of its present status are essential to the post-conflict reconstruction process. The Education Sector Analysis provides national authorities, donors, and other education stakeholders an understanding of:

- Essential inputs into setting national education sector policy.
- Implementation strategies for the sector policy.
- Action programmes to carry out the strategies.

### Why ESA?

ESA is an essential activity because it provides a systematic analysis of objectives, criteria and priorities for nationally and internationally funded education reform and development activities. It can also increase the cost-efficiency and impact of the education system by increasing awareness of more and less effective aspects of the system.

### By whom is ESA carried out?

ESA is carried out in different ways, by national authorities such as education ministries, planning and finance ministries, or other government units at central and provincial levels; external partners such as donors and non-donor technical assistance agencies; and increasingly national public and non-public stakeholders.

### What does ESA comprise?

- Identification of inputs (such as teachers, curriculum, textbooks, pedagogy) and results (such as graduates, learning outcomes, relevance, resource utilization, sector management, costs, achievement of goals).
- Assessment of strategies. This implies assessing the implications of alternative strategies in relation to the resources needed and available, sector management mechanisms and processes needed, and cultural and political factors.
- Action programmes, broken down into projects, to implement the strategies.

Source: Adapted from Bahr (2002).



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CHAPTER **29**

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▪ SECTION 6



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning

# PROJECT MANAGEMENT

SECTION

6

MANAGEMENT CAPACITY



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### MAIN OBJECTIVES

- **To achieve the objectives of short- or medium-term plans, based on needs assessment or sector analysis.**
- **To delineate the responsibilities of various actors and stakeholders in developing and implementing the activities that are necessary to achieve the objectives.**



### KEY PRINCIPLES

- **To the extent possible, emergency assistance projects should build the capacity of local/national/refugee educators, as well as work towards their particular objectives.**
- **The education ministry (or equivalent authority) should, to the extent possible, be in charge of decision-making, policy and co-ordination at sector and sub-sector level and, where appropriate, advise on issues of project management, implementation, monitoring and evaluation.**
- **Short-term projects should, to the extent possible, contribute to and be part of the larger reconstruction and development plans and processes, forming the base for a system-wide approach to education to emerge.**

### CONTEXT AND CHALLENGES

Though there is no universally accepted definition of a project, the Danish Ministry of Foreign Affairs definition is useful: 'A project is a planned undertaking designed to achieve certain specific objectives within a given budget and within a specified period of time'. (Ministry of Foreign Affairs, Denmark, 2004) Projects are the concrete translation of short-term and long-term plans into reality through a structured set of activities.

In normal circumstances, following sector analysis, policy formulation, and plan preparation (see also the *Guidebook, Chapter 29*, 'Planning processes'), the project cycle proceeds through seven stages:

1. Identification.
2. Preparation.
3. Appraisal/review.
4. Approval and financing.
5. Implementation.
6. Monitoring.
7. Evaluation.

This process, however, requires time and skill that may not be available or affordable during an acute/onset phase.

At the onset of emergencies, national authorities' capacity for project implementation and management may be limited due to lack of personnel, management skills and experience, as well as vehicles and other equipment, or because

available staff are overwhelmed by the emergency. Therefore, in the early phases, it may be advisable to leave implementation and management of rapid educational response projects to external actors or donors. During this acute phase, the security and political situation, physical conditions and geographical dispersion of affected groups may make collection of relevant data difficult. National authorities, local organizations, and external actors need to be creative and flexible in devising effective procedures for collecting needed information.

As the situation develops, national authorities should take increasing charge of implementation and project management. In a protracted emergency, project design and documents will be expected to be more thorough and more accurate monitoring and evaluation data should be collected as soon as possible. Education projects following natural disasters need to show increased preparedness for similar disasters. Throughout, national education assistance programmes should be moving from individual projects to programme preparation,<sup>1</sup> funding and management as the first step towards a sector-wide approach with basket-funding<sup>2</sup> and budgetary support<sup>3</sup> by donors.

During early reconstruction, there needs to be continuing emphasis on increasing take-over of project management and implementation activities by national and local actors, increasingly sophisticated project design, better monitoring and evaluation, and increasing integration of projects into longer-term and more systemic reform processes. Reintegration/reconstruction requires that these activities be co-ordinated and integrated with national systems of management, which may not be as advanced. During periods of insecurity and early reconstruction, different external partners may have been allocated responsibility for assistance in different provinces/locations. There is a danger that they may emphasize activities of particular interest to their own organizations or donors (e.g. they may use disparate approaches to in-service teacher training, some may focus only on primary education). Though it may be difficult, it should be requested that they use compatible approaches, and cover all emergency-affected locations rather than favouring some and neglecting others.

- 1 A 'programme' is a set of interrelated projects, centrally managed and co-ordinated, and directed towards the attainment of specific (usually similar or related) objectives. A 'project' is a planned undertaking designed to achieve certain specific objectives within a given budget and within a specified period (Ministry of Foreign Affairs, Denmark, 2004).
- 2 'Basket funding' occurs when several donors pool their funding into common 'baskets', or joint accounts, that support an overall programme or a sector within a government. Donors who pool funds agree to shift their support from individual projects to a common pool that is managed by one of the donor partners. There is increased reliance on common procedures, e.g. appraisal, reporting, monitoring and evaluation, and joint review processes. Some pre-conditions may apply to the release of donor funds. Funds are dispersed from the pool to a government on a periodic basis, based on a government's reporting of sectoral expenditures for that period (World Bank, 2003).
- 3 'Budget support' is an aid modality which consists of financial assistance provided directly to a partner country's budget on a regular basis, using its own financial management systems and budget procedures (World Bank, 2005).

In refugee situations, a non-government agency may have to serve in a management or co-ordination role, depending on the reasons for displacement and the role of government in the conflict. However, management of refugee projects by external or national agencies may make it difficult for refugees to build up skills at senior management level and they are sometimes unable to take on the most senior roles due to fears of pressure from ethnic/political/religious groups to divert resources or show favouritism. Refugees need to hold most management and operational posts in refugee projects in order to build up capacity for later reconstruction of their home areas, as well as for psychosocial reasons and to ensure cultural appropriateness

If donors/implementing agencies have a mandate limited to 'refugees' and their repatriation and early re-integration, there is a danger that needed activities and services will be abandoned once refugees return. Projects for returnee areas should be designed for integration into national education systems. Preference should be given to projects submitted by organizations that have a development orientation, if this is possible. Organizations with a refugee mandate need to work in partnership with a development-focused organization. Refugees may have received greater services than nationals, and this can be a tool for raising awareness and the quality of service provision in rural areas receiving returnees. To the greatest extent possible, services should be expanded to include all in need, whether returnee or not, and to minimize differences in provision across groups.

Educational authorities manage a variety of educational projects (see the 'Tools and resources' section: 'Typology of education projects') and each organization has its own format for designing, reviewing and evaluating these projects. In seeking external assistance, it is useful for national authorities and local organizations to be aware of the various formats used by major donors, funding agencies, and international organizations. These formats, however, require many of the same elements, which are often summarized in a Logical Framework (LogFrame) Analysis. (See the 'Tools and resources' section for a description of how LogFrames are generally organized.) Thus, it is advisable to prepare project proposals incorporating these common elements beforehand.

Funding organizations also have preferences as to how projects are managed. These preferences are related to the perceived capacity for implementation, accountability, and transparency on the part of national authorities/local organizations. The greater the extent to which funding agencies trust national authorities or local organizations and respect their integrity, the greater their readiness to give them responsibility for management of externally funded projects. Project management undertaken by national authorities or local agencies normally leads to further strengthening of local planning and management capacity.

This topic outlines a process for government to manage or co-ordinate educational projects in an emergency situation.

## **SUGGESTED STRATEGIES**



### **Summary of suggested strategies Project management**

- 1. Immediately constitute a project's co-ordination unit within the central ministry or education authority.**
- 2. Solicit draft project outlines/proposals from the various education departments in the ministry/ies of education and higher education.**
- 3. Obtain approval of project outlines from a senior-level decision-making body, and share them with potential donors and other concerned groups.**
- 4. Agree on a management structure for each funded project with the agencies and donors that are involved.**
- 5. Monitor and evaluate project implementation.**



## Guidance notes

### 1. **Immediately constitute a projects co-ordination unit within the central ministry or education authority.**

Ideally, this unit should either be created from within the planning or external relations departments or attached to the minister's office.

- Does the unit consist of a minimum of five people, comprising a secretary plus one education official to deal with each of the following: bilateral donors, United Nations agencies, local community and affected groups, and neighbouring countries (if there is to be a return of refugees)?
- Do personnel:
  - Speak the necessary international language(s)?
  - Have practical experience in project management, fund-raising and donor co-ordination?
- Does the unit have communication and office equipment (phone, fax, computers, access to internet, mobile phone and/or wireless system) and a vehicle? If not, consider borrowing or requesting such equipment from other parts of the government or from external partners
- Does the unit have easy access to the minister or senior-level technical official(s)?
- If the ministry is not functional, is there a project co-ordination unit for education, organized with international support?
  - Does this unit include representatives from national authorities, educators, and local leaders as well as representatives from the United Nations and non-governmental organizations and funding agencies?
  - How is this unit associated with the emergency education-planning unit discussed in the *Guidebook, Chapter 29, 'Planning processes'*?

### 2. **Solicit draft project outlines/proposals from the various education departments in the ministry/ies of education and higher education.**

These should be based on the priorities identified in the rapid needs assessment (and subsequent assessments if any have been conducted). (See the 'Tools and resources' section for a typology of education projects and the *Guidebook, Chapter 28, 'Assessment of needs and resources'*.)

- Has the Minister of Education (or equivalent education authority) formally given the projects co-ordination unit responsibility for soliciting and collecting the draft proposals, and for combining the drafts into a unified acceptable form?

- Have projects been identified by a wide range of groups including:
  - Relevant provincial education directorates?
  - Representatives of conflict- or disaster-affected groups?
  - Representatives of other important actors and stakeholders, such as the United Nations and non-governmental organizations?
- Have the above groups been given the opportunity to provide feedback on the draft project outlines?

**3. Obtain approval of project outlines from a senior-level decision-making body, and share them with potential donors and other concerned groups.**

- Have copies been sent and discussions held with the Ministry of Planning?
- Have the Ministries of Foreign Affairs and Finance been involved?
- Have individual or group meetings been organized with representatives of United Nations agencies, donors and NGOs?
- Have copies of project outlines been given to provincial directorates of education? To representatives of affected groups (making it clear that project proposals do not guarantee funding)?

**4. Agree on a management structure for each funded project with the agencies and donors that are involved.**

- For each project, has a focal person and contact person been designated:
  - From the central ministry?
  - From each of the concerned departments?
  - From the provincial directorates?
  - From the affected groups?
- Have donors agreed to the location of the project management units and details of their operations/responsibilities?

**5. Monitor and evaluate project implementation.**

- In situations where educational authorities have difficulty accessing the site or obtaining data for monitoring purposes, have local project staff been trained to collect, compile, and send data to the project management unit according to an agreed-upon format?
- Have educational authorities reached agreement with donors on the frequency of project implementation reviews? Are such reviews frequent enough during this phase to identify problems before they become serious?

- Has agreement been reached with donors on details of the project evaluation team, which preferably includes members from both the educational authorities and representatives of beneficiary and affected groups?
- Are project status and evaluation reports available in national and international languages? Where are these reports located?

### **SELF-MONITORING QUESTIONS**

- What has been accomplished?  
(Description of small steps even if they might seem insignificant.)
- Are the activities in line with the objectives?
- To what extent have objectives been reached?
- Is it necessary to modify the objectives?
- Which are the positive and negative aspects of the management and co-ordination of the project?

# TOOLS AND RESOURCES

## 1. Typology of education projects

Educational authorities manage a variety of education projects including:

<b>PHYSICAL PROJECTS</b>	<ul style="list-style-type: none"><li>• Infrastructure, construction</li><li>• Equipment</li><li>• Materials</li></ul>
<b>CURRICULUM AND TEXTBOOK PROJECTS</b>	<ul style="list-style-type: none"><li>• Production/procurement of books, school manuals, teacher guides, education aids</li><li>• Curriculum and textbook development and pilot projects</li></ul>
<b>TRAINING PROJECTS</b>	<ul style="list-style-type: none"><li>• Training of trainers and teachers (in-service, pre-service, mentors)</li><li>• Training of head teachers and district supervisors</li></ul>
<b>MANAGEMENT PROJECTS</b>	<ul style="list-style-type: none"><li>• Capacity building in general (management of systems of education)</li><li>• Development of information systems, etc.</li></ul>

Source: Adapted from IIEP (2002).

## 2. Logical framework (LogFrame) analysis

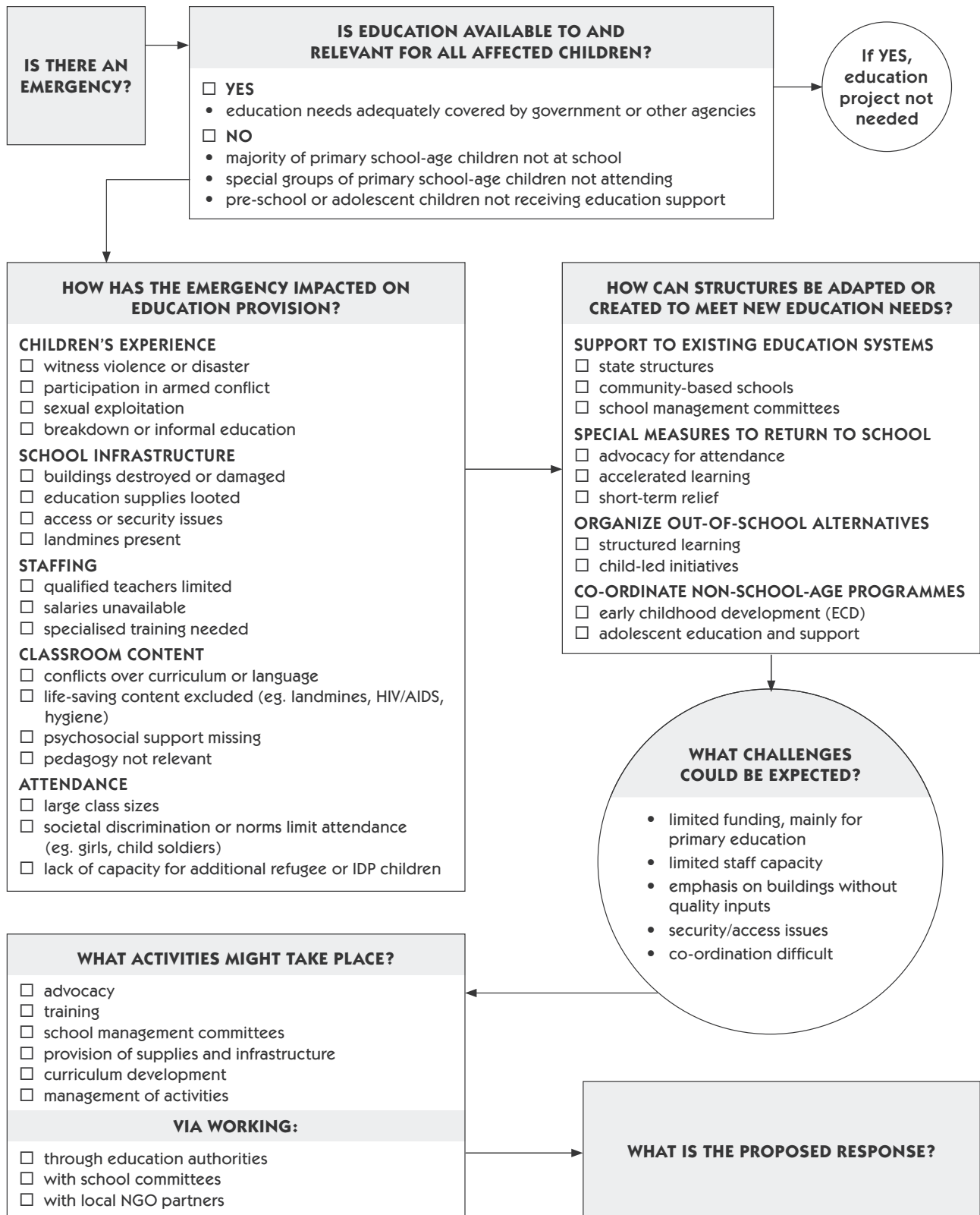
The LogFrame is often used to summarize a project. The following chart shows how a LogFrame is organized.

PROJECT SUMMARY	PERFORMANCE INDICATORS	MONITORING AND EVALUATION SYSTEM	IMPORTANT ASSUMPTIONS
<p><b>GOAL</b> The higher overall goal to which this project (together with other programmes) will contribute.</p>		Evaluation system	
<p><b>PROJECT OBJECTIVE</b> The specific impact of the project: the change in child development status, or change in behaviour, or improvements in institutional performance. (The intended/assumed effect of the project outputs).</p>	<p><b>Key performance indicators:</b> A few indicators that measure whether the project outputs have had the intended impact on children and other beneficiaries.</p>	Evaluation system	Assumptions on the relationship between project impact and the overall goal.
<p><b>PROJECT OUTPUTS</b> The project intervention: The outputs and deliverables that the project (team) are held accountable for.</p>	<p><b>Output indicators:</b> To measure the value added of the project.</p>	Monitoring system	Assumptions on the relationship between accomplished project outputs and project impact.
<p><b>PROJECT ACTIVITIES</b> The specific activities that have to be carried out in order to accomplish each respective project output.</p>	<p><b>Input indicators:</b> Usually the financial, physical and human resources needed to carry out the activities.</p>	Monitoring system	Assumptions on the relationship between implemented project activities and outputs.

Source: World Bank (2003).

### 3. Steps in planning: an NGO approach

#### TOOL: STEPS IN PLANNING A RESPONSE



Source: Nicolai (2003: 26).

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CHAPTER

# 30



SECTION 6



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning



# LEGAL FRAMEWORKS

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To identify the legal basis for provision of education to all children and young adults within a country's borders, especially in situations of emergency.**
- **To ensure understanding, at all levels, of a country's legal and ethical obligations on education in emergencies, *vis-à-vis* relevant policy frameworks, international conventions and national policy instruments.**
- **To propose considerations that are essential to the establishment of a national legal framework of education in reconstruction settings.**

### CONTEXT AND CHALLENGES

Nations have a legal obligation to provide basic education to all children and young adults within their borders, including refugees, internally displaced persons (IDPs) and others, although many people including educators and government officials may be unaware of these obligations. Basic international human rights agreements endorse child protection and the rights of children, young adults and women to education. These international legal instruments are useful tools to assess and advocate for the needs of children in general and especially for children and youth in war-affected areas. In addition, they provide guidelines to be used when developing and implementing national legal frameworks for education in crisis or reconstruction.

The following are some possible components of a legal framework. These elements vary from country to country, depending on the political-juridical circumstances of each state. For countries in crisis, it is important, first of all, to determine which provisions have already been written, and which provisions need to be changed or added. It is not necessary for each country to possess each of the different provisions listed in the table below, but rather to adapt the possibilities presented to its own needs.

## COMPOSITION OF A LEGAL FRAMEWORK

- **International provisions** as described in detail in the 'Tools and resources' section give an international framework for education, reflecting global norms.
- **Constitutional provisions** have two main purposes. First, they determine which authorities are responsible in educational matters. They also usually draw up basic rules for the school system: equal access, compulsory attendance, secular or confessional schools, free tuition, etc.
- **Statutory provisions** apply to educational matters according to procedures and in areas that vary with national systems. They formulate the system's objectives, specify its general organization, determine the jurisdiction of schools, guarantee the rights of families, and define the responsibilities of students. It is by means of these provisions that national political options and basic technical choices can be made known.
- **Infra-legal provisions** deal with the more highly evolved and complex aspects of educational systems. They consist in broadly applied rules with the aim of either complementing legislative provisions, or dealing with problems whose technical nature does not allow for parliamentary involvement.
- **Judicial provisions** enable the control of legality or liability of every planned act of an educational system.

Source: Adapted from Durand-Prinborgne (2002: 31-34).

## Core international legal and policy instruments with respect to the right to education<sup>1</sup>

### The 1948 Universal Declaration of Human Rights

- Article 26 outlines the right to free and compulsory education at the elementary level and urges that professional and technical education be made available. The declaration states that education should work to strengthen respect for human rights and promote peace. Parents have the right to choose the kind of education provided to their child.

### The 1951 Convention relating to the Status of Refugees and the 1967 protocols

- Refugee children are guaranteed the right to elementary education in Article 22, which states they should be accorded the same opportunities as nationals from the host country. Beyond primary school, refugee children are treated as other aliens, allowing for the recognition of foreign school certificates and awarding of scholarships.

1. Sinclair, (2002); Nicolai (2003); Nicolai and Triplehorn (2003).

### **The 1966 Covenant on Economic, Social and Cultural Rights**

- The right to free and compulsory education at the primary level and accessible secondary-level education is laid out in Article 13. The covenant goes on to call for basic education to be made available to those who have not received or completed primary education. Emphasis is placed on improving conditions and teaching standards.

### **The 1989 Convention on the Rights of the Child**

- Article 28 calls for states to make primary education compulsory and free to all, and to encourage the development of accessible secondary, and other forms of education. Quality and relevance is detailed in Article 29, which mandates an education that builds on a child’s potential and supports his/her cultural identity. Psychosocial support and curriculum elements covering human rights, peace, tolerance, gender equality and respect for the environment are emphasized in this article. Article 2 outlines the principle of non-discrimination, including access for children with disabilities, gender equity, and the protection of linguistic and cultural rights of ethnic minority communities. Article 31 protects a child’s right to recreation and culture.

### **The Geneva Conventions**

- For situations of armed conflict, the Geneva Conventions lay out particular humanitarian protections for people – including children – who are not taking part in hostilities. In times of hostility, States are responsible for ensuring the provision of education for orphaned or unaccompanied children. In situations of military occupation, the occupying power must facilitate institutions “devoted to the care and education of children” (Fourth Geneva Convention, Articles 24 and 50, 1949). Schools and other buildings used for civil purposes are guaranteed protection from military attacks (Protocol I relating to the Protection of Victims of International Armed Conflicts, Article 52, 1977).

### **Regional agreements**

- A number of regional agreements also address issues of education. References to the right to education are found in the African Charter on the Rights and Welfare of the Child, Article XI; the American Declaration on the Rights and Duties of Man, Article XII; and the Protocol to the European Convention for the Protection of Human Rights and Fundamental Freedoms of 1952, Article 2.

### **Other significant commitments and frameworks**

- 1996 The United Nations *Study on the impact of armed conflict on children* (also known as the Graça Machel Report) – a seminal study on the effects of conflict on children and the need for protection and education
- *Guiding principles on internal displacement* – an important legal foundation for the protection and education of internally displaced people, but without the legal force of a treaty.

- Education for All (EFA) – Most of the world’s governments have committed themselves to the goals of Education for All, articulated and reaffirmed at the 1990 World Conference on Education for All and the 2000 Dakar World Education Forum. The Dakar Framework for Action declared that by 2015 all children of primary school age would participate in free schooling of acceptable quality, and that gender disparities in schooling would be eliminated. Levels of adult literacy would be halved, early childhood care and education and learning opportunities for youth and adults would be greatly increased, and all aspects of education quality would be improved. (UNESCO, 2002*b*.)
- Millennium Development Goals – The goals of universal primary education and gender parity were adopted as Millennium Development Goals by the United Nations General Assembly on 6 September 2001.

These different legislative measures are examples of the increased awareness on the part of the international community, of the needs of all children, including those affected by political crises or natural disasters. The international legal framework for the protection of children indicates that there is a strong need for a rapid response during emergencies. According to Margaret Sinclair, “the increased awareness of the psychosocial needs of children and adolescents and of rights under the Convention on the Rights of the Child have led to more rapid response” (Sinclair, 2002: 41-42).

## UN Security Council resolutions on children in emergencies

A number of United Nations resolutions refer to the security and protection of children during emergencies. Resolutions 1261, 1314 and 1379 on children and armed conflict mandate international action to protect the security and rights of children in situations of armed conflict. Education is a part of each of these resolutions (Nicolai and Triplehorn, 2003: 8).

**Resolution 1379** (2001) requests the agencies, funds and programmes of the United Nations to:

- Devote particular attention and adequate resources to the rehabilitation of children affected by armed conflict, particularly their counselling, education and appropriate vocational opportunities, as a preventive measure and as a means of reintegrating them into society.
- Promote a culture of peace, including through support for peace education programmes and other non-violent approaches to conflict prevention and resolution.

**Resolution 1314** (2000) reiterates the importance of ensuring that children continue to have access to basic services, including education, during the conflict and post-conflict periods.

**Resolution 1261** (1999) stipulates the provision and rehabilitation of medical and educational services to respond to the needs of children, the rehabilitation of children who have been maimed or psychologically traumatized and child-focused mine-clearance and mine-awareness programmes.

The foundation in international law for education of refugee children is Article 22 of the 1951 *Convention on the Status of Refugees*.

## ARTICLE 22

### PUBLIC EDUCATION

1. The Contracting States shall accord to refugees the same treatment as is accorded to nationals with respect to elementary education.
2. The Contracting States shall accord to refugees treatment as favourable as possible, and, in any event, not less favourable than that accorded to aliens generally in the same circumstances, with respect to education other than elementary education and, in particular, as regards access to studies, the recognition of foreign school certificates, diplomas and degrees, the remission of fees and charges and the award of scholarships.

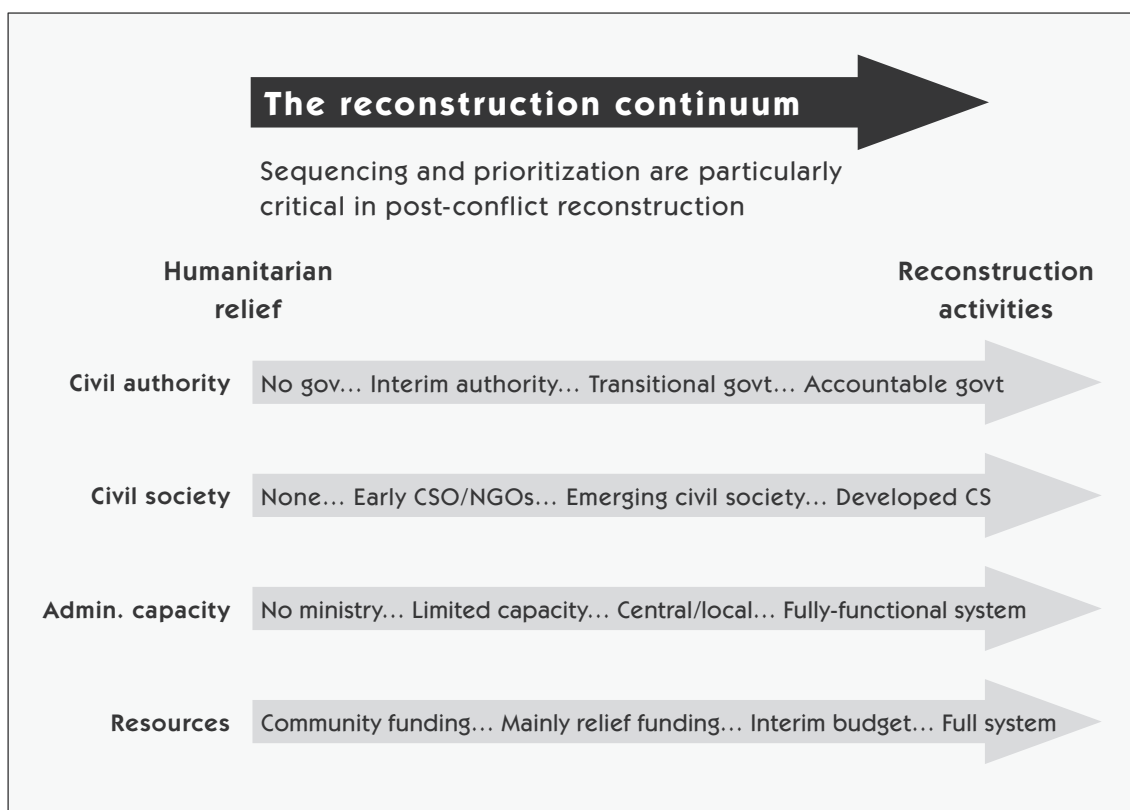
Although there are no specific laws written for internally displaced children, they are protected under the international frameworks cited above, and steps must be taken to ensure that they have access to education during and after situations of conflict. However, the 1990 World Conference on Education for All, in Jomtien highlighted the fact that this population is all too often overlooked and underserved (Aguilar and Retamal, 1998: 6). Nevertheless, the first of the ‘Guiding Principles on Internal Displacement’, presented by the United Nations Office for the Co-ordination of Humanitarian Affairs, maintains that “internally displaced persons shall enjoy, in full equality, the same rights and freedoms under international and domestic law as do other persons in their country. They shall not be discriminated against in the enjoyment of any rights and freedoms on the ground that they are internally displaced” (UNOCHA, 2003).

## National legal frameworks

Although different countries have diverse political-juridical traditions, “numerous similarities also exist in terms of legal approach and treatment: from the common setting in legal terms of aims and objectives assigned to education in order to achieve socio-economic goals, to regulations covering family obligations or rights” (Durand-Prinborgne, 2002: 16). In fact, the need for national laws to be consistent with international legislation tends to enhance similarities in educational laws from one country to the next.

When planning national legal frameworks for educational systems, it is important to keep in mind, as Claude Durand-Prinborgne (2002: 19) suggests, that “excessive production of legislation presents both advantages and risks . . . It can have political impact due to the increasingly obvious gap between stated aims and reality. The drawing up of legislation, whether by the parliament or government, must be realistic” and further, should be neither too meticulous, nor too vague. In this way, educators will create a system that is more readily adaptable and more able to consider the particularities of the local population and their educational needs.

The development of educational legal frameworks is highly dependent on the evolution of the political and economic systems after an emergency situation. The World Bank presents elements of this evolution in an ‘Education reconstruction continuum’.



Immediately after a crisis, the general context can be characterized by the absence of government systems. At this time, international agencies often begin to provide services that are unco-ordinated, use varying curriculum, and hold classes in homes, churches or makeshift buildings. During emergencies, it is international law that provides the legal frameworks for education. As countries move towards the presence of an interim authority, education decisions are put in the hands of high-level ministerial authorities. At this time, NGO registration and rules regarding their presence in-country should be formalized, education plans are to be drawn up, and initial budgets are to be prepared. Quite often this phase is characterized by the return and repatriation of internally displaced persons and refugees. International legislation such as the *1951 Convention relating to the Status of Refugees* and the *1967 Protocols* guarantee refugee children the right to elementary education and state they should be accorded the same opportunities as nationals from the host country. Beyond primary school, refugee children should be treated as other aliens, allowing for the recognition of foreign school certificates and awarding of scholarships. As mentioned above, the *Guiding principles on internal displacement* provide an important foundation for the protection and education of internally displaced people, but do not have the legal force of a treaty.



As situations become more stable and move into what the World Bank calls a transitional government, a new state constitution may be drafted and adopted. At this time, states begin to delegate educational authority to Ministry of Education officials at various levels. These officials will begin to draw up national legal frameworks for education. Most countries have accepted the international frameworks (such as 'Education for All' (EFA) and the 'Dakar Framework for Action') and have therefore committed themselves to providing free schooling of acceptable quality to all children of primary school age, increasing early childhood care and educational opportunities for youth and adults, and halving illiteracy rates.

Possible objectives of legal educational frameworks are found below.

### OBJECTIVES OF LEGAL FRAMEWORKS

**Defining educational objectives:** Objectives must be clear and observable (permit evaluation). It is essential that these objectives be carefully chosen, well written and pertinent to the real educational situation. In this way, the goals to be achieved will effectively contribute to the mobilization of the different actors in the educational sector.

**Determining the nature of instruction:** This refers to technical aspects such as the general organization of the educational system, the curricula, the certification, and calendar. These elements are dependant upon the resources that will be given to the education sector.

Establishing the timeframe for the implementation of the means put to use: This also revolves around the problem of financing, and the portion of the Gross Domestic Product and the national budget allocated to education. Planners legally regulate the use of financial resources in varying ways in order to cover the costs of equipment, personnel and the operating budgets of schools. See also *Guidebook, Chapter 29, 'Planning processes'* and *Chapter 35, 'Budget and financial management'*.

**Organizing educational provision in spatial terms:** This objective should take into consideration the international goal of universal enrolment and the country's current enrolment rate. To this end, strategies such as school mapping can be used. In emergency situations, it is extremely important to identify carefully the demographic demand for education, which may have dramatically changed since the onset of the crisis.

Source: Adapted from Durand-Prinborgne (2002).



## CREATING LEGAL FRAMEWORKS FOR EDUCATION: THE CASE OF AFGHANISTAN

In 2002, under the Transitional Administration, an Independent High Commission of Education for Afghanistan was established for the following purposes:

- Identification of the immediate needs and problems of education in Afghanistan.
- Formulation of education objectives, education policy and developing strategies for the revival and development of education in Afghanistan.
- Proposals on the ways and means for achieving the above objectives.
- Guidance and advice for funding the immediate renewal and long-term development of education in Afghanistan.
- Preparation of a consolidated education text on education policy, objectives and education strategies for input into the new Constitution of Afghanistan.

With the support of international organizations such as UNESCO, these objectives were carefully placed within the context of a developing national policy framework. To this end, the development of educational policy occurred simultaneously with the deliberations of the National Commission that had been established by the Transitional Administration to revise the Constitution. A national education policy task force, as well as several sub-sectoral task forces and thematic working groups, were organized, in order to draft policy papers for consideration within the overall framework.

Source: UNESCO (2002a).

## SUGGESTED STRATEGIES



### Summary of suggested strategies

#### Legal frameworks

1. Identify staff, within the education ministry or elsewhere, who have expertise on the legal and policy frameworks of education, and those who report on national compliance with relevant international human rights instruments. These individuals should then identify current laws that apply to education.
2. If the emergency situation has highlighted gaps in existing national laws and regulations related to education, determine what policy/regulatory changes are needed to bring the country into compliance.
3. Determine authority and jurisdictional responsibilities for appropriate institutions and persons.
4. Advocate, within the government and with local communities, for the importance of education in emergencies and the government's responsibility to ensure education is available to all – citizen, refugee or child asylum seeker – based on signed conventions.
5. Train local and regional officials (education and other civil officials) about the importance of these legal instruments and the obligations of government.

## Guidance notes

**1. Identify staff, within the education ministry or elsewhere, who have expertise on the legal and policy frameworks of education, and those who report on national compliance with relevant international human-rights instruments. These individuals should then identify current laws that apply to education.**

- Which international instruments have been signed and/or ratified by your country? (See the list of core international policy instruments related to education above.)
- Which international instruments are relevant in the current context?
- Which specific agreements apply to the emergency situation facing the country?
  - How can the international community assist with implementation?
  - What are the current educational priorities established by law?
  - Currently, what role does the government play in the organization and financing of formal education?
- Do current laws ensure sufficient and equitable resource allocation?
- Do current legal development practices leave room for a consultative process?

**2. If the emergency situation has highlighted gaps in existing national laws and regulations related to education, determine what policy/regulatory changes are needed to bring the country into compliance.**

- What is the legislative process for approving such changes?
- What is the role of educational authorities in advocating for such changes?
- Who is responsible for drafting proposed legislative changes? How can educational authorities assist in the process?
- What legal, policy, and regulatory changes are needed to comply with signed treaties and other agreements?
- Are there problems of implementation? How can they be addressed (training, capacity, enforcement, or incentives, etc.)?

### 3. Determine authority and jurisdictional responsibilities for appropriate institutions and persons.

- Which international or national authorities and administrative units are responsible for:
  - Implementation of Articles 28 and 29 of the Convention on the Rights of the Child (CRC), including for emergency-affected populations?
  - Implementation of other international human rights instruments the country has ratified relating to education?
  - Reporting on the implementation of these instruments to the appropriate international bodies?
  - Development and implementation of the national 'Education for All' (EFA) plan?



#### DETERMINING AUTHORITY IN TIMOR-LESTE

Allocating authority for educational matters was not an easy task in Timor-Leste after the popular consultation in September 1999 made the peoples' aspiration for independence evident and pro-Indonesian militias stirred up violence throughout the country. At this time, the UNTAET (United Nations Transitional Administration in East Timor) was created. However, the relationship between the UNTAET and the CNRT (National Council of Timorese Resistance) was conflictual from the start. Over the course of its ten-month existence, the transitional administration was very much a parallel administration to the CNRT. As a result, the months immediately following the crisis could be characterized as a period in which decisions were made with much difficulty. When the new administration was established in August 2000, (East Timor Transitional Administration), its theoretical purpose was to bring together both the international administration and the East Timorese administration. In practice however, the ETTA remained divided and programme planning and implementation continued to present a challenge, because of "the complexity of change and its demands, particularly on newly appointed and often inexperienced East Timorese decision-makers and administrators". With the creation of the Ministry of Education, Youth and Sports by this second transitional government, international workers were given only a few months to train permanent Ministry officials, and confusion regarding the role of the UNTAET lingered.

Source: Nicolai (2004: 97-99).

- To what degree will international agencies support the state in the planning of legal frameworks and policies?
- What role can national educational authorities play in advocating for implementation of these international policy agreements?
- To what extent will the state and territorial/regional authorities have legal decision-making abilities?
  - There are many possible variations concerning the divisions between state and regional authorities, variations that depend on the constitutional history of the nation and the relations of the central authority.

- What legal role will local authorities play in the development and implementation of educational policy?
  - This varies largely according to the overall population of a region. According to Durand-Prinborgne (2002: 48), the larger the population, the more likely the educational administration is to be left with only the ‘commanding heights’. Inversely, “the smaller the population and the fewer the resources of the regions, the more they need a state that can assist them, or a restructuring that can make them part of an educational network”.
- To what extent will schools themselves have decision-making capabilities?
  - Will schools be considered simply as executors of national educational policy, or will they be given the autonomy to make decisions concerning planning and administration?
    - Will schools have their own legal identity and budget?
    - Will schools be legally obliged to have a plan defining their internal management practice and the organization of services?
    - Will schools be able to create and implement a school project (an analysis of the environment and of means available, a setting of objectives and deadlines and the adoption of an evaluation process)?
- To what extent will private initiatives play a legal role in the establishment of an educational system?
- Do the laws clearly define the responsibilities of the different levels of participation?



#### **DETERMINING JURISDICTIONAL RESPONSIBILITIES IN PALESTINE: AN UNACCOMPLISHED TASK**

Although authority for education decisions has been legally determined in Palestine by the Israeli-Palestinian Agreement on the West Bank and the Gaza Strip, no education law has yet been written. According to Saidi, “there is not yet an official Palestinian decree or sub-decrees delineating roles and responsibilities for the [MEHE]” (2000: 5). Ministry officials feel that this ten-year delay is a result of the uncertain political status of the territories’.

The only law that mentions education, the Child Law, was implemented in January 2005 and echoes many of the articles from the Convention of the Rights of the Child, calling for free and compulsory education, the end to discrimination between girls and boys, and the inclusion of children with disabilities. In addition, ‘educational rules and regulations’ have been put into place by the Ministry of Education. This compilation includes ten chapters covering aspects such as general education, educational activities, examinations, financial affairs, administrative affairs, supplies, educational supervision, buildings and projects and educational technologies.

The lack of laws determining jurisdictional responsibilities can be grounds for contention amongst Palestinians. Schools themselves do not have a clear understanding of local application of the laws, rules and regulations pertaining to education. “Knowledge of how the education directorate is organized is the result of personal connections and not of official information. Relations with the education directorate and with technical and administrative deputies are not clearly established on an institutional basis. Most school head teachers are not familiar with the structure of the MEHE, its organizational chart, or the officials concerned” (Saidi, 2000.).

Source: Nicolai (forthcoming).

**4. Advocate, within the government and with local communities, for the importance of education in emergencies and the government’s responsibility to ensure education is available to all – citizen, refugee or child asylum seeker – based on signed conventions.**

- How aware are different parts of the government (central ministries as well as provincial and local authorities) of the country’s responsibilities *vis-à-vis* international agreements related to education for all children within the territory of the state?
- Who has the responsibility, authority, and power to ensure compliance?
- What steps can be taken to raise awareness and political will to meet international obligations?
- Do contingency plans include plans for educating internally displaced children, refugees or asylum seekers?

**5. Train local and regional officials (education and other civil officials) about the importance of these legal instruments and the obligations of government.**

- In what ways are local/regional bodies involved in enforcement of international legal obligations related to child protection and education?
- What are the factors that hinder implementation of international agreements?
- What violations of the CRC and the Geneva Conventions have taken place due to lack of adherence to signed agreements? Violations include:
  - Denying certain children access to education (see the *Guidebook, Chapter 4*, ‘Education for all in emergencies and reconstruction’ for a more complete discussion of access and inclusion).
  - Destruction of schools because of the armed conflict.
  - Targeting teachers as part of the conflict.
- What is needed for local/regional bodies to play their part in compliance – e.g. training, awareness and capacity?

# TOOLS AND RESOURCES

## INEE minimum standards for education policy and co-ordination<sup>2</sup>

### Education policy and co-ordination standard 2: planning and implementation

#### Key indicators

International and national legal frameworks and policies are reflected in the education programmes of relief and development agencies.

Emergency education programmes are planned and implemented in a manner that provides for their integration into longer-term development of the education sector.

Educational authorities and other key actors develop national and local education plans for current and future emergencies, and create a system for their regular revision.

During and after emergencies, all stakeholders work together to implement a plan for education response that is linked to the most recent needs assessment and builds upon the previous education experience, policies and practices of the affected population(s).

Education responses specify the financial, technical and human resources needed for effective planning, implementation and monitoring. Stakeholders ensure that the resources needed are made available.

Planning and implementation of educational activities are integrated with other emergency response sectors.

#### Guidance notes

##### 1. Meeting education rights and goals

Education programmes should provide inclusive educational activities in line with international frameworks, such as the Convention on the Rights of the Child (1989), the Universal Declaration of Human Rights (1948), 'Education for All' framework (2000) and the Millennium Development Goals (2000), in addition to applicable frameworks and policies of the relevant educational authorities.

##### 2. National education plans

These should indicate the actions to be taken in current or future emergencies with regard to programmes, actors, stakeholders, decision-making and co-ordination, as well as security and protection factors and mechanisms for inter-sectoral co-ordination. The plan should be supported by the appropriate education policy and frameworks. Contingency plans should be prepared for the education sector in relation to possible natural disasters (e.g. flooding, earthquake, hurricane) and, where relevant, for potential refugee or returnee influxes that may affect a local or national education system.

2. Source: INEE (2004: 69).



### 3. Resources

Authorities, donors, NGOs and other stakeholders should work together to ensure that adequate funding is secured for emergency education programmes that focus on learning, recreation and related activities designed to meet psychosocial needs. As emergencies stabilize, opportunities for education programming may be expanded to include early childhood development, formal primary and secondary schooling and adult literacy and vocational programmes, among others. Resource allocation should be balanced to augment physical elements (such as additional classrooms, textbooks and teaching and learning materials) and qualitative components (such as teacher and supervisory training courses).

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CHAPTER **31**

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▪ SECTION 6



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning

# COMMUNITY PARTICIPATION

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To promote the appropriate involvement of communities in the development and management of learning processes during emergencies and reconstruction.**
- **To develop the capacity of communities to assume an increased role in the management of school/learning systems and environments, including, as appropriate, the functions of planning, provision, maintenance, finance, staffing, instruction, supervision, monitoring and evaluation of education activities.**

### CONTEXT AND CHALLENGES

Communities can play a variety of roles in the provision and management of education and learning processes and systems. While often called upon to contribute financially or in-kind to the support of schools, communities can participate in a much broader range of functions, including administrative (e.g. school maintenance), managerial (such as student and teacher discipline), financial (mobilizing funds and resources), pedagogical (establishing a preschool), or personnel functions (monitoring teacher attendance).

As such, communities can be a critical resource in the provision of education in emergencies and during reconstruction. Re-establishing schooling provides a common task around which there is often broad agreement, and around which members can rally and work together, even when there is conflict over other issues. In emergencies, involvement in education can also help communities strengthen their identities and (re)gain a sense of efficacy. Community participation has the potential to bring people together during a crisis, helping to establish a sense of routine and normalcy, and serving an important psychosocial function.

The general emergency context, however, implies a greater likelihood of instability among affected communities and their environments, which may result in the disruption of the community's usual social, political and economic roles and relationships. Such disruptions result in a decrease in social capital among the affected community, but, at the same time, may provide opportunities for desirable change, such as greater participation of groups who have

historically been left out. Especially in refugee situations where communities live in camps with little or no opportunity to be self-sufficient, they may be unwilling to participate actively in supporting education, particularly for an extended period of time. Communities in early phases of emergency may be in such a state of flux or trauma that they are unable or unwilling to assume additional responsibilities beyond basic survival needs. Their participation is thus likely to be more difficult, and to require greater capacity building and time than is necessary for communities in more stable environments. However, the burning desire to re-establish normalcy may also make communities more willing than usual to assist in education.

While communities can play a vital role in the provision of education in emergencies, they must be supported in order to do this effectively. Education can be used to foster further conflict and local agendas, by political factions. Educational authorities must be present and engaged with local communities to minimize this possibility and to promote the value of education for all members of the affected community. Due to a lack of resources, communities will need support – even if they are actively involved and participating in the education of their children. The energy generated by community involvement during an initial crisis should not be undermined during the reconstruction phase by NGOs or other international institutions. Rather, the efforts of international organizations and associations “must be progressively integrated into the emerging administrative and monitoring system to avoid the development of parallel bureaucracies” (World Bank, 2005: 39).

Substantial community mobilization efforts may have to wait until stability and security are assured, after the acute phase of the emergency. The extended duration of protracted emergencies may require that important steps be taken under less than optimal conditions. In later phases of emergency, community readiness to participate is influenced by increased stability and security and people’s readiness to take greater responsibility for care and management of processes that directly affect their lives. Because teachers and community members may not be acquainted with the ways in which they can assist with schooling, longer-term emphasis is placed on capacity building and sustainability rather than stopgap measures.

While most emergency-affected communities are poor and unable to contribute substantially to education, their involvement still has the potential to encourage community members’ sense of responsibility and ownership for provision and maintenance of education. It also has the potential to mobilize the resources that the community does have (some financial, but primarily ‘in-kind’ such as labour and expertise, knowledge of local conditions, etc.). Ultimately, the mobilization of community resources, together with a sense of community ownership, can have a significant impact on the sustainability of learning activities and educational systems.

As the community mobilizes, consultative and representative groups may emerge. They may be in the form of parent-teacher associations (PTAs), or broader community education committees (CECs).



Often called 'CECs', their "representation should be inclusive, with the participation of groups and institutions such as local NGOs, religious institutions, traditional leaders, groups with special educational needs, marginalized groups, women and girls, clans, tribes, age groups, etc. Representatives should be selected through a democratic process. During the reconstruction phase, the community education committee should be statutorily recognized and legally registered to act as an official institution/organization. Where community education committees with similar functions and responsibilities already exist, they should be adapted to avoid setting up parallel institutions". It is essential that the committee's roles and responsibilities be defined as soon as possible, and that they be prepared to focus not only on primary education but also on life skills training and adult literacy. Some possible responsibilities of community education committees are listed below:

- Meeting regularly to discuss issues of concern and to make decisions.
- Keeping minutes of meetings, decisions and community financial and in-kind contributions.
- Providing culturally appropriate approaches (e.g. flexible school calendars, education programme curricula that reflect the community context and involve community members).
- Communicating with the community, education programme and/or national and local authorities to promote good relationships between the education programme and community members.

Source: INEE (2004: 15-16).

Community participation can be understood along a continuum of decision-making power. According to Sherry Arnstein (1969) and Roger Hart (1992: 9), eight different levels of participation are possible at any given time. Educational authorities need to consider each of these possible behaviours, and to work towards attaining the highest level, where communities initiate and share all aspects of the decision-making process.

- Manipulation: Communities are manipulated.
- Decoration: Communities are used as needed.
- Tokenism: Communities are used in a perfunctory or merely symbolic way to give the appearance of real participation.
- Communities are assigned but informed.
- Communities are consulted and informed.
- Communities participate in project implementation.
- Communities initiate and direct decisions.
- Communities initiate, plan, direct and implement decisions.

See the 'Tools and resources' section for a tool which permits analysis of the level of community participation.

The Inter-agency Network for Education in Emergencies (INEE) has issued *Minimum standards for education in emergencies, chronic crises and early reconstruction*, which include a standard on community participation (INEE, 2004: 16-18). That standard and associated guidance notes are provided in the 'Tools and resources' section of this chapter.

## SUGGESTED STRATEGIES



### **Summary of suggested strategies**

#### **Community participation**

- 1. Conduct a feasibility study related to introducing or strengthening community participation in schooling.**
- 2. Establish or strengthen Community Education Committees. Monitor their functioning and adjust or extend their role.**
- 3. Decide long-term roles and responsibilities of CECs in the education system and the relationships between CECs and other parts of the system.**
- 4. Use Community Education Committees, as possible and appropriate, to assist in return and reintegration.**

## Guidance notes

### 1. Conduct a feasibility study related to introducing or strengthening community participation in schooling.

- Identify relevant communities. (See also the *Guidebook, Chapter 28, 'Assessment of needs and resources'*.)
  - Who is affected by the emergency? What communities are affected by conflict? How do affected populations identify their communities? What are the characteristics of those communities?
  - How do different communities relate to each other?
  - Who is left out, invisible, or marginalized in the definitions of community in general use by the affected populations?
  - How many, and which communities, must be targeted separately?
- Determine how existing education/learning activities interact with community initiatives and community wishes. (See also the *Guidebook, Chapter 28, 'Assessment of needs and resources'*.)
  - What recreational and learning activities are currently under way? (This information should have been gathered during the assessment process.)
  - How can educational authorities (and others) support the various communities' education initiatives without undermining or overpowering the communities with external initiatives?
  - How can new activities capitalize on existing community efforts and initiatives?
  - What educational services, defined broadly, do community members want? What are the communities' educational priorities? What gaps do communities identify as most important and urgent? (Again, refer back to assessment data.)
  - In what aspects of education are communities most willing and able to be involved?
  - What are the communities' traditions with regard to participation in education and other areas?
  - Have certain community efforts been particularly successful in the past? How can these be supported or built on?

- As part of the assessment process, identify/map community leadership and organizations (religious, political, village, clan/tribe, commercial associations, etc.), their skills/knowledge/capacities, and their disposition toward collaboration and participation with likely authorities or agencies. (See the ‘Tools and resources’ section for an example of how to format such a mapping.)
  - Have all potential leadership groups been identified and approached? Have steps been taken to ensure that women’s groups are represented among the identified groups?
  - Have leadership structures and their potential for involvement in educational management been identified? Have the skills and knowledge of both individual members and the particular groups also been identified?
  - How can these groups and individuals be mobilized in order to use their skills for the benefit of education/learning activities?
  - Are there local community-based organizations (CBOs) with educational experience that can help train communities to take part in educational management activities? (See the ‘Tools and resources’ section for a description of how communities can become involved in monitoring of education activities.)
- Consider ways of encouraging and soliciting community participation.
  - What resources does the community have to contribute?
    - Financial support.
    - Donated labour: for school construction, rehabilitation, maintenance, environment, gardens.
    - ‘In-kind’ material support.
    - Monitoring capacity.
    - Professional experience – teaching experience or other credentials.
    - Others?
  - What are the most important and urgent gaps in provision or management of education?
    - Planning.
    - Provision of facilities.
    - Maintenance.
    - Finance.
    - Staffing.
    - Instruction.
    - Supervision.
    - Monitoring and evaluation.
  - In the short run, what are the most important areas or gaps in education provision that can be supported by community members? (In thinking through these issues, it may be helpful to use a checklist of possible community resources and capacities. See the ‘Tools and resources’ for a sample format.)

- In the longer run, what role will communities play in provision and management of education – in the emergency interim and on a more permanent basis?
  - How are such decisions made?
  - Who makes these decisions? What role will the community play in decision-making?



#### CONTRASTING PARTICIPATION IN TWO REFUGEE CAMPS IN TANZANIA

In a camp for Burundian refugees in north-west Tanzania, community participation was seen by some refugees as just the newest mantra from funding agencies when budget cuts affected education programmes and limited expenditure on school construction. The refugees – who had experienced a high level of external resources during the earlier phase of the emergency when speed of implementation was more important than cost – saw community mobilization as ‘community exploitation’. It therefore took considerable time to mobilize the refugee communities since a high level of dependency had developed.

In a neighbouring Burundian refugee camp, established five years later, community participation was instituted immediately; refugees were part of the decision-making process in education from the outset. In this camp, mobilization of the community was easier to establish and both school management committees and PTAs assisted in such activities as construction/maintenance of schools and sanitation facilities or preparing/cultivation of kitchen gardens.

## 2. **Establish or strengthen community education committees (CECs). Monitor their functioning and adjust or extend their role.**

- Establish (or continue) community education committees (CECs) – e.g. parent-teacher associations, school management committees, school community alliances, village education committees and community child protection committees (INEE, 2002a) – as a means of ensuring community participation in education.
  - What, if any, community education groups have been established?
  - Who are the members?
  - What was the process by which members were selected? Were the members elected or appointed? Were clear criteria established and communicated? Was the process open and transparent?
    - Who are the majority of participants in CECs: teachers, parents, influential leaders? Does this balance reflect the current needs and capacity of the affected community?
    - Are all groups (e.g. poor, less well educated) represented?
  - If not, how can they be included without discrimination or marginalization by more powerful, affluent, educated members?

- Do all participants have equal status and voting rights?
  - Are women equally represented on the CEC? As women are typically under-represented in these bodies, it is helpful to encourage CECs to move towards gender parity as quickly as possible.
- What is the role or scope of the CECs?
  - If the CECs existed before the emergency, does their role need to be revised in light of present circumstances?
  - Are CECs used primarily as fund-raising and community mobilization tools? If so, how can they be empowered to take more management responsibility? How broad a responsibility should they have?
- Are there statutory regulations for the establishment of CECs? Can useful lessons be learned from countries in similar emergency situations?
- What is or should be the frequency of CEC meetings? In the early phase of an emergency, it may be necessary to meet more frequently as needs change rapidly.
- Who has decision-making authority and how much authority do the CECs have regarding the running of the school or educational organization? What types of decision-making power do (or should) they have?
- What capacities do CECs have? In what areas does their capacity need strengthening?
- Is there another, more appropriate mechanism or strategy for promoting community participation in this situation?
- Review the roles of CECs as the emergency changes.
  - As the emergency moves from acute to ongoing phases, have the CECs' ability to function effectively changed? How?
  - Have the issues discussed/dealt with by the CECs changed in the later phases of the emergency?
  - How can educational authorities help sustain the community's interest in participating in the education system?
  - Do CECs need a more formal management committee mandate? If yes, how can this be achieved?
- Develop a long-term strategy to build community capacity for the provision and management of education.
  - What capacities need developing?
  - What are the training needs?
  - What equipment, materials and resources are needed to support community capacities and their development?
  - How can such training, equipment, materials and resources be sustained over the long term with available and likely future resources?

- Conduct or expand training for CECs. Training and capacity development become more important as conditions stabilize and as CECs assume a more permanent role in provision and management of education.
  - What if any training has been conducted? What impact has this had on the efficiency and effectiveness of CECs?
  - What additional training is required to ensure that CECs can fulfil their functions, e.g. do some CEC members need literacy and numeracy training?
  - Who is to be trained, how is the training to be conducted and by whom?
  - Are informed resource people available to develop monitoring and evaluation capacity? If not, appropriate and cost-effective sources need to be identified.
  - What follow-up mechanisms are in place to ensure that capacity building has been effective and sustained?
  - Have the CECs been provided with the necessary tools and resources to assume monitoring and evaluation responsibilities? For example, monitoring and evaluation frameworks, materials etc. Such tools would vary depending on the management functions undertaken by CECs, but might range from matters such as building maintenance schedules, to teacher supervision, to monitoring of student (and teacher) attendance.



#### **CONDITIONS FOR CECs TO BE EFFECTIVE**

- A legitimate agreement among all important groups as to the roles, responsibilities and relationships of the different groups.
- Clarity regarding those roles, responsibilities and relationships.
- Capacity (and will) to carry out the responsibilities attendant to one's role.
- Sufficient resources.

### 3. **Decide long-term roles and responsibilities of CECs in the education system and the relationships between CECs and other parts of the system.**

- Establish (or continue) co-ordination structures at different levels to foster the effectiveness of CECs.
  - Are all important segments of the community represented on the CECs?
  - Are the roles and responsibilities of CECs and local school officials clear? Are their roles distinct?
  - Have linkages between CECs and central authorities been established to assist in the mainstreaming and decentralization of co-ordination?
  - Are there regional, district and local-level structures in place to co-ordinate the CECs at different levels? If not what resources and capacity development would be required to establish them?
  - Is there an existing government unit already dealing with community involvement and management? Where is it located?
  - Where, ideally, would such a unit best be placed within the education authority structure? Who has the capacity to manage it? Can similar units be established at the local level?
  - What resources are available and required to ensure such a unit?
- Strengthen co-ordination structures at all levels and improve local level support for the long term.
  - Are there co-ordination structures in place that allow CECs to be supported, either by each other or by a local body? If not what resources and materials would be available and necessary to establish such support structures?
  - Are there national CEC structures, e.g. a national parent-teacher association? Are all or most local CECs affiliated with these? What level and kinds of support do they receive from the national body?
  - Are there teachers' unions? What role do they play in the management of learning processes and systems? How can a collaborative relationship be developed between unions, educational authorities and CECs?
- Monitor the impact of CECs at a systemic level.
  - What are the goals for the CECs? How are differences in goals and values accommodated?
  - What are the best indicators of CEC effectiveness?
    - Number of meetings held?
    - Variety of issues addressed?
    - Level of authority mandated?
    - Gender parity?



- Capacity for fund raising?
- Tasks and objectives accomplished?
- Others?
- Are monitoring/reporting mechanisms already in place, or do they need to be developed? If in place, do they need revision?
- At what level should the reporting mechanisms be set? To whom do CECs report – education system officials, funding agencies, community members? If not, what mechanisms ensure accountability? Wherever possible all activities should be part of an appropriate decentralization process.
- What do CECs report on?
- What follow up actions are needed to improve the performance of CECs?
- Involve the wider national and international communities.
  - What local, national and international CECs, NGOs, agencies, or other civil-society organizations are available to assist in management and capacity-building processes? How can the educational authorities utilize the skills/knowledge of these bodies most effectively?
  - Have universities, institutes of education and/or management or teacher-training institutions been consulted in plans to improve quality and learning achievement?

**4. Use community education committees, as possible and appropriate, to assist in return and reintegration.**

- Do CECs have the capacity to assist both returnees and local populations in reintegration?
- What resources do they have available to facilitate this task? What resources do they require?
- Are returnees adequately represented on the CECs?
- Are CECs addressing the specific educational and psychosocial needs of returnees? Are they addressing potential problems of reintegration?

# TOOLS AND RESOURCES

## 1. Evaluation of community involvement

This chart can be used to assess the current level of community involvement and to help determine objectives for further community participation.

<b>Manipulation: Communities are manipulated.</b>	<ul style="list-style-type: none"> <li>• Communities do not understand the issues with which they are confronted.</li> <li>• Communities are not given feedback on actions taken.</li> <li>• Problem analysis is not shared with community members.</li> </ul>
<b>Decoration: Communities are used as needed.</b>	<ul style="list-style-type: none"> <li>• Communities are not involved with the root of the problem; their participation is incidental.</li> <li>• External providers use community members to support their cause in a relatively indirect manner.</li> </ul>
<b>Tokenism: Communities are used in a perfunctory or merely symbolic way to give the appearance of real participation.</b>	<ul style="list-style-type: none"> <li>• Communities appear to have been given a voice, but in reality have little or no choice about the subject matter.</li> <li>• Communities have little or no opportunity to formulate their own opinions.</li> </ul>
<b>Communities are assigned but informed.</b>	<ul style="list-style-type: none"> <li>• Communities are given complete, accurate information about their actions, and understand why their participation is needed.</li> <li>• They know who made the decisions concerning their involvement and why.</li> <li>• They have a meaningful role to play in the development of a project.</li> <li>• They volunteer for a project after having been given all the necessary information.</li> </ul>
<b>Communities are consulted and informed.</b>	<ul style="list-style-type: none"> <li>• Projects are run and designed by external agencies, but communities understand the process and their opinions are treated seriously.</li> </ul>
<b>Communities participate in project implementation.</b>	<ul style="list-style-type: none"> <li>• Decisions are initiated externally.</li> <li>• Communities have a high degree of responsibility, and are involved in the production and design aspects of projects.</li> <li>• Communities contribute their opinions before final projects are implemented.</li> </ul>
<b>Communities initiate and direct decisions.</b>	<ul style="list-style-type: none"> <li>• External agencies do not interfere or direct community-run projects.</li> </ul>
<b>Communities initiate, plan, direct and implement decisions.</b>	<ul style="list-style-type: none"> <li>• The community develops decisions and projects.</li> <li>• Actions are implemented by the community.</li> </ul>

Source: Adapted from Hart (1992: 8-16).

## 2. Mapping of community leadership and organization

Community leadership and organization	Skills and knowledge	Disposition towards participation in management of schools
<p>Community leadership groups may include:</p> <ul style="list-style-type: none"> <li>• Religious groups</li> <li>• Political leadership</li> <li>• Women's groups</li> <li>• NGOs</li> <li>• Businesses</li> <li>• Small enterprises</li> </ul>	<p>These groups may have some of the following management skills:</p> <ul style="list-style-type: none"> <li>• Accounting</li> <li>• Technical knowledge</li> <li>• Craft manufacturing</li> <li>• Construction</li> <li>• Cultural knowledge</li> </ul>	<p>Groups may have these attitudes towards participation:</p> <ul style="list-style-type: none"> <li>• Favourable</li> <li>• Hostile</li> <li>• Cautious</li> <li>• Neutral</li> </ul>

## 3. Checklist of potential community resources and capacities

COMMUNITY RESOURCES	POTENTIAL COMMUNITY CAPACITIES IN EDUCATION
<b>INSTRUCTION AND EXTRACURRICULAR ACTIVITIES</b>	
<ul style="list-style-type: none"> <li>• Individuals specialized in certain subjects, i.e. farming, crafts, construction</li> <li>• Literate individuals who have had some schooling</li> </ul>	<ul style="list-style-type: none"> <li>• Cultural and recreational topics</li> <li>• 'In-kind' support (labour, construction, maintenance, school environment)</li> <li>• Teachers' aides</li> </ul>
<b>MANAGEMENT</b>	
<ul style="list-style-type: none"> <li>• Community education committees</li> </ul>	<ul style="list-style-type: none"> <li>• Solving conflicts between school and community</li> <li>• Monitoring attendance and work of teachers and principals</li> <li>• Developing productive links to government authorities and other external agencies</li> </ul>
<b>INDIRECT SUPPORT FOR SCHOOL WORK</b>	
<ul style="list-style-type: none"> <li>• Community members, CECs</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure children's attendance, completion of homework, nutrition and health (readiness to learn)</li> <li>• Value given to education</li> <li>• Support for girls' education</li> <li>• Talking to elders of families not sending children to school</li> <li>• Getting drop-outs back into school</li> </ul>
<b>FINANCE</b>	
<ul style="list-style-type: none"> <li>• Direct monetary contributions</li> <li>• Individuals, CECs</li> </ul>	<ul style="list-style-type: none"> <li>• Money used for school maintenance or schools supplies</li> <li>• Fund-raising abilities</li> </ul>

## 4. INEE minimum standards for community participation<sup>1</sup>

### Standard 1

Emergency-affected community members actively participate in assessing, planning, implementing, monitoring and evaluating the education programme.

### Key indicators

- The emergency-affected community, through its chosen representatives, is involved in prioritizing and planning education activities to ensure effective delivery of the education programme.
- Children and youth are involved in the development and implementation of education activities.
- The community education committee holds public meetings to conduct social audits of education activities and their budgets.
- Training and capacity-building opportunities exist for community members, including children and youth, to manage education activities.

### INEE minimum standards guidance notes

- **Community involvement in designing education responses**

All governmental and nongovernmental agencies should agree upon and establish procedures for ensuring community participation in designing education responses. These procedures should be an essential part of the immediate response from day one, and should include the use of participatory methodologies to rapidly establish: (a) the immediate education needs of diverse sub-groups (children, youth and adults); (b) available human capacity and time, as well as financial and material resources; (c) power dynamics between sub-groups, including language groups; (d) security limitations; (e) safe locations for education provision; and (f) strategies for integrating relevant life-saving educational messages into all aspects of emergency relief.

- **Local education action plan**

The community and the community education committee may prioritize and plan education activities through a participatory grass-roots planning process that reflects the needs, concerns and values of the emergency-affected people, particularly those belonging to vulnerable groups. The result of this planning process is a community-based education action plan.

An education action plan may have several objectives, including but not limited to: (a) developing a shared vision among actors of what the learning environment might become, articulated through activities, indicators and targets; (b) gaining agreement and shared commitment among actors on priorities for improving specific conditions

1 Source: INEE (2004 : 16-18).

in the learning environment; and (c) articulating a plan of action with specific tasks and responsibilities that various stakeholders are to fulfil within given time periods, in order to accomplish targets outlined in the plan.

Local education action plans should define the collaborative roles of all stakeholders, including supporting agencies, community education committees and education programme stakeholders. Action plans should also incorporate a code of conduct to ensure regular community monitoring and assessment and help to establish a culture of involvement to sustain broad community participation. This may include areas such as planning, child protection, promoting the participation of girls and women and persons from vulnerable groups, implementation of teaching and learning activities, supervision, monitoring, resource mobilization, recruitment and training of staff, infrastructure, maintenance and development, co-ordination with relevant external agencies, and integration with health, hygiene, nutrition, water supply and sanitation interventions, where appropriate. It is important that all community members have access to information so that they can advise their community education committee how to manage the education programme effectively.

- **Children’s participation in education activities**

Article 13 of the United Nations Convention on the Rights of the Child (CRC) gives children the right to have a say in matters affecting their own lives, to prepare for their responsibilities in adulthood. This article is applicable to all children in all emergency situations, including chronic crises and early reconstruction.

Learners, especially youth and adults, should be involved in the development and management of the system providing their education. Children must be trained in practices that help protect themselves and other children in their community. Training should emphasize their capacity to participate constructively and initiate positive change, e.g. suggesting improvements in school activities or reporting and preventing abuse within the learning environment. Tasks that arise during emergencies (e.g. providing recreational activities for children and youth) can be used to involve young people, especially those not attending schools, in activities that are important for the community. This gives them positive alternatives in the face of negative influences such as crime, armed groups, etc.

- **Social audits**

These are community-based evaluations of the education programme. They should be conducted to assess its human, financial and material inputs, identify what is still needed and what is actually available and, among other aspects, monitor the effectiveness of the programme. It may not always be possible to conduct social audits during the onset or mid-term stages of an emergency. However, once an emergency has stabilized (e.g. long-term chronic crisis or early reconstruction stages), social audits provide communities with an opportunity to build their capacity to more effectively monitor their education programmes.

- **Capacity building**

It is not realistic to expect community members to have the technical capability to manage and own education activities without adequate and appropriate training and mentoring. Training programmes should assess community capacity and identify training needs and ways to address these needs. In addition to capacity building for members of the community education committee, education programmes should involve community members in the work of education programmes and provide training, in order to promote the quality and sustainability of their support.

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CHAPTER **32**

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▪ SECTION 6



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning



# STRUCTURE OF THE EDUCATION SYSTEM

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To assess existing management structures and their responsiveness to emergency needs. If necessary, to establish interim management structures and processes until more permanent arrangements can be made.**
- **To provide a coherent and sufficiently resourced system of quality instruction and learning opportunities to all children and youth.**
- **To ensure that learners and teachers are provided with proper management support, that is, adequate levels of material resources and instructional conditions conducive to effective learning on a stable and ongoing basis.**

### CONTEXT AND CHALLENGES

The provision and management of education is a primary responsibility of government, or other authorities that are temporarily performing governmental functions. Effective management requires sufficient resources and personnel, training, accountability and transparency, equity and sustainability. Depending on the specifics of the emergency, management may have to be localized, or broadened, to include non-government actors to a much greater extent than in more stable situations. Thus, where the governing authority has limited legitimacy or capacity, key functions may be managed by other entities. When multiple and new actors fill service gaps, however, much more co-ordination is needed. These new actors should work in close consultation with national and local authorities, so far as possible. In addition, management functions should be progressively (re)turned to legitimate national and local authorities to the extent possible and as capacity is developed.

The demands on education in emergencies are greater than in non-emergency contexts, with many arrangements having to be developed in emergencies even as normal management structures are likely weakened. Thus, for example, in addition to formal instruction in literacy, numeracy and more advanced subject matters, children and youth are likely to need psycho-social interventions, life skills and, in some cases, vocational skills. Children and youth in emergencies are also less likely to be able to learn in conventional instructional settings with conventional approaches and timetables; they may need more student-centred instructional approaches, which in turn require more training for teachers. In the absence of a powerful

authority to ensure compliance, the participation of affected populations/beneficiaries in the design and/or provision of management structures is likely to be an important factor in the success or failure of implementation.

Civil conflict is particularly likely to disrupt education in a heavily centralized system, as conflict-affected areas are likely to be cut off from central management and support. Resumption of normal management operations is likely to be complicated by any civil conflict. In such a context, even decisions of a technical nature are easily politicized, for social consensus has broken down.

Civil conflict is also likely to divert resources and political attention away from education toward resolution of the conflict. On the other hand, the near universal importance attached to education means that reconstruction of education can serve as a means for parties in conflict to work together. Natural disasters are likely to disrupt the normal governance structure in the areas affected. Resumption of normal management is not ordinarily as complicated as in civil conflicts, and is likely to be a more straightforward matter of simply rebuilding.

In the heat of an acute emergency, temporary, ad hoc, localized management by the best available agencies may be the best that can be done. In displacement situations, educational activities are likely to begin less formally, with recreational/psychosocial and simple educational activities. With greater stability, more structured educational activities are possible. Families want the interrupted school year completed as soon as possible.

Temporary management structures may become semi-permanent in protracted emergencies. Longer-range issues such as funding and sustainability, legitimacy, quality, capacity, institutionalization, relevance and credentials, as well as provision of higher levels of education then come to the fore.

The ongoing nature of chronic emergencies requires that interim structures be established to resume as near to normal educational conditions as possible, under conditions understood to be temporary. Interim arrangements (both at national as well as local levels) should be planned on the basis of later integration into larger or permanent education authority structures.

Re-integration of returnees into a structure adversely affected by conflict or disaster is difficult and additional resources may be needed, including the support of civil society and external agencies.

In reconstituting educational structures, there will be a tendency to rebuild previous structures rather than to refashion structures according to current or future needs. Yet, in many places, normal management structures are not sufficiently effective, efficient, transparent or equitable. In fact, inequity in educational provision, as well as aspects of education content, may have contributed to conflict (Smith and Vaux, 2002; Bush and Saltarelli, 2000). An emergency may therefore provide an opportunity to restructure education in a way that better meets system goals (Pigozzi, 1999).

Traditionally, planning begins at the national or system level where system goals are defined. It then moves progressively lower in the hierarchy to local levels, where the steps necessary for the local unit to contribute to system goals are specified. In pedagogical terms, a strong argument can be made for reversing that order. In such a view, the effectiveness of the structure of an educational system would be evaluated by the extent to which it supports classroom instruction. From this perspective, structures that do not foster effective classroom instruction should be eliminated or reorganized.

The starting point for design of education system structures is thus the classroom, followed by structures that provide direct support of the classroom through the traditional hierarchy. Such an approach may be particularly effective in planning educational responses in emergency contexts, where national or systemic structures may be inoperable, or unable to reach learners and teachers most directly affected by emergency.

Educational planners may find it useful to begin the work of structuring an education ministry after a conflict with a 'functional analysis' of the system, also known as a 'management audit'. IIEP has published an excellent manual to help with that process (Sack and Saidi, 1997).

**Decentralization.** This is often suggested as a strategy for restructuring, but this strategy is more usefully understood when considered in terms of desirable criteria. When considering decentralization, it is useful to determine which functions should be located where in the system for maximum benefit, in terms of effectiveness, efficiency, responsiveness, transparency and empowerment, for example. In principle, a function should be located at the level that has the information and capacity needed to carry out the function and is closest to the principal activity of the sector (i.e. classroom instruction).

### STRUCTURE OF THE EDUCATIONAL SYSTEM: DEFINITIONS

'Decentralization', 'community support of schools', and 'local control' are all names given to the transfer of the authority (and responsibility) for the financing or governance of schools to a sub-national agency. Such transfer can take the form of: (a) deconcentration; (b) delegation; (c) devolution; and (d) privatization. The degree of decentralization or a nation's place on the continuum from extreme centralization to extreme localization (privatization) is indicated by which authority has been transferred, to whom, and to whom the decision-makers are responsible.

'Deconcentration' is the transfer of authority to lower levels of governance within the central government, for example, regional ministry of education offices. This model gives specific duties and responsibilities to its authorities at decentralized levels, all the while maintaining its overall authority at a centralized level.

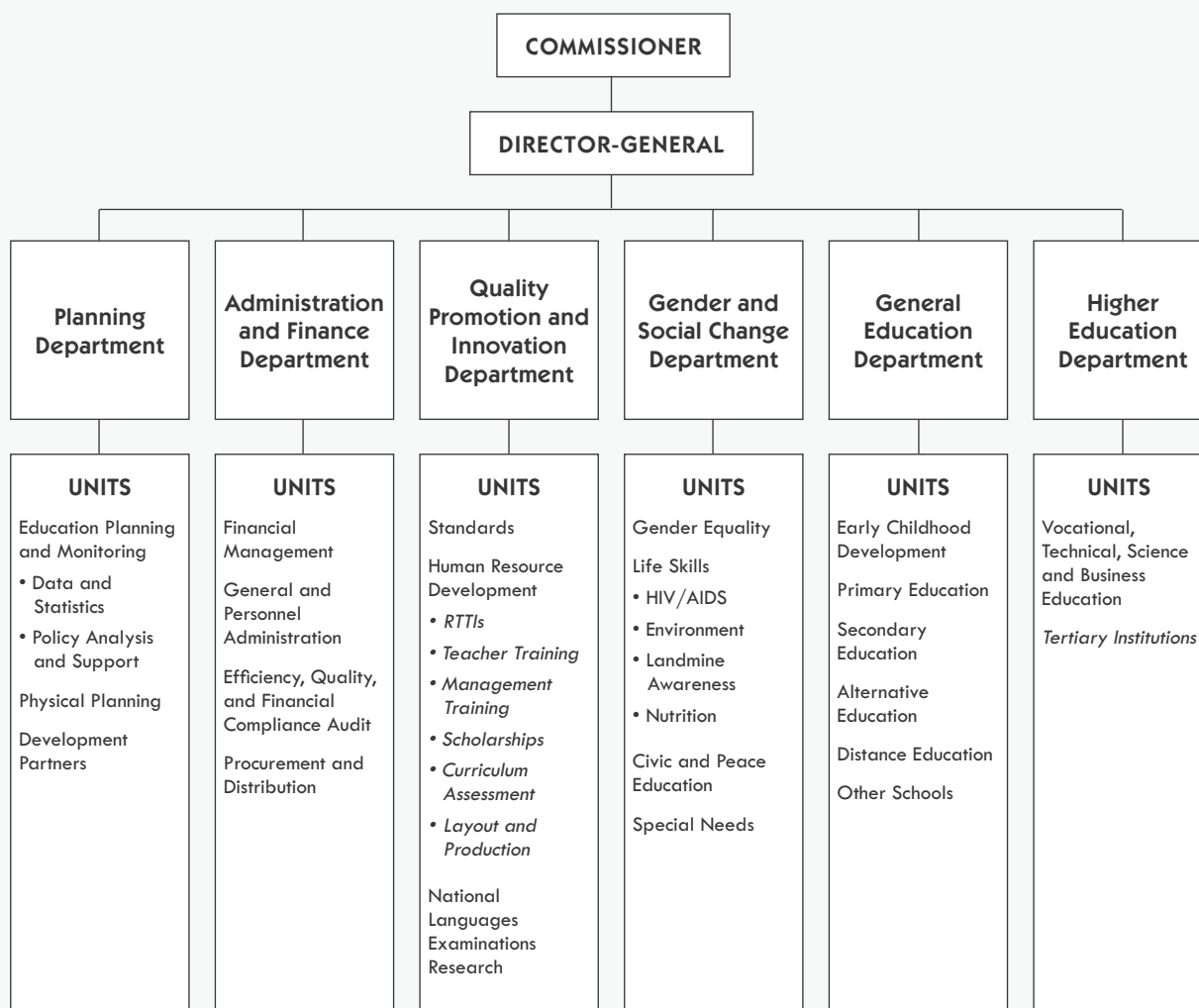
'Devolution' is the transfer of authority to a sub-national unit of government. Local levels of government have significant decision-making autonomy based on policies established at a central level.

Sources: Kemmerer (1994); Sullivan-Owomoyela (2004: 5).

The emerging education system in southern Sudan illustrates some of these principles:

## SOUTHERN SUDAN SECRETARIAT OF EDUCATION ORGANIZATION CHART

Please note: Italicized text denotes the *proposed* placement for a unit or office





## SOUTHERN SUDAN: SECRETARIAT OF EDUCATION STRUCTURE, STRENGTHS AND INNOVATIONS

The Secretariat of Education (SoE) organigram suggests a strong guiding central structure that supports autonomy at the regional, county, and payam levels to: 1) set the education agenda and define plans and programme, 2) administer and manage human resources and 3) plan financial expenditures in the near future. By organizing the central levels in this manner, the SoE is able to use its central level structure to foster autonomy of education programming at the most important level – the community.

In southern Sudan, the ‘STAR Education and Economic Rehabilitation Program’ focuses on assisting populations to transfer from ‘relief to development’ programming that targets capacity building of local authorities (county development committees) and civil society. The focus of the programme is to strengthen decentralized local authorities to have the capacity to undertake school rehabilitation, promote increased community involvement, and enhance gender equality (e.g., recruiting of female teachers) in the education system. Concretely, the Secretariat of Education creates guidance and approval for school selection and develops the policy framework. It is then the responsibility of school management committees to help construct schools, mobilize resources and make financial and administrative decisions for the school.

The proposed SoE structure in Sudan follows a systemic model that contains both deconcentrated and devolved elements to ensure the utmost flexibility in responding to society’s needs at the most important level – the community. The proposed model also allows for increased systemic devolution over time as systems capacity and infrastructure are gradually put in place.


Sources: Sullivan-Owomoyela (2003: 5); Sullivan-Owomoyela (2004: 4-5).

Rehabilitation and reconstruction of the education system in an emergency-affected area is a major undertaking. The World Bank (2005: 42-45) puts forth the following measures to be considered when reconstructing an educational system.

- **Early policy and system reform preparation.** This may include technical work on Education Management Information Systems (EMIS), a review and diagnosis of current educational legislation and regulations, or the analysis of resources.
- **Role of political leadership.** Leaders should provide clearly defined objectives for education, encourage educational actors to work towards them, and thus push the reform forward.
- **Consolidation of authority.** This may include rationalizing and modernizing ministries of education as well as implementing capacity-building programmes for central and district education offices. In this way, as decentralization progresses officials will have the capacities needed to assume their new responsibilities.
- **Societal consensus building.** This may involve national consultations or campaigns.

- **Balanced approach to reform.** “System reform requires a careful balance of building on the foundations of the previous system without reproducing the highly centralized control and inefficiencies typical of the past” (World Bank, 2005: 44).
- **Strengthening schools and community linkages.** Particularly important when the authority of the government is being consolidated, this may include programmes promoting community involvement, or the use of local level incentives.

## SUGGESTED STRATEGIES



**Summary of suggested strategies**  
**Structure of the education system**

1. **Assess the impact of the emergency on educational management in crisis-affected areas**
2. **Based on the assessment, make any needed modifications to existing management structures or establish new ones.**
3. **Establish and clarify relationships with external bodies or agencies.**
4. **Manage and monitor effective reintegration of returnees.**
5. **Develop a structure to support the education system in the post-emergency situation.**



## Guidance notes

### 1. Assess the impact of the emergency on educational management in crisis-affected areas

- Identify and assess existing management structures and education providers.
  - At the macro level of the educational system, what management structures are in place?
  - What intermediate management structures are functioning at regional, district and sub-district levels?
  - What local management structures are being used? Are community education committees (CECs) operating? (See also the *Guidebook*, Chapter 32, 'Community participation'.)
  - What other agencies or bodies, if any, are involved in providing and managing education (understood broadly to include a range of formal and non-formal activities) in the areas affected by the emergency?
- Assess how well the system is functioning in terms of the core functions of an education support structure.
  - Curriculum – overall co-ordination and quality, provision of textbooks, teachers' guides, other instructional aids, etc. (See the *Guidebook*, Chapter 20, 'Curriculum content and review processes'.)
  - Personnel – hiring, deployment of teachers, pre-service and in-service training, instruction support (as opposed to traditional inspection), on-time provision of salaries, reasonable terms of service, local administrators, etc. (See the *Guidebook*, Chapter 15, 'Identification, selection and recruitment of teachers and education workers', and Chapter 18, 'Teacher training: teaching and learning methods'.)
  - Finance – sufficiency, equity, transparency and accountability, sustainability. (See the *Guidebook*, Chapter 35, 'Budget and financial management'.)
  - Oversight in terms of system goals – quality, equity, sustainability, relevance, learning and other outcomes, other values.
  - Access – ensuring access to all at basic levels; ensuring fair access at higher levels; equity, especially in terms of gender and among disadvantaged groups. (See the *Guidebook*, Chapter 5, 'Rural populations', Chapter 6, 'Gender' and Chapter 14, 'Post-primary education'.)
  - Monitoring, evaluation and utilization of such information to improve the education system – at student, school, office, and system levels. (See the *Guidebook*, Chapter 28, 'Assessment of needs and resources'.)

- Analyze management structures and functions, in terms of effectiveness.
  - Consider developing a matrix of levels of the system and other actors in education along one axis, with effectiveness questions (by education management function), across the other. In this way, the management of the system can be visualized. (See the sample management matrix in the ‘Tools and resources’ section of this chapter for an example.)
  - What problems does the analysis of management structures compared to effectiveness reveal?
    - What functions or levels/agencies need strengthening?
    - What functions need co-ordination?
    - Whose roles and responsibilities are unclear?
    - Are there any areas of duplication and overlap?
    - What gaps exist?
    - Are existing structures able to respond quickly and flexibly to the needs of an emergency, or is there a need to create an additional emergency response structure?
    - How vulnerable are different functions to further disruption, e.g. renewed fighting?

**2. Based on the assessment, make any needed modifications to existing management structures, or establish new ones.**

- Consider management structures that will best respond to immediate needs as well as build capacity for the future.
  - What functional-structural areas need revision?
  - What are the priorities among these areas?
  - Which problems, if any, are best addressed by creation of new or revision of existing management structures? Such structures would vary, depending on the needs of the system and the levels involved, but might include community education committees at local levels, oversight offices at district levels, co-ordinating bodies at national levels, donor liaison officers within central educational authorities, etc.
  - What resources are required and available to create/revise management structures?
  - How, in the process of restructuring, can participation of beneficiaries and the broader civil society be encouraged in decision-making and provision of educational services?
    - How can fair representation of marginalized and traditionally under-represented groups be ensured?

- What opportunities does restructuring provide to improve the functioning of the system? Is this, for example, an opportunity to improve accountability or gender parity, for example?
- What steps can be taken to minimize disruption to the education system in case of future emergency or to prepare for possible crises?
  - Will the envisioned structure be able to respond to emergency needs, or will a more responsive and flexible unit/capacity need to be created?
- Ensure responsiveness to emergency needs.
  - How can the system, particularly at macro levels, be as flexible as possible to meet new needs without compromising accountability? For example, how can a system deploy funds rapidly to areas affected by emergency, and ensure that such funds are used for the intended purpose, without the standard cumbersome system of oversight?
  - At the micro level, have changes in teaching methods or the content of materials been made to prepare students and their families and communities for actual conditions they are likely to face, or likely future emergency conditions? For example, has the system introduced, where appropriate, a mine awareness programme? Is the system prepared to introduce such programmes rapidly in response to emergency needs?
  - Are backup copies of important documents (records, teaching materials and aids) kept in a secure location in case of damage to the education ministry or (in the case of administrative records) regional offices?
- Establish new/interim/local management structures. (See also the *Guidebook, Chapter 32, 'Community participation'* for a discussion of the role of community education committees (CECs).)
  - What roles should CECs play, consultative or decision-making as well? At what level(s) of the system?
  - Who should serve on the CECs (e.g. parents, teachers, ministry officials, leaders of important social groups, students, NGO leaders, etc.) in order to adequately represent all important actors and stakeholders, yet yield a manageable group?
  - How can members be chosen in a legitimate way that ensures adequate representation on the part of all?
  - Have roles and responsibilities of different groups been clearly specified? Do all important actors understand their roles and responsibilities?
  - What training and technical assistance is needed for all key actors to be able to carry out their functions?
  - What resources are needed for the different groups to do their work?

### **3. Establish and clarify relationships with external bodies or agencies.**

- How do the management structures established in the acute phase – such as management structures of schools run by NGOs or separate government structures set up to respond to the emergency – interact with other, more permanent or pre-existing organizational and sectoral entities? Are there any particular problems or constraints? How can these best be addressed?
- Does the way donors structure their systems affect education management structures? Has this affected the efficiency of the management process? For example, do donor reporting requirements oblige educational authorities to spend substantially more resources gathering and processing data for the donor than needed to manage their own system?

### **4. Manage and monitor effective reintegration of returnees.**

- Do any additional structures need to be established to support returnees in their reintegration?
- Do existing structures need additional capacity or resources?
- Which agencies or bodies are best placed to assist most effectively? Where do these agencies/bodies fit within the existing structure?
- What mechanisms exist (or must be created) to ensure that reintegration takes place as planned?

### **5. Develop a structure to support the education system in the post-emergency situation.**

- (De)centralize system structures appropriately.
  - What decentralization has taken place during the emergency? In what ways has the original structure changed to accommodate the decentralization process?
  - What is the overall plan for decentralization?
    - What is the intended location of the different functions of the education system?
    - What functions need to be decentralized for the system to work better, for example, provision or distribution of textbooks, teacher posting, school construction and maintenance, financial accounting, supervision, etc.?
    - Which functions need to be centralized?
  - How will transfer of responsibility take place?
    - Will those responsible for new functions be given the authority, responsibility, resources, and training necessary to carry out their new duties?
    - Is the decentralization plan realistic?

- Has the plan been communicated clearly to all concerned: civil servants, teachers, communities, donors, NGOs?
- How effective has the decentralization been in terms of delivery to the beneficiaries – that is the learners? For example, has a financial decentralization process aimed at ensuring that teachers’ salaries are paid on time been effective?
- What mechanisms are in place to monitor the efficacy of the decentralization process, and to make corrections if necessary?
- Develop a structure to support the education system over the longer term.
  - Are the functions now in place effectively located *vis-à-vis* centralization or decentralization?
  - How is the effectiveness of management structure monitored?
  - Have gender equity and fair representation of minority groups been achieved within management structures? If not, how might this be addressed most effectively?
  - Are periodic reviews of the system structure and its efficacy part of the ongoing strategic planning process?
- Ensure accountability.
  - Does the structure of the system ensure accountability, but remain responsive to the needs of the beneficiaries?
  - What systems are in place to monitor accountability of the various functionaries at each level?
  - What follow-up measures are needed to ensure accountability?

# TOOLS AND RESOURCES

## 1. Sample management matrix

Planners may find it useful to develop a matrix, perhaps adapting the following example, as a basis for understanding the effectiveness of the different functions of educational management. The example considers levels of the system and other groups involved in education along the vertical axis, and a series of questions as to responsibility and effectiveness across the top. Similar matrices might be developed for other functions of educational management, such as personnel; teacher supervision and instructional support; finance; oversight of system goals; access; monitoring and evaluation.

FUNCTION: CURRICULUM					
RESPONSIBILITY AND EFFECTIVENESS	Who is responsible? For what?	Who else is involved? How?	How effectively is it functioning?	What is the problem? Lack of clarity of task and role? Gaps? Duplication? Lack of co-ordination? Lack of know-how? Lack of resources? Insufficient accountability?	Comment
<b>LEVEL OF SYSTEM</b>					
<b>Central educational authorities</b>	<ul style="list-style-type: none"> <li>Overall co-ordination and quality</li> <li>Provision of textbooks, teachers guides, other instructional aids</li> </ul>		<ul style="list-style-type: none"> <li>High quality</li> <li>Uneven coverage of schools (some schools have too many textbooks, others too few)</li> </ul>	<ul style="list-style-type: none"> <li>Lack of timely accurate data on numbers of children, numbers of textbooks needed</li> </ul>	<ul style="list-style-type: none"> <li>Data collection system needs work</li> </ul>
<b>Regional educational authorities</b>	<ul style="list-style-type: none"> <li>Distribution in appropriate numbers to districts</li> </ul>				
<b>District educational authorities</b>	<ul style="list-style-type: none"> <li>Distribution in appropriate numbers to schools</li> </ul>			<ul style="list-style-type: none"> <li>Districts rely on schools for data</li> <li>No capacity to check</li> </ul>	<ul style="list-style-type: none"> <li>Will need to train school staff</li> </ul>
<b>School educational authorities</b>	<ul style="list-style-type: none"> <li>Distribution to students</li> </ul>			<ul style="list-style-type: none"> <li>Schools lack guidelines on data collection <i>vis-à-vis</i> textbooks</li> </ul>	<ul style="list-style-type: none"> <li>Need training</li> </ul>
<b>Community</b>					
<b>International funding agencies</b>		<ul style="list-style-type: none"> <li>World Bank loan supports curriculum revision</li> </ul>			
<b>NGOs</b>		<ul style="list-style-type: none"> <li>Advocacy for special curricula – life skills, peace ed, HIV/AIDS</li> </ul>			
<b>Others</b>					

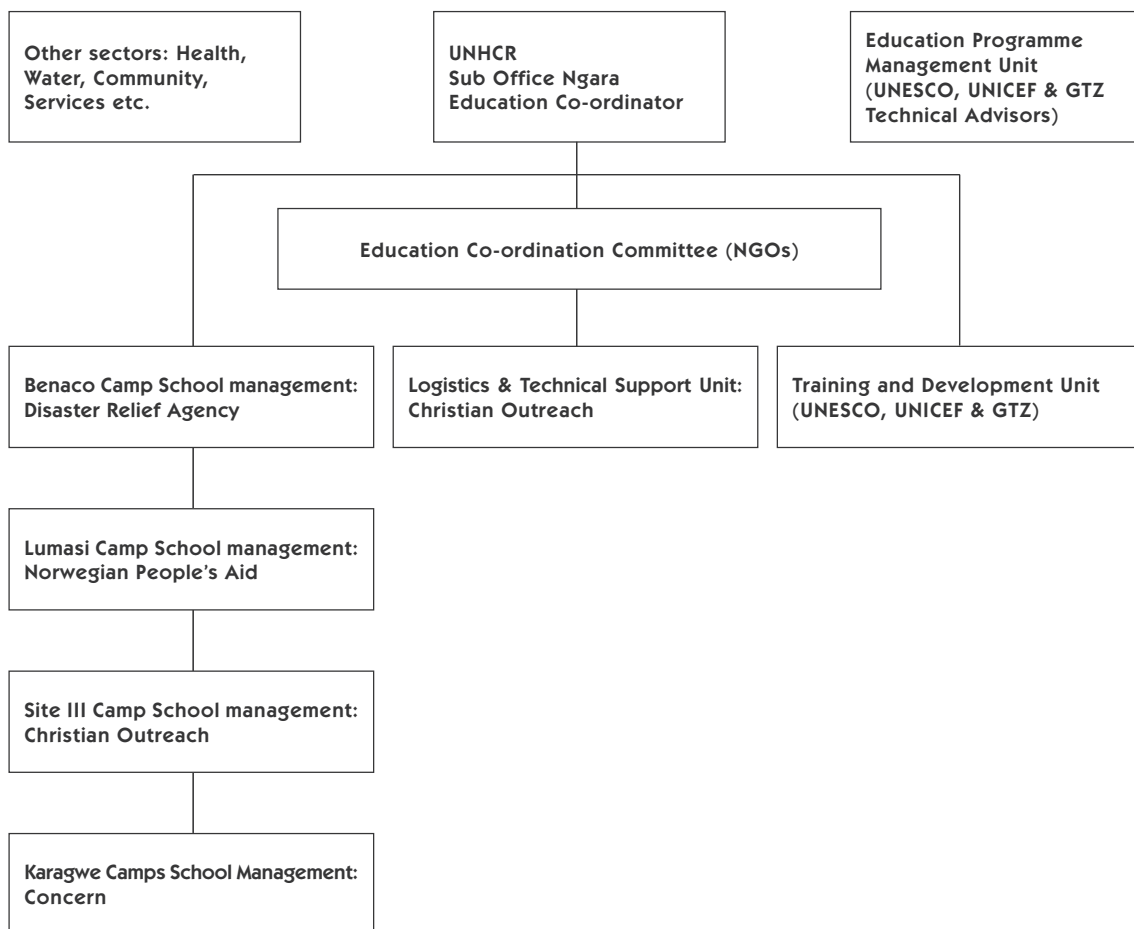
## 2. Sample organization charts of education systems

### Organization chart for Kagera region:

#### Education in Emergencies Programme for Rwandan Refugee Children

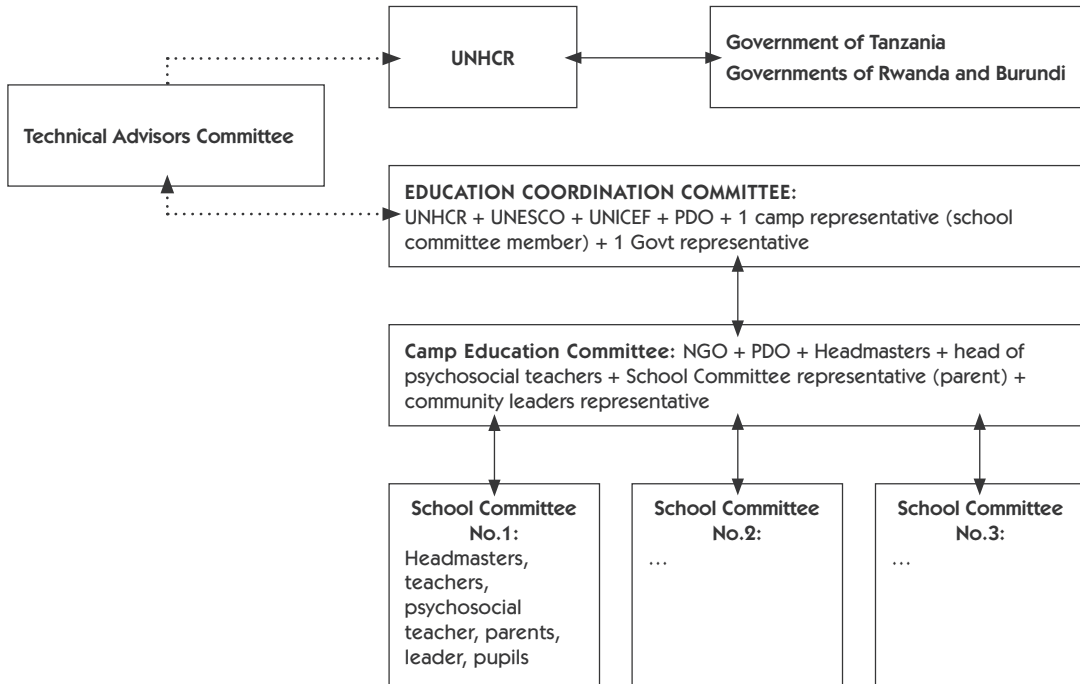
This is the first organization chart of the educational structure used in the Rwandan refugee camps in the Kagera region of Tanzania in 1994. It was a very top-down structure that gave little chance for refugee participation or decision-making (note that they are not even represented in the diagram). The second organization chart below indicates the change in thinking towards a more participatory approach where decision-making has been decentralized, giving much more authority to the refugees.

Source: Bird (2003: 66).





## Organization chart of revised education management structure, Ngara



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CHAPTER **33**

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▪ SECTION 6



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning

# BUDGET AND FINANCIAL MANAGEMENT

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To ensure that adequate financial resources are mobilized and effectively managed to meet the needs of all learners, especially those affected by emergency.**
- **To work toward the long-term financial viability of a reconstructed education system – one with sufficient inputs that is sustainable and transparent.**

### CONTEXT AND CHALLENGES

The national government is, in principle, responsible for the provision of education to all children within its territory. In emergencies, however, states may need outside assistance to cope with immediate needs such as rehabilitation or reconstruction of facilities, supply of educational materials and textbooks and provision of education to a large number of refugee or displaced children.

The development of budgets and management of finances for education is a principal responsibility of the education and finance ministries. Emergencies may limit or reduce the domestic resources available to the education system, both public and private, so educational authorities will be faced with challenges such as reallocating existing resources or encouraging communities to mobilize additional resources to help with the provision of education to their children. Emergency situations often result in the possibility of significant additional financial resources being brought into the country by international agencies – both as part of the humanitarian response and in support of reconstruction.

In times of emergency, there may be other channels for education funding and support, depending on the nature of the crisis. In some cases, territory may be under the control of an authority other than the national government, which may organize education using resources mobilized independently. In other cases, the national or local education administration may have been so severely disrupted that substantial financial management responsibilities fall to outside bodies such as the United Nations. Quite often, the government is dependent on international donors for funding. Especially in conditions of

insecurity, and when reconstruction begins, there may be field-level programmes supported by international and national NGOs, with independent funding. Such programmes should be managed in as close a consultation as possible with national and local authorities. Thus, as possible and in co-ordination with the development of capacity, control over budget and finance should be progressively transferred to legitimate national and local authorities.

Educational authorities must seek involvement in education funding decisions, even when significant resources are not directly under their control, in order to ensure that resources are used in the interests of all learners, and in order to minimize unintended consequences on the national education system, such as the negative effect associated with salary scales that are unsustainable.

In the early phases of an emergency, the education authority may experience severe budget cuts as resources are redirected to conflict. Physical and human resources may be targeted or damaged and depleted by competing forces.

Humanitarian agencies often provide financial and other resources to support refugee education through organizations and authorities other than the Ministry of Education. Refugees and agencies often support the establishment of educational institutions and the appointment of staff that were not foreseen in the host government's budget. It may be necessary to seek donor funding for projects in 'refugee-affected areas' that aim to bring educationally backward refugee-receiving areas up to the national standard for education.

When humanitarian funding declines, teachers appointed under refugee assistance programmes can place unsustainable salary demands on authorities and other providers. Standards of provision or teacher salary levels in refugee camps can create demands for additional funding for neighbouring communities to match standards of refugee provision. Teachers, schools, and communities may be displaced, which makes payment of teacher salaries, delivery of supplies, placement of personnel and supervision difficult. This lack of funding may lead teachers to resort to giving 'extra lessons' for students who can afford them, or to charging 'release fees' for examination results that promote children to the next grade.

IDPs in camps tend to set up schools and place demands on authorities for financial support. There may be administrative difficulties in transferring resources to these camps/settlements, even if there are no political problems in doing so. Salaries for teachers and educational civil servants may go unpaid during the emergency; there may be possible demands for back pay. Interim budgets rarely provide sufficient resources for teacher salaries; many work for stipends, food for work, or limited community support.

In protracted emergencies, refugee needs become more comprehensive and varied to include vocational, secondary, tertiary, non-formal training approaches. This places greater demands on educational authorities and other providers. Refugees, especially at secondary, vocational

or higher education levels, often attend local schools, which puts additional pressure on those schools. This may constrain access for local students unless additional classroom space and supplies are provided. Pressure on schools in areas not affected by conflict also creates demands for additional facilities and teachers. As much population relocation is rural to urban, sustained pressure is put on urban schools and the possibility of oversupply of teachers in urban areas and undersupply in rural areas.

Heavy dependence on community financing can result in inequitable access to education. Discrepancies in compensation or incentives that teachers received as refugees versus what they will receive as returnees can create long-term budgetary problems or unintended consequences, such as difficulties in recruiting or retaining teachers in areas of return.

Sudden return may put immediate, unforeseen pressure on regular budgets, which are often highly constrained. Returning refugee teachers may expect employment where no budgetary provision exists. Teacher salaries become a core issue at the reconstruction phase; possibilities of strikes grow as more teachers come back into the system and communications are restored. Teaching positions may become contentious, if there is an over-supply of teachers. Funding for in-service training of new teachers may be needed in rural areas, if there is an undersupply of experienced teachers.

## Budgets

There are three main phases to budget procedures:

### **Budget preparation:**

This step is undertaken by the Ministry of Finance who considers system objectives and their relation to both the annual plan and laws and contracts. The Ministry of Finance uses this information to establish budgetary guidelines, which are then taken into consideration by other ministries as they draw up their own budget.

### **Budget adoption:**

Proposed budgets are voted upon by governments.

### **Budget execution:**

The implementation of budgets is regulated by accounting procedures that may vary from country to country. Most regulations establish some automatic or semi-automatic mechanisms that aim to ensure that funds are used according to initial governmental authorizations of credits. In addition, budget frameworks prohibit the 'one time' use of funds and encourage expenditures to be regularly distributed throughout the budgetary cycle.



## Financial management

Once budgets have been prepared and approved by governments, the implementation of the expenditures must be carefully controlled. A system of control uses standards, institutions or mechanisms to multiply controls at all levels and phases of budgetary implementation.

**Standards** are a series of rules that ensure that persons responsible for the implementation of budgets do not misappropriate public funds for their own profit.

**Institutions** verify that the implementation of funds is in line with these standards, either before the implementation has started (*a priori*) or after it has finished (*a posteriori*).

**Mechanisms** are used to either suppress or change the standard, if implementation is shown to be inconsistent with the standards.

Source: IIEP (2005: 83).

The following actors contribute to the management and control of funds.

**Procurement officers** are those persons who are authorized to place the state under financial obligation. Generally, Ministers are responsible for their ministerial budget, and they then delegate responsibility for budgets to qualified assistant Procurement Officers, who are allowed to authorize expenditure on specific budget entries.

**Accountants** are responsible for making payments and recording them in accounts.

**Comptrollers** check that correct procedure is followed and that funds are available. Their approval is essential for an obligation to be valid, or for a supplier to be paid. They are often attached to the Ministry of Finance, but work directly for another ministry.

As a general rule, when procurement officers wish to effect payment, they must 'obligate' that payment, or earmark the corresponding sum for payment under the appropriate budget section. This must be done with the approval of the comptroller, who checks that it conforms to the budget line and makes sure that sufficient funds have been authorized.

Source: IIEP (2005: 85-86).

Within an educational system, the resources listed in the Ministry of Education budget are intended to be used for the benefit of schools, and the central and regional administrative authorities that run the system. The distribution of these resources varies from country to country, with some countries managing funds at a central level, and others managing funds at a local level, permitting schools themselves to make budgetary requests.

In emergency situations, international financial support may resemble a 'relief bubble'; large sums of money appear and are immediately used for relief efforts before any provision can be made for a longer term, more stable source of financial support. Given this sudden flow of

funds, it is not surprising that in many post-conflict contexts corruption and transparency in educational financial management are cause for concern. Increased transparency in resource allocation, as well as a greater control over resources, are essential to eliminating corrupt practices. (See the 'Tools and resources' section for a summary of corrupt practices and a list of preventative measure, against them).

In an emergency situation, the capacity to channel and manage expenditures may be reduced by a loss of personnel and collapsing or deteriorating information, communication and finance systems. Control over resources in the education system may be dispersed among different educational authorities or may weaken or shift as the system is disrupted. Control over domestic resources may also be largely exercised at district, community or school levels.

Domestic resource mobilization, if centralized, may be temporarily halted if the system is disrupted. Shifts in the flow of internal revenue and resources are likely to have significant implications for equity and quality of provision. Household and community resources are often required to fill funding gaps, with consequent implications for equity and quality.

Population displacement also disrupts the capacity of communities to mobilize resources. Mechanisms – information systems, communication systems and banking or financial transfer mechanisms – to manage distribution of resources, especially salaries, supplies and learning materials, may break down or function unevenly, resulting in misallocation, inefficiency and inequity. Communities are often not able to meet household costs and therefore cannot afford education for their children, even when direct costs are minimal.

A final element of financial management is that of the analysis of budgetary expenditure, used to help educational planners better understand in what ways the allocation of funds has helped (or hindered) the realization of educational policy. Traditional budgets can give a comprehensive understanding of the educational objectives and activities, depending on what budgeting techniques are used. An analysis allows planners to determine whether or not these objectives have been attained. This involves obtaining information on the structures of the educational system and the administration of education at different levels, and then identifying the expenditures at each of these levels.

Educational levels may include the following:

- Pre-school education.
- Basic education.
- Teacher training.
- In-service training and research.
- Literacy and adult education.
- General administration (central and regional).

In emergency settings, one might add the following:

- Educational provisions for refugees.
- Educational provisions for IDPs.
- Educational programmes for reintegration.

Basic expenditures may include:

- Teachers' salaries.
- Other staff salaries.
- Supplies and educational materials.
- School construction and maintenance.
- Transportation.
- Other running expenditures.

In an emergency situation, one might add the following:

- Re-establishment of infrastructures.
- Re-establishment of information and communication systems.

(See the 'Tools and resources' section for a sample expenditure table).

Once the necessary data is compiled, an analysis can provide information on the expenditure structure for the different functions of the basic educational system, the type of expenditure and the average expenditure by pupil and educational level.

By comparing the different findings of this analysis with the defined objectives for the development of the education system, progress towards these objectives is more carefully managed and measured.

## SUGGESTED STRATEGIES



### **Summary of suggested strategies** **Budget and financial management**

1. **When the country has been affected by an emergency, special attention should be paid to strengthening the education ministry's capacity for budgeting and financial management, to cope with the demands of emergency response and subsequent reconstruction.**
2. **Co-ordinate donor resources and educational provision.**
3. **Assess available resources and prioritize allocation of finances based on needs assessments.**
4. **Plan financing in light of the special considerations associated with the emergency conditions and link support to long-term plans.**
5. **Reduce household costs for education.**
6. **Mobilize additional resources to meet key financing gaps.**
7. **Monitor implementation of all expenditures to ensure accountability and transparency. Also, review expenditures based on issues of equity and sustainability.**

## Guidance notes

1. **When the country has been affected by an emergency, special attention should be paid to strengthening the education ministry's capacity for budgeting and financial management in order to cope with the demands of emergency response and subsequent reconstruction. External agencies may be willing to support this objective, which will facilitate the management of external assistance, as well as effective and transparent use of national resources.**
2. **Co-ordinate donor resources and educational provision.**
  - Are educational authority budget and finance specialists – both national and local authorities – involved in donor co-ordination meetings?
  - Are finance issues openly discussed and presented at emergency co-ordination meetings with United Nations agencies and NGOs?



### EARLY POST-WAR DONOR ASSISTANCE IN KOSOVO

When NATO's bombing stopped in June 1999, aid agencies flooded into Kosovo, competing for "funding, territory, and human resources" (Mattich, 2001: 8). NATO's and the United Nation's entrance was a media event, a sensational story, and it often seemed that every NGO and Western donor government wanted a part of the action. One Kosovar Albanian hired early by UNMIK called the arrival of NGOs from a wide array of countries an 'invasion'. Aid agencies experienced "an incredible pressure to act and be seen as 'doing something', which became "an impediment to pursuing participatory strategies" (Mattich, 2001: 33). A related factor was the urgency to rebuild the thousands of houses, schools, and hospitals that had been destroyed during or before NATO's campaign, before the cold winter months arrived. One aid official, who has worked in Kosovo since the summer of 1999, observed that one result was that "NGOs built with no community input". This applied to those previously involved with the parallel system of education. "During the parallel-system years", the official continued, "the Albanians did everything themselves". However, in this early post-war stage, "the expectation that the NGOs would do everything meant that Albanians could step back and let them do it". In the view of this official, and those of many Albanian educators interviewed, the opportunity to access the parallel system's potential to mobilize communities in co-ordination with international agents was lost, a precursor to what eventually surfaced as the distancing of parallel education officials from education decision-making. At the same time, there were some reports of good working relations between international agencies and Kosovar community members during this period. In addition, in villages where outside agencies were not present, Kosovar communities organized themselves to clean up and repair their schools.

Source: Sommers and Buckland (2004: 51).

- Is early agreement obtained on the basic scale for teacher stipends and salaries, including those for refugee and IDP programmes? (See also the *Guidebook, Chapter 16, 'Teacher motivation, compensation and working conditions'*).
- Is there clear guidance on spending priorities?
- Are efforts made to develop a coherent financing approach based on the expenditure limitations and specializations of different donors, agencies, and NGOs?
  - Is a strategy developed to link the financing approach to subsequent take-over by the government?
  - Where accommodations among immediate funders cannot be made, is the education authority able to refuse funding by external agencies or negotiate for reallocation of funds?

### **3. Assess available resources and prioritize allocation of finances based on needs assessments.**

- During the early acute phase, is there a rapid inventory of existing resources, especially teachers and potential teachers, within the affected populations? (See also the *Guidebook, Chapter 28, 'Assessment of needs and resources.'*)
- Assess available external and internal resources and how they are currently used. (See the 'Tools and resources' section for a sample 'Revenue sources' checklist.)
  - Are existing budgets reviewed and expenditures reallocated to the extent possible to reflect new priorities?
  - Are available mechanisms for allocating resources – especially teachers – reviewed and redesigned as necessary, to meet existing needs?
  - Are donors and agencies required clearly to indicate the resources they are able to mobilize and any limitations on the utilization of those resources?
  - Have likely funding gaps been identified and prioritized?
  - Are interim financing measures placed in the context of long-term resource and budgetary constraints?
- Optimize capacity and use of all available resources.
  - Are standard guidelines and norms developed for temporary learning spaces and school buildings, which can be upgraded as financing becomes available? (For example, classroom size could be specified to avoid donor support for undersized classrooms.)

- Are double shifts utilized as necessary to maximize the use of school facilities in congested areas? (Note that multiple shifts are unsatisfactory except for lower primary classes.)
  - Are teachers encouraged to teach double sessions, with salary supplements or additional incentives provided to multiple-session teachers? Are the hours of work this requires realistic?
- Are agreements negotiated with publishers to make temporary photocopies, when necessary, of sections of textbooks while publishing orders are under way?
- Is multi-grade teaching supported, including provision of training support, to maximize teacher utilization in rural areas?
- Are opportunities actively sought for sharing key resources, e.g. libraries, laboratories and teacher resource centres?
- Are incentives used to re-deploy teachers to the areas of greatest need?
- Are all possible local resources utilized in support of learning, including non-monetary resources?
- Align and prioritize the allocation of finances based on needs assessments.
  - For government programmes of reconstruction, are per capita costs of the previous system used as the starting point for calculating costs, including teacher salaries?
  - Are steps taken to be as systematic as possible when making financial decisions? For example, is available information from existing and emergency education management and information systems (EMIS) used and supplemented with information from rapid assessment, ongoing assessments, and sector analyses in order to make informed financial decisions? (See also the *Guidebook, Chapter 28, 'Assessment of needs and resources'* and *Chapter 34, 'Data collection and education management information systems (EMIS).'*)

#### **4. Plan financing in light of the special considerations associated with the emergency conditions and link support to long-term plans.**

(See the 'Tools and resources' section for a sample financial expenditure chart.)

- Is an early decision made as to who will be responsible for the payment of salaries and other recurring costs?

## FINANCIAL MANAGEMENT IN EAST TIMOR

“Within available funds, UNTAET [United Nations Transitional Administration in East Timor] and the donor community accorded a relatively high priority to the education sector. A World Bank paper on education outlined how, under the transitional administration, the sector was second only to infrastructure in public finance allocations. In 2000/2001, the amount available for education totalled US\$45.1 million. There were three main ways in which these monies were disbursed, respectively making up 30 per cent, 23 per cent and 47 per cent of the total (Wu, 2000: 18). They were:

1. Consolidated Fund for East Timor (CFET), which covered wages and salaries, goods and services and capital expenditure of ETTA;
2. Trust Fund for East Timor (TFET) for rehabilitation and investment channelled through the School System Revitalization Programme (SSRP); and
3. Bilateral contributions, which came in various forms including aid-in-kind, technical assistance and scholarships.

The bulk of an education system’s expense is spent on wages for teachers and other education personnel, regular replacement of textbooks and ongoing maintenance of school buildings. In East Timor, these kinds of recurrent costs are covered by CFET. Salaries accounted for approximately 75 per cent of the costs of this consolidated fund, with goods and services making up the other 25 per cent (Wu, 2000: 18). To recover from the crisis that East Timor had just undergone, there was of course a need to do more than cover recurrent costs. The multi-donor Trust Fund for East Timor (TFET) was created at the Tokyo donors’ meeting and authorized by UN Security Council (1999b: 13) Resolution 1272 as a means to pool donors’ money for post-conflict reconstruction needs. TFET (2000) grants included sectoral programmes in the areas of agriculture, education, health, infrastructure and water and sanitation. There was no sovereign borrower, with UNTAET instead acting on behalf of a future independent government. TFET funds were first available to education through Quick Impact Projects (QIPs), with monies designated by districts to rehabilitate a few schools. The bulk of TFET for education was spent through the SSRP...”

Source: Nicolai (2004: 100-101).

- Are negotiations undertaken early to reach agreement that refugee teacher stipends and salaries will not be above the current levels of national teachers? (Normally, for reasons of financial sustainability, external education providers pay less than the national scale, but care should be taken to avoid unsustainably high salary levels.)
- Is provision made for the likely rapid decline in international support that will occur as the crisis proceeds? Is planning begun early for middle- and longer-term finances?



- Are discussions initiated early as to the overall strategy vis-à-vis conflict-affected populations, i.e. return, reintegration, etc.?
- Are decisions made early as to whether refugee needs will be met separately in the camps, or whether they will be absorbed into local schools (depending on numbers, language of instruction, curriculum, level of schooling, etc.)?
- Are steps taken to monitor the flow of funds and to co-ordinate efforts among funders to ensure that funding follows the movements of the population?
- Do budgets include the costs of responding to all the social needs of learners in emergency contexts (including safety, psychosocial/recreational needs, rehabilitation programmes, services for the disabled, etc.)?
- Are costs budgeted for the changing needs of learners (e.g. accelerated learning programmes, vocational education, non-formal literacy training, life skills, etc.)?
- Have costs for returnees, including reconstruction, integration, re-integration, etc., been projected?
- Can financial support targeting reconstruction be linked to longer-term development plans?

## **5. Reduce household costs for education.**

- Perform a cost analysis on the financial contribution of and the demands on households.
- Review the list of essential materials for school.
- Encourage complementary agencies to assist with provision of basic learning materials for the poorest children.
- When applicable, re-assess the role and cost of uniform in schools.
- Consider curriculum integration to cut back on the number of textbooks needed in classrooms.
- Change teaching/learning methods if possible to reduce exercise book requirements.
  - Use slates for a variety of classroom exercises.
- Build teacher and management capacity, to ensure efficiency in education and to avoid waste and mismanagement of parents' contribution to schooling and state subsidies in the following areas:
  - Expenditure analysis.
  - Resource identification.
- Consider the positive and negative aspects of school fee waivers.



## RWANDAN HOUSEHOLD EDUCATION SPENDING

"In late 2002 the estimate of 11,000 FRW per child in primary school (USD 22) is a severe deterrent to registering children in school. A family with three children in primary school would be expected to use 25 per cent of family income on schooling. With one child in secondary school, it would cost over 21,500 FRW (about USD 43) or 17 per cent of the family annual income to pay the fees, exclusive of uniform, writing materials, bedding, transport, etc...

Government allocation or the unit cost per primary student to the state was reported as FRW 6,745 in 2000 (MOESTSR, 2002a: 22), which is about half of what households spend on education (FRW 11,010) or 39 per cent of the total cost of primary education (Table 5.3). Depending on how costs are calculated, other reports indicate that the family bears 90.6 per cent of school costs, 4.5 per cent are borne by the state and 3.9 per cent by other organizations (MOESTSR, 2002a: 22).

The Ministry allocates a fixed sum of 5,000,000 FRW per province for primary education, whatever the school population or number of schools in the area or the GER/NER. During the study, primary schools reported that they receive no financial inputs from their district education offices. As noted in the case of one school in Nyamata, a high proportion of children receive fee waivers, which drastically cuts school fee revenues. There are no data available – or perhaps no data analysed – on the level of fee exemptions as a proportion of fees expected/needed, nor the level of school incomes. At present the shortfalls in school incomes due to fee waivers are not compensated by any mechanism...

A new financial planning instrument has been developed, the Medium Term Expenditure Framework (MTEF), which symbolizes the Government's move from short term, relief-oriented annual plans to three year roll-over plans and allows for more realistic projections of spending. Currently the Government is planning for 2003-5. It will allow planners to match resource availability with resource requirements over a three year period. The MTEF is, in turn, oriented by the PRSP and Vision 2020, the Government's prime policy documents. Five year development plans are expected to start in 2006. Education is now considered holistically as a sector and Rwanda is developing a sector-wide approach (SWAp) for the development and implementation of the Education Policy and Education Sector Plan...

In conclusion, the Government's aim is to increase its funding to education, in order to shift the heavy burden of financing education off the shoulders of households and off the shoulders of the children themselves. Communities will be invited to make significant input into decision-making regarding planning and expenditure at local levels, and to organize ways of contributing to local education funds. Increased efficiency in tax collection at both central and local levels is expected to generate more internal financial resources for education. With sound revenue collection and use of innovative planning instruments, for example, the SWAp, the Government expects to attract increased financial support from internal and external partners."

Source: Obura (2003: 144-149).

**6. Mobilize additional resources to meet key financing gaps.**

- Are prioritized and documented needs presented to donors, with efforts made to interest individual donors in key programme areas?
- Are proposals prepared (based on needs assessments) in collaboration with key actors in order to mobilize resources for critical additional activities that are not currently being conducted?
  - How will educational authorities meet these needs beyond the interim?

**7. Monitor implementation of all expenditures to ensure accountability and transparency. Also review expenditures based on issues of equity and sustainability.**

- Are monitoring and reporting strategies and instruments required as part of project proposals?
  - Do funding proposals include provisions for the costs of monitoring and evaluation, including any needed technical assistance?
  - Are donors willing to fund the monitoring and reporting costs that their own projects require?
  - Have educational authorities and providers identified financing and accounting specialists to help meet donor reporting requirements?
- Have donors clearly communicated their minimum financial reporting requirements? Have these, in turn, been clearly communicated to any implementing partners? Are these requirements observed in practice?
- At the school and community level, has information on education expenditures been made publicly available (as much as is possible) to ensure transparency and accountability and to promote equity?
- Are survey data used to analyze expenditure flows by region, rural-urban, minority groups and income level (e.g. by quintiles), so as to ensure that resources flow to areas of greatest need?
- Is community input in cash, 'in-kind', and labour acknowledged in expenditure reporting at the local level?

## TOOLS AND RESOURCES

The two charts below may be useful when preparing and planning budgets.

### 1. Revenue source checklist: Kosovo

	<b>BUDGET CODE</b>	<b>PREVIOUS YEAR</b>	<b>BUDGET YEAR</b>	<b>ESTIMATE (following year)</b>	<b>ESTIMATE (2 years in advance)</b>
General budget grant for education					
Special budget grants for education					
Other municipal funds					
Education fees (preschool/boarding)					
Other funding					
<b>TOTAL REVENUE</b>					

Source: Venner (2002: Appendix 6).

## 2. Sample expenditure form: Kosovo

	<b>BUDGET CODE</b>	<b>PREVIOUS YEAR</b>	<b>BUDGET YEAR</b>	<b>ESTIMATE (following year)</b>	<b>ESTIMATE (2 years in advance)</b>
<b>SALARIES AND WAGES</b>					
Salary Full time employees					
Teaching staff					
Non-teaching staff					
Wages Part time employees					
Teaching staff					
Non-teaching staff					
Other compensation					
<b>PURCHASED GOODS AND SERVICES</b>					
Travel expenses					
Utilities					
Transport and communication					
Services					
Equipment/property purchase/rental					
Supplies					
Other					
<b>CAPITAL</b>					
<b>TOTAL EXPENDITURE</b>					

Source: Venner (2002: Appendix 6).

The following chart may be useful when analysing the distribution of funds.

### 3. Educational levels and Expenditure chart

LEVELS OF EDUCATION and other functions	CURRENT EXPENDITURE						Capital expenditure	Overall expenditure
	Teachers' salaries	Other staff salaries	Supplies/ education material	Other current expenditure	Fellowships/ family allowances	Total		
Pre-school education								
Basic education								
1st cycle								
Public								
Private								
2nd cycle								
Public								
Private								
Teacher training								
Pre-school								
Basic education								
In-service training and research								
Literacy and adult education								
General administration								
Central								
Examinations								
Regional								
Regional directorates								
Basic education Inspectorate								
<b>GENERAL TOTAL</b>								

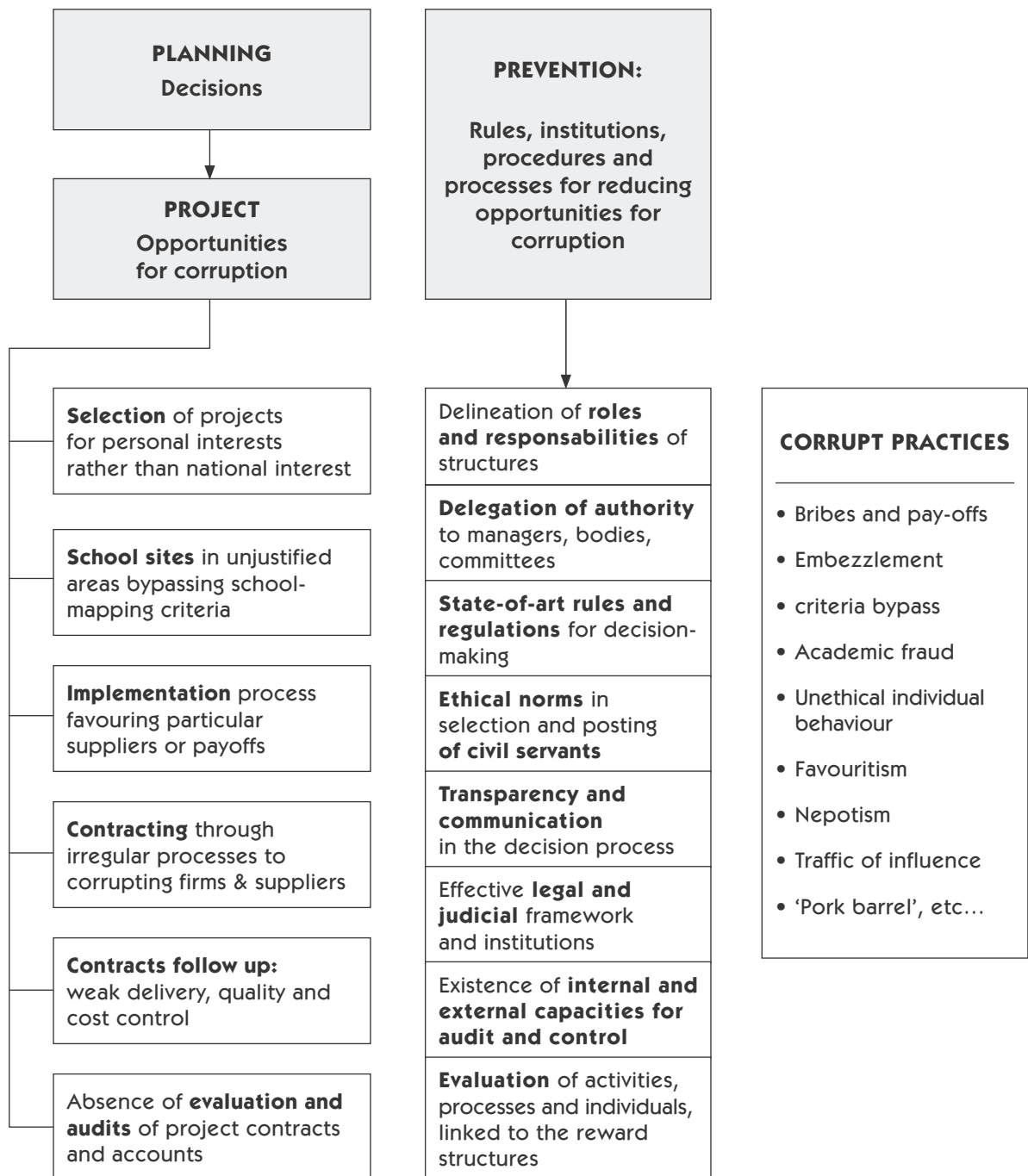
Source: IIEP (2005: 108).

**4. Summary of some of the main practices of corruption observed within the education sector, and their possible impact on access, quality, equity and ethics.**

<b>AREAS OF PLANNING/ MANAGEMENT INVOLVED</b>	<b>CORRUPT PRACTICES</b>	<b>ELEMENTS OF EDUCATION SYSTEMS MOST AFFECTED</b>
Building of schools	<ul style="list-style-type: none"> <li>• Public tendering</li> <li>• Embezzlement</li> <li>• School mapping</li> </ul>	Access Equity
Recruitment, promotion and appointment of teachers (including systems of incentives)	<ul style="list-style-type: none"> <li>• Favouritism</li> <li>• Nepotism</li> <li>• Bribes and pay-offs</li> </ul>	Quality
Conduct of teachers	<ul style="list-style-type: none"> <li>• ‘Ghost teachers’</li> <li>• Bribes and pay-offs (for school entrance, for the assessment of children, etc.)</li> </ul>	Access Quality Equity Ethics
Supply and distribution of equipment, food and textbooks	<ul style="list-style-type: none"> <li>• Public tendering</li> <li>• Embezzlement</li> <li>• Bypassing of criteria</li> </ul>	Equity
Allocation of specific allowances (compensatory measures, fellowships, subsidies to the private sector, etc.)	<ul style="list-style-type: none"> <li>• Favouritism</li> <li>• Nepotism</li> <li>• Bribes and pay-offs</li> <li>• Bypassing of criteria</li> </ul>	Access Equity
Examinations and diplomas	<ul style="list-style-type: none"> <li>• Selling of information</li> <li>• Favouritism</li> <li>• Nepotism</li> <li>• Bribes and pay-offs</li> <li>• Academic fraud</li> </ul>	Equity Ethics

Source: Hallak and Poisson (2002: 20).

## 5. Corrupt practices: opportunities and prevention



Source: Hallak and Poisson (2002: 99).



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CHAPTER **35**

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▪ SECTION 6



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning

# DATA COLLECTION AND EDUCATION MANAGEMENT INFORMATION SYSTEMS (EMIS)

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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# Chapter 34

## DATA COLLECTION AND EDUCATION MANAGEMENT INFORMATION SYSTEMS (EMIS)



### MAIN OBJECTIVES

- To provide a timely and informed basis for planning and management of education services.
- To establish a set of relevant indicators for data collection and utilization.
- To establish or contribute to a national system for collection, processing and utilization of education data.

### CONTEXT AND CHALLENGES

#### Data collection

Educational authorities routinely collect information on schools as part of their regular operations. Such data include location of schools, condition of school facilities, number of grades offered, numbers of students by sex and age, numbers of repeaters, number of teachers by sex and qualification. More sophisticated systems collect data on retention and completion rates, measures of achievement, and the number of children out of school; and examine statistics in terms of gender, ethnicity and income. Educational management information systems (EMIS) are designed to collect and analyze data on the educational system to improve planning, resource allocation, monitoring, policy formation and decision-making.

Emergency situations call for special and timely information on:

- The number and location of displaced or otherwise emergency-affected school-aged children and whether they are with their families or have become separated.
- The availability and conditions of school facilities.
- The availability of teachers.
- The availability of learning materials.
- Security.

Initially, anecdotal information may be all that is available. More systematic methods of data collection should be initiated as soon as possible, using available personnel and simple forms designed to collect information on the five dimensions noted above. (See the sample assessment form found in the 'Tools and resources' section of the *Guidebook, Chapter 28, 'Assessment of needs and resources.'*)

In civil conflicts, access to populations and data may be difficult, due to insecurity. Trust is difficult to establish with parties in conflict. Information can be misused in the wrong hands. Nevertheless, longer-term information needs must be addressed, despite the continuation of emergency conditions. In addition, information is needed for immediate response, even if technical issues are likely to be paramount. Reliable information may be difficult to obtain, particularly if the population is threatened by civil strife.

For refugee populations, UNHCR and other organizations working with refugees are likely to have data or the means of collecting data. Although it is frequently omitted, data that is available on refugees should be included in the education statistics of the country of asylum. If practicable, the sharing of educational data between countries of origin and asylum can be useful. Likewise, data on IDPs should be included in national statistics (but rarely is). Efforts need to be made to track IDPs.

Regularly updated data on returnee arrivals are needed for reintegration planning (numbers of students, teachers, their respective levels of education and qualifications, and so forth). Educational authorities should seek, obtain and share data concerning their nationals who are refugees in another country.

Where there has been widespread disruption of education systems, it will be necessary to start with collection and analysis of basic statistics, and to elaborate a more sophisticated EMIS when resources (computers, software, skilled personnel) are in place, and field staff have been trained in data collection.

Although data and statistics are notoriously difficult to collect and use in emergencies, the effort must be made to underpin sound planning and management (Bethke and Braunschweig, 2004: 3-5).

## Education management information systems (EMIS)

Where possible, emergency data and an existing EMIS should be co-ordinated, so that the Ministry of Education's regular EMIS is informed by data on those affected by conflict, and so that emergency data needs are systematized. When new data collection systems are developed, they should be structured to meet both immediate needs and the long-term reconstruction and development of the education system.

The development of an effective EMIS is a complex and expensive undertaking under the best of circumstances. During emergencies, it is even more challenging because multiple organizations are generally involved in the provision of education, making it difficult to establish common data requirements and to co-ordinate data collection from the various organizations. In designing EMIS, therefore, it is important to consider the needs of all the groups that will rely on the information, including central ministry planners, officials of other national ministries (for example, finance), regional and district education officials, donors, and NGOs. Ultimately, for EMIS to be effective as a planning and management tool, national needs, not donor requirements, must be the primary force behind the development of the system. Despite the difficulties associated with the development of an EMIS, emergencies may provide an opportunity for establishing a better functioning EMIS than was in place before the crisis.

This example demonstrates how educational authorities in Kosovo sought to follow the different stages required when creating an education information management system. These stages are further described below.



## EDUCATION INFORMATION MANAGEMENT IN POST-CONFLICT KOSOVO

UNMIK (United Nations Interim Administration in Kosovo) started from a position of almost complete powerlessness in education because it lacked even basic data on how many schools, teachers, students, etc., there were. In 1999, the officials in the former parallel system had a considerable body of information on that system as it was in 1998, but its data did not cover developments since the conflict. Similarly, the Serb-controlled provincial administration had detailed information on schools, teachers, facilities, etc., in the official system in 1989, but the massive exodus and population displacement made these data of questionable value. National and international NGOs and organizations that had been active in Kosovo during the previous decade also had their own sets of statistics, and UNICEF with its mandate to lead the back-to-school campaign quickly set about managing a huge assessment exercise involving site visits to every school, and assessment of their condition and capacity. A key source of statistical information for the parallel system was the company that had managed acquisition, printing and distribution of textbooks, although, again, its data were out of date, and did not reflect the population displacement and movement during and following the conflict.

UNMIK recognized during the back-to-school period that the establishment of a reliable and accurate education management information system would be a key to establishing coherent management required by a modern, decentralized education system. The project was designed with the assistance of an international consultant and, as of the time of writing, had just begun to provide data tables, but not in a form that could be widely distributed through the system for management purposes. A frustrated MEST (Ministry of Education, Science and Technology) official complained that getting data from the EMIS group was like “getting blood out of a stone” but the EMIS team responded that the database was only preliminary and that data had not been checked for final release.

On the basis of the framework drafted by the consultant, the first version of the system was developed in the World Bank supported Project Co-ordination Office within the DES/DEST/MEST [Department of Education and Science, Department and Ministry of Education, Science and Technology]. In this early phase the greatest contact that education officials had with the EMIS was the requirement to provide data to be input to the system. It is thus some time before the system is able to produce output data that is seen by the same officials (if they are the same officials) as useful for planning and administration.

A second problem was that the technical demands of getting a computerized system to operate reliably, and in a way that is simple and friendly enough for managers to be able to employ, require sustained employment of local computer programming specialists. Such people usually have limited experience with education management data and are very hard to retain in employment on local salaries. While these technical and administrative problems are being ironed out, it is not uncommon for the EMIS system, around which there is often considerable publicity and high expectations, to be perceived as a ‘black hole’ into which huge amounts of data are ‘poured in’ but little is seen to come out.

The next challenge is to compile the database into a format that is useful for managers and cannot be corrupted, and to incorporate the usage of the EMIS system into the management training and development programme to be run by the MEST. At the time of publication, The World Bank had plans to support the finalization and implementation of this initiative as part of its second education project, currently under discussion. A full assessment of this initiative can only be made when it has reached the stage where reliable and useful data are regularly made available to planners, managers and the wider public.

Source: Sommers and Buckland (2004: 103-105).



## STAGES INVOLVED IN INFORMATION PROCESSING:

### 1. Identification of information needs

- How can the system's educational objectives be met and what is the current situation in relation to these goals?
- Establish indicators to measure progress made towards educational objectives. (See the 'Tools and resources' section for a list of 'Education for All' (EFA) indicators.)
- What are the current difficulties within the education system?

### 2. Inventory of available sources and data

- Which department or institution maintains current data?
- How is this data presented?

### 3. Data collection

What technique will be used to collect necessary information?

- **School censuses:** Often consist of questionnaires answered by principals to collect information annually on schools, students, and teachers.
- **Statistical surveys:** These aim to obtain more in-depth knowledge of a particular aspect of the system.
- **Sampling surveys:** Particularly useful for assessing knowledge acquired by pupils, or for learning about the expectations of parents or teachers.
- **Administrative and managerial documents:** May contain budget information, minutes from ministerial meetings.
- **Management databases:** Contain information on staff hiring and payment.
- **External information:** Includes information about the population and the job market, information coming from sources other than the Ministry of Education.

### 4. Database construction

- What structure will the database have? Depending on the complexity of the question, the database may be either a simple file or a relational database.
- Which classification scheme will be used? Do classification schemes of educational levels and teachers' status reflect the current system?
- How will administrative units be identified? It is important that the codes used to identify educational institutions be the same for all databases.
- Who will enter the data?

### 5. Data processing

How will the data be presented?

- Statistical tables?
- Figures?
- Maps?
- Analytical texts?

### 6. Publication and dissemination

How will processed data be distributed?

- Written publications.
- Written memoranda.
- Web site.
- CD-rom.

Source: Adapted from da Graça *et al.* (2005: 15-24).

## SUGGESTED STRATEGIES



### **Summary of suggested strategies**

#### **Data collection and Education Management Information Systems (EMIS)**

1. **Ensure the collection and analysis of emergency educational data, as possible.**
2. **If not in place, establish a data collection unit for the emergency within the education authority to co-ordinate data collection at all levels.**
3. **Assess the status of EMIS nationally and for the emergency-affected areas. Consider any needed improvements and seek assistance as appropriate to strengthen national capacity in this area.**
4. **Conduct data analysis to produce indicators to guide policy makers and provide recommendations for practitioners to improve the quality of educational provision.**
5. **Educational authorities should seek, obtain and share statistical data concerning nationals who are refugees in another country.**

## Guidance notes

### 1. Ensure the collection and analysis of emergency data, as possible.

- Review the plans for and implementation of ongoing data collection.
  - What relevant indicators for rapid data collection have been agreed upon with refugees, IDPs and non-migrant populations affected by the emergency?
  - What demographic and education data can be collected from the affected populations?
  - What data can be collected from functioning education programmes?
  - Are the indicators disaggregated by age, gender, disability, educational level and grade, location, language, medium of instruction, etc.? (Collection of data on students by age may be impracticable due to lack of birth certificates, etc., as well as the constraints imposed by emergency conditions. Sample or anecdotal data can indicate the proportion of over-age students in need of, or participating in, schooling due to earlier disruptions of the education system.)



#### THE IMPORTANCE OF PROTECTING INSTITUTIONAL DATA IN AN EMERGENCY

“In October 1998, Hurricane Mitch left hundreds of thousands of people in Honduras without homes, and destroyed schools, day care centres and entire villages. Approximately 25 per cent of schools were destroyed. Over 250,000 children at primary level and 30,000 at secondary level had their studies drastically interrupted until March 1999 . . . In addition, the central offices of the Ministry of Education, located in Comayagua, were severely damaged. More importantly, the bulk of the education archives were lost and with it the institutional memory of the Ministry. It will take several decades to reconstruct the educational sector in Honduras.”

Source: UNICEF (1999) cited in Sinclair (2002: 85-86).

- How will the data be collected or estimated?
  - Have existing forms been adapted? (See the ‘Tools and resources’ section in the *Guidebook, Chapter 28*, ‘Assessment of needs and resources’ for an example of an emergency assessment form.)
  - Have local education personnel been trained to collect data using relatively simple forms? Is a system in place to collect such data?
  - Have other personnel travelling to affected areas (for example, other relief personnel, security forces, etc.) been asked and enabled to collect emergency data?

- Are the data that are collected on refugees and IDPs included in national reporting formats and EFA monitoring statistics? If they are not currently incorporated, is there a plan to incorporate them? (See the 'Tools and resources' section for a list of EFA indicators.)
  - Data collection and analysis on IDPs and refugees is essential if authorities are to maintain control of the process and be part of the management of emergency assistance.
  - Information regarding people who have been or may be affected by emergencies should be collected on a regular basis.
- At least on an interim basis, until a thorough review can be conducted, use any existing EMIS and link data collection and analysis activities to those being conducted in other sectors, particularly health and social services/affairs.

**2. If not in place, establish a data collection unit for the emergency within the education authority to co-ordinate data collection at all levels.**

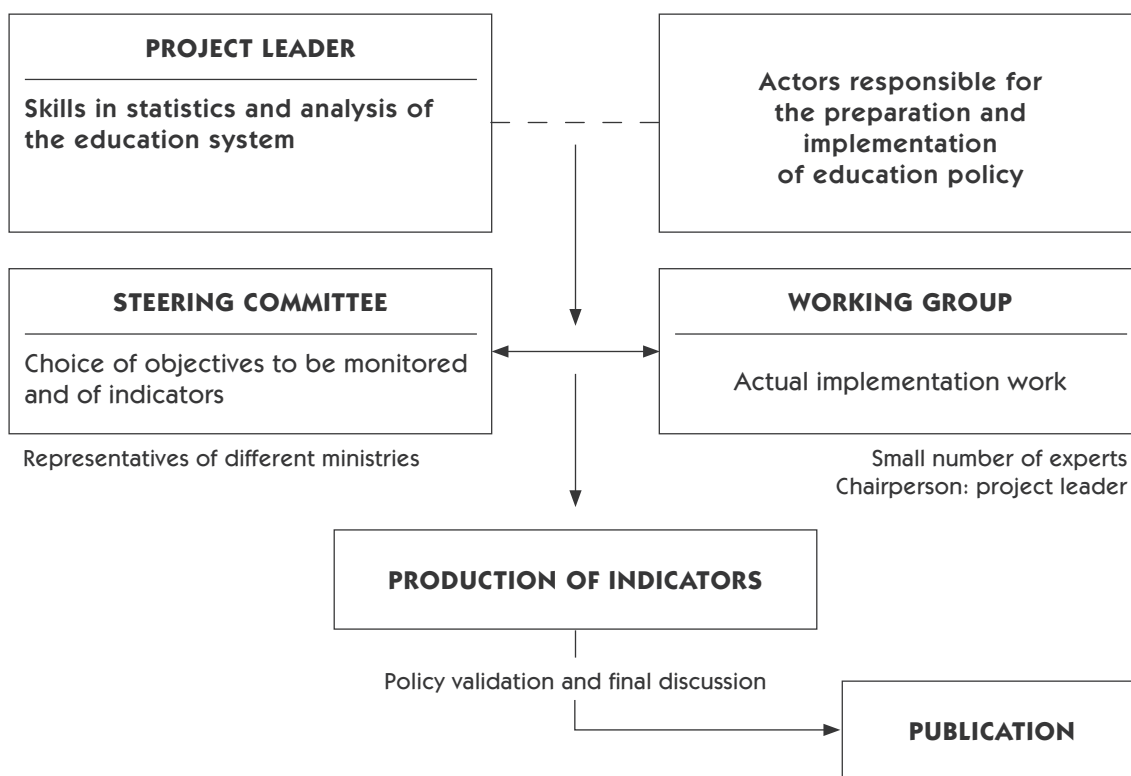
(See also the *Guidebook, Chapter 28, 'Assessment of needs and resources'*.)

- Have competent personnel been identified to staff the unit?
- Have sustainable, cost-effective mechanisms been developed to collect data at central, regional and local levels?
- Have sufficient resources been provided to fund data collection, storage, analysis and reporting? Do levels of funding and infrastructure permit computerization and/or Internet access?
- If a Data Collection Unit already exists, have gaps and needs resulting from the emergency been identified, particularly in terms of personnel and resources?

**3. Assess the status of EMIS nationally and for the emergency-affected areas. Consider any needed improvements and seek assistance as appropriate to strengthen national capacity in this area.**

- Assess the state of existing EMIS.
  - What Education Management Information Systems, however informal, currently exist?
    - How functional were the EMIS before the emergency?
    - How functional are they now?
    - To what extent are they:
      - . Computerized?
      - . On paper?
      - . Informal?

- Have existing EMIS practices – such as data collection mechanisms, forms, procedures, indicators and statistics as well as utilization processes – been reviewed?
  - Has a team or structure been established to review data collection instruments?



Source: Sauvageot (1997: 29-30).

- Have data collection forms used in the acute phase been updated for use in later phases?
- What were the problems with earlier instruments?
- How can these be addressed effectively?
- Do educational authorities or other agencies collect educational data for refugee and IDP children and adolescents?
- Are these data included in national statistics?
- If not, is it possible to obtain the necessary data to include in the national statistical record?
- Is EMIS linked with data from other sectors, such as health, social affairs, labour, planning, and finance?
- What indicators are used at the national, regional, district and local school levels?

- What gaps are there in the current EMIS? For example,
  - Are reports and data analysis prepared on a timely basis?
  - Are the data relevant? That is, do they provide the necessary information to assist with educational planning and management priorities?
  - Are additional types of information necessary?
  - Are data or processes duplicated at different levels of the system?
  - Are data collection and analysis processes efficient?
  - Who analyzes the data?
- What are the donors' data requirements?
  - Can the existing systems handle those requirements?
  - What additional data must be collected to satisfy the donors?
  - Can ministry officials negotiate with donors on equal terms?
- How is existing data utilized by the system?
  - Who has used the data?
  - Do data only flow from the local level up to the central level, or are data fed back to the service providers at the local level?
  - How can the data that are collected be used to help educational authorities improve educational services?
- How well co-ordinated are the various data collection and utilization efforts within the system?
- When was the EMIS last reviewed?
- Assess EMIS need.
  - What new data needs have emerged as a result of the emergency?
  - If a new EMIS is being considered, have EMIS in other countries in similar circumstances been reviewed to compare relevance and applicability to the current situation?
    - Can an existing system from another country be adapted according to the needs of this emergency?
    - What data are needed, by whom, and when? For what purposes will the data be utilized (e.g. budgeting, analyzing trends in repetition or survival rates, etc.)? In planning EMIS, it is important to consider how the system will be utilized, and the demand for as well as supply of data. Often, EMIS data are extremely under-utilized, particularly in the early years after a new, reformed system has been introduced.
    - What practices are possible in the emergency context?
    - What procedures would lay the groundwork for a more permanent system?

- Have the various stakeholders been asked about their data needs?
  - Based on the identified needs, are there gaps in the data currently being collected?
  - What are the similarities in their needs? How can data be collected efficiently in order to respond to the needs of the various stakeholders without duplicating data collection efforts?
- (De)centralize data collection and EMIS appropriately.
- How are the regional and district/local authorities involved in data collection, processing and analysis?
  - How can they be involved more substantively?
  - Do regional and district authorities share data and findings on a regular basis?
- What monitoring mechanisms are in place to ensure that agents responsible for data collection, processing and analysis use the same methodologies at all levels?
  - EMIS must include ways to validate and check data and must anticipate negative unintended consequences such as the temptation to inflate enrolment figures when funds are allocated according to enrolment statistics.
- Have plans been implemented for locating different aspects of data collection at appropriate levels of the system?
- Has training for data collection at the different levels been conducted? If not, will training be provided? Who will conduct it, and who will be the principal beneficiaries?
- What resources are available and necessary to ensure effective restructuring of data collection and EMIS, for example, computer and other information technology facilities, personnel and storage facilities?
- Seek funding for computer hardware and software to secure the most effective EMIS system.
- What software and hardware – computers, EMIS software programmes, typewriters, hand-held radios, telephone communications, transport for data collection etc. – do provincial authorities currently have?
- What software and hardware do they need in order to meet the needs for data collection and analysis?
- Have budgets been prepared that reflect the need for software and hardware, including training on how to implement a new/revised EMIS.
- Have possible funding sources been approached?

- Is it desirable and feasible to provide computer services to all groups involved in educational data management as part of the development of EMIS (refugees, returnees, national populations)? If not, where does priority lie for provision of computer and internet services for data collection – with which groups, and at which level?
  - Are there any existing internet linkages that can be capitalized upon?
  - Is there a telephone network that could be used to establish an email connection?
  - What innovative strategies might be used to establish an internet or email network that is cost effective and sustainable?

**4. Conduct data analysis to produce indicators to guide policy makers and provide recommendations for practitioners to improve the quality of educational provision.**

- Are summary reports (including summaries of analyses and recommendations) clear, practical, and – from the perspective of practitioners – user friendly?
- Have summary reports been translated into languages that are appropriate for practitioners?
- Have summary reports been made widely available to stakeholders, in print form, and on the internet when possible?
- Have summary reports been provided and cross-referenced to relevant groups, including other sectors, such as health and social services/affairs, security, water/sanitation, etc.?

**5. Educational authorities should seek, obtain, and share statistical data concerning nationals who are refugees in another country.**

- Have cross-border negotiations/tripartite agreements on education been established between the United Nations and national authorities?
  - What issues have been addressed as a result of these negotiations?
    - Criteria for certification and recognition of educational achievements?
    - Criteria for recognition of teacher training and teacher qualifications?
    - Criteria for taking and passing national examinations?
    - Criteria for the printing and supply of sufficient textbooks from the country of origin, or permission for United Nations agencies or the country of asylum to print textbooks, etc.?
  - What steps have been taken to facilitate information sharing regarding the educational status of and systems for displaced populations?
    - In the case of prospective returnees, for example, have educational authorities requested education data (such as the number of learners/teachers, their area of origin, age, gender and grade/level, etc.) from the host countries/areas?



# TOOLS AND RESOURCES

## 1. EFA indicators

CATEGORY	INDICATORS
<b>ADULT LITERACY</b>	Adult literacy rates (total, male, female) Number of illiterates, 15+ (total, male, female) Adult literacy rate (total, male, female)
<b>YOUTH LITERACY</b>	Youth literacy rate (total, male, female) Youth literacy numbers (total, male, female)
<b>EARLY CHILDHOOD CARE AND EDUCATION (ECCE)</b>	Gross enrolment ratio in early childhood care and education (total, male, female, female/male) Percentage of new entrants to primary education with ECCE experience (total, male, female)
<b>PRIMARY EDUCATION</b>	Gross intake rate in primary education (total, male, female, female/male) Net intake rate in primary education (total, male, female, female/male) School life expectancy (total, male, female, female/male) Primary age group Primary school age population (total, male, female, female/male) Gross enrolment ratio in primary education (total, male, female, female/male) Net enrolment ratio (total, male, female, female/male) Percentage overage (total, male, female) Percentage underage (total, male, female)
<b>SECONDARY EDUCATION</b>	Secondary age group Secondary school age population (total, male, female, female/male) Secondary net enrolment ratio (total, male, female, female/male)
<b>HUMAN RESOURCES</b>	Percentage trained teachers, pre-primary education (total, female) Pupil-teacher ratio, pre-primary education Percentage female teachers, pre-primary education Percentage trained teachers, primary education (total, female) Pupil-teacher ratio, primary education Percentage female teachers, primary education Percentage trained teachers, lower secondary education (total, female) Pupil-teacher ratio, lower secondary education Percentage female teachers, lower secondary education
<b>INTERNAL EFFICIENCY</b>	Repetition rates, grades 1, 2, 3, 4, 5, 6 (total, male, female) Survival rates at grade 4, 5 (total, male, female, female/male) Transition to secondary (total, male, female, female/male)
<b>FINANCE</b>	Public current expenditure on primary education as percentage of GNP Public current expenditure per pupil on primary education as percentage of GNP Public current expenditure on primary education as percentage of current expenditure on education Total public expenditure as percentage of GNP Total public expenditure on education as percentage of total government expenditure Public current expenditure on education as percentage of total expenditure on education
<b>PRIVATE ENROLMENT</b>	Private enrolment as percentage of total enrolment, pre-primary education Private enrolment as percentage of total enrolment, primary education Private enrolment as percentage of total enrolment, secondary general education
<b>OUT-OF-SCHOOL CHILDREN</b>	Estimated out-of-school children (total, male, female, female/male)

Source: UNESCO (2002).

## 2. INEE good practice guide for emergency education: assessment, monitoring and evaluation

The following table contains possible indicators to be used when assessing, monitoring and evaluating education programmes in emergencies or crisis situations.

	MONITORED ITEMS	POSSIBLE TRENDS AND ACTION
<b>STUDENTS</b>	<ul style="list-style-type: none"> <li>• Student registration disaggregated by gender, disability, age, ethnicity, grade</li> <li>• Student attendance disaggregated by gender, and ethnicity</li> <li>• Students who drop out</li> <li>• Student pass rates and matriculation</li> </ul>	<ul style="list-style-type: none"> <li>• Changes in student registration and attendance can assist in identifying barriers to students such as community attitudes towards the education of girls, difficulty paying school fees and discrimination.</li> <li>• Following student pass rates be used as an indicator of quality of education, as well as monitoring the progress of special groups such as girls and minorities.</li> </ul>
<b>TEACHERS</b>	<ul style="list-style-type: none"> <li>• Teachers at the school disaggregated by gender, ethnicity, grades taught, education level</li> <li>• Teacher attendance records</li> </ul>	<ul style="list-style-type: none"> <li>• Tracking the teachers and grades combined with student data can lead to more effective assignments of teachers.</li> <li>• Monitoring the gender and ethnicity of teachers can lead to more equitable hiring and assignment practices.</li> <li>• Tracking attendance identifies teachers who are delinquent in their duties.</li> </ul>
<b>ADMINISTRATION</b>	<ul style="list-style-type: none"> <li>• Administrative staff broken down by gender, age, ethnicity</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring the gender and ethnicity of teachers can lead to more equitable hiring and assignment practices.</li> </ul>

Source: INEE (2002).

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CHAPTER **34**

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United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning

Chapter **36**

**HUMAN RESOURCES:  
MINISTRY OFFICIALS**

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To address Ministry of Education human resource requirements in conditions of emergency and early reconstruction.**
- **To respond to urgent needs and progressively work to develop a modern, efficient human resource system as part of the broader development of the education system.**

### CONTEXT AND CHALLENGES

Population movements associated with emergencies disrupt human resource systems and disperse resources as well as people. In such contexts, community members, civil-society organizations, and community-based organizations may assume many human resource functions, but often lack the institutional and financial resources to sustain employment. Under such conditions, conditions of service come to vary widely as do the qualifications and competence of personnel.

System breakdowns and inefficiencies lead to non-payment of teachers and a decline in training, professional development, and skills transfer. Although teachers are quantitatively the larger problem in human resource management, emergencies often result in loss of education management personnel – principals and school directors, supervisors, district and regional officials, central ministry officials, senior university faculty, and others who support and guide the education system. Some emergencies present a particular threat to educators. In other cases, economic instability forces personnel out of education into more lucrative occupations. (See also the *Guidebook, Chapter 16*, ‘Teacher motivation, compensation and working conditions’.)

Personnel may fall on different sides of a conflict, creating divisions within the national education system. Schools, managers and teachers may become polarized along ethnic or political lines.<sup>1</sup> Human resources may be deployed based on political criteria rather than need and

1. This chapter should be read in conjunction with *chapters 15-18* on teacher management.

competence. There may be a decrease in staff, who may be hiding, fleeing or have died. As a result, the personnel left to support the system may be limited. Community members may be reluctant to play an active role in public schools, out of fear, or poverty. Teachers and other education workers may need to return home to assist their families in farming, rebuilding, etc. They may not be paid or may be paid late. Teachers may stop teaching or attend school intermittently. Professional development may come to a halt.

In conflict-affected areas, state authority may be limited, with little accountability or authority. Frequent movements of population complicate planning and development of management systems. Chronic conflict may lead to a lack of trained personnel, and a collapse or substantial reduction in pre-service training. As pre- and in-service training systems fail, there may be a long-term erosion of skills among all education personnel.

In refugee operations, international agencies and NGOs often come to play the role of education providers, and work with refugee communities (who are often accommodated in remote and underdeveloped locations) to quickly re-establish schooling. Education for refugees may be managed at the provincial level or through ministries other than the education ministry (e.g. ministry of home affairs/interior/local government). The education ministry may need to advocate for the involvement of its own education experts in senior management roles. Community education leaders – elders, former Parent Teacher Association members, church leaders, etc. – may take on the role of managers.

During crises and reconstruction, the staff of ministries of education play an essential role in the rehabilitation of educational systems.



#### REBUILDING FROM THE TOP DOWN: THE CASE OF RWANDA

"The genocide was over in the first days of July. The new Government assumed power on 18 July 1994. A Minister of Education was appointed. Over the days and weeks, individual staff resurfaced from exile and from hiding. As each one ventured into the old ministry building, torn and shelled and open to the elements, finding their way through the debris of broken furniture, stepping over burnt and torn papers, dust, rubble and stones, they were given a very special welcome. They stood wondering. Standing. Shocked. There was not one chair to sit on. No one knew how many colleagues had been killed.

**Primary schools:** The Ministry gathered the children back into school. They went around the country opening schools and conducted a strenuous campaign of social mobilization on the radio, in public speeches and through their visits. Before, the radio had been used as a treacherous divisive weapon. Now it called the children back to school.

Regional leaders were identified, the *préfets*, and asked to join in the ministry's campaign to restart education. Each local leader set the dates for re-opening in his area and the national radio announced it, explaining that the Ministry would preside over the event. The Minister himself, with a small band of colleagues, went from province to province, from district to district, from school to school, speaking to heads, teachers and parents, exhorting them to bring their children back to school. In some cases the visitors from Kigali reached schools with two children and two or three teachers. But the word went out, and children trickled in as the Minister waited. The atmosphere was tense, excited. But, eventually, children came."

Source: Obura (2003: 56-57).



The mandate of educational ministries is to organize the delivery of educational services, either on all educational levels or on selected levels. To do this, ministries of education are often called upon to work in collaboration with other governmental ministries. When establishing or re-establishing a ministry of education after conflict or disaster, the following human resource elements are important to consider:

**Staffing:** Staffing needs include teaching personnel and non-teaching personnel. The non-teaching staff of a Ministry of Education may include school directors, inspectors, office staff, MoE directors, policy-makers, planners and statisticians. Quite often, non-pedagogical positions are staffed with former teachers who have no specific training for the job. The difficulty then lies in placing staff in positions for which they are qualified. This can be facilitated by comparing the technical qualifications of individuals with the skill requirements of their jobs in a task position/qualification matrix. As it is essential for any Ministry of Education to have the ability to adapt to changing demands and new situations, particularly in the case of an emergency, training new staff members, and thus providing them with qualifications that match staffing needs, is often necessary.

**Reward structures:** Staff performance is generally determined by individuals' motivations, which are often linked to reward structures. Rewards may include (among others):

- Monetary gains
- Career advancement
- Attaining prestigious or powerful positions.

Reward structures that are *performance-based* involve creating and attaining clearly defined criteria in order to advance in one's career or salary level. Within a Ministry of Education, this may include the evaluation of school directors according to overall school performance, and the performance of non-teaching staff by the examination of the completion of tasks within a specified time and budget.

**Rules-based** reward structures link factors such as age, seniority and diploma with salary levels or career advancement.

**Decision-making:** Decisions can occur at various levels; ministry officials must determine to what extent authority will be decentralized and responsibility given to regional or local authorities. National ministries of education are generally at the top of relatively centralized education systems. Decisions about the system's functioning, such as budget preparation and resource allocation, personnel and payroll management, curriculum development, teacher training, planning and statistics, are usually made in one place. Depending on the country's situation and the structure of its education system, teachers may be relatively autonomous, as they have little or no direct contact with Ministry of Education officials. (For more information on centralization and decentralization, see the *Guidebook*, chapter 33, 'Structure of the education system'.)

Source: Adapted from Sack and Saidi (1997: 50-53).

## SUGGESTED STRATEGIES



### **Summary of suggested strategies**

#### **Human resources: ministry officials**

1. **Assess the current situation *vis-à-vis* education personnel serving emergency-affected populations.**
2. **Make interim human resource arrangements.**
3. **Work towards longer-term strategies for the government's management of ministry officials affected by emergency.**
4. **Work to ensure optimal provision for returnee educational personnel and teachers.**

## Guidance notes

### 1. **Assess the current situation *vis-à-vis* education personnel serving emergency-affected populations, under government or other auspices.**

(See also the *Guidebook*, Chapter 15, 'Identification, selection and recruitment of teachers and education workers.')

- Are there accurate data on the numbers, location, demographic characteristics, qualifications, experience, and salaries of teachers and other educational personnel? (See also the *Guidebook*, Chapter 28, 'Assessment of needs and resources').
  - If not, how will this data be collected?
    - A simple form used by agencies visiting institutions in the field to gather basic information on ministry officials and teachers?
    - A possible component of rapid needs assessment?
    - As part of the work of agencies and officials managing the distribution of supplies and resources, or even security forces?
- Do personnel records remain? To what extent are the existing records up to date or relatively easy to update?
- Can existing or surviving personnel records be used as a basis for the format of a revised personnel register for national populations affected by emergency?
- Are district offices and local educational authorities functioning?
- Are there enough teachers, supervisors and support staff to provide instruction to all children and youth?
  - How many posts have already been filled?
  - How many additional posts are needed?
  - Are there any surplus posts?
    - If so, how can surplus employees be redeployed?
- Are ministry staff members qualified for the posts they hold?
  - If not, what provisions can be made for employee training?
- What provisions are there for making temporary appointments?
- Are there guidelines for the appointment of additional, new, or temporary staff and teachers?
  - What are the minimum qualifications for official jobs within the Ministry of Education?
  - How is gender parity being ensured through staffing methods?
- Is the salary payment system functioning?

- If not, what arrangements are being made, for example, stipends, incentives, or in-kind payments?
- Are there guidelines for the payment of stipends, incentives and the like? (See also the *Guidebook*, Chapter 35, 'Budget and financial management.')
- Do guidelines for school safety and for psychosocial support include the safety and support needed by teachers and other educational personnel?
- Has agreement been reached among employing organizations on simple guidelines for flexible use of refugees, IDPs and returnees, drawing first on qualified teachers, then other educated personnel including graduates and retired, then teacher aides, and so forth?

## 2. **Make or facilitate interim human resource arrangements.**

(See the 'Tools and resources' section of this chapter for an example of an approach to meeting staffing needs.)

- If there are not enough teachers, supervisors, and support staff, are there enough potential teachers, supervisors, and support staff in the population to provide instruction and to assure the proper functioning of the education system?
  - Will their employment be assured by the government or through other education providers on a temporary basis?
- What provisions need to be made to facilitate temporary appointments for government education programmes?
- Are guidelines needed to assist in decisions about the appointment of additional, new, or temporary ministry officials and teachers?
- Do guidelines for payment of stipends, incentives or 'in-kind' payments exist? Can they be adapted?
- If district offices and local authorities are functioning in emergency-affected areas, are steps being taken to enhance their capacity so that they can better manage personnel?
- Has an interim salary scale and human resource management policy been developed for employees of educational authorities? In consultation with representatives of personnel affected?
- Have minimum standards been developed for private and non-public community institutions?
- Were salary scales in use prior to emergency used as the starting point and adapted to reflect new priorities and constraints?
- Is elimination of discrimination by gender, ethnicity and other characteristics a priority?

- Are employees' representatives involved in the discussions of salary, policies, and terms of service?
- Are interim scales simple and loosely tied to qualifications beyond minimum levels?

### 3. **Work towards longer-term strategies for the government's management of teachers and other personnel affected by emergency.**

- Are there plans for transforming temporary government appointments into longer-term appointments?
  - Do these plans include capacity building?

#### **THE CREATION OF A MINISTRY IN EAST TIMOR**

"When the second transitional government was installed, education commanded its own ministry. On 20 September 2001, Armino Maia was sworn in as the first head of MECYS (UNTAET, 2002). Operating for a short eight months before independence, this era was characterized by the formation of what would quickly transition into a permanent education authority. By this time, many international staff had already left under the process of 'Timorisation'; those who had not only had a few months for capacity building on the appointment of permanent MECYS employees. The transition was complicated by confusion regarding UNTAET's role in direct governance versus capacity building, "UNTAET staff members often worked diligently in an effort to carry out their technical functions at the expense of transferring skills to their counterparts" (King's College London, 2003: 256). Several UNTAET district education officers concurred with a colleague's statement that "fortunately there was enough flexibility in the field to focus on capacity building when it was not yet the flavour of the day in Dili."

With little time and limited resources, educational leadership in East Timor had to make hard choices about sequencing interventions and resource allocation. The primary aim was to return children to the classroom as fast as possible. To achieve this, activities were primarily centred on restoration of educational infrastructure. Efforts to address policy and delivery problems facing the system, such as maintaining increasing enrolments, quality issues in language and curriculum, and establishing sustainable public financing took second place (World Bank, 2002b: 58). One review of the transitional authority asserts that education efforts were too heavily influenced by emergency logic. Areas such as "teacher training and administrative capacity-building were treated as being of lower priority" (King's College London, 2003: 253). Also, limited effort was put into decentralization at a time when this was actually crucial due to transport and communication difficulties."

Source: Nicolai (2004: 99).

- Have steps been taken to see whether persons on the payroll are actually working? Is a process for matching payroll and staff in place?
- Is a process in place for periodic rationalization of the deployment of staff?
- Has a strategy been developed for rationalizing the work force based on competencies and not qualifications, and for removing weak staff?

- Have steps been taken to build morale among teachers and other education personnel?
- Are in-service and pre-service training programmes being re-established?
- Are steps being taken to strengthen data and records relating to personnel including teachers?

#### **4. Work to ensure optimal provision for returnee educational personnel and teachers.**

- Are authorities working closely with UNHCR and other agencies on refugee and IDP return?
- Are records of personnel involved in education of refugees and IDPs obtained (with their consent or that of their representatives) to facilitate absorption into the national system?
- Is a process established to expedite review of qualifications and experience for temporary appointment purposes?
- Are personnel policies interpreted flexibly so as to maximize utilization and recognition of talent?
- Are preparations made for reintegration of personnel, especially adaptation or development of validation and certification processes?
- Is the EMIS organized to accommodate teachers and other educational personnel?
- Are means established to assess the psychosocial needs of returnee teachers and other educational personnel?
- Are nation and community-building programmes developed among teachers and educational personnel, national and returning?
- Educational authorities' training may include, but is not limited to, the following elements:
  - Supervisory skills.
  - Finance and administration management.
  - Strategic planning and basic education (action) planning techniques.
  - Report writing (personnel and management).
  - Performance appraisal of education staff.
  - Gender equity in management and supervision.



## MINISTRY HANDOVER IN KOSOVO

While UNMIK [United Nations Interim Administration Mission in Kosovo] formally handed over responsibility and authority for education in Kosovo to the MEST [Ministry of Education, Science and Technology] on 4 March 2002, the actual process of handover was never going to be easy. The education agenda for reform was too broad, the time-frame too short, and the capacity-building needs too great. Some of the contributing factors that made this process unusually difficult, however, require examination.

First, the combination of a narrow time-frame for implementing UNMIK-led reforms appeared to leave little time for patient mentoring and careful capacity-building work. UNMIK officials were preoccupied. Descriptions of the management style at the top of the education system resembled the sort of action-oriented operations that commonly surface during humanitarian emergencies. “We’re doing reform and handover at the same time. That’s the problem,” one UNMIK official commented. “It’s all chaos.” As a consequence, many education officials who were interviewed reported that Albanians in UNMIK’s Department of Education and Science were subordinate. Many believed that the ‘co-head’ titles created for Kosovars working in UNMIK’s Department were accurate in name only. “UNMIK education had a militarist command structure,” one high-level international official observed. Many Kosovar officials suggested that UNMIK comprised a “parallel system of its own,” an idea that some UNMIK officials also agreed was the case.

Not everyone agreed with this depiction. One official, for example, commented that UNMIK’s achievements took place “with very significant local inclusion and consultation.” Nonetheless, an international official recalled how “There were only 15 central administration staff who were locals” in UNMIK’s Department of Education and Science prior to handover, “and none had any responsibility.” The official concluded that “Kosovar Albanians were just pushing papers.”

Second, it was unclear whether every UNMIK education official was prepared to hand over authority. The power to create and nourish a new education system was exciting, and for some international officials, the job felt unfinished. Some Kosovar officials also maintained that UNMIK was handing over responsibility for education in Kosovo before the reform processes were complete. “UNMIK’s mistake was to pull out too soon,” an UNMIK official observed. “We had a chance to lead a new society, and we let it go too soon.” This is a remarkably revealing comment, because it contains the notion that an influential yet tiny group of foreign civil servants could drive social change in Kosovo. Another UNMIK official put the post-handover situation more plainly. “Our job is implementing, but we can’t implement: it’s not our job anymore,” the official explained. As a result of the handover process, “Things are falling back already.” The same official later noted, with some resignation, that “I liked it better when we [that is, UNMIK] were in charge.”

Source: Sommers and Buckland (2004: 128-129).

# TOOLS AND RESOURCES

## 1. Sample staffing needs approach

<p><b>STARTING POINT: DATA COLLECTION AND NEEDS ASSESSMENT</b></p>	<p>Existing staff figures of each department of the ministry have been established.</p> <ul style="list-style-type: none"> <li>• Number of individuals.</li> <li>• Deployment of individuals.</li> <li>• Qualifications of individuals.</li> </ul> <p>Needs for staffing have been clearly established for both central and regional posts.</p>
<p><b>STAGE ONE: POST/PROFILES MATCHING EVALUATION</b></p>	<p>Existing human resources are compared to the needs at each level of the Ministry, and in each structure of the ministry.</p>
<p><b>STAGE TWO: SURPLUS/DEFICIT EVALUATION</b></p>	<p>Evaluation of the surplus or deficit of available resources in relation to requirements by structure and in terms of qualifications.</p>
<p><b>STAGE THREE: SURPLUS ANALYSIS</b></p>	<p>Examination of possible redeployments of personnel from the central structures of the Ministry to regional levels, and/or schools.</p>
<p><b>STAGE FOUR: DEFICIT ANALYSIS</b></p>	<p>Planning to fill staffing needs can include both training plans designed to correct the qualification shortfalls at different levels and recruitment plans to make up the deficit.</p>

Source: Adapted from Sack and Saidi (1997: 94-95).



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CHAPTER **36**

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United Nations  
Educational, Scientific and  
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International  
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# DONOR RELATIONS AND FUNDING MECHANISMS

SECTION

**6**

MANAGEMENT CAPACITY



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### MAIN OBJECTIVES

- **To identify and obtain funding for support of education programmes in emergency situations.**
- **To enhance partnership, solidarity and transparency among actors in emergency situations, aiming to maximize the effectiveness of aid.**

### CONTEXT AND CHALLENGES

The term ‘donors’ encompasses a large range of actors, all with different outlooks, and often with different objectives and modes of operation. This and the following chapter on co-ordination is intended to give education ministries or other educational authorities a general introduction to some of the issues and challenges that are likely to arise when negotiating with and co-ordinating with bilateral donors, United Nations agencies, international financial institutions (IFIs), NGOs and local actors in an emergency or reconstruction setting. The tools and resources section of this chapter gives an overview of some of the most important types of financial aid (balance of payments support; general budget support; aid-funded debt relief; sectoral budget support; project aid using government systems; project aid using parallel systems; project aid through NGO/private providers; and multilateral aid.) The tools and resources section also gives an overview over some of the funding mechanisms and strategies used for disbursement of aid to the education sector: the Consolidated Appeals Process (CAP); the Heavily Indebted Poor Countries Initiative (HIPC); the Poverty Reduction Strategy Papers (PRSPs); ‘Education for All’ plans (EFA plans); and the Fast Track Initiative.

Donors are increasingly aware of the need to support education initiatives for all populations affected by conflict or disasters. However, maintaining adequate levels of funding for education in emergencies continues to face a number of challenges:

Donor funding structures can perpetuate institutional fragmentation. This is likely to impede the possibilities for integrated,

coherent and holistic education sector development and planning. Similarly, foreign actors and donors can undermine the role of national/designated authorities in both education management and resource mobilization. Implementing arrangements outside the structures of national authorities such as Project Implementation Units (PIUs) sometimes deplete and erode national capacities. PIUs are special administrative units established outside normal bureaucratic structures to facilitate implementation of projects, usually funded by international agencies such as the World Bank.

Another frequent problem is the tendency of international agencies to recruit the most qualified national staff for their own programmes, further eroding national operational and management capacity, and the authorities' ability to collaborate with and co-ordinate external partners. Underlying these challenges are donors' particular funding arrangements and disbursement mechanisms. Many donors place various forms of conditionality on the funding offered (see the definitions of conditionality and earmarking). Moreover, funding sources tend to shift as the emergency runs its course, with a stronger humanitarian focus at the beginning and development focus later. As a result, education often 'falls between the cracks' (see 'Relief versus development', below). In reality, education is a long-term investment in the development of human capital, as well as a short-term protection strategy, a contribution to psychosocial needs and a source of social stability.



#### RELIEF VERSUS DEVELOPMENT: COMPETING VISIONS?

The lack of funding represents one of the most serious constraints to the provision of education in situations of emergency and reconstruction. One of the reasons for this is the so-called relief-development gap. Until recently, the belief prevailed within the international aid community that "relief, rehabilitation and development were separate states in the development process, and that education belonged to the development stage". One official in a major donor agency interviewed explained the issue in the following way: "Development is about investing for the future" while "humanitarian aid is about saving lives now". Accordingly, "supporting development for tomorrow doesn't make sense when people are dying today".

"This relief-development dichotomy is an artificial one. People have only one life. Children need a quality education whether they are living in peaceful or conflicted societies. A more realistic approach is to consider socio-economic development as a single process that includes catastrophes, responses to them and recovery from them." (Talbot, 2002: 4)

Since many humanitarian agency officials consider education a development activity, funding for education is supposed to wait – even when the emergency continues for decades, as for example was the case in Southern Sudan. As this Guidebook clearly documents, education in emergencies can be both life-saving and life-sustaining. It can support conflict-resolution and peace-building and provides essential building blocks for the economic, social and political future of a country. Governments and educational authorities should communicate this message to potential donors. The *Minimum Standards for Education in Emergencies and Reconstruction* (INEE, 2004) is an invaluable tool in this regard. The handbook gives guidelines that will improve learning opportunities, and can assist in linking education programmes to psychosocial aid, shelter, health, water supply, sanitation, nutrition and security. At the same time, the handbook is designed to give governments and humanitarian workers the tools that they need to address the Education for All and UN Millennium Development Goals, bridging the efforts of the humanitarian response with long-term development goals.

Sources: INEE (2004); Sommers (2005); Sommers (2000: 36).

## DEFINITIONS OF CONDITIONALITY AND EARMARKING

**Conditionality** generally has two objectives.

- To give the recipient government an incentive to implement a different set of policy measures during the time period specified in the programme.
- To record the understanding between the government and donor partners on those policy measures to be implemented by the government.

In times of financial crisis for countries that are highly dependent on aid, conditionality may force governments to implement policy measures with which it disagrees. However, evaluations of such conditionality show that the implementation is more effective and sustainable when recipients adhere to the conditions as result of convictions rather than coercion. **Conditional aid** should benefit the budgets of the specific departments that have the power to ensure that the conditions are met. **General or macro level conditionality** may be appropriate in circumstances where the constraints to sustained poverty reduction must be tackled through action by all the central departments of the government. Likewise, **sectoral and sub-national conditionality** may be used to support policy changes within sectoral departments.

**Earmarking** limits the types of programmes or project that can benefit from the aid with the intention of changing spending patterns. Unlike conditionality, the incentives and disincentives are not optional; the funds will be spent in full if and only if the government fulfils its obligations. **Sector earmarking** occurs if the main focus of donors is on reforms, which are with the power of policymakers of a specific sector. In this case, if earmarked funds to one sector are denied, the government can compensate for this shortcoming using funds from different sectors. **Project earmarking** is even more specific and may occur where donors fear that the government may fail to ensure that specific categories of spending receive adequate priority.

Source: Foster and Leavy (2001: 14).

The challenges just listed are serious, but it is important to see the potential that lies in maintaining good donor relations. Negotiation with aid agencies is not a zero sum game (Hallak, 1995: 4). Often, circumstances, chance and the negotiating skills of the educational authorities can increase or decrease the total given to a programme or a project. In negotiations between donors and authorities or implementing agencies about funding for education in emergencies, both parts should keep the following key principles in mind:

- Donors and agencies should move toward needs-based resource identification and funding rather than supply-driven funding.
- Programming should be done according to the educational priorities of affected populations.
- The importance and urgency of education in emergency situations needs to be advocated.
- Education is a critical need during all phases of emergency, from the acute onset of an emergency; in protracted crises to the reintegration phase, reconstruction and development.

- There are critical links between the quality of the education delivered during acute phases, in the gradual and systematic rebuilding of education systems during protracted phases, and education delivery during early reconstruction and reintegration.



#### **DONOR CONDITIONALITY AND EDUCATION IN SOUTHERN SUDAN**

Many donors make respect for human rights and good governance a condition for aid. Sometimes, this conditionality limits budget support to the government only, but often it has wider implications. International providers of education in southern Sudan, for example, expressed concern with the poor human rights record of the Government of Sudan in Khartoum. As a result, many European governments, as well as the European Union, suspended funding support for Sudan during the late 1980s and early 1990s. Since there was no official recognition of the Sudan People's Liberation Movement or other movements in southern Sudan, the suspension applied equally to all parts of the country, the north and the south. The human rights record of one party in the war, in other words, has seriously and negatively affected donor assistance to Sudanese civilians regardless of their location. The offending party, in this case, was the national government.

At a time when the Education for All (EFA) movement has focused world attention on the rights of all children to access education, it is significant that such roadblocks remain so under-examined. In this case, international assistance for education can be limited during civil war either because the internationally recognized state government has a negative human rights record or because the rebel side, by definition, remains unrecognized. In the case of southern Sudan, both have applied and thus have negatively affected international assistance for education for Southern Sudanese.

Source: Sommers (2005)



## **SUGGESTED STRATEGIES**



### **Summary of suggested strategies Donor relations and funding sources**

- 1. Establish national leadership for co-ordination of donors, including appointment of appropriate staff to work full time on this role.**
- 2. Strengthen the ministry's leadership role for donor co-ordination and aim to make the ministry responsible for the overall sector programme.**
- 3. Ensure that concerned staff are familiar with the roles, mandates, normal practices and limits of foreign actors and donors.**
- 4. Take steps to build mutual trust and confidence.**

## Guidance notes

### 1. Establish national leadership for co-ordination of donors, including appointment of appropriate staff to work full time on this role.

- What are the management implications in assuming this role? Is there a need to establish a special unit for this purpose?
- Is there capacity within the educational authority to perform this function?
  - Is there a need for external support (e.g. secondment of staff from external agencies, provision of computer/Internet facilities)?
  - Are key staff being 'poached' by donors, NGOs or United Nations organizations?
- Has a senior national educator with good interpersonal and language skills been appointed to manage donor liaison?
- What will constitute the optimal mechanisms for such co-ordination?
  - Monthly/quarterly meetings
  - Frequent thematic/policy seminars
  - Separate meetings by types of donors (United Nations, bilaterals, NGOs, etc.)?
- Do parties share expectations regarding co-ordination meetings?
  - Have agenda and priorities been shared and agreed upon?
  - Is there a need to discuss and agree upon what should be the concrete output from such meetings? For example, joint programmes, common implementation arrangements and reporting, joint activities etc.?
- Are donors willing to respect the leadership role of educational authorities?
  - If not, why not? How can this problem be addressed?
  - Can a ministry representative be in charge of chairing the meeting?
- What are the medium- and long-term implications of current national leadership for sustained development of the education sector?

#### TRANSITIONAL RESULTS FRAMEWORK IN LIBERIA

"In August 2003, Liberia signed a comprehensive peace agreement. Three months later, a joint needs assessment mission took place, led by the United Nations Development Group and the World Bank. With participation from the transitional government, an innovative framework was produced, setting out the transition to stability. The [Results Focused Transitional Framework (RFTF)] addresses security, diplomacy, and development aspects such as education ... acknowledging that progress has to be made in all areas. Expected results were defined for every six months during the transition. Contributions by donors and the transitional government to achieving these results were laid out clearly. In this post-conflict environment, where needs are urgent and widespread, and capacity very low, the framework is the government's tool for prioritizing and sequencing actions. It is also, importantly, supposed to serve as a means of communicating with the public and managing expectations. The implementation of the transitional results framework remains a challenge and expected results may need to be revised to be more realistic."

"The RFTF effectively took the place of a Consolidated Appeals Process (CAP) for 2005. At the end of 2004 both humanitarian and targeted transitional needs were integrated into the RFTF Humanitarian Appeal – requesting a total of \$246 million."

Sources: DFID (2005: 19); Global IDP database.

## 2. Strengthen the ministry's leadership role for donor co-ordination and aim to make the ministry responsible for the overall sector programme.

- As authorities increase in capacity, transparency and effectiveness, are they asking donors to (re)allocate funding according to well-documented and legitimately derived national (rather than external) policy priorities?
- Are planned activities consistent with ongoing national and international education initiatives such as rights-based education, 'Education for All', poverty-reduction, gender equity and conflict prevention?



### EDUCATIONAL RECONSTRUCTION IN POST-WAR KOSOVO: PARALLEL WORLDS

"Kosovo was inundated with donor funding. Aid agencies flooded into Kosovo, competing for "funding, territory, and human resources" (Mattich, 2001: 8). NATO's and the United Nation's entrance was a media event, a sensational story, and it often seemed that every NGO and Western donor government wanted a part of the action. One Kosovar Albanian hired early by UNMIK called the arrival of NGOs from a wide array of countries an 'invasion'. Aid agencies experienced "an incredible pressure to act and be seen as 'doing something,'" which became "an impediment to pursuing participatory strategies" (Mattich, 2001: 33). A related factor was the urgency to rebuild the thousands of houses, schools, and hospitals that had been destroyed during or before NATO's campaign, before the cold winter months arrived. One aid official, who has worked in Kosovo since the summer of 1999, observed that one result was that "NGOs built with no community input." This applied to those previously involved with the parallel system of education [the period 1989-1998, where Albanians and Serbs ran separate education systems]. "During the parallel-system years," the official continued, "the Albanians did everything themselves." But in this early post-war stage, "the expectation that the NGOs would do everything meant that Albanians could step back and let them do it." In the view of this official, and those of many Albanian educators interviewed, the opportunity to access the parallel system's potential to mobilize communities in co-ordination with international agents was lost, a precursor to what eventually surfaced as the distancing of parallel education officials from education decision-making. At the same time, there were some reports of good working relations between international agencies and Kosovar community members during this period. In addition, in villages where outside agencies were not present, Kosovar communities organized themselves to clean up and repair their schools."

Source: Sommers and Buckland (2004: 51-52).

### 3. Ensure that concerned staff are familiar with the roles, mandates, normal practices and limits of foreign actors and donors.

- Are there national rules and regulations that donors and other external actors should follow in conducting their operations?
  - Is there a need for a review or redesign of such instruments?
  - To what extent are partners aware of these rules?
  - Is there a need for discussion and dissemination of these rules and regulations?
- Are foreign actors registered with the authority?
  - Is there a need for such a registry, and are partners willing to co-operate and provide the necessary information?
  - Does capacity exist for registry and monitoring? Can this function be delegated to donors or NGOs? (See also the *Guidebook, Chapter 38, 'Co-ordination and communication'*).
- Ensure that national staff have access to and study the websites and annual reports of key international donors and agencies.
- Ensure that national staff are familiar with the process of the consolidated appeals process, where relevant, and have studied some past appeals.



#### FUNGIBILITY, CONDITIONALITY AND EARMARKING

“Aid is said to be **Fungible** when Government offsets donor spending on a particular purpose by reducing its own expenditure on the same purpose. For example, donor funding earmarked to [education] will not increase total education spending if Government reduces its own [education] spending, and reduces the funds thus released for some other purpose.

Fungibility means that total public spending (both Government and donor financed) is adjusted to reflect the priorities of the national Government rather than the unco-ordinated preferences which emerge from large numbers of donor projects. If Government and donors are in agreement on budget priorities, then fungibility is welcome, and ensures that the agreed budget priorities can be implemented. If donors disagree with Government spending priorities, they can try to influence them through policy dialogue, through conditionality, or by earmarking their aid. Depending on the stage in the budget cycle at which earmarking takes place and Government reactions to it, it may be capable of changing allocations between or within sectors, or the extent to which aspects of the finally approved budget are actually executed. It requires strong assumptions regarding the efficiency of the budget process and the relative power of the finance ministry before donor earmarking is rendered entirely impotent.”

Source: Foster and Leavy (2001: 14).

#### 4. **Take steps to build mutual trust and confidence.**

- Do donors channel funds through the authorities?
  - If not, why? What steps need to be taken for this to happen?
  - Is there a lack of confidence in the accounting and reporting system or implementation capacity?
  - Can donors assist in addressing these weaknesses?
- Is there a clear understanding of what constitutes obligations and duties on both sides in the monitoring and reporting process?
- Is there a problem with transparency? If so, how can it be addressed? (See also the *Guidebook, Chapter 31, 'Legal frameworks'* and *Chapter 35, 'Budget and financial management'*)
- To what extent are donors prepared and willing to adjust to changing needs and priorities?
  - Does the national government have the authority to amend or reject donors/NGOs involvement in educational reconstruction if their priorities do not reflect national plans?
  - Are donor and NGO activities sufficiently well regulated and defined?
- To what extent can reporting requirements be harmonized?

# TOOLS AND RESOURCES

## 1. Types of financial aid

**Balance of payments support** provides finance in support of a programme of policy reform, usually agreed upon by the government with the International Monetary Fund and the World Bank. The emphasis is put on the policy actions which the government has agreed to implement, with little if any attention to how the finances would be used. No restrictions are placed on the use of the foreign exchange, and there is no formal accounting for how the aid is used.

**General budget support** can be thought of as a sub-category of balance of payments support except that instead of receiving foreign exchange to support its outstanding payments, the aid is used to increase the domestic currency balance of the receiving government. These funds are then freely available to the government and can be used to raise spending, reduce borrowing, or reduce taxes. The conditions typically include agreement to the overall budget priorities as defined by a medium-term budget and expenditure framework.

**Aid-funded debt relief** reduces the accumulated debt obligations that governments are expected to meet in the future. This can encourage private-sector investment and decrease government dependency on donor funds. Debt relief permanently increases the financial resources available to the government. It can be subject to conditionality but, once granted, it cannot be reversed, and the government is free to decide how to allocate the additional resources.

**Sectoral budget support** is earmarked to help finance an agreed sector expenditure plan. Donors normally require an agreed policy and expenditure plan for the sector but the funds are allocated and accounted for through government systems.

**Project aid using government systems** provides more specific earmarking for a discrete set of activities. Donors will expect that coherent objectives, inputs and outputs will be defined for each activity. This form of aid can be a part of government budgets, subject to government policy conditions, and disbursed and accounted for by government systems.

**Project aid using parallel systems** involve spending proposals for which donors have taken the lead, decided the inputs that are to be provided, and use their own disbursement and accountability procedures.

**Project aid through NGO/private providers** involves subsidizing activities carried out by non-governmental organizations. This type of donor involvement is used in situations of market failure, or when NGOs propose projects that are cost-effective and provide better access to an important service. This implies using competition to ensure that the 'user' benefits from the subsidies.

**Multilateral aid** is disbursed by 'international financial institutions' such as the IMF and the World Bank. These are financed and controlled by their member countries.

The IMF promotes development through an expansion of world trade whilst the IBRD (International Bank for Reconstruction and Development) and IDA (International Development Association) which are grouped as the World Bank, provide low-interest loans, interest-free credit, and grants to developing countries. With the United Nations Millennium Declaration, there has been increased commitment from the IFIs to be more poverty focused and provide greater volumes of ODA (official development assistance) with enhanced developing country participation/ownership in IFI funded projects.

Sources: DFID (2005); Foster and Leavy (2001); IMF (2005); OCHA (2005)

## 2. Different funding mechanisms

**The Consolidated Appeals Process (CAP)** is a mechanism used by aid organizations to plan, implement and monitor their activities. In 1991, following a problematic response to the plight of Iraqi Kurdish refugees in the wake of the first Gulf War, the United Nations General Assembly created the consolidated appeals. As a planning mechanism, the CAP is supposed to foster a more strategic approach to the provision of humanitarian aid and closer co-operation between governments, donors, aid agencies, and a range of other humanitarian organizations. Working together in the world's crisis regions, aid organizations produce a Common Humanitarian Action Plan (CHAP) and an appeal, which they present to the international community and donors. Consolidated appeal documents provide a snapshot of a situation and present aid agencies' financial requirements. In 2005, 100 NGOs, the International Federation of Red Cross and the Red Crescent societies, the International Organization for Migration, and 20 United Nations agencies are part of the CAP.

**The Heavily Indebted Poor Countries (HIPC)** initiative is a comprehensive approach to debt reduction for heavily indebted poor countries pursuing IMF- and World Bank-supported adjustment and reform programmes. Countries' continued efforts toward macroeconomic adjustment and structural and social policy reforms – including higher spending on social sector programmes like basic health and education – are now central to the enhanced HIPC Initiative. To be considered for HIPC Initiative assistance, a country must:

- Face an unsustainable debt burden, beyond traditionally available debt-relief mechanisms.
- Establish a track record of reform and sound policies through IMF- and World Bank-supported programmes.
- Have developed a Poverty Reduction Strategy Paper (PRSP) through a broad-based participatory process (an interim strategy is sufficient to begin the process).

**Poverty reduction strategy papers (PRSPs)** were introduced by the World Bank and the IMF and constitute a framework for development assistance beyond the operation of the international financial institutions. Based on the principle of country self-help and support from the international community, they integrate poverty analysis, public policy, macroeconomic policies, budgetary process and monitoring systems in a participatory manner. Poverty Reduction Strategy Papers (PRSPs) are prepared by governments in

low-income countries through a participatory process involving domestic stakeholders as well as external development partners, including the IMF and the World Bank. A PRSP describes the macroeconomic, structural and social policies and programmes that a country will pursue over several years to promote broad-based growth and reduce poverty, as well as external financing needs and the associated sources of financing.

**‘Education for All’ (EFA) plans** show donor agencies that governments have made long-term plans for the development of the education sector. According to the Dakar Framework for Action, all States should have “develop[ed] or strengthen[ed] existing national plans of action by 2002 at the latest” building on existing national education sector development strategies. These plans should be integrated into a wider poverty reduction and development framework, and should be developed through transparent and democratic processes, involving all relevant stakeholders, especially peoples’ representatives, community leaders, parents, learners, non-governmental organizations (NGOs) and civil society.

**The Fast Track Initiative (FTI)** was launched in 2002. It was designed as a major donor initiative to help countries achieve the Millennium Development Goal (MDG) of Education for All (EFA) by 2015. The initiative provides additional and better co-ordinated external assistance to countries that may lack financial resources and capacity, but have development plans that demonstrate a serious commitment to implementing policy and institutional reforms. The Fast Track Initiative encompasses all major donors for education – more than 30 bilateral, regional and international agencies and development banks. It requires countries to have:

- An approved national poverty reduction strategy, or a similar national strategy that would help ensure that education strategies are anchored in country level consultative and budgetary processes.
- A sector-wide programme for education agreed with in-country donors and including a strategy for HIV/AIDS, gender equality, capacity building, monitoring and evaluation.
- Agreement to monitor benchmark indicators.

**A Sector Wide Approach (SWAp)** implies that all significant public funding for the sector supports a single sector policy and expenditure programme, under government leadership, adopting common approaches across the sector. SWAps aim to use government procedures to disburse and account for all public expenditure, however funded. The working definition focuses on the intended direction of change rather than just the current attainment.

Sources: Brown *et al.* (2000); DFID (2005); Foster and Leavy (2001); IMF (2005); OCHA (2005); Caillods and Hallak (2004).



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CHAPTER **37**



**SECTION 6**



United Nations  
Educational, Scientific and  
Cultural Organization



International  
Institute for  
Educational  
Planning

# CO-ORDINATION AND COMMUNICATION

SECTION

**6**

MANAGEMENT CAPACITY



The designations employed and the presentation of material throughout this review do not imply the expression of any opinion whatsoever on the part of UNESCO or the IIEP concerning the legal status of any country, territory, city or area or its authorities, or concerning its frontiers or boundaries.

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### MAIN OBJECTIVES

- **To contribute to the efficient planning and management of education service delivery.**
- **To encourage participation in education on the part of learners and communities, various levels and sectors of government/authority and international and United Nations agencies, and NGOs.**
- **To ensure that government and all non-governmental partners work together to provide access to quality education programmes for the emergency-affected populations, in a spirit of co-operation and with agreed procedures and priorities.**

### CONTEXT AND CHALLENGES

Co-ordination is not easy and it normally requires initial resources and investments. Even the term itself is disputed and it is not clear what makes it happen. Antonio Donini, an officer at the United Nations Secretariat, suggests at least three categorizations: ‘Co-ordination by demand’ involves a leadership authority, reinforced by sticks and/or carrots. ‘Co-ordination by consensus’, on the other hand, uses less authority and requires more persuasion. Finally, there is ‘co-ordination by default’, which has very few structures for orchestrating concerted action. Co-ordination by demand is not a realistic option, neither for donors, nor the United Nations itself. The best that can be hoped for, Donini claims, is co-ordination by consensus in which “UN organizations and various NGOs would at least share information and attempt to avoid duplication”. In this context, it is not realistic to think that the educational authority of a crisis-stricken country can command its partners or donors to co-ordinate (Sommers, 2004: 25).

In situations of emergencies or reconstruction, the capacity of national educational authorities to co-ordinate activities and to manage communication is often already quite weak. None the less, it is important for the government or authority to take as much of a leadership role as possible in co-ordinating delivery of services and managing the education system. Especially in the early phases, this will require careful negotiations with donors and service agencies (see also the *Guidebook, Chapter 37, ‘Donor relations and funding mechanisms’*). Communication is central to this effort. When the government is unable to assume full responsibilities, the relevant United Nations

agency, sometimes in partnership with NGOs or bilateral agencies, may assume temporary leadership, still giving as much responsibility as possible to government, while ensuring attention to emergency needs.

Unfortunately, co-ordination in early phases of crisis tends to be limited to the exchange of information and the division of labour, often assigned by territory and/or areas of intervention. In early phases of acute/complex emergencies, the Office for the Co-ordination of Humanitarian Affairs (OCHA) plays a critical role. Unfortunately, United Nations co-ordination through humanitarian and resident co-ordinators does not always include non-UN actors. In major emergencies, the World Bank and regional development banks may work in partnership with the United Nations to organize joint needs assessments in the emergency-affected country/region, as well as calling donors together for pledging conferences (see also the *Guidebook, Chapter 37, 'Donor relations and funding mechanisms'*).



### HUMANITARIAN INFORMATION CENTRES AND EDUCATION

In a rapidly changing emergency situation, a Humanitarian Information Centre (HIC) may be an effective means of co-ordination within the education sector. When high turnover within humanitarian organizations and poor communications infrastructure make co-ordination difficult, these centres can support the decision-making process at headquarters and in the field by contributing to the creation of a common framework for information management within the humanitarian community.

In Basra, UNICEF originally created a “dataset of approximately 5,000 schools; gave the data to HIC who developed a database to manage the data. Based on the groundwork done by HIC and its information advice, UNICEF continued to build up the dataset with the Ministry of Education. As one UNICEF official indicated, “The schools survey will be a very powerful planning tool. 18,000 schools were surveyed across Iraq and the tolls were developed with HIC. The Ministry will be able to prioritise work with this information and coordinate the work of all of the actors currently rehabilitating schools” (Sida, 2001).

The HIC web site for Liberia contains national ‘school details for current month’ information sheets, a school facilities update form, as well as information on UNICEF’s back-to-school programme. ‘Who does what where’ reports on education and school maps are also featured.

Humanitarian Information Centres have also been established by the OCHA in Kosovo, Afghanistan, Sierra Leone, Eritrea, and the occupied Palestinian territories.

Sources: [www.humanitarianinfo.org](http://www.humanitarianinfo.org) and Sida (2004)

National authorities sometimes establish separate management structures for aid administration, such as Project Implementation Units (PIUs). In the case of refugees, they may be administered under a ministry concerned with internal/home affairs rather than individual ministries for health, education, water supply, etc. Under these circumstances, there can be poor communication with the national education ministry.

Civil conflict represents a particular challenge to communication and co-ordination within affected countries and regions. Depending on the causes of the emergency, government authorities may not be best placed to serve the needs of children in affected areas or co-ordinate response. Because government resources and attention are likely to be diverted from education during crises, NGOs often provide services and serve as de facto educational authorities in local areas. Even though ongoing emergency conditions make communication and co-ordination difficult, they are essential to providing effective and efficient services, and building an institutional base for reconstruction and development.

### **BACK TO SCHOOL AFTER THE TSUNAMI**

Following the tsunami of December 2004, the hard hit fishing village of Ban Nam Kem, Thailand was looking for ways to bring children back to school. Communities and agencies created co-ordination mechanisms to respond to the challenges brought about by the calamity.

About a quarter of the village school's 400 students were missing or had been killed. Another quarter of the students stayed home immediately after the natural disaster. Access to school proved to be difficult as most of Ban Nam Kem's surviving students lived in a relief camp three kilometres away. When many failed to turn up for class on the first day of school following the tsunami, UNICEF met with local officials and teachers to consider how to get them back to school. In a partnership between UNICEF and the Thai military, military transport trucks were turned into school buses. From then on, military convoys took children to school, and back again to their temporary home in the camp.

Source: Adapted from Relief Web (2005).

Co-ordination of programmes is difficult if there are many external actors. Some education programmes (depending upon the school level serviced, the type of programme provided, or the region in which services are provided) may attract more donor funding than others. External education providers may provide different services in their respective locations, causing misunderstanding and leaving needs unmet.

IDPs' needs may vary according to the cause, origin and destination of displacement, and may not be well-communicated to the educational authorities as a result of the disruption and insecurity. Co-ordination and communication across borders, educational authorities, United Nations organizations and other assisting agencies is essential for smooth reintegration of returnees. Non-governmental education providers need to communicate with officials about the urgency and importance of IDP and refugee education, and about the role of the community in mobilizing their own resources, especially teachers. Policy guidelines for equitable treatment of returnees and non-migrants have to be communicated to remote locations.

In the acute phases of an emergency, communication is likely to break down, affecting the collective response. Communication channels may be used to promote particular political interests, which may not necessarily be in line with learners' needs. Amongst educational authorities, communication between different management and organization levels may be disrupted or inefficient, resulting in fragmentation of the system. The presence of a number of external humanitarian organizations often leads to parallel co-ordination and communication systems set up to meet the needs of competing or parallel authorities.

Whenever possible, the education ministry needs to direct co-ordination of education delivery and reconstruction. Otherwise, the relevant United Nations agency may have to assume interim leadership, or United Nations and NGOs working in partnership with government/authority. Unless there is strong co-ordination, different assistance agencies may seek to impose their own organization's priorities in the areas where they are operational. Some agencies have mandates or policies that limit their role (agencies may, for example, focus on young children/primary education, or refugees, and only be able to provide short-term support for returnees).

#### CO-ORDINATION AND THE LACK OF IT

"While co-ordination is essentially a method of getting institutions to work together, it is clearly not synonymous with togetherness. Undercurrents of suspicion and distrust between individuals and institutional actors can affect important relationships and give rise to enduring misunderstandings and perplexing challenges. Turf battles involving huge international institutions are a real life illustration of the African adage: "When elephants fight, the grass suffers". In terms of co-ordination: war-affected, displaced, disempowered and traumatized communities constitute the grass."

Source: Sommers (2004: 15).



## SUGGESTED STRATEGIES



### Summary of suggested strategies

#### Co-ordination and communication

1. Assess co-ordination and communication needs.
2. Consider whether there is a need to strengthen the ministry's co-ordination and communication capacities.
3. Where the system is seriously fragmented and under the control of different or competing authorities, ensure educational activities are co-ordinated, to the extent possible, with regard to the best interests of learners.
4. Develop policies in a co-ordinated manner, in consultation with major actors and then communicate them clearly.
5. During return and early reconstruction, consolidate co-ordination mechanisms among all actors who have been involved in education during the crisis and protracted phases. Provide clear messages on how the mechanisms can be aligned with the emerging priorities of the system under transformation.

## Guidance notes

See also the ‘Tools and resources’ section of this chapter for the INEE minimum standards dealing with co-ordination.

### 1. Assess co-ordination and communication needs.

- Have the various actors, their education-related activities, and their co-ordination and communication needs – both sending and receiving – been mapped?
  - Mapping should include:
    - Educational authorities, at central, regional, district, and school levels.
    - Other government ministries.
    - Communities.
    - Local, national, and international NGOs.
    - UN organizations, international development aid agencies.
    - Professional organizations such as INEE.
    - Exiles.
- How effective is co-ordination between national authorities and international partners?
  - What communications strategy can facilitate better co-ordination?
- How effective is co-ordination among international partners (United Nations agencies, donors, NGOs)?
  - What communications strategy can facilitate better co-ordination?
- How effective is co-ordination between educational authorities and other sectors or ministries?
  - What communications strategy can facilitate better co-ordination?
- How effective is co-ordination within the education system?
  - Within the education ministry?
  - Between central authorities and regions, districts and schools?
  - Horizontal relationships across regions, districts, schools?
  - What communications strategy can facilitate better co-ordination?
- How effective is co-ordination within communities, between communities and civil-society organizations, and among schools, civil society, and communities?
  - What communications strategy can facilitate better co-ordination?
- Assess the communications environment to establish best channels for communication.

- How does communication currently take place for each of the pairings above?
- What formal and informal channels and mechanisms of communication and dialogue are in current use?
- Do all actors know each other's communication mechanisms? Especially those of educational authorities?
- Does information flow sufficiently? Does it flow top-down? Bottom-up? Horizontally?
- In the case of a major emergency, is there a communications focal point or communications officer monitoring development and implementation of a communications strategy?
  - Where is the officer located?
  - What organizational authority and resources does he/she have?
- Is there a need to develop an overall communications strategy?
- Would more frequent meetings between certain stakeholders contribute to better understanding and resource mobilization?
- Assess the communications between educational authorities/education providers and learners, communities and civil society.
  - Are learners, communities and civil society informed about all available learning opportunities?
  - Are there mechanisms for learners, communities, and civil society to communicate their concerns to educational authorities?
  - Are there channels of communication with learners and communities to ensure respect for cultural sensitivities? That is, information campaigns, language sensitivity, other formal and informal communication channels?
  - Have arrangements been made for community leaders and civil-society organizations to assist in disseminating and explaining appropriate messages regarding reconstruction of the system?
  - Are there ways to involve communities and civil society actively in dialogue about the shape of the reconstructed system?
  - Are regional and local education system actors and teachers, etc., involved in the formulation and dissemination of messages?



### THE NEED FOR CO-ORDINATED EDUCATION SUPPORT: THE CASE OF EASTERN ZAIRE

“Schools started by refugee, IDP or other war-affected communities may be seen as heroic efforts to claim and assert the right of their children to access education. As such, they are worthy of energetic and appropriate international and national government support. The issue of co-ordination and support is important, because without it, the schools may find other benefactors. The case of Rwandan refugees in former Eastern Zaire is instructive:

Left uncontrolled and uncoordinated, the many refugee-led schools in Eastern Zaire became sites for sinister teachings. An education expert described how... international humanitarian agency officials “weren’t interested in education, [so] the government-in-exile ran the schools”... Reserved for young Rwandan Hutu elites, it was widely assumed that the schools emphasized the sort of ethnically based version of Rwandan history that [had] provided the rationale for ethnic genocide. The official concluded by declaring that the Eastern Zaire case provided “the strongest argument for why we need to [provide] emergency education support that is timely and involved”.

It should be noted that the situation was eventually addressed by international agencies in the area, at least to some degree. As Lyndsay Bird (2003) has noted, “At the early phase of the refugee crisis in [the former Zaire], UNHCR refused to support any education activities... However, by early 1995 [perhaps a half year later], UNHCR did start to provide minimal support for [refugee education]”.

Source: Sommers (2004: 40).

## 2. Consider whether there is a need to strengthen the ministry’s co-ordination and communication capacities.

- Is there a need for training and resources to facilitate better communication within the system?
- Does the government need more access to computers, internet, etc.?
- Is external assistance needed to strengthen co-ordination and communications capacity?
- Are there development partners willing and able to help develop and implement a co-ordination strategy with the authority?
- Will development of such a strategy be undertaken within government structures so as to develop the government’s capacity to lead the co-ordination and communications function? Will steps be taken to ensure funding for such any necessary positions and training?
- Has the option of using an assistant seconded from a United Nations agency or NGO been considered during the developmental stage?

**3. Where the system is seriously fragmented and under the control of different or competing authorities, ensure educational activities are co-ordinated, to the extent possible, having regard to the best interests of learners.**

- Are there development partners, other agencies and sectors that can help get simple directives and messages regarding interim education arrangements to other education providers?
- Is there an international agency that can work across lines of conflict (or national borders) to communicate messages about basic educational assumptions and values that transcend conflict issues, foster system coherence, limit fragmentation, and protect learners' interests?
- Are there national rules and regulations that donors and other external actors should follow in conducting their operations?
  - Is there a need for a review or redesign of such instruments?
  - To what extent are partners aware of these rules?
  - Is there a need for discussion and dissemination of these rules and regulations?
- Are foreign actors registered with the authority?
  - Is there a need for such registration, and are partners willing to co-operate and provide the necessary information?
  - Does capacity exist for registration and monitoring? Can this function be delegated to donors or NGOs? (See also the *Guidebook, Chapter 37, 'Donor relations and funding mechanisms'*).

**4. Develop policies in a co-ordinated manner, in consultation with major actors and then communicate them clearly.**

- Ensure that simple, clear messages about any major initiatives to restart or adjust education programmes are made accessible to communities and civil society (community groups, NGOs, religious organizations – through radio, posters, leaders, depending on context and available means of communication).
- Is there a need to launch a 'back-to-school' campaign? What key information will need to be included in communications around such a campaign?
- If a back-to-school campaign is co-ordinated by a 'lead agency', what key messages need to be communicated to ensure popular support for a return to school? To ensure that schools do not exacerbate conflicts?

(See 'Tools and resources' for ten suggestions for effective project communication.)

**5. During return and early reconstruction, consolidate co-ordination mechanisms among all actors who have been involved in education during the crisis and protracted phases. Provide clear messages on how the mechanisms can be aligned with the emerging priorities of the system under transformation.**

- Is there good co-ordination and communication between the education ministry departments/other ministries/special councils, etc., responsible for schooling, higher education, technical education, teacher training institutions, non-formal education?
- Is there a simple ‘mission statement’ that captures the emerging vision of educational authorities regarding education reconstruction to be presented to development partners and citizens?
  - Is the mission related to the authority’s long-term strategy for education priorities?
- Do existing co-ordination mechanisms provide opportunities for agencies to articulate how their programmes will adapt to reflect the emerging education priorities?
- Are there mechanisms in place to ensure linkage of education programmes with other relevant sectors?
- Have the linkages among conflict prevention, education and wider reconstruction been made explicit for consideration by national authorities and key ministries that will determine the broader reconstruction priorities?
- Is the education authority working with its development partners to communicate a broad vision for education reconstruction to be discussed in sector development planning and wider development strategy? (Is there a Poverty Reduction Strategy Paper for example?). (See also the ‘Tools and resources’ section of the *Guidebook*, Chapter 37, ‘Donor relations and funding mechanisms’).
- Is any needed cross-border communication taking place, and are issues of certification and validation issues being addressed in these discussions?

# TOOLS AND RESOURCES

## 1. INEE minimum standards for education policy and co-ordination<sup>1</sup>

### Standard 3: Co-ordination

There is a transparent co-ordination mechanism for emergency education activities, including effective information sharing between stakeholders.

#### Key indicators

- Educational authorities establish an inter-agency co-ordination committee for current and future emergency response, which assumes the major role in planning and co-ordinating emergency education activities.
- When the education authority is not present or is unable to lead co-ordination, an interagency co-ordination committee provides guidance and co-ordination of education activities and programmes.
- Authorities, donors and other agencies establish financing structures that are co-ordinated with and support activities of education stakeholders.
- A common statement of co-ordination aims, indicators and monitoring procedures is in place, and all education actors commit themselves to work within that framework and make key information and statistics available in the public domain.
- Affected communities are authorized and able to participate in decision-making that directly affects them, particularly in policy or programme formulation, implementation and monitoring.
- A transparent and active mechanism exists for sharing information across sectors and between key national and international stakeholders.

1. Source: INEE (2004: 77-78).

## INEE minimum standards guidance notes

1. **Inter-agency co-ordination committee.** Representatives should include a wide spectrum of stakeholders, wherever possible under the leadership of the education authority.

Co-ordination committees may be needed at regional, national, district or local levels, depending on the nature of the emergency. Where educational authorities lack capacity or legitimacy, leadership may be assigned by agreement to different agencies, but a representative of the local authority should always be a member of the committee. As soon as conditions permit, responsibility for co-ordination should be transferred to the appropriate authorities.

2. **Financing.** Sufficient funds are required for successful and timely implementation of education programmes in emergencies. Every effort should be made to ensure transparent and co-ordinated approaches to financing, especially where salary payment systems for teacher compensation are inadequate or non-functional. Emergency financing arrangements should take into consideration local labour market conditions and traditions and should avoid setting precedents that cannot be sustained.
3. **Key co-ordination challenges.** These should be identified and addressed from an early stage in the emergency phase, in order to achieve a cost-effective approach that leads to sustainable and harmonized future education services. Issues may include teacher training, certification and payment; curriculum and related components (textbooks and teaching and learning aids); and structuring and recognition of schooling and examinations.
4. **Joint policy development and training workshops.** These should be developed collaboratively with educational authorities and external actors to ensure good communications, promote collaboration and commitment to a shared vision, and enhance the overall development of the education system.

## 1. Ten suggestions for effective project communication

1. Project leaders must see themselves and be seen as chief project communicators. They should lead the project's communication programme, speak on behalf of the project and organize other credible persons to do the same.
2. Every project requires a 'communications unit', at least one additional person charged with ensuring communication actually takes place. If the designated person is untrained in communication skills (beyond journalism or public/media relations), some training may be required. The communications unit will require clear support by the project leader, senior personnel, and stakeholders. Some projects may even create a communications committee made up of representatives of internal and external publics. This is frequently done for specific events, e.g. launches, campaigns, etc., but is useful as part of normal project management.
3. Communication has costs (time, labour, expertise, materials, media, etc.), which should be explicitly budgeted as part of necessary project resources.



4. Communication is more effective when planned in a systematic and strategic fashion, with objectives, target groups, timing, channels/media to be used, costs, etc. Because communication is often unplanned, many communication efforts tend to be haphazard exercises in 'fire-fighting', crisis-oriented, and thus ineffective.
5. Communication is more than messages and mass-media appearances. Meetings, courtesy visits, working sessions, launches, all need to be carefully planned and evaluated. Local traditional structures (elders' groups, women's societies, occupational groups) and folk media and performing arts (song, dance and dramatic entertainment) are also important vehicles for project visibility, and should be included in planning project communications.
6. Project communication should be participatory, whether for internal or external publics. This means involving relevant stakeholders in planning, implementation and evaluation of project activities, providing timely information, encouraging ideas and feedback. Participatory communication requires effort and will; it may take more time; but it can enhance solidarity, ownership, support and sustainability.
7. Communication should be evaluated, like all project inputs. Simple instruments and indicators can be used. Ask questions like: Did project staff and stakeholders think the monthly meeting was valuable? Were the assigned responsibilities understood? How many people heard the project being mentioned in radio programmes; at the ministry; in the local communities? What did parents learn from the dramatic sketch performed by schoolchildren at project launch?
8. Mass media are important for national and district projects. Journalists, editors and radio/television producers should be cultivated as partners, to generate their interest in the project, its objectives, activities and progress. These partners will require information: briefings by project personnel, visits to schools and access to other project sites and interviews with stakeholders. Often ministries have bureaucratic procedures that inhibit journalists, delaying and even denying their access to project officials. More information to media is better than less. Anything deliberately hidden from the press can sooner or later be exposed. Some media reports may be sensational; most will seek to be factual and positive.
9. Community spokespersons are often credible sources of information on project achievements. Project beneficiaries should be encouraged to speak about their experiences with project activities and any gains they may have derived. They may also express some criticism of project activities and objectives. However, stakeholder participation in project communication activities is an effective weapon against vocal opposition by negative individuals and groups. The project communication unit should analyze stakeholder communications, incorporating suggestions, justifications and examples taken from them for use in future work.
10. Communication will not eliminate conflict; but it can help to reduce the climate of misunderstanding, suspicion and lack of trust that fuel conflict. If poor communication is one of the major reasons projects fail, good communication may contribute to project success.

Source: Opubor (2002).

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CHAPTER **38**

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▪ SECTION 6



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