

# **SARVA SHIKSHA ABNIYAN**

**A PROGRAMME FOR  
UNIVERSAL ELEMENTARY EDUCATION**

**MANUAL FOR  
APPRAISAL OF PLANS**



**MINISTRY OF HUMAN RESOURCE DEVELOPMENT  
DEPARTMENT OF ELEMENTARY EDUCATION & LITERACY  
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## FOREWORD

Appraisal and supervision of process oriented social sector programmes is a complex issue, which involves capabilities of qualitative judgement as well as quantitative assessment. Sarva Shiksha Abhiyan (SSA), the national programme for universalization of elementary education, aims at providing useful and relevant elementary education to all children in the age group of 6-14 years by 2010. Experiences of programmes like APPEP, BEP, UPBEP, Lok Jumbish and the DPEP and various research findings have contributed to the development of Sarva Shiksha Abhiyan. SSA is an initiative to universalise quality elementary education in a mission mode through district based, decentralized context specific planning and implementation strategy. It is a significant attempt to bridge social and gender gaps, with the active participation of the community in all aspects of planning and delivery of elementary education programmes.


One of the focus areas of the SSA is to establish linkages with other social sector schemes and programmes of various agencies and draw benefit from them. It provides an opportunity to all the districts to formulate their vision of quality elementary education and develop District Elementary Education Plans (DEEP) suited to their needs, local environments and capacity to implement the plans. Districts have the autonomy to set their own targets for UEE and adopt a contextualized mechanism for implementing interventions planned under DEEP. It aims to strengthen the existing educational structures of the States and districts to undertake the programmes of the DEEP under SSA.

The magnitude of the task involved in the appraisal of Perspective Plans and Annual Work Plans and Budget of all the districts developed under DEEP and State component plans is enormous. This is more so, because all the district plans and state plans are expected to be different in nature with regard to the problems being faced in the area and the interventions and implementation strategies proposed. Appraisal of such divergent plans will need the help of experts from different disciplines. A large number of experts drawn from a

number of professional institutions are needed to accomplish the task of quality appraisal of plans. In this backdrop, a need was felt to develop a comprehensive manual for appraisal of the plans. The main objective of this manual is to provide to the appraisers an insight into various aspects of appraisal and provide help and guidance to them. The related objective is also to help the district and state teams in preparation and appraisal of SSA plans. This manual will also help the supervision missions.

I am happy that the Team constituted to develop this manual adopted a systematic method in developing the manual. During the process of the development of the manual, the Team had a wide range of discussions with the concerned at various levels and with area experts. The draft manual was field tested during the appraisal of the district plans in various states and then it was modified incorporating the feed back received from the appraisers. It was also enriched through suggestions and feedback received from the Project Approval Board on appraisal issues and requirements. It is important to mention that the details and norms of various programmes given in the Framework for Implementation of SSA should also be consulted while appraising the district and state plans. The appraisers would of course use their own wisdom and experience while considering the details of various programmes but they should also ensure adherence to the SSA norms during the course of appraisal. I hope the appraisers as well as the planners at the state and district levels will find this manual useful and handy.

I would like to thank Shri Sumit Bose, Joint Secretary for taking the initiative to get the manual developed. I put on record and thank the Convenor and the members of the Team for developing this manual for their initiatives and hard work in bringing out the document. My sincere thanks to all those from Elementary Education Bureau, MHRD, NCERT and TSG who contributed to enrich the manual. I am also thankful to Prof. J.S. Rajput, Director, NCERT, Prof. K.K. Vashishtha, Head, DEE, NCERT and Prof. B. P. Khandelwal, Director, NIEPA for their support. I would like to thank the members of the appraisal teams and also those with whom discussions were held in the field for their valuable suggestions, which have gone a long way in improving this manual. We look forward to a continuous feedback to ensure that the manual is updated to meet the requirements of this gigantic task.

  
(S.C. TRIPATHI)

Date: 12<sup>th</sup> August, 2002



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I would like to put on record my deep appreciation for the pivotal and coordinating role of the NCERT in general and the Department of Elementary Education (NCERT) in particular. I would like to thank Prof. J.S. Rajput, Director, NCERT, Prof. B.P. Khandelwal, Director, NIEPA and Dr. K.K. Vashishtha, Head, DEE (NCERT) for their continued support. Contributions received from the officials of the EE&L Bureau, MHRD and the faculty of DEE, NCERT, the NIEPA and the TSG, Ed.CIL are gratefully acknowledged. I would also like to thank those in the field who have given valuable suggestions and the national level institutions which provided valuable inputs towards enriching the document.

(SUMIT BOSE)

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## SECTION-I

# APPRAISAL IN SARVA SHIKSHA ABHIYAN

### 1. Introduction

#### a) Need for the Manual

The Sarva Shiksha Abhiyan (SSA) is an extensive scheme covering the entire country subsuming within itself all other major governmental educational interventions. All programmes like, the DPEP, the Lok Jumbish, the Operation Blackboard, etc. will be covered under the umbrella of the SSA. The SSA is an initiative to universalize and improve the quality of elementary education in a mission mode through district based, decentralized, context specific planning and implementation strategy. Considering the colossal dimensions of the project, and the financial implications of the same, it is necessary that the project plans be appraised with an eye for details of the activities pertaining to the total school improvement interventions including quality dimensions, rationale, approach/ strategy, utilization of existing resource budget requirements, etc.

The appraisal process in the Sarva Shiksha Abhiyan is therefore extremely important. It ensures a comprehensive review of all the aspects and components of the programme proposals. SSA adopts the 'bottoms-up' process of planning wherein the felt needs of the served communities and educational needs of learners are well taken care of and the plan fits into the broad framework of the SSA. This approach therefore, requires special skills in the appraiser of the district and state plans. The appraisers have varied experiences. Some of them have the experience of appraising DPEP plans whereas there are many others who would be experts in different fields but may be new to the process of appraising district plans. In order to develop a common understanding and outlook about the appraisal, the members of an appraisal team have to be properly capacitated. It is expected that though an appraiser may have some



training on appraisal, he/she would need ready to use guidance material, in print, which could be referred to during various stages of the appraisal. The present manual aims at providing a comprehensive overview of various aspects and components of SSA to be appraised. This would also be helpful in the promotion of appraisal skills of the state and district level personnel.

The specific aims of the Manual are:

- to provide an insight into a set of criteria for the appraisal of a process oriented programme as per the SSA framework,
- to provide ready guidelines to appraisers going to the field,
- to provide an overview to the organisers of the appraisal mission, and
- to build the capacity at the state level for appraisal.

## **b) Process of Developing the Manual**

The present manual is the result of the joint effort of MHRD, NCERT, NIEPA and Ed.CIL (TSG). The need for the development of a manual was felt during the orientation programmes for the SSA Appraisal teams organised by the NCERT. The need was also articulated by the SSA teams constituted by the MHRD which were sent to the states for appraisal. Accordingly, this activity was reflected in the NCERT work plan. However, the first step towards initiating the development of the manual has been the constitution of a six-member committee.

The members of the committee were –

Shri A.A.C. Lal, NCERT, Convener

Shri. Job Zachariah, MHRD

Shri Praveen Kumar, MHRD

Dr. S.M.I.A. Zaidi, NIEPA

Dr. Shabnam Sinha, NCERT and

Dr. Subhash Gujaria, Ed.CIL.

A list of persons who provided inputs in developing this manual is given in Appendix-II.

In order to make the manual user-friendly as well as rich in content and presentation, the following steps were taken:

- Consultation with the persons who had experience of recent appraisals to find out the problems faced by them as well as to assess the knowledge and skills needed by an appraiser.
- Consultation with the experts and appraisers on various components of the plans.
- Study of relevant documents especially of DPEP and SSA.
- Feed back from the deliberation of the Project Approval Board, 14 meeting of which were held in 2001-2002.

The development of the manual was a time bound work and the first draft was to be prepared within a week. Therefore, the team met on August 6 and 7, 2001 at the Ed.CIL to interact with the people concerned and start the drafting of the manual. Thereafter the work was continued at the NCERT. The first draft of the manual was shared with the MHRD in the second week of August. The draft was shared with a cross section of persons involved in the appraisal process. The draft manual was field tested during the appraisal of the SSA district plans of many states. It was further enriched through incorporation of expectations of the Project Approval Board from appraisal teams and chapters modified accordingly.

This document therefore had the benefit of incorporating the inputs provided from various sources, as well as feed back received from the appraisers.

## **1.2 Introduction to Sarva Shiksha Abhiyan**

Arduous efforts have been made in the last four decades for the Universalization of Elementary Education and to fulfil the mandate of the Indian Constitution. The National Policy on Education 1986 and 1992 also gave top priority to the achievement of Universal Elementary Education. Many projects and programmes at the micro and macro levels have been undertaken in the past in this direction. Experiences have shown that with all the past interventions, there has been considerable progress in providing access to primary education,

increase in enrolment and retention, improvement in school attendance and generation of strong demand for education specially for girls. However, pupil achievement has been low and there have been inter-state and inter-district differences in pupils' attendance and achievement level.

Sarva Shiksha Abhiyan is an attempt to provide human capabilities to all children through provision of community owned quality education in a **mission mode**. Therefore, SSA focuses on the following:

- A programme with **a clear time frame** for universal elementary education.
- A response to the demand for **quality basic education** all over the country.
- An opportunity for **promoting social justice** through basic education.
- An effort at **effectively involving** the Panchayati Raj Institutions, School Management Committees, Village and Urban Slum Level Education Committees, Parents' Teachers' Associations, Mother Teacher Associations, Tribal Autonomous Councils and other grass roots level structures in the management of elementary schools.
- An expression of **political will** for universal elementary education across the country.
- A **partnership** between the Central, State and local government
- An opportunity for States to develop their **own vision** of elementary education.

### **Aims and objectives of SSA**

The Sarva Shiksha Abhiyan is to provide useful and relevant elementary education for all children in the 6 to 14 age group by 2010. There is also another goal to bridge social, regional and gender gaps, with the active participation of the community in the management of schools. Following are the main objectives of SSA:

- All children in school, Education Guarantee Centre, Alternate School, 'Back-to-School' camp by 2003.
- All children complete five years of primary schooling by 2007.

- All children complete eight years of elementary schooling by 2010.
- Focus on elementary education of satisfactory quality with emphasis on education for life.
- Bridge all gender and social category gaps at primary stage by 2007 and at elementary education level by 2010.
- Universal retention by 2010.

### Basic Features of SSA

- **Institutional reforms** in states.
- **Sustainable financing** in partnership with states (IX Plan 85:15, X Plan 75:25, After X plan 50:50).
- **Community ownership** of school based interventions through effective **decentralization**.
- Institutional capacity building for **improvement in quality**.
- **Community based monitoring** with full transparency in all aspects of implementation.
- **Community based approach to planning** with a habitation as a unit of planning.
- A **mainstreaming gender** approach.
- Focus on the educational **participation** of children from the **SC/ST, religious** and **linguistic minorities**, etc.
- **Thrust on quality** and making education relevant.
- Recognition of critical role of **teacher** and focus on the human **resource development needs of teachers**
- Preparation of **District Elementary Education Plans** reflecting all governmental and non-governmental investments.

### Major Areas of Interventions

Following are the key areas of interventions under SSA:

- Quality Improvement

- Special Focus Group
- Education of out-of-school children (Educational Guarantee Scheme and Alternative & Innovative Education)
- Research and Evaluation
- Management Structure and Institutional Capacity Building
- Community Mobilization
- Civil Works
- Monitoring and MIS
- Finance and Procurement

### **General Appraisal Issues**

- *Has the plan been developed in line with the SSA objectives, time frame and features of SSA?*
- *Does the plan focus on Universalisation of education for the entire elementary stage in a holistic manner for both primary and upper primary stages of education?*
- *Has the plan been developed with a **vision** to make it relevant to local specific needs especially of the educationally deprived section ?*
- *Does the plan provide scope and opportunity for participation of the communities and local bodies in all stages of programme formation and implementation?*
- *Have the State Perspective Plan and the District Annual Work Plan and Budget been provided?*
- *Has the plan taken into account all on-going schemes and programmes in a synergistic manner while developing the state and district perspective plan?*

### **1.3 The Appraisal Process**

#### **a) Objectives of Appraisal**

Appraisal in SSA is a combination of qualitative and quantitative exercises

focusing on SSA as a programme for Universalisation of Elementary Education. The specific objectives of appraisal in SSA are the following:

- i) To undertake a comprehensive review of all aspects and components of the SSA programme in the state and district plans.
- ii) To review the state and district plans to assess inter-linkages between state and district plans, across components and between primary and upper primary stages of education.
- iii) To assess individual components from the point of view of technical, managerial and financial feasibility.
- iv) To undertake a holistic assessment of the strengths and weaknesses of the state and district plans.
- v) To assess the preparedness of the state and districts to implement the programme.

## **b) Plans to be appraised**

### **i) State Component Plan:**

There would be state component plan, which would be a perspective for Universalization of Elementary Education within the stipulated time frame. It would be a clear plan for improving access, increasing retention and ensuring achievement over a period by 2010. The perspective plan will be a dynamic document subject to modifications based on feedback on the programme implementation.

### **ii) District Perspective Plan:**

Each district would also prepare a perspective plan and an Annual Work Plan and Budget (AWPB). The perspective plan would be a blue print for UEE within the time frame of SSA in the context of the specific situation of the district. The AWPB also called the District Elementary Education Plan (DEEP) would be an exercise in prioritization of activities. Whereas the perspective plan of the district would form the basis for placing demand for additional financial resources, the AWPB would actually spell out the activities, its implementation schedule and the financial resource requirements.

### c) **The Appraisal team**

The appraisal team should ideally consist of a number of experts/specialists representing the following areas:

- Education of Out-of-School Children (EGS and AIE)
- Special Focus Groups (Girls, SC/ST, children with special needs etc.).
- Quality related issues (Curriculum and TLM, teacher education/training, teaching-learning processes, research and evaluation etc.).
- Information/data need and Planning.
- Civil works
- Management and MIS
- Monitoring and Evaluation
- Budget and Costing

The knowledge base of the appraisal team should be broad based as well as deep; with the ability to work with multi-disciplinary teams. They also need to have experience of working in the field. They would need to possess capabilities of producing readable and well-structured reports. Specialists for the appraisal team would be drawn from national and state research and training institutions, academics from universities, management institutes as well as social science research institutes, well known NGOs and state representatives.

The appraisal team would have a Convenor who would coordinate the appraisal process and report preparation. In order to facilitate this, the Convenor would assign responsibilities to the members according to their area/s of expertise. It would be the responsibility of all the members to take initiative and help the Convenor to bring out the appraisal report in time. Report preparation would be the joint responsibility of all the team members.

### d) **Methodology of Appraisal**

- *Initial Briefing:* The team would be briefed initially by the MHRD, Govt. of India. A series of questions/issues would be provided to the team for discussion/clarification at the state and district levels. The Terms of Reference (TOR) would be provided to the Team to facilitate its task.

- *Meeting of the Appraisal Team:* It is advisable that the Team Leader convenes a meeting of the team members to discuss the details of the appraisal, itinerary, etc. and assign responsibilities to the members before undertaking the state visit.
- *Providing a set of documents for study.* This would comprise of the Appraisal Manual, State Perspective Plan, District Plans and some other relevant documents. The documents should be given to the members at least a week in advance. The team members should study these in detail before they embark on the field visits. The documents and the plans should be studied in totality. Each appraiser should not merely focus on the area assigned to him/her but study the plans in an integrated and holistic manner. A general idea should be drawn about the format of the plans, chapterization, sequencing of components etc.
- *Desk Appraisal:* There will be a Desk Appraisal of the Plans before the team leaves for the field visits.
- *State visit :* The team would be visiting the state assigned, for discussion with the state and district teams. The state and district teams would make presentations comprising of plan preparation, state and district area profile and component wise planning, relating to its implementability before the visiting team. The appraisal team may need to interact with government functionaries like the Education Secretary, SCERT personnel, SIEMAT personnel, NGOs, literary activists, etc. Besides, the team will also interact with the SSA society officials.
- *Field Visits :* The appraisal team would need to visit some districts in order to assess the participatory processes of planning taken up, its preparedness for implementation of plans and habitation related information. It should also cross check whether the field situation and needs have been properly reflected in the plans. It is for the team to decide which districts would be required to be visited in consultation with the SSA Society. Functional groups could be constituted within the teams to undertake visits to districts separately. These teams may be for (i) access, enrolment and retention; (ii) quality related issues; (iii) information/data needs and planning process;



(iv) civil works (v) management and evaluation; and (vi) budget and finance. The appraisal team may wish to interact with the district collector, and other administrative functionaries - education officers, NGOs and other social sector officials at the district and sub-district levels.

- *Interaction with the community members:* For communication with different functionaries at the cluster and village levels, the team should prepare some points for discussion so that the interaction is focussed and does not go haywire. An easy and courteous way of asking questions and seeking clarifications needs to be followed. A fair listening should be provided to the functionaries in an encouraging and supportive manner. People should not get an impression that the team has come to check or supervise. Commitment for any intervention should not be given.
- *Report Preparation:* The reporting procedure should aim at following the requirements of the briefing and the Terms of Reference. It should contain requisite information, comments, recommendations and agreements. A uniform structure and style needs to be maintained. The report is merely a recommendation and should not appear admonitory.
- *Wrap-up meetings:*
  - a) *State Level:* - After the state/district level appraisal are over, a wrap-up meeting is taken up at the state level. There, state and district briefings as well as field visit reports need to be consolidated. Areas of doubt and problems would be clarified between the Appraisal team and the state/district teams. Usually, the wrap up meeting is taken up by the State Secretary in-charge of Elementary Education.
  - b) *National Level:* - At the national level, the appraisal team would meet the representatives from the MHRD, Govt. of India for a debriefing/ wrap-up meeting. The team would report its findings and respond to specific queries from the MHRD about areas of concern. A brief report containing the salient features of funding requirements, sequencing of implementation and item-wise examination and recommendation of proposals may be handed over. The final report could be submitted later.

## SECTION - II

# BASIC APPRAISAL ISSUES

### 1. Process of Plan Formulation

#### a) Identification of Planning Teams

- The selection of suitable persons for inclusion in the planning teams is perhaps, the most crucial element in the plan formulation. SSA programme envisages constitution of core planning teams at village, block and district levels. The grassroots level team in each village at the habitation level has to provide wider representation to grassroots level structures including PRIs and VEC, community leaders, teachers and parents. The norms for providing school facilities should be shared with this team. The aim of constituting this team is to involve the parents and the community leaders in the education of the children. Similarly, there should be a core planning team at the block level. There should be a core team of dedicated persons at the district level to formulate the plans to be supported, if possible, by a larger team at the district level. This advisory body should have representatives of various Departments like - Education, Health, Public Works, Social Welfare, Women and Child Development, Tribal Welfare, PHED, NGOs, etc. This body will provide "convergence" and help remove bottlenecks, if any, not only in collection of information but also at the time of implementation.
- It will be the responsibility of the core district team to develop the plans as per the procedure laid down in the SSA framework by adjusting the various proposals emanating from various levels. At least one person in the Core Team should be well acquainted with finance and procurement procedures, the other should have a fair knowledge of

Government functioning especially in the field of education. Others should have an adequate knowledge of socio-educational scenarios prevailing in the districts.

### b) Capacity Building of Core Planning Teams

The training to be imparted to the core planning teams is of paramount importance. The habitation level team should be acquainted with norms for providing school facilities. There should be two to three rounds of orientation and training to the district and block core planning teams about the aims/targets of the programme, various norms laid down in the programme, various information to be collected for plan formulation. They should also be oriented towards various interventions to be proposed in the plans. The second/third round of training should be imparted only after development of first draft plan. This will provide an opportunity to the planning team to improve upon the plans by having discussions with district teams. The resource support groups at the national and state levels should continuously monitor this process.

### c) Participatory planning process

SSA envisages the bottoms-up approach to planning to the top-down approach, as it reflects the reality at the grassroots level. **The planning process has to be participatory in nature as this type of planning not only creates a sense of ownership among the stakeholders but also creates awareness and helps in the capacity building of personnel at various levels.** The plans so developed reflect local specificity, consultative meetings and interaction with the community and target groups at various levels. It is necessary that there should be documentation of the process of the preparation of habitation level plan to evidence the fact that they have been prepared at the **habitation level** through participatory planning.

#### i) *Interaction with community and target groups*

The process of bottoms-up approach will not only help the planning team to acquaint themselves with various problems, but also will provide various solutions. The commonality of problems across such meetings will help the planning teams to propose interventions accordingly.

Interaction with community and target groups has to be ensured by involvement of target groups and community leaders in the constitution of habitation, block and the district level teams on the one hand and by mobilisation activities and extensive visits of planning teams to every habitation – rural and urban (including slums) on the other. Such interactions not only provide an opportunity to be familiar with the problems of target groups and help in devising strategies to deal with these but also mould the opinions of communities with the help of the good offices of community leaders.

ii) *Consultative meetings*

The consultative meetings with the officials at block and district levels would facilitate the core teams in formulating strategies to address the problems. These meetings would also help in bringing about “convergence” among various interventions proposed by different departments. As the responsibility of implementing the programme rests with the educational administration of the district, it is essential to involve them from the planning stage itself.

Documentation of consultative meetings and community interaction would enable the persons at the district and state levels as well as the appraisal teams to know about planning processes.

**d) Information needs and collection of information**

SSA is a time bound programme and is committed to an overall improvement in elementary education sector with a clear mandate to achieve specific goals. The SSA framework clearly states, “it is mandatory to track the progress of each and every child”. As such, it is essential to gather information about all the children upto the age of 14 years – enrolled or never enrolled, out-of-school or within the system, studying in private sector schools or schools of autonomous bodies/ government. Accordingly, assessment of educational needs has to be made. Whereas a major portion of information could be available with schools / government departments, it is essential to conduct household surveys and micro planning in every habitation – rural or urban, to

track the status of each child. The following information has to be invariably collected:

- i) Updated population figures of the districts: urban and rural, gender wise, block-wise, population of SC/ST/minorities – gender wise.
- ii) Literacy rates – gender wise, special focus group wise.
- iii) Updated information on population of target group, age wise and gender wise. SC/ST and minorities – rural and urban and **projections for 10 years of this information including those of private/ unaided schools.**
- iv) Educational statistics: (a) enrollment, (b) retention/ dropout, (c) attendance, (d) completion rates, (e) number of out of school children – both for never enrolled and dropout categories, (f) number of primary graduates and the transition rate from primary to upper primary for schools, management wise. This information should cover 4-5 years preceding the current year and should preferably be presented block wise.

**Note:** Suggestive method of Calculation of GER, NER, Retention rate and projection calculation is given in Appendix-I.

The information for (a) and (b) have to be collected for both urban and rural areas, for special focus groups and for various type of schools. Municipalities and Corporations can be taken as the units of planning for preparation of plans of urban areas. **Also, the projections for enrolment, retention and number of “out of school” children have to be provided.**

- v) Number of schools by way of management, number of primary and upper primary (sections attached to secondary schools), rural and urban, formal or alternative streams, number of ECCE centres.
- vi) Status of number of teachers – in position, vacant, post sanctioned, posts in primary and upper primary schools. These have to be supplied preferably gender wise and block wise. Based on these, the PTR has to be mentioned in the plans.

vii) School Infrastructure (toilets, drinking water, girls' toilets, furniture, etc.)  
 viii) Description of schemes of various department currently in operation in the area of education and the investments of these schemes.

ix) The following information should be provided in the plans:

- GER
- NER
- Transition Rate
- Repetition Rate
- Child Population of 6-11, 11-14 in-school and out-of-school.
- Percentage of single teacher schools.
- Percentage of female teachers.

e) **Research studies, data analysis and utilisation in the plans SSA framework requires studies to be undertaken on the baseline assessment with regard to:**

1. Learning achievement.
2. Retention.
3. Access.
4. Gender equity.
5. Social equity.
6. Physical infrastructure, etc.

NCERT would undertake baseline achievement tests for (a) primary level in all non-DPEP districts, and (b) upper primary level in all the districts. These studies should be diagnostic in nature and be utilised in planning process. Care should be taken to ensure consistency in data presentation. There should not be any variance in the presentation of the same data at different places.

d) **Steps in Planning**

1. Strengthening/setting up of district education offices and selection of personnel at district/block/cluster level.

2. Formation of core planning teams at district, block and village level.
3. Training and orientation of these teams.
4. Assessment of need for information and preparatory exercises for micro planning & household surveys.
5. Collection of various data, undertaking household surveys and baseline studies.
6. Visits of core teams to every single habitation, interaction with community and consultative meetings ensuring participatory planning.
7. Draft plan formulation by consolidating the habitation/ cluster/ block plans, with all the interventions as provided in the SSA framework, the costing as per norms and discussions on it in the consultative meetings.
8. Revised draft plan formulation and interaction with state resource persons.
9. The final draft plan formulation.

## **2. Situational Analysis**

The State Component Plan prepared under Sarva Shiksha Abhiyan for Universalisation of Elementary Education (UEE) is expected to contain general information about the state. Similarly the District Elementary Education Plans (DEEP) developed with the aim of UEE should start with an introduction about the district itself. The general information about the area should focus on the historical background, socio-economic and cultural characteristics, geographical conditions, administrative structure, demographic features, literacy scenario and so on. The document should contain information on various indicators related to these aspects.

### **a) State and District Profile**

At the outset, the Appraisal team, is expected to appraise the profile of the state and the districts of which the appraisal of plans is undertaken. The component plan on the state and district profiles should be so comprehensive that it gives a clear picture of the appraised state and districts. In this regard the appraiser's role is not only to look at what has been presented in the State

Component Plan but also to look into the state profile presented in the state plan document. It is necessary to point out whether the information contained in the state plan is adequately covering all the important aspects of the state profile or there are some items on which information has not been presented along with its justification.

All the points mentioned above regarding the state profile are equally applicable to each of the district profiles. The district profiles should present district-wise information on demography, area, literacy, number of blocks, villages, panchayats, habitation, density of population, sex ratio, growth rate of population, percentage of urban population, S.C., S.T., O.B.C. and so on. Such information could be presented in a tabular form along with the analysis to show inter-district variations on various items.

### **Appraisal Issues**

- *Does the document contain all relevant information?*
- *Is there any relevant information that is missing?*
- *Have all the information presented in the plan document been analysed?*
- *Does the document make use of the information for planning purpose?*
- *Have the sections on profiles been properly articulated in the document?*
- *Does it help to properly understand the state/district well?*
- *Is the write-up clear and self-explanatory?*
- *Does the document contain time series data to show progress over a period of time?*

### **b) Educational Profile**

Since under Sarva Shiksha Abhiyan a district has to develop District Elementary Education Plan (DEEP) the emphasis in the whole document will be on elementary education which means both on primary and upper primary levels. It is to be kept in mind that when the plans present the educational profile of the district it should also briefly present information on higher levels of education namely Secondary/Higher Secondary education, higher, professional and technical education also. However, details on these levels may not be required in the DEEP document.



The objective of presenting the district elementary education scenario is to undertake a diagnosis of educational situation in the district. So the data presented in this section should aim at understanding the educational scenario and present the strengths and weaknesses as well as problems and constraints of the district with regard to primary and upper primary stages of education.

The district educational profile section should contain write-ups on (i) Educational Administration in the district; (ii) Educational facilities at various levels; (iii) Detailed information on elementary education; (iv) State and centrally sponsored schemes implemented in the district; (v) details of externally funded schemes; (vi) District Institute of Education and Training; (vi) Problems and issues of elementary education in the district.

As far as presentation of elementary education scenario in the district is concerned, information on the following items is non-negotiable for proper diagnosis of the educational situation.

- i) Block-wise number of schools/sections available for primary and upper primary education.
- ii) Block-wise access position on primary and upper primary education in the district.
- iii) Block-wise number of teachers at primary and upper primary level with the following categorization:
  - Trained/untrained teachers
  - Male/female teachers
  - SC/ST teachers
  - Teacher-pupil ratio
  - Number of posts and vacant posts (for rationalization and requirement of additional teachers)
- iv) Block-wise Enrolment at primary and upper-primary level in the district
  - Grade-wise enrolment

- Enrolment by gender and social categories i.e. boys, girls, S.C., S.T. etc.
- Gross and Net Enrolment Ratio: boys, girls, S.C., S.T. etc.
- v) Block-wise dropout, repetition and transition rates at primary and upper primary level: boys, girls, SC, ST. etc.
- vi) Block-wise position of buildings of primary and upper primary schools
- vii) Block-wise school facilities at primary and upper primary level of schools
  - Instructional rooms and other rooms (number)
  - Blackboard
  - Drinking water
  - Playground
  - Toilets
  - Toilets for girls
  - Compound wall
  - Seating arrangement for teachers and students
  - Electricity
  - Teaching-learning material

While presenting the district educational profile specifically on elementary education, the district plans should include all information related to private aided and unaided (recognized) schools also. Further the information on schools, enrolment and teachers etc. should also be given for Non-formal Education centres, Alternative schools, EGS etc. The appraisers need to see that the educational profile presented in the plan is for the district as a whole and not for government schools only.

### **Appraisal Issues related to District Educational Profile**

- *Do all tables contain table numbers, titles, reference, year and source?*
- *Is there any inconsistency in the data presented and reflected in the plan?*
- *Has the data presented in the tables been analysed?*
- *Have strengths and weaknesses of the system been identified?*
- *Does the information presented in the plan include private schools also?*
- *Have the information from NFE, ALS, EGS been included in enrolment etc.?*
- *Does the plan document present time-series data?*
- *Has the section identified problem/issues of elementary education?*
- *Have all information been given block-wise?*
- *Is there any information on state and centrally sponsored schemes?*
- *Is there a situational analysis of DIETs functioning?*
- *Does the plan contain information on all relevant indicators?*

### **c) Problem and Need Identification**

The diagnosis of the educational situation is generally aimed at understanding the problems, needs and constraints of elementary education in the district. The problems related to access, enrolment, retention and quality of education need to be identified and this is the first step towards developing the District Elementary Education Plan (DEEP). It should therefore be noted that district educational profile presented in the plans should help us to know the needs and problems and understand the issues of primary and upper primary education in the district. So mere presentation of facts and figures in tabular form or depicted in charts is not the end of district profile presentation. Analysis of the data and a write-up on the result of the analysis is more important.

In order to identify the issues and problems related to elementary education for developing District Elementary Education Plan the following may be the probable sources:

1. District Education Profile

2. Lower level plans (Habitation & Block Plans)
3. Participatory exercise at various level
4. Studies conducted
5. Surveys conducted (Census, NFHS, household survey, etc.)

The DEEP document developed by the districts should contain details on the activities undertaken in the pre-project phase which includes the above mentioned activities also. It is expected that the section on 'Issues and problems' in the document should flow from the earlier sections on District Profile and Planning Process. The section on planning process should detail out the habitation/block plan preparation exercise, document participatory exercise, give highlights of studies conducted as well as surveys conducted in order to develop the plan. So the section on 'Need and Problem Identification' is supposed to record faithfully the findings of the section on 'district profile' and 'planning process'. **It is to ensure that all problems mentioned in this section should have emerged from these exercises and not merely from the perceptions of the planning team members.**

### Appraisal Issues

- *Is there any correlation between the findings of 'district profile' 'planning process' sections and that of need and problem identification?*
- *Have the issues and problems been properly flagged in the 'district profile'?*
- *Does the participatory exercise reported in the document highlight the issues discussed in all the meetings/workshops?*
- *Do the findings of the studies mention about the needs and problems and issues related to both primary and upper primary education?*
- *Does the plan document present the needs and problems identified as a result of conducting surveys?*
- *Have the needs and problems identified been classified under various categories?*
- *Does the need and problem identification section properly catch all the issues highlighted earlier in the document?*

#### d) Goals and Targets Setting

In order to meet the SSA goal of UEE, it is important to achieve the basic objectives namely universal access, universal enrolment, universal retention and universal achievement. However, the targets set at the national level under Sarva Shiksha Abhiyan related to these four objectives are the same as given in the SSA framework as well as stated earlier in this manual.

**The District Elementary Education Plans developed by the Districts need to set their own targets. While doing so the districts should keep in view the above mentioned targets set at the national level.** However, the districts while developing a plan are not expected to blindly reproduce the above mentioned targets committed by the nation. The district plans must set their own district specific commitment and targets.

In order to develop a DEEP the targets may be set on access, enrolment, retention and achievement levels. While appraising the district plans the appraisal team need to keep in view the following important points with respect to target setting.

In the district plans there is a need to set **disaggregated targets** which means that the **block-wise target setting** exercise may be undertaken. This is important because different blocks of the district may be at different levels of development on parameters like enrolment ratio or retention rates and so, all the blocks may not necessarily have the same targets.

The district plans need to set targets in a phased manner. The Sarva Shiksha Abhiyan is perceived as a programme for 7 to 10 years to ensure Universalisation of Elementary Education. It is generally found that the targets are set for the terminal year of the programme. But it is equally important to set targets for all intervening years also. This may not only help to see the progress of implementation against the set targets on year to year basis but also facilitate in reviewing the implementation strategies and even reviewing and revising the targets for the coming years.

- One of the important objectives of SSA is to bridge all gender and social category gaps. It is therefore necessary to set the targets separately for boys, girls, SC and ST and the disadvantaged groups. Over a period of time the gap between boys and girls and between SC, ST and others may be reduced. The target of reducing the gaps may depend upon the magnitude of the gaps that exist between these categories in the base year.
- While setting the targets in the district plan on access or enrolment or retention, it is important to look at the present status of the district on these components and then accordingly set targets, which are realistic and achievable. These targets presented should be feasible to achieve. An insight into this exercise of target setting can be had by looking at the progress made in district on these indicators during the last 5 to 10 years.

### **Appraisal Issues**

- *Have the targets been set based on data analysis and needs assessment or are they arbitrary?*
- *Are the targets set on various parameters, realistic?*
- *Is there any justification for the targets set i.e. can the district team justify the targets?*
- *Have the targets been set in a phased manner?*
- *Is disaggregated target setting undertaken?*
- *Have the targets been set separately for boys girls, SC and ST?*

## SECTION - III

# MAJOR COMPONENTS

### Introduction to Component-wise Planning

Planning, in general refers to working out the interventions to meet the felt needs with resources available internally and externally. Educational planning under SSA is aimed at universalising elementary education in a given time frame and in a way suited to the local conditions, aspirations of the people and learning abilities of the educands. The two main planks of planning under SSA are the decentralization of planning process and making the plan contextual. The major advantages of the decentralized participatory planning are to:

- have a plan which is sensitive to the local needs and conditions,
- make the plan realistic and implementable with collaborative efforts,
- provide homogeneity in units of planning,
- help in problem solving endeavours with local initiatives,
- promote community ownership of the plan and optimum utilization of the local and community resources, and
- facilitate quick flow of information/data.

The main areas of UEE are: (i) universal access, (ii) universal enrolment, (iii) universal retention and (iv) quality elementary education to all children. Quantification of the targets while planning the first three components is important and feasible but it is not as applicable to the fourth aspect. The interventions for the last aspect will be qualitative in nature, which requires proper visualisation and translation of steps and activities. However, it is important to note that all the activities and interventions reflected in the plans are for achieving UEE goals and are within the SSA broad framework.

Many a times, in sectoral (component-wise) planning process, proper

linkages among the plans of different components are lost sight of or not visualised properly. The plans, therefore, should ensure the linkages among the components in order to reinforce their effectiveness as well as to avoid duplication and overlapping of planned interventions. The linkages may be in terms of planning and delivery of activities, time frame, finance and such other aspects.

### **Focus on Upper Primary Education**

Most of the states have the experience of planning for primary education under DPEP and other such projects/programmes. The planning for the upper primary stage of education has started in the DPEP first phase states over a year ago. Under SSA, a concerted effort shall have to be made to plan for the interventions for upper primary education across all districts of the country. While doing so, the rate of transition of students from primary to upper primary stages of education shall have to be properly assessed. Not only this, due consideration to the quality dimensions in terms of students achievement level and family support coming from primary schools shall have to be given.

The norms regarding planning activities and financial support are given in Section IV. It is to be appraised whether the SSA norms are properly adhered to in the planning exercise.

### **Component wise Planned Interventions**

#### **1. Quality Improvement**

Improving the quality and efficiency at the school classroom level is a major thrust area since the SSA categorically highlights the need to provide education of a '*satisfactory quality*' in achieving the goal of education for all. Mere focus on access, enrolment and retention without resulting in betterment of learning levels becomes a wastage of resources, besides adversely affecting school effectiveness. It is imperative therefore, that efforts towards achievement of quality need to go hand-in-hand with efforts directed towards increasing access, enrolment and retention. Pedagogical improvement interventions are one of the most difficult areas to plan, appraise and implement. The ultimate goal of all quality directed interventions is to attain positive changes within the



school-classroom settings. The appraisal team needs to assess whether critical components affecting quality have been adequately addressed in the plans, from both a short term and long-term perspective. It is necessary to remember that many of the districts would be planning their interventions and activities for quality improvement based on what has already been done earlier on in their respective states - district (DPEP, APEP, BEP, etc.).

### **What is expected in the plan**

Every district plan should focus on important issues/aspects and related intervention strategies for improving the quality of education **at both the primary and upper primary stages of education separately**. The plan document should highlight and reflect upon certain major components that contribute towards quality improvement within schools and classrooms such as:

- a) Curriculum
- b) Teaching-Learning Material
- c) Teacher Training
- d) Teaching-Learning Processes
- e) Monitoring of Quality Aspects

In all the above mentioned aspects it is deemed necessary that resource groups and responsibility centres from the state down to the sub district levels **be identified to facilitate the process of quality improvement**. As detailed out in the SSA framework, these groups would oversee policy, planning, implementation and monitoring of all quality related interventions. Their major role would be to advise and assist at various operational levels in curriculum development, pedagogical improvement, teacher training and follow up at the classroom level. In addition, it is important that the **state/ district has a clear pedagogic vision** of the desired shift to be attained within the SSA. This vision should guide the overall plan for quality improvement.

### **General Appraisal Issues**

- *Is there a clear perspective vision for quality improvement at both the primary and upper primary stages of education during the programme period?*

- *Is there a pedagogic vision for guiding quality improvement interventions at the primary and upper primary stages of education? How was this new vision arrived at?*
- *Is there a focus on specific issues for the primary and upper primary stages of education?*
- *Have relevant strategies and interventions been identified for addressing all the issues and problems related to quality improvement?*
- *Is there a detailing out of activities for implementing a particular strategy and is it realistic and feasible within the time period stated?*
- *Has the state/district utilized previous experiences if any under DPEP, BEP, APEP, etc. in developing the plan for quality improvement?*
- *Has the state/district planned for or is in the process of setting up resource groups and responsibility centres?*

#### **a) Curriculum**

One of the most important determinants of the quality of education is the curriculum followed in the school. The development of curriculum is a continuous process evolving to suit the learning needs of children within the broad framework of the National Policy on Education, 1986. Curriculum revision is one of the most direct ways of promoting quality improvement.

Under the SSA the focus is on making the curriculum decentralized and relevant to the local specific context within which each child lives. This highlights the need for a flexible mode of curriculum review, reform and renewal. The curriculum renewal process becomes all the more important in the present context with the NCERT developing the National Curriculum Framework for School Education, 2000.

Against the above background, it is important to know and assess the existing status and development that has taken place so far, in order to appraise the interventions being planned for in districts.

#### **Appraisal Issues**

- *Has the state formulated a policy for curriculum revision?*

- *Has the curriculum been reviewed for both the primary and upper primary stages of education? If not, is there a plan for this activity to be taken up by the state-district?*
- *Has the curriculum review process been planned keeping in view the 'new pedagogic vision'?*
- *Have curriculum experts/groups been identified at the state/district level?*
- *Are there any amendments visualized so as to make the curriculum more district/local context specific?*
- *Are any activities planned for discussing the curriculum review and renewal to be done with teachers, administrators, BRC, CRC personnel etc.?*
- *Is the process of curriculum renewal or change planned in a feasible sequential manner?*
- *How participative is the curriculum development/finalisation process?*
- *Is there any plan for capacity building of those personnel to be involved in the curriculum development/renewal process?*
- *Are experts available for capacity building of different levels of functionaries in this operational area?*

It is possible that curriculum review may have already been done under the DPEP or otherwise and the renewal process is already underway. Is this mentioned in the plan and has any reference been made as to how the state/district proposes to utilize and consolidate on the past experiences.

## **b) Teaching-Learning Materials**

Teaching-Learning Material (TLM) is the actual vehicle that helps in delivering the curriculum to the child in the classroom. Teaching-learning materials include a wide variety of items such as textbooks, work books, teachers guides, teaching aids, learning aids (concrete material), educational kits, supplementary reading material, usable blackboard, etc which are either directly or indirectly used by the teacher and/or child in the classroom situation. Out of all the above mentioned materials, it has been observed that the textbook is the main or sometimes the only tool which is available and is being used for teaching

learning. Since teaching-learning materials play a crucial role in actual curriculum transaction both at the primary and the upper primary stages, it becomes necessary to assess the type, availability, suitability and usability of existing materials.

This exercise becomes all the more necessary in view of the fact that under the SSA there is a provision for an annual grant of Rs.500/- to every teacher for the purpose of purchasing and developing teaching - learning materials. In order that proper use of this grant is made by each and every teacher certain basic issues need to be considered:

### **Appraisal Issues**

- *Is TLM preparation being envisaged in view of curriculum development/ renewal?*
- *Have previous experiences (if any) in TLM preparation and usage been incorporated into the existing plans?*
- *If textbook renewal and production is to be undertaken, is the time provided adequate?*
- *Is there any process indicated to ensure timely supply of textbooks to all children?*
- *Are the development of textbooks and other materials to be undertaken in a centralized or decentralized participatory manner?*
- *Does the state have a clear strategy on TLM to support classroom transaction?*
- *What is the role envisaged by the state/district for the teacher in development of TLM? Are any activities being planned for developing their capacities/skills?*
- *Who is to conduct training of teachers in the preparation and usage of TLM? Do the trainers have the requisite capacities expertise and time to conduct workshops, meetings etc. if included in the plan?*
- *Is there any plan for developing and/or supplying TLM for special focus groups i.e. children with special needs, girls, tribals, etc.?*

- *If new books have already been prepared or are near completion have teacher-training programmes been planned for this?*
- *If any new TLM development is being proposed, is there a proper sequencing of activities? Is trialling a part of the process?*
- *Have any workshops been planned for teachers to develop low cost local specific support material?*

### **c) Teacher Training**

It is universally acknowledged that the teacher plays a pivotal role in the teaching learning process and is thereby responsible for improvement of quality within classrooms. In the classroom setting, teachers' competence depends greatly on their knowledge and skills in different subject areas, mastery of the same and pedagogical practices they adopt. In addition, teachers' attitude towards children, their level of motivation, interest, commitment and ability to interact with parents and community members also contributes to the quality of teaching-learning in classrooms.

Teachers' level of competency in turn depends largely on two aspects pre-service education and the in-service training they have been exposed to after joining the teaching profession. At times, teachers have had no pre-service education or are not adequately prepared to face the new challenges in the classrooms.

In view of the above in-service training becomes a necessity. It is important to find out if a comprehensive training plan has been developed by the district for all categories of teachers - new, already in service, headmasters, special educators, para teachers, etc. It is equally important to appraise whether the total plan has been developed keeping in view:

- immediate and long term needs,
- existing capacity at district and sub-district levels and their preparedness,
- target group,
- duration, frequency and venue,
- type and number of trainers and suitable institutions to conduct the training,

- preparation and capacity of trainers,
- availability of training materials and
- support and follow up mechanism.
- diagnosis of pupil difficulties and remediation enrichment programmes.

The load of training planned for at different operational levels and feasibility of achieving targets in a realistic manner are other factors that need to be carefully examined.

### **Appraisal Issues**

- *Has a study been planned to assess teachers' competencies and training needs at both the primary and upper primary levels?*
- *Is there sufficient expertise/capacity available at different levels to provide training to teachers in all the subject areas and pedagogic concerns identified by the state-district?*
- *How many and what type of training programmes have been developed at the state/district level? Do they address the basic issues/training needs that have been identified?*
- *Are the unit costs, period and budgeting for teacher training as per the SSA norms?*
- *What kind of model is envisaged for teacher training from the district to the school level? If cascade or any other type are the activities planned for sequential in nature. Are the training needs for all the levels being addressed?*
- *Is there any kind of prioritization and phasing in the plan for training programmes along with sequencing of activities according to the training needs identified for different stages of education and operational areas?*
- *Have training programmes been planned for newly recruited teachers, those already in service as per the SSA norms?*
- *Is there any mechanism in place/planned for providing onsite support and monitoring of teachers after training is conducted?*

- Do the sub-district structures and personnel (BRC, CRC, etc.) have sufficient and relevant capacities for providing onsite academic support to teachers after training?
- Is there any plan for utilizing the feedback received regarding training for further improvement of future training programmes?

#### d) Teaching-Learning Process

All pedagogic interventions and inputs should result in quality improvement that should be ultimately visible within the classroom settings over a period of time. What happens within the classrooms in terms of the teaching-learning processes and classroom interaction is a matter of concern since it reflects the culmination of all the strategies planned for by the district. It is the classroom that provides the setting for all teaching-learning. Thus, the more effective the classroom processes the better the learning outcomes. It is imperative, therefore to know and understand how classroom transactions are conducted and managed, what kind of classroom environment exists, what are the various teaching-learning strategies generally used by teachers in classroom transaction and level of children's participation amongst other aspects, so that all can be improved upon. Some of the vital aspects that need to be focused upon for arriving at a better understanding as to what happens within classrooms are:

- Classroom environment (including physical and social)
- Classroom organization and management (seating arrangement, layout, organization of teaching-learning groups, display of materials and usability).
- Teacher Pupil Ratio
- Teaching strategies adopted
- Availability and use of teaching-learning materials and aids
- Children's participation in classroom activities (Verbal/non-verbal)
- Facilities available for teaching-learning within classrooms.

Based on all these factors the district should arrive at some broad strategies for improving the quality of education within classrooms that should be clearly reflected in the plan.

## **Appraisal Issues**

- *Is there a provision for conducting a study of teaching-learning processes to fully understand the existing situation?*
- *Is there a clear understanding at all levels in the state-district of the desired shift required for quality improvement vis-à-vis teaching learning processes?*
- *How is the proposed pedagogic shift to be communicated to schools and sub-district functionaries in evolving and realizing this vision?*
- *Have any activities (workshops, meetings, discussions) been planned to expose teachers and other associated personnel (BRC, CRC, SEC, MTAs) to this desired shift?*
- *Are the proposed curriculum changes, TLM development and teacher training programmes/materials in consonance with the change visualized in teaching-learning processes at the classroom level?*
- *Are the existing capacities at the district and sub-district levels adequate for conducting training programmes, monitoring and providing onsite school based support to teachers in implementing the new teaching-learning processes?*
- *Have training programmes and/or workshops been planned for discussion and planning of pedagogical interventions? Is this periodic and recurrent in nature?*

### **e) Monitoring of Quality Aspects**

Central to the entire effort towards quality improvement is the monitoring of all the quality aspects in terms of planned inputs on-going processes and expected outputs. This needs to be an integral part of the plan from the very first year itself.

District specific monitoring systems need to be developed and put into place by the authorities in order to keep a check on the progress and assess whether the desired outcomes are being attained in schools. This would help



in making mid-term corrections and modifications to further boost quality improvement interventions. To facilitate the monitoring process context specific, quality indicators and appropriate usable tools will need to be prepared by the state-district. In addition, activities for promoting the participation of various institutions, personnel and local community should also be reflected in the plan. Overall guidance could be provided by the resource groups and responsibility centres as outlined in the SSA framework. The SSA framework clearly emphasize the need to promote community-based monitoring.

### **Appraisal Issues**

- *Is any kind of mechanism planned for or in place for monitoring the quality inputs-intervention strategies to be implemented by the state-district?*
- *Are the capacities of the identified persons, groups, institutions sufficient and appropriate for monitoring the quality aspects?*
- *Is the monitoring planned for a one-time event or a continuous ongoing/periodic activity? Does it reach out to each individual school?*
- *Have any materials been developed or is there a plan for the same specifically focusing on monitoring of all the aspects detailed out in the earlier sections?*
- *Is any role envisaged for community (VEC, SEC, gramsabha, etc.) - parent participation in the monitoring of schools - children? If so, are any orientation/training programmes planned?*
- *To what extent are the to be created or already in place sub-district structures to be involved in the process of monitoring?*

## **2. Special Focus Groups**

### **a) Gender**

Bridging the gender gap and empowering girls is one of the most important areas of intervention if education for all is to be attained by 2010. The gender gap is characterized by lower enrolment and retention rates and higher dropout rates for girls as compared to boys at both the primary and upper primary stages of education. However, while developing plans and strategies, girls

cannot be viewed as one homogeneous group. This is because there is a wide socio-economic and cultural variance in which the girl child is placed. Therefore, strategies for bridging for removing the disparities in education should be local specific, contextual and based on the special requirements of different communities as situation varies from one group to another.

### **What is expected in the Plan**

The plan for dealing with gender related issues should reflect and address a number of aspects. Firstly, conceptualization of problems and issues in terms of access, enrolment, retention and achievement levels of girls belonging to different groups. Secondly, a clear identification of targets to be achieved within the SSA framework. Thirdly, a diagnosis and analysis of available district data in terms of actual ground level realities. Fourthly, identifying intervention strategies to resolve the specific issues and problems in terms of time, resources and capacity of those to be involved. Finally, it is important that the plan reflects the appropriateness of selected activities based on the districts previous experiences, priorities, capacities and funds.

In addition, the DEEP should clearly highlight the existing schemes under different sectors and how they are being utilized for achieving UEE in a convergence mode i.e. *Mahila Samekhya*, M.V. Foundation etc.

A gender appraisal of immediate and long-term plans is required to ensure that all the strategies prioritize the needs of girls.

### **Appraisal Issues**

- *Is the budget for different items in consonance with the SSA norms?*
- *Is there disaggregated target setting for resolving group specific issues and problems i.e. SC, ST, special needs, adolescent etc.?*
- *Is the budget for different items in consonance with the SSA norms?*
- *Has a strategy been formulated for building gender awareness at the local village - community level?*
- *Have any experts/groups been identified and/or created to deal specifically with gender issues at the district - sub-district levels?*

- *Has the involvement of women's groups and/or organizations been included in areas of community mobilization, training, monitoring and implementation of strategies?*
- *Is there a capacity building plan visualized to ensure that all those involved are suitably sensitized and adequately prepared to address specific concerns at the school-village level?*
- *Are intervention strategies multi-pronged thereby addressing gaps related to provision of facilities (teachers, toilets, upper primary schools, textbooks, timings, etc.) (awareness generation social prejudices, taboos and customs).*

### **b) Education of Children with Special Educational Needs**

As SSA adopts a "zero rejection" policy on education of children with special needs, no child would be left out of the education system. SSA plans to ensure that every child with special needs, irrespective of kind, category and degree of disability, is provided education in an appropriate environment.

#### **What is expected in the Plan**

- Identification of disabled children through micro-planning.
- Assessment of every child to ascertain the nature of disability.
- Appropriate placement of the child in the most appropriate setting. This should be decided by a team of experts or resource group form at the district/block level.
- Provision of aids and appliances through convergence with various schemes, departments, NGOs, national institutes and other organisations like ALIMCO.
- Tapping the available resources (various schemes running in the district for disabled, NGOs and special schools working in the area of disability in the districts).
- Strategy to provide resource support to children with special needs (options include recruitment of resource teachers, longer term training of general teachers, use of NGO approach for implementation of IED).

- Strategy for general teacher training. The aim is to sensitize all general teachers to the various types of disabilities.
- IED should be made an integral part of all on-going community awareness programmes, which also includes parental counseling.
- Under Civil Works it should be seen that all new schools are disabled friendly.
- Constant monitoring should be done to see that all children with special needs have access to education in some way or the other.

### **Appraisal Issues**

- *As per the SSA norm, expenditure per disabled child should not exceed Rs.1200/- in a financial year.*
- *It should be seen that the plan on IED comprises of all essential components like identification through micro planning, teacher training, provision of aids and appliances and appropriate placement. The plan should be prepared based on the chapter on Interventions for Children with Special Needs in the SSA guidelines.*
- *Every district should prepare a detailed strategy/ approach for each of the components mentioned in the plan.*
- *Tapping of the already available resources should be the first step in SSA towards providing meaningful education to disabled children.*
- *Multi-sectoral convergence should be given highest priority to reach out to every child with special needs.*
- *Appropriate monitoring mechanisms should be developed so that it is seen that the district plan is being fully implemented.*

### **c) Scheduled Tribe (ST) and Scheduled Caste (SC) Children**

The population of tribal people in the country is spread over in almost all the states barring a few, and is generally concentrated in pockets. The tribal communities are not homogeneous and are at various levels of socio-economic and educational development. Generally, these communities are educationally underdeveloped. However, a few of them specially in urban and semi-urban

areas are educationally better placed as compared to their counterparts. The tribals living in north-eastern states have a different type of life style and associated problems. The problems of tribal people are generally because of scattered habitations and hilly terrain areas, low economic growth and other socio-cultural factors, which are not conducive to schooling, inadequate knowledge of regional language etc. The tribal communities, which are nomadic and move from one place to the other within the state as well as to other neighbouring states mainly in the quest for livelihood pose serious problems for education of their children. Therefore, SSA envisages providing quality elementary education to the tribal children through special interventions responding to varied contexts, needs and problems.

Unlike tribal communities, scheduled castes are spread over all the districts in the country and live side by side with the general population. These disadvantaged sections are also economically and educationally underdeveloped. The problems of education of SC children are mainly attributed to the socio-economic factors and home environment. Therefore, it is necessary that keeping in view the existing status and problems of education of these children, suitable interventions may be planned. The appraiser needs to see whether the interventions for SC children are merely a mechanical disbursement of incentives or go beyond to provide meaningful quality education to them.

Another important category of children who need special interventions belong to the urban poor sections of society. These children are not only economically poor but often deprived of the family support and educational environment. They are engaged in many petty activities to supplement their family income. Their problems are different than the problems of ST and SC children. Their educational needs to be addressed specifically in the plans.

### **What is expected in the Plan**

- Identification of the tribal areas and the tribal groups, which need special interventions.
- Statement of educational problems being faced by tribal communities.

- Statement of educational problems being faced by SC children.
- Existing on-going programmes of various departments. NGOs/voluntary organizations, international agencies and others, which are addressing themselves to the problems of tribal people and SC children, specially educational problems.
- Tribal traditional institutions such as tribal councils, youth dormitories and other traditional institutions for educating children, which are helpful in promoting tribal welfare and educational programmes.
- Identification of suitable interventions under SSA to address the educational problems being faced by tribal and SC children as well as their active participation in the SSA.
- Strategies to be adopted for awareness building and motivation of tribal and SC parents for schooling of their children.
- Community aspirations and educational needs of the tribal people and SCs
- Linguistic mainstreaming of the tribal children through development of relevant textbooks, teaching-learning strategies, etc.
- Following of tribal culture-friendly teaching-learning processes and teacher development in these areas.
- Suitable interventions, which can provide 'education for life' to the ST and SC children.
- Provision of diagnostic and remedial measures for quality improvement in the learning outcomes of SC/ST children.
- Visualization and incorporation of suitable interventions in the plans for the education of the children of urban deprived sections of society and to meet their educational needs.

### **Appraisal Issues**

- *What method has been adopted to identify the tribal groups, which need special interventions?*

- *What process has been adopted to identify the educational problems being faced by the tribal and SC children for which interventions are being planned?*
- *Does the plan reflect the lessons learnt from earlier experiences such as experiences of DPEP, BEP, APPEP, Lok Jumbish, etc?*
- *Has the rationale justification for special interventions been mentioned in the plan?*
- *Do the interventions match with the problems identified?*
- *Have the benefits from other existing schemes in the area been identified and convergence of SSA interventions with them been attempted to avoid duplication of efforts?*
- *Has capacity building of all the functionaries involved at different levels been planned to undertake the activities?*
- *What strategy has been visualized for the integration of the inputs being proposed for the tribal and SC communities with the on-going schemes?*
- *Have the issues pertaining to language, TLM, teacher competency, life skills, etc. of the tribal children been taken care of in the plan?*
- *Has any intervention been visualized to provide 'education for life' to the children?*
- *Has the plan for urban areas visualized and incorporated suitable need based educational programmes for the children of urban poor?*

#### **d) Urban Deprived Children:**

Urban population growth in the last decade has been unprecedented, and the trend is likely to be maintained. It is estimated that almost half the country's population would be in urban agglomerations in the next fifteen years. However, low incomes and the high cost of living in these areas mean that more people live in difficult and vulnerable circumstances.

Given the nature of rural-urban migration, the urban areas are not able to cope with the ever-increasing pressure of migrants. The city plans have not

been able to meet the challenges of this fast growth of urban population. These most poor urban people, mostly migrated from rural areas in search of employment occupy public or government land on which little or no investment for the improvement of infrastructure is deemed necessary. Inasmuch as these slum clusters are unauthorised, the local bodies are often unable to officially consider investing in development, as this could be seen as legitimising the initial encroachments. This results in a Catch-22 situation where the poor are deprived of basic services precisely because they are poor. Basic amenities are severely lacking in these slums.

Children in such situations are a heterogeneous group, and can be classified into different categories. These would include, among others:

1. Children living in slums and resettlement colonies
2. Child workers/labourers
3. Street children
4. Children of sex workers
5. Children of migrant workers
6. Children in remand homes, juvenile homes, etc.

The problems of educating the deprived urban child are complex and varied. These include the cost of education, lack of schooling infrastructure, the lack of specific incentives for such children, the location of schools, and so on. Rules such as insistence on birth and other certificates also result in denial of admission to these children in schools. This is compounded by the fact that since each city presents a different set of circumstances, no unique solution can be found to address the needs of every city. Although a number of NGOs have been working in the area, their efforts necessarily represent isolated cases, and a comprehensive strategy has not yet been put in place in most of the cities. Apart from this the coverage is pretty small compared to the huge size of deprived urban children. The people living in slums, unlike in villages, have a weak community identity as they belong to



diverse cultural backgrounds, they speak different languages very often. Absence of 'social security institutions', like caste and kinship make them more vulnerable and insecure. The hardships of urban living compound the problems further.

The major issues concerning the urban deprived children are:

1. It is important to realise that there are wide socio-economic disparities in urban areas. While basic services are available to the economically better off, large sections of urban society living in unauthorised colonies/slum clusters have no access to schooling facilities.
2. Government schools in urban areas coexist with privately provided facilities, and are often ill-equipped in terms of infrastructure and basic amenities. Differences exist in the curriculum transacted also, particularly with reference to the study of the English language.
3. Even though children may be formally enrolled in schools, a large number—particularly girls—remains out of school. This may be on account of social and/or economic reasons, which remain unchanged even after migration from rural areas.
4. In general, there is a lack of incentive for children in urban areas to attend school. In fact, there may even be a strong disincentive in terms of loss of earning, poor quality of teaching, lack of infrastructure, the location of the school, etc. At times, the issues may simpler, as for example, the difficulties faced by small children who need to cross a busy road to reach the local school.
5. The management structure of education in a city is also relevant—this structure varies from State to State. While in some States the local body may be charged with the responsibility of education, in others it remains with the education department of the State government. A multiplicity of agencies, generally uncoordinated, has an impact on the quality of elementary education provided to the child.
6. From the planning point of view it is very often difficult to identify a proper unit of planning. The same slum may be part of different wards.

Delimitation of wards and slum is not done keeping in mind the planning needs. Identification of appropriate planning unit is another challenge in planning for urban deprived children.

7. Lack of proper and authentic database for out of school children in urban areas. In DPEP also household surveys were undertaken for rural areas but urban areas remained largely left out.
8. Severe scarcity of land for opening new schools.
9. Many of these groups will require long term support and very individualized personal attention. Small set ups like NGOs are suitable for such function compared to large bureaucratic setups.

### **What is expected in the Plan**

The SSA plan should begin by describing the profile of the city in detail. This profile would include the following information:

- The type of local body responsible for management of the city and its responsibilities
- Demographic profile of the city
- Clear identification of the unit of planning.
- Clear identification of the different types of target group of disadvantaged children
- The numbers and percentages of working children
- The nature and number of habitations/slum clusters/colonies that need to be covered
- Details of available infrastructure and ease of accessibility
- Numbers and types of teachers available and their capabilities
- Amounts available for education in the city budget for the year and their allocation
- Should ensure proper involvement of NGOs in the areas where they are present.

The plan should clearly focus on ensuring that strategies adopted are creative and flexible, meeting the needs of every child in different situations. In particular, while attempting to mainstream these children, it should be borne in mind that the nature of their circumstances might require longer and more intensive interventions than may be the case in rural areas.

Under EGS & AIE scheme there exists provision of a variety of interventions for out of school children. The provisions of this scheme can be utilised for planning UEE for deprived urban children. If financial norms of the scheme come as a constraint the fund available for innovation under SSA can also be made use of.

### Appraisal issues

- i) Whether Planning for universal access has been based on detailed micro planning and survey?
- ii) What has been the unit of planning?
- iii) Which are the specific groups of children with their size and geographical distribution?
- iv) Whether the different strategies developed for different groups of out of school children are clearly spelt out?
- v) Whether proper emphasis has been put on strengthening of existing schools in the form of possible relocation, improvement in quality, better maintenance, etc.?
- vi) Whether rationalisations of teachers have been planned to ensure that an adequate number of teachers are available?
- vii) What kind of support could be provided to the formation and fostering of a mechanism of local volunteers to follow up on these children?
- viii) Whether adequate emphasis has been placed on mainstreaming and retaining children in the formal schools?
- ix) Whether plans for strengthening of linkages and convergence with other government departments have been clearly indicated in order to provide

other forms of support such as health check ups, counseling, drop-in shelters for homeless children, and so on?

- x) Whether provision have been made to prepare formal schools to accept mainstreamed children, as there are often problems of adjustment, etc.?
- xi) Whether the plans clearly indicate the manner in which it proposes to involve all the stakeholders in the area, from parents and teachers to local policemen and other authorities?
- xii) Whether the resources offered by the private sector in the form of space offered in available schools, volunteers teaching, etc., have also been taken into account?
- xiii) Whether the capacities of local NGOs and the assistance rendered by them have also been considered, and the linkages with such organisations clearly outlined?

### **3. Early Childhood Care and Education**

The SSA acknowledges the importance of pre-school learning and early childhood care as crucial inputs in improving the enrolment and participation of children in formal schooling. It realizes that the early years are the most significant period in life, because this is when the foundations are laid for motor, sensory, cognitive language, social and personality development. This is a time of opportunity where even small positive inputs generate long term social benefits.

Acknowledging this the Integrated Child Development Services (ICDS) was launched by the Government of India in 1974, which is now on the verge of being 'universalized' in the country. A good quality ECCE programme is one of the most cost effective ways of addressing both socio-economic and gender inequalities, besides preparing the young child for entry into the primary school. In the context of SSA, ECCE has been envisaged as an innovative exercise. The norms mention that each district can plan for spending upto Rs. 15 lacs per year on ECCE related activities from the Innovation component.

## What is expected in the Plan

With the ECCE being primarily under the Department of Women and Child Development and being implemented through the ICDS, the plan should necessarily focus on convergence and co-ordination between the education department and ICDS from both short and long term objectives and goals.

Under the SSA the focus on strengthening and supporting the ECCE component of the ICDS in a convergent mode is both desirable and essential. What needs to be reflected is actual convergence in terms of different operational areas, i.e. training, supply of material, delivery of quality services and monitoring amongst others.

### Appraisal Issues

- *Are there structured mechanisms in place or proposed for appropriate convergence and coordination between departments/ across programmes?*
- *Are the ECCE inputs strengthening the existing ICDS system in the district?*
- *Are the activities budgeted for as per the norms of Rs.15 lakh per year?*
- *Are there any activities proposed for strengthening the linkages between pre-primary and primary stages of education?*
- *Is there any prioritization in providing inputs to ICDS anganwadi centres located in disadvantaged/remote areas of the district?*
- *Have duplication of resources and facilities been adequately avoided?*
- *Have any institutions/ groups been identified to strengthen the ECCE component in the ICDS anganwadi system?*
- *Do the functionaries that are to be involved in ECCE have the requisite capacities and skills for promoting pre-school education?*

## 4. Education of Out-of-School Children (Education Guarantee Scheme and Alternative and Innovative Education)

### What is expected in the Plan

The SSA plan should include a detailed educational profile of the district which should include the following information:

- Total number of habitations in the district along with the population of the habitation.

- Habitations, which have access to formal school facility within 1 km distance.
- Habitations that do not have access to formal schools but qualify for a formal school as per state norms.
- Habitations that do not qualify for a formal school and the number of children in these habitations in the 6-11 age group.
- The district profile should include projected population and enrolment data, for the previous year.
- Habitation-wise data of out-of-school children as identified in the house-to-house survey, data should be disaggregated on the basis of sex and age. The reasons for these children to out of school should be stated. Out of school children data should be grouped keeping in view the reasons for being out of school and the probable intervention needed.
- The focus of the scheme would be on ensuring participation of all 'out of school' children including children living in small, unserved habitations and other categories of children like working children, migrating children, street children, adolescent girls etc. who are out of school.
- To maintain the quality of any educational programme certain basic essentials need to be ensured, e.g. minimum infrastructure, equipment, reasonable honorarium of the education volunteers, proper investment in their professional preparation and regular academic support etc.
- A significant proportion of the children currently 'out-of-school' (at the primary level) does not have physical access to a schooling facility within 1 km of the habitation. Alternative, EGS-like schools set up in these habitations would be fulltime day schools and would continue to exist in these habitations as Education Guarantee centers or become upgraded to regular schools, once certain conditions are fulfilled. For children (not living in small, unserved habitations), the focus should be on their enrolment in formal schools. Wherever '**mainstreaming**' can be planned for such children, there would be a need for specific interventions prior to, and even after their enrolment into regular schools. These could include

residential camps, drop-in-centers, bridge and transitional courses, vacation or condensed courses and remedial teaching through Community Volunteers etc. Children who live in extremely difficult circumstances e.g. street children, children who migrate with their families, wage earning child, labourers, adolescent girls (11-14 years of age) cannot be easily enrolled into formal schools directly. Some of these groups of children would require specific, flexible strategies based on their situation to ensure that they complete primary/elementary education.

An appraiser may keep in view the following salient features of EGS and AIE:

- The EGS and AIE would accord a priority to setting up of EGS centers (primary level) in unserved habitations where no school exists within a radius of 1 km and at least 15 children in the age group of 6-14 who are not going to schools, are available.
- Conduct of micro-planning exercises, including house-to-house surveys and evidence of demand from the community and communities' commitment would be a prerequisite for preparation of proposals under EGS and AIE.

The write up in the plan should indicate coverage under the existing schemes. It should also present an analysis of the current schemes. The gap needs to be identified and planning has to be done for the gaps. Number to be covered under different strategies need to be clearly mentioned (year-wise).

The qualitative write up should say how many of the habitations, which did not qualify for a formal school, have been so far covered and what is the plan to cover the rest so that universal access is ensured.

The write up should indicate which are the target groups that would be addressed during the year. What would be the strategies adopted to bring these children to school. What is the nature of the strategy and what is the implementation plan for the strategy. Is there a plan for convergence with any departments for the implementation of the strategy. What will be the nature of

academic support provided to the teachers at the EGS/AIE centres. The Table should indicate the number of centres that will be opened or camps that will be operationalised. The number of teachers to be recruited, training of teachers, materials to be provided to each centre, appointment of supervisors, training of supervisors, field visits of the supervisors, monthly meetings of teachers with the supervisors.

The write up should convey up to what extent the district will achieve universalisation and what is the proposal for covering the gap.

### **Appraisal issues**

*Information required for EGS and AIE (For example, number of unserved habitations, number of children in 6-14 or 5-14 years age groups).*

- *What strategies have been proposed for interventions?*
- *What activities have been proposed to be carried out?*
- *Have budgetary details been provided?*
- *Has implementation schedule (Reflect realistic implementation schedules in a 'phased-out' uniform manner. Targets should be maintained at all costs) been provided in the plan?*

### **State Plan**

- Are the activities indicated in the state component integrated with the strategies proposed by the districts?
- Has the state proposed for a regular monitoring and review system of the programme through a resource group?
- Proposal for developing training modules and training of Master Trainers are included in the state plan?
- Has adequate personnel been proposed for the EGS/AIE programme at the state level?
- What is the coordination amongst programme components at the state level?



## 5. Research and Evaluation

Since Research and Evaluation are very important actions for the quality planning and implementation of any programme, these have received due importance in the SSA. It is expected that the research studies and survey will have three-fold objectives:

- i. to provide inputs both in terms of qualitative and quantitative data for plan formulation.
- ii. to assess the processes adopted in the implementation of the plan.
- iii. to evaluate the impact or the outcomes of interventions.

It is noticed that the states and districts have a general tendency of planning for evaluative and impact studies even in the beginning of the programme. This is not advisable because evaluation can be undertaken only when the project has been implemented for quite sometime. However, in the initial stages research studies which help the planning and obtaining relevant information regarding process of implementation may be undertaken.

### What is expected in the Plan

- **Base-line learners achievement Study:** The purpose of this study the present status of achievement level of students especially at the primary and upper primary stages of education in the district, with special focus more the achievement of girls, scheduled castes/ scheduled tribes, rural and urban students. This may also aim at the study of the classroom practices in schools.
- **Social Assessment Study:** The purpose of this study is to assess the existing socio-economic, cultural and educational scenario and problems of various types of communities living in the area with special focus on ST/SC, other deprived sections of the communities and girls. This may also find-out the effectiveness of the existing educational schemes as well as study the perception of the communities and their level of participation in educational programmes.

- Research activities to be undertaken by the state, district, block and even the clusters to study the classroom practices or any other educational problems and prospects in the area.
- There is a system identified to help the research and evaluation activities and capacity building of the researchers and research institutions.
- If the state or the district proposals to undertake some case studies then the rationale and other details of the same are provided.
- There should be a reflection in the plan regarding encouraging research and evaluation activities as a continuous process and utilization of the findings in mid-term corrections and improvement of the SSA planning and delivery of interventions.

### **Appraisal Issues**

- *Has there been a Research Advisory Committee of similar body been formed at state and district levels to promote and guide research and evaluation activities?*
- *What are the procedures adopted to identify the institutions and individuals for undertaking research activities? Has any action been taken for capacity building of the research personnel/ institution?*
- *What steps have been undertaken for the preparation of research proposals including the need, objectives, preparation of tools, collection of data and analysis of data, etc?*

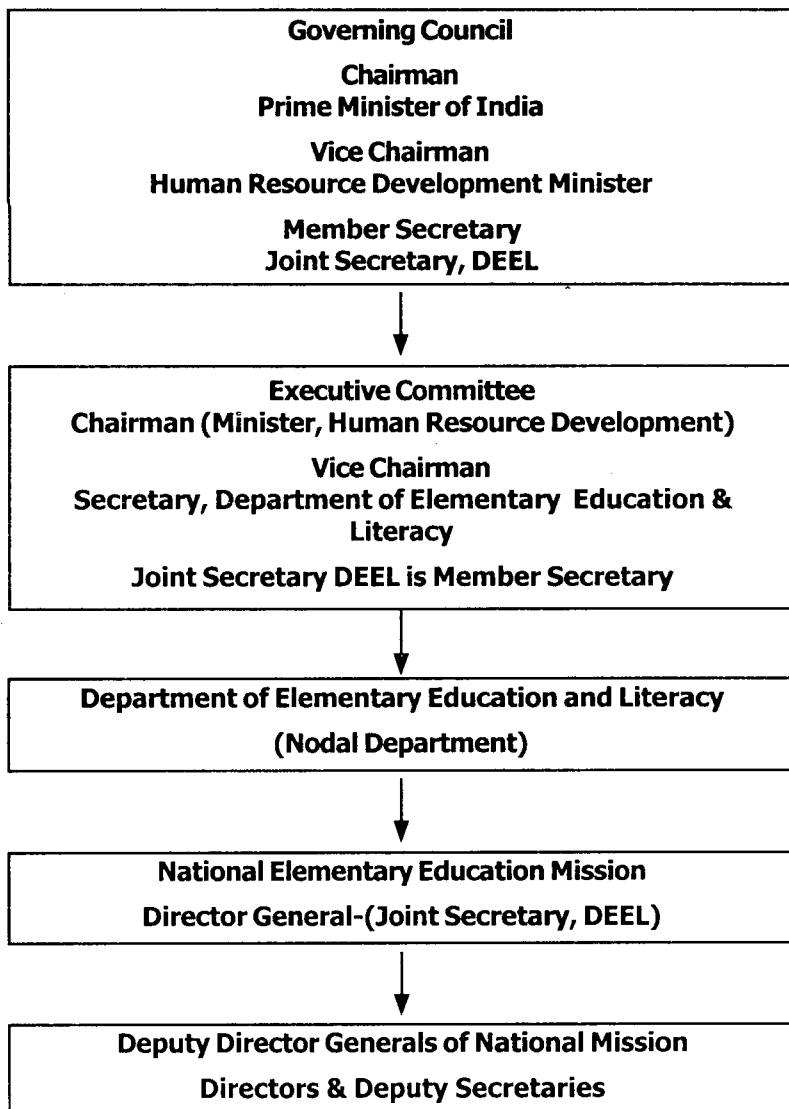
Have the above dimensions been taken care of while proposing research activities in the plan? What is the basis for proposing a particular research for evaluation activity in the plan? The relevancy of the proposal and its implications in plan formulation and project implementation may be given due consideration.

- *Has any action been visualized to monitor the progress and provide inputs for ensuring the quality of research/ evaluation activity?*
- *Is the budget proposal inline with the SSA Framework?*
- *Is there any mention about the utilization of the outcomes of the research studies and dissemination of the report?*

## 6. Management Structures and Institutional Capacity Building

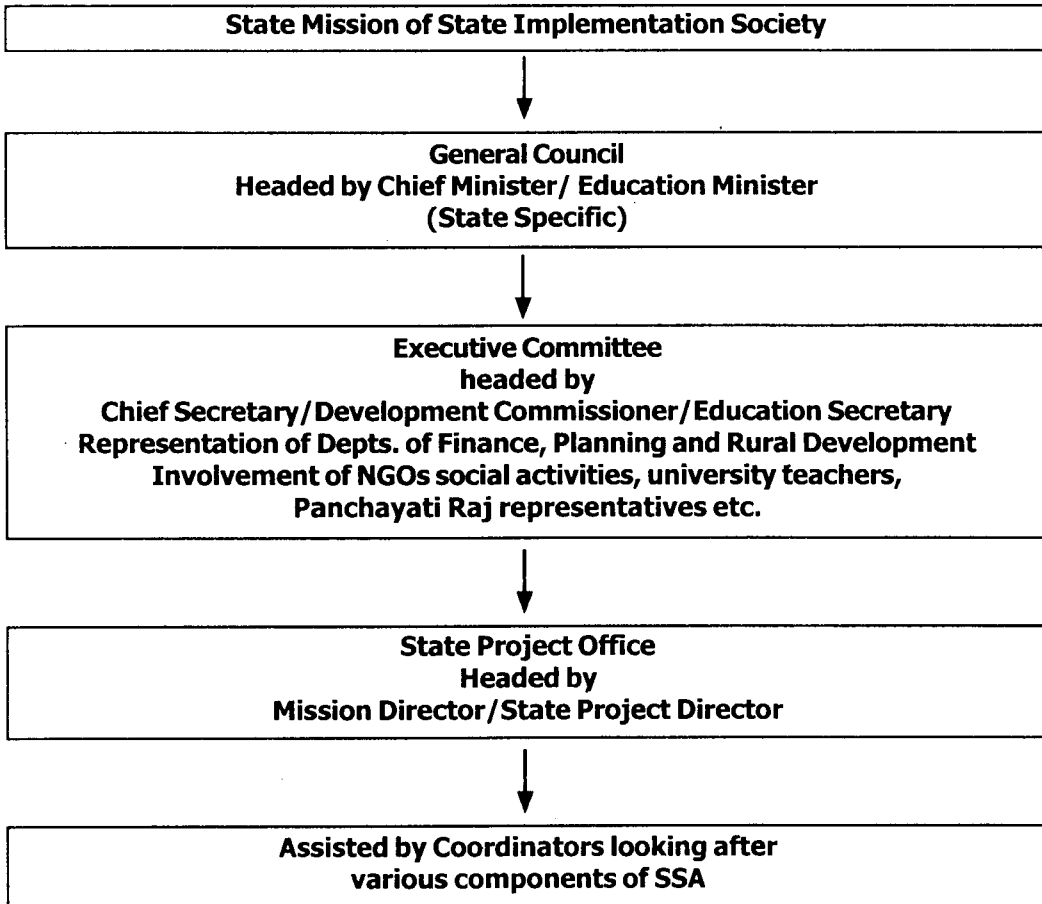
The SSA aims at providing focus on mainstream structures for Programme implementation. The Department of Elementary Education and Literacy (DEEL) has been set up in the Ministry of Human resource Development in the Govt. of India. A flow chart representing the national, state and district management structures is provided below:

### National Management Structure:-

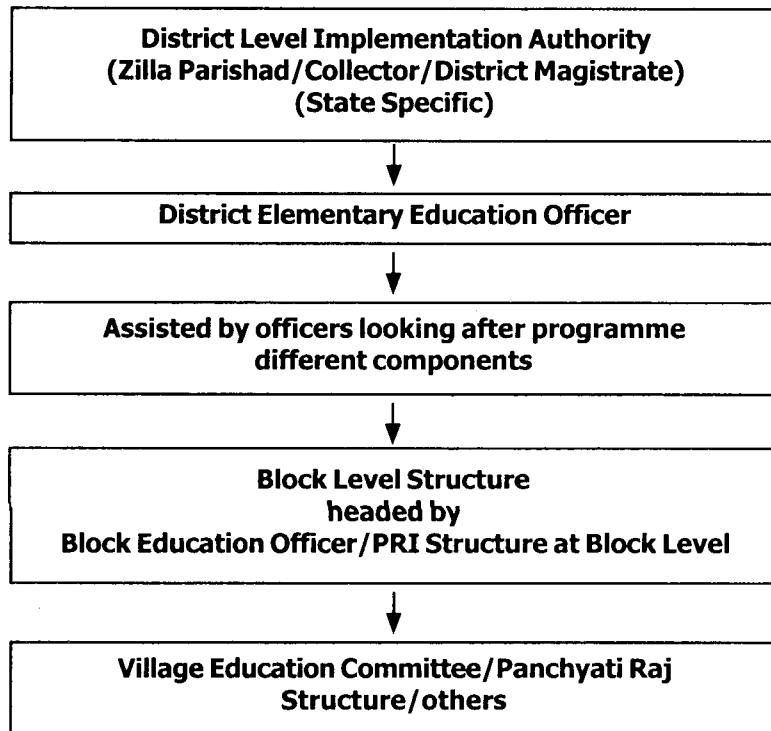


## State Management Structure

The Sarva Shiksha Abhiyan programme allows states/UTs to have their own management structure respecting the diversity that exists in these structures across the states. The states are expected to set up the State Implementation Society. However, the linkage with mainstream educational administration set up has been emphasized so as to ensure that the educational mainstream is totally involved in the programme activities. It may therefore be kept in view that the programme (i.e. SSA) is to be implemented with full involvement of educational administrative machinery available at various levels. Since the programme is district based it is expected to be implemented by the District Education Office (Elementary) at the district level, the Block Education Office at the block level and the Village Education Committee at the grassroots level.



## District Level and Sub District Level Structure



Implementation of the programme through mainstream educational administration does not mean that it rules out the requirement of specific strengthening of the administrative machinery by contracting experts in a few areas like MIS, Civil Works, gender issues, etc. However, the additional contractual staff can only be taken after an assessment of the existing staff strength. Secondly, it is to be ensured that cost of the additional contractual staff be managed within the prescribed limit of 6 per cent of the total programme cost on management.

### What is expected in the Plan

- An overall adherence to management cost which should not exceed 6% of the total project cost. These would include:
  - Salaries
  - Equipment
  - POL etc.

- Fax, telephone, computers etc.
- Administrative expenditure
- Evidence of state level society i.e. State Mission Authorities for UEE having been registered, rules and regulations framed and training and constitution of EC and GC undertaken.
- Separate bank accounts should be opened at the various levels like school, village, block, districts, state, etc.
- Evidence of all structures being in place.
- Evidence of mainstream administration being the pivotal point in implementation of SSA.
- An assessment should be made of the existing manpower capacity building needs, which also need to be demand based.
- Building of core/implementation team on contractual basis for civil works.
- In order to facilitate a demand based capacity building' exposure visits could be organised to study and replicate success stories/innovative interventions. The plan should have mention of this.
- Professional and operational support authorities regularly need to interact with the state and districts to ascertain the capacity development needs.
- Capacity building plans should be reflected in a comprehensive manner for example, the number of training programmes, the target trainee, the need assessment exercises, the contents of course and its relevance to needs of the target group.
- Capacity building exercises should be budgeted appropriately and with clarity. The plan could have a write up containing the head or representation in a tabular form.
- There should be an implementation schedule for the capacity building exercises reflecting a clear time frame. The phasing of the training programmes, the duration, and the number of programmes should be clearly spelt out.

- The plan should show evidence of linkage and networking with related departments for convergence purposes. There should not be duplication of structures set up by different departments. Convergence with other GOI schemes of elementary education like Operation Blackboard, Teacher Education, Mahila Sanakhya, DPEP and Nutritional Support for Primary Education should be attempted
- A detailed convergence plan needs to be prepared, outlining the fund allocation under different programmes and departments to avoid duplication of expenditure. Funds available under schemes like PMGY, JGSY, PMRY, *Sunishchit Rojgar Yojana*, MLA/MP area fund, State, plan, external funding (if any) should all be shown.
- Planned constitution of resource groups should be attempted at all levels.
- Coordination with national, state and district support authorities and resource institutions should be attempted. This should be clearly reflected in the plan.

A tentative list of level-wise responsibility centres could be as follows:

| Level    | Administrative                                 | Technical  |   |
|----------|--|--|---|
|          |  | Managerial   | Pedagogy Related  |
| State    | Education Secretary,<br>State Project Director | <ul style="list-style-type: none"> <li>• State Dept.</li> <li>• SIEMAT where it exists</li> <li>• Any other</li> </ul> | <ul style="list-style-type: none"> <li>• SCERT</li> <li>• State Resource Group if any.</li> <li>• State universities</li> <li>• Other institutions</li> </ul> |
| District | District Elementary Education Officer          | District Education Office  | <ul style="list-style-type: none"> <li>• DIET</li> <li>• District Resource Group if any</li> </ul>  |
| Block    | Block Education Officer                        | Block Education Office   | <ul style="list-style-type: none"> <li>• BRC</li> <li>• Block Resource Group if any</li> </ul>  |
| Cluster  |  | CRC  | CRC   |
| Village  | VEC/Panchayati Raj Institution                 | VEC/SMC, if any  | School  |

- Evidence of capacity building of the identified agencies (DIETs, BRGs, BRCs, CRCs, VECs, SMCs etc.) for the achievement of the roles and functions assigned to them should be there in the plan.

### **Appraisal Issues**

- *Have key posts and salaries structures been elaborated upon? Does the plan contain the physical numbers of the equipment, etc. procured or needed to be procured? Have all administrative expenditures been justified appropriately and do they confirm to SSA norms?*
- *Does the plan document show the position of existing staff in the DEEP/ BEO office? Are there vacant positions there?*
- *What additional staff is proposed to strengthen the administration and are they justified?*
- *Is there any thinking on the sustainability of the additionally proposed staff?*
- *Have the management structures been put in place at the district and sub-district levels in the case of DPEP districts have the old structures been integrated suitably? In non-DPEP districts have the relevant structures achieved a functional status?*
- *Does the plan provide a list of trained/untrained manpower in the different component areas? Does it appear to be analyzed through a bottoms-up approach and does the data stand up to scrutiny?*
- *Have PRIs/PTAs/MTAs, Tribal Autonomous Councils etc. been involved in the implementation of the programme?*
- *Does the plan provide for exposure visits of the personnel for development of a broader perspective on capacity building need assessment?*
- *Does the plan reflect a comprehensive training package in terms of the number of programmes, the duration, the trainee profile and the course content?*
- *Have budget provisions for capacity building been provided in clear and tabular form? Do they adhere to the SSA financial norms?*



- *Have budgetary allocations of other programmes like JRY, PMRY, DPEP, OB, etc. for the same kind of intervention been accounted for? Does the plan reveal any kind of replication of budgetary provision?*
- *Are there duplicate structures being created without going into structures already in place under other government schemes?*
- *Have resource groups at the district and sub-district levels been prepared? If not, what are the plans for the same? If they have been constituted, what has been the process and criteria of constitution of the resource groups?*
- *Has adequate planning been taken up for coordination with capacity building institutions at the national, state and district levels?*
- *Are there roles and functions assigned to the agencies/functionaries at district and sub-district levels? Have planned capacity building exercises been undertaken for them?*

## **7. Community Mobilization**

The Sarva Shiksha Abhiyan assigns the greatest importance to systematic mobilization of the community and creation of an effective system of decentralised decision making as part of preparatory activities. Decentralisation of powers to Village Education Committee/Panchayats/Urban Local bodies etc. are part of the implementation strategy of SSA. In the context of SSA, community mobilization has primarily been conceived as a pre-project activity. However, innovative efforts in this regard can be taken up even during the project period for the education of girls and SC/ST etc.

### **What is expected in the Plan**

- Evidence of preparation of habitation level plans through effective community mobilization.
- Micro-planning and school mapping exercises should have been taken up through community mobilization. There should be evidence that each and every child in the district of 0-14 years has been kept track of. This should be done through community support and monitoring.

- Community mobilization should have been taken up for preparation of Village Education Registers on the basis of household surveys, and regular monitoring through Retention Registers and Pupil Progress Cards.
- Capacity building and training of community leaders need to be taken up. The plan should reflect the training design, context, duration and phasing of the training programmes as well as its budgeting.
- A core planning team would be constituted in each village at the habitation level, including VECs, selected community leaders, NGO representatives' Head master, teachers, parents, women, SC/ST, MTA, PTA, SEC, representatives etc. The plan should reflect constitution of such groups and their number.
- The plan should show how the budgetary allocation of Rs.50 lacs as preparatory activity fund for community mobilization has been utilized. As the fund should have been actually spent on habitation/field related activities, the plan should reflect it clearly with clear phasing of activities.
- There should be large-scale representation/participation of women and other disadvantaged sections in the planning process.
- A clear gender focus should be evidenced.
- Large-scale evidence of school/community based activities like *Balmelas*, *Kala Jathas*, sports activities, *Ma-beti sammelans* etc. should be there in the plan.
- The plan should reflect
  - interface with elected representatives at all level
  - process based constitution of committees at each level
  - institutional arrangement for decentralized decision making
  - consultation with teachers
- The plan should clearly show what and how has the community mobilization effort contributed to the plan preparation.

## Appraisal Issues

- *What have been the planning processes for habitation plan formulation? Who were the people involved? What was the extent and method of involvement? Does the plan evidence proof of it? If not, visits to the particular habitation would be necessitated to cross check the veracity of what has been mentioned in the plan.*
- *Has micro-planning been actually undertaken. If so, how and when ? Do those taking up micro-planning exercises possess the requisite capacity for doing so? If yes, what training processes were taken up and when?*
- *Do Village Education Registers, Retention Registers and Pupil Progress Cards actually exist? If they do, are they regularly updated?*
- *Is there a comprehensive capacity building strategy for the community members? Does it reflect the training design, content, duration, phasing and budgeting appropriately?*
- *Has a core planning team at habitation level been constituted? Does it contain representation of NGOs, teachers, PTA, MTA, SEC, women, SC/ ST etc?*
- *How much of the budgetary allocation of Rs.50 lakhs for preparatory activities has been utilized? Have the funds been actually spent on community mobilization? Does the plan evidence irrefutable proof of it?*
- *Have community based preparatory activities like Balmelas, Ma-beti Melas, Kala Jathas, Prabhat Pheris, sports activities been taken up?*
- *Is there evidence of frequent interaction with elected representatives in plan formulation?*
- *Have the committees been constituted through process-based activities or merely through nomination?*
- *What are the institutions/structures in place to take up decentralized decision-making?*
- *Does the community mobilization plan show wider consultation with teachers?*

## 8. Civil Works

The Civil Works Component is important under the Sarva Shiksha Abhiyan. Under this component, there is massive investment upto the limit of 33% of the total project budget. Provision of school infrastructure helps in providing access to children, and also helps in their retention, both of which are important objectives of the SSA. Provision of infrastructure for Resource Centres at sub-district levels helps in creating academic support, which acts as a catalyst towards quality improvement.

The Sarva Shiksha Abhiyan Framework has laid down certain norms for the Civil Works Component. The appraisal team will need to examine whether the district and state proposals conform to these. With reference to these norms, the appraisal issues are as follows:

### What is expected in the Plan

- A School-wise Infrastructure Plan, describing existing infrastructure, required infrastructure, and infrastructure proposed under SSA.
- There has to be a separate chapter in the plan documents for Civil Works. There should also be a separate abstract / civil works at a glance in the costing tables.
- A write-up on the **Processes** within the Civil Works Programme, which should include the following:
  - Clear strategy for supervision, monitoring & implementation of civil works.
  - Details of sub-components of civil works are reflected in the plans.
- Clear repairs strategy – in terms of preparation of estimates, supervision strategies, implementation and quality checks.
- Strategies for capacity building (of engineers, masons and VEC) should be outlined in detail.
- Strategy for use of State-level Civil Works Innovation Fund should be spelt out in detail.

- Strategy for design preparation and inclusion of child-friendly elements in the school building design.
- **Special focus on quality construction** : Special focus is needed on quality construction, quality control measures such as procurement of specialised equipment etc. Training and capacity building of engineers / masons / VCC and so on - site evaluation to be provided and budgeted within 33% of Civil Works.
- Strategy for identification, training and implementation of local material, local technologies and cost-effective technologies.
- Figures on **targets, progress and budgets** (drawn from the analysis presented in the infrastructure plans)
- Unit Costs and their bases including the cost of child - friendly elements.
- Year-wise physical and financial targets, and progress figures.
- Budget for the salaries of the Civil Works teams, and/ or proposed consultancies, as described in the Supervision and Monitoring Strategy.
- Budgets for capacity building programmes.
- Budget for training of Village Construction Committees.
- Budget for production of training manuals, holding workshops, meeting of steering groups, etc.
- Budget for use of State-level Civil Works Innovation Fund.

### **Appraisal Issues**

- *Does the plan adhere to the provisions allowed under SSA which allow only the following?*
  - New Construction including child friendly elements.
  - School (govt. only) facilities – classrooms, toilets, drinking water, boundary walls to be state specific.
  - BRC
  - CRC

- SIEMAT
- Repairs and Upgradation.
- Does the plan take into account that only the infrastructure mentioned above can be taken up for repairs and upgradation.

It may be noted here that no expenditure can be incurred on the construction of office buildings under SSA.

### ***What is the mode of construction?***

- Community Participation is the only means of undertaking any Civil Works in order to ensure a sense of ownership.
- Engagement of contractors will not be allowed under the Sarva Shiksha Abhiyan, except for SIEMAT construction.
- What is the implementation, supervision unit?

The civil works unit may be either part of the state, distt. Block teams or can be other engineering agency in the state like, PWD, Rural Engg. Deptt, etc. It can also be consultants / NGOs of repute. Whatever agency is chosen, it should be accountable and responsible for quality construction.

DPEP experience has indicated that in-House Engineering Cell is found to be best form for executing Civil Works

### ***What are the Budget Ceilings applicable to Civil Works in SSA?***

- Civil Works allocations are not to exceed 33% of the perspective plans, and 40% of the annual plans of a particular year.
- The total cost of non-school (BRC and CRC) construction in any district should not exceed 5% of the overall projected expenditure under the programme in any year.
- Has the Civil works Innovation fund of Rupees fifty lakhs been formed and used at the state level? Has it been used for civil works innovations, demonstration buildings and capacity building?

***Does the plan take into account the following SSA norms for setting up of:***

- SIEMAT: SSA provides for a one-time assistance upto Rs. 3.0 crores. Infrastructure can be created using part of these funds, provided sufficient funds for staffing, functioning etc. are also accounted for.
- Rs. 6.0 lakhs is the ceiling for BRC building construction.
- Rs. 2.0 lakhs is the ceiling for CRC building construction.
- For maintenance and repairs, upto Rs. 5000 per year per school can be approved, but only as per specific proposal by school committee. This grant will not be part of 33% allocation for Civil Works.

***What is the basis for planning?***

Civil Works planning under SSA is compulsorily to be based on school-wise infrastructure plans. By this, it is meant that each school is mapped and the following data generated:

- Number of Children
- Number of teachers
- Existing Infrastructure (rooms, toilets, drinking water, boundary wall etc.): that which is usable, and also that which needs minor/ major repairs.

Using this data, the district is supposed to present an analysis of school-wise infrastructure gap. The proposals for new schools, building-less schools, additional classrooms, toilets, drinking water, repairs etc. are to be based upon this analysis only.

***What are the other Planning issues?***

- While finalising the number of **classrooms**, the following norms must also be followed:
- A minimum of two classrooms with verandah in a primary school are to be provided.
- One teacher per 40 students, and one room per teacher in primary and upper primary schools. However, for upper primary, this is subject to the ceiling of one room per class.

- Consideration of repairs, and double shifts in schools to optimize requirement of additional classrooms.
  - CRCs to also be considered, since they are to be used as additional classrooms.
- Apart from the classrooms, a room for head master can be proposed, but only in upper primary schools/ sections.
- All school infrastructure works at district level, are to be coordinated (including funds management) by a single agency. This agency would ideally be an engineering cell in the district SSA team.

***Have the following Implementation Issues been taken into account?***

- The Community must come forward for maintenance of the facility proposed. Only then can the facility be provided.
- Rates are to be as per schedule of rates of the state.
- BRC/ CRC to be located in school campus as far as possible.
- CRC necessarily to be used as an additional classroom in schools.
- Maintenance and repair of school buildings:
  - Top priority is to be given to Repairs and maintenance of school buildings.
  - The fund of Rs. 5000/- per year can also be used to create a corpus fund for maintenance of the school.
  - The repairs programme must involve elements of community contribution in each site.
- Efforts to access funds for classrooms from rural/ urban employment schemes will continue to be made, even though earmarking is no more applicable to these funds.
- Removal of architectural barriers: Efforts are to be made to provide disabled friendly facilities in schools and educational institutions. Such school designs need to be evolved, which provide an enabling environment for children with special needs.



- Incorporation of child friendly internal and external elements is mandatory in all new constructions and repair works.
- States and districts are to make use of designs already developed under DPEP/ Lok Jumbish Project with modifications to suit specific local contexts.
- The use of local and cost-effective materials and construction technologies is to be encouraged.

## **9. Management Information System**

### **Profile**

From the very beginning of implementation of the SSA, a Management Information System (MIS) is contemplated to be put in place. Collection, compilation, analysis and dissemination of data and integration in the planning process is envisaged to be the scope of MIS in general. The MIS would primarily assist the agencies implementing SSA by providing information on:

- access, retention and quality related issues
- intervention-wise progress of SSA implementation
- schooling scenario of children in the target group
- progress of EGS/AIE related issues.

Besides, the MIS would also act as a decision support system (DSS) for the agencies and intervention centres implementing SSA.

DISE is conceived as the backbone of an integrated educational management information system operating at the district, state and the national level. The complete backbone is already functional and covers the DPEP states, Technical Support Group, NIEPA and the Department of Elementary Education and Literacy. Under the SSA framework, it was decided to extend the DISE data collection system to all districts. The DOE/MHRD has decided to treat DISE data as the official data from 2002 onwards and all the states are required to implement DISE by 2003. Communication to this effect was sent to the Chief Secretaries of all states. Non - DPEP states were requested to prepare plans for

the implementation of DISE. All SSA districts would also implement DISE on the lines of DPEP.

DISE 2001 is the latest update of the school information system being implemented at the district level in DPEP and other districts of India. Presently the system covers all schools imparting education up to elementary stage. The system collects and computerizes detailed data on school location, management, teachers, school buildings and equipment, enrolment by gender and age, incentives and the number of disabled children in various grades. The districts/states have flexibility of adding additional variables according to their needs.

DISE 2001 covers all recognized schools imparting education up to elementary education (Grade VII or Grade VIII, as the case may be). It is for the first time that DISE 2001 is creating a comprehensive database of many additional variables like teachers' profile, medium of instruction, incentives, examination results and data on the number of disabled children studying in various grades. A new data capture format on village information to collect data on access to educational facilities and other allied variables has also been introduced for the first time in DISE 2001. It is expected that the revised database will help the states/districts in improving their planning, management and monitoring capabilities. The states are required to consult the following documents during plan preparation as well as during implementation of DISE 2001.

- Data capture format for the school/population information
- Data capture format for the village information
- Instruction manual on DCF
- User's manual for the dise2001
- DISE 2001 software on CDR
- Suggested guidelines for hardware and software at state/district level

The suggested procedures for the implementation of DISE are discussed below. The appraisal teams are required to check on these aspects:

**a) Establishment of EMIS Cell at State level**

As a first activity, each State is required to establish a MIS Cell at the State level which is headed by a Systems Analyst who is supported by a Programmer and some Data Entry Operators. The State EMIS Cell will be responsible for all activities related to the design of data capture formats, translation, distribution, training to the field staff, management of data collection, validation of data on sample basis, computerization and analysis. NIEPA will endeavor to strengthen and support the State EMIS Units by providing necessary training and on-site technical and professional support. The State EMIS In-charge would be responsible for coordinating all activities at the State headquarters as well as with the districts where DISE is implemented. While the primary responsibility of the System Analyst is to coordinate the activities related to DISE, he/she would also assist the SPD in other areas involving computerization and data analysis.

**b) Provision for Hardware and Software at State and District Level**

Adequate guidelines regarding the nature and type of hardware and software required for implementation of DISE at the state and the district level have been issued from time to time. A copy of the suggested hardware and software requirements at the State and district level is available from the MIS Unit, Technical Support Group, Ed.CIL. It may please be noted that these are only suggested guidelines and each State can alter the requirements according to their specific needs and the availability of various types of computers in the market. The provisions for the purchase of hardware and software should be adequately built into state/district plans according to the specified guidelines for purchase of equipment/supplies. The operating costs of the MIS Unit should be included in the annual work plan under the MIS classification. It is also suggested that, if necessary, computers can be hired to facilitate the data entry in time, especially during the initial years of DISE implementation.

**c) Data Capture Formats**

DISE 2001 uses two sets of data capture formats (DCF) namely School Information and the Village Information schedules. The DCF is revised after every three years. The present set of DCF was designed in consultations with

the Department of Education (MHRD), DPEP states, educational statistics experts and institutions like NIEPA and NCERT. It covers education up to elementary stage. Both the DCF contain the common core data applicable to all schools in the country. The states are advised not to change any coding or definition of variables without consulting the EMIS Unit, TSG, Ed.CIL.

While the formats are provided in English, some states may need to translate it into their regional languages to facilitate the data collection and training of teachers. It is important that during the translation the meaning of the data elements should remain the same as implied in the English version. The States should not alter any codes without proper consultations with NIEPA/TSG.

#### **d) Generation of School codes**

DISE is based on standardized school codes which remain constant over the years. The school codes are to be generated once at a time of establishment of DISE. For the subsequent years, only additions/deletions are to be incorporated in the master list. The process of school coding should be completed before data collection is initiated for the first year.

#### **e) Training of computer professionals in use of DISE**

The computer professional staff at the state level is provided training in the use of DISE 2001 by the NIEPA staff. The state staff in turn has to organize training for the district programmers and data entry operators. DISE 2001 uses Oracle as the backend tool. It is therefore suggested that both the state and the district staff should be trained in Oracle Database management techniques. Normally computer training institutes in each state conduct these programs for 3-5 days duration. The state System Analyst should organize such training for the programmers.

#### **f) Training for Field Staff**

Generally the DISE data is provided by the Head Master or Principal of each school having classes up to grade VII or grade VIII. Therefore, all primary schools, upper primary schools and other schools having primary and upper primary schools should be covered under the DISE 2001. At the national level a training/review programme is organized every year for the state level EMIS In-Charges and the strategy for organization of training for district level staff in each state is evolved. The programme is usually conducted during the month

of May/June each year. . Similar exercise is carried out by each state for the district level programmers and other staff are provided intensive training for data collection strategy and time schedule for data collection from schools is also finalized. The district level resource persons in turn organize training at block/cluster level. Each State has evolved their own design for data collection from the schools e.g. the training is generally organized for the School Principals/ Head Teachers at the block or the cluster level. Similarly, the formats are distributed to the teachers who fill it up in their respective schools and then send it back to the Block/Cluster Coordinator. Alternatively the School Head Masters are requested to bring their records to the block/cluster level meetings and the data entry is done in the presence of BRC Coordinator or the Block Education Officer.

#### **g) Field management and quality control**

Obtaining the correct and up to date data from the schools in the prescribed formats is the most critical component of DPEP information management system. The quality of field data will determine the quality and reliability of performance indicators derived from such data. Moreover, their use for interpretation and measuring progress as well as for determining the future interventions would be realistically known if it fully captures the ground reality. It is, therefore, important that utmost care should be given to the following aspects:

- a) Proper and adequate training of Headmasters/Principles
- b) Ensuring complete coverage and response by the respondents. Data from all types of private recognized institutions should be collected (PUA,PA)
- c) Data is collected only up to elementary stage
- d) Sample validation and verification of the DCF at various levels is carried out as per established procedures
- e) Ensuring that each school has entered the correct school code
- f) Generation of school codes for new schools if the code does not exists in the DISE database

- g) Ensuring that all the data items are filled in and no block of information is left incomplete
- h) Cross validation on sample basis of the data provided by the schools with the corresponding schools records
- i) It is also suggested that a proper feedback scheduled should be designed at the state level so that feedback is obtained from the BRC & CRCs coordinators on field operations and management. Such formats can be designed at the state level

#### **h) Installation of DISE and its maintenance**

In view to develop an integrated information system for the school education, a standardized software is designed and implemented in all districts/states covered under DPEP. The GOI has now taken a decision to extend DISE to all districts in the country. The latest version of DISE under implementation is DISE 2001. Similarly standardized versions of software have been developed for the state [DISE@S] and the national level [DISE@N]. NIEPA is providing the necessary professional and technical support to the states for DISE implementation at the state and the district level. If you have not received the copies of the software and User's Manual, please contact NIEPA/TSG.

#### **i) Computerization and checking of data entry**

DISE 2001 software provides exhaustive facilities for computerization of DISE data including the data collected by the states/districts in the form of additional and supplementary variables. It is observed that about 5 to 10 minutes time is required for data entry of each school. The state should, therefore, estimate the total time requirement and plan their work accordingly. While the data entry is being done by the various Data Entry Operators, it is necessary that the district level programmers should exercise control and undertake checks to ensure that the Data Entry Operators while entering data do not skip any portion of the DCF. For this purpose, the school data verifications form provided in the DISE reports module should be printed and verified against the actual formats submitted by the schools. This will ensure cross validation and high quality of data entry operations. It is suggested that the data should be entered

block by block so that a proper monitoring and checking is done. Moreover, facilities like data consistency and printing of data verification sheets are easier to handle at the Block level.

### **j) Analysis and Reporting**

After the data entry has been completed and all the inconsistencies detected during their entry phase are corrected, the preliminary reports should be generated and shared at the district and lower level. The main purpose of generating the reports at the district level is to facilitate the process of district planning and monitoring through various types of performance indicators. In order to meet specific queries, the users can obtain the results by using the query module. Query module also contains many types of predefined queries like the list of single teacher school or the list of schools without buildings. Similarly, the users can obtain queries on multiple conditions by appropriately forming the conditions using the query builder. The users can also obtain exceptional school listing by obtaining queries on selected indicators like schools with PTR greater than 150. This type of analysis will not only help in identifying the schools with specific problems but will also be useful to validate the actual school situations. After finalisation of data at the district level, the school summary reports should be shared with all schools.

After the data has been adequately scrutinized and shared at the district level, it should be sent to the state level EMIS centre where the data from all districts will be merged to obtain the state level analytical reports. Before sending the data to the state, please ensure the following:

- a) Data for all schools is obtained and there is no missing data
- b) There are no inconsistencies in data
- c) Data has been properly compiled and shared with users
- d) No data modification should be carried out after compilation. If it becomes necessary to modify data after compilation, it is strongly recommended that compilation should be done again.

Uncompiled data with inconsistencies would not be accepted by the state and would be returned to districts.

## Important Reference Dates

| Sr. No. | Description   | Suggested period                |
|---------|---|---------------------------------|
| 1.      | Data reference for data collection  | 30 <sup>th</sup> September      |
| 2.      | Finalization of DCF including the decision regarding supplementary variables and the additional variables | Early May                       |
| 3.      | Translation and its validation of (DCF and instructional manual)  | Early June                      |
| 4.      | Training and distribution of formats  | Mid July                        |
| 5.      | State level training for district staff   | July end                        |
| 6.      | District level training for block and cluster staff   | 1 <sup>st</sup> week of August  |
| 7.      | Training of Headmasters   | End August                      |
| 8.      | Data collection from schools  | September/October               |
| 9.      | Sample verification and validation at cluster/ block/ district level                                      | Till middle November            |
| 10.     | Computerization at the district level consistency checking and verification of sample data                | Till end December               |
| 11.     | Compilation, preliminary analysis and sharing at district level   | 1 <sup>st</sup> week of January |
| 12.     | Transmission of data to the state level   | Middle January                  |

## What is expected in the plan

- There should be a distinct chapter to discuss
  - (i) the detailed scope of MIS and
  - (ii) the role of functionaries at different stage. Infrastructure need, separately for the state and the district levels, should also be discussed.
- The process of implementation of MIS to collect institutional level information, i.e., school related data should be discussed in detail.
- The system of collecting project related data, component-wise, should be discussed in detail.



- Formation of resource team/s at the state and district levels alongwith the functionaries and functions should be discussed.
- The process of analysis, dissemination and utilisation of data and information collected in the process of MIS implementation should be discussed.
- The financial outlay to support the infrastructure and functions should be spelt out in the fund flow statement.

### **Manpower, software and hardware issues**

- *There is a separate chapter discussing the details of MIS and implementation of DISE in the states and districts covered under SSA?*
- *The chapter should provide adequate details of implementation strategies with a clear time schedule.*

Ideally, at the state level, depending upon the number of districts in the state, the following manpower would be required

- *One MIS coordinator/System Analyst*
- *Two Programmers*
- *Four Data Entry Operators*

*At the district level, the following manpower would be required*

*One MIS Officer/Programmer*

*Three Data Entry Operators*

*[Sufficient number of computers and provisions for software, including upgradation facilities and capacity building of human resources both at the state and district levels should find a place in the plan document.]*

- *Whether provisions for providing capacity building inputs and upgradation facilities have been made.*
- *Whether implementation of the systems viz. EMIS, PMIS, household survey, etc. have been planned.*
- *Whether programmes to impart trainings to the HTs and VECs to implement EMIS and household survey has been planned.*

- *Whether appropriate strategies to disseminate the information and integration with different levels of project implementation specifically for i) preparing the action plans in general and ii) AWP&B in particular have been incorporated.*
- *Whether the expenditure envisaged in implementation of MIS has been adequately reflected in the fund flow statement.*

## SECTION - IV (A)

**BUDGETING AND FINANCIAL MANAGEMENT**

1. The budget proposals under SSA are prepared in the form of Annual Work Plan and Budget (AWP&B), covering all the interventions specified in the SSA norms. Item-wise budgetary demands for one year are included in the Annual Work Plan.
2. The Annual Work Plan and Budget should be prepared in the format given below.

Annual Work Plan and Budget for the Year \_\_\_\_\_

| Item No. | Description Activities | Unit Cost | Physical Target | Period | Financial Outlay proposed (Rs. in lakhs) | Remarks |
|----------|------------------------|-----------|-----------------|--------|--|---------|
|          |                        |           |                 |        |  |         |

3. While preparing the Annual Work Plan and Budget, it should be ensured that the activities are covered under the SSA norms and a unit cost of each item is as per the financial norms, wherever applicable.
4. As far as possible, efforts should be made to prepare the Annual Work Plan in the order given in the SSA norms. No item of expenditure should be incurred without making a budget provision in the Annual Work Plan. Wherever, re-appropriation is necessary, it should be ensured that prior approval of the competent authority is obtained in terms of the relevant Financial Regulations.
5. Project financial management is a process which brings together planning, budgeting, accounting, financial reporting, internal control, auditing,

procurement and the physical performance of the project with the aim of managing project resources properly and achieving the objectives of the project. Sound financial management is a critical ingredient of project success. Timely and relevant financial information provides a basis for better decisions, thus speeding the physical progress of the project and the availability of funds, and reducing delays and bottlenecks.

6. SSA framework envisages major financial norms under various interventions. A basic understanding of these norms is necessary for effectively carrying out the appraisal functions. The points to be observed by the Appraisal Mission are highlighted against each norms.

### NORMS FOR INTERVENTIONS UNDER SSA

| Norm No. | Intervention | Norm  | Points to be observed  |
|----------|--------------|---|--|
| 1.       | Teacher      | <ul style="list-style-type: none"> <li>• <b>One teacher for every 40 children</b> in Primary and upper primary</li> <li>• <b>At least two teachers in a primary school</b></li> <li>• <b>One teacher for every class in the Upper Primary.</b></li> </ul> | <ul style="list-style-type: none"> <li>• SSA is an additionality to States / UT over and above the expenditure already being incurred at the 1999-2000 level.</li> <li>• The salary of additional teachers will be allowed only in case the PTR is above 1:40. It must be ensured that the PTR is calculated based on the enrolment of students and sanctioned strength of teachers in each district.</li> <li>• The plan should contain details of students enrolment, total requirement of teachers, sanctioned strength of teachers, additional requirement of teachers and PTR.</li> <li>• States have their own norms for recruitment of teachers and a lot diversity exists in payments being made to new recruits. The States will be free to follow their own</li> </ul> |

| Norm No. | Intervention                                    | Norm  | Points to be observed   |
|----------|---|---|---|
|          |   |   | <p>norms as long as these are consistent with the norms established by NCTE.</p> <ul style="list-style-type: none"> <li>• In some states there are single teacher schools with less than 40 students which need to be provided with two teachers as per SSA norms and in such cases the PTR of 1: 40 will not apply. In such cases the school wise data of existing teachers and additional teachers required should be furnished in the plan.</li> <li>• The practice of at least 50% women teachers will be strictly followed.</li> <li>• Assistance will not be available for filling up existing vacancies that have arisen on account of attrition.</li> </ul> |
| 2.       | School/<br>Alternative<br>schooling<br>facility | <ul style="list-style-type: none"> <li>• Within one kilometer of every habitation.</li> <li>• Provision for opening of new schools as per State norms or for setting up EGS like schools in unserved habitations</li> </ul> | <ul style="list-style-type: none"> <li>• New primary schools would be opened only in those areas which do not have any school within one km and had a population of 300. EGS centres at primary level would be opened in unserved habitations where no school exists within a radius of 1 km and at least 15 children in the age group of 6-14 who are not going to schools are available. In exceptional cases e.g. remote areas, EGS schools could be supported even for 10 children within the overall cost norms of the scheme.</li> </ul>  |

| Norm No. | Intervention                   | Norm  | Points to be observed  |
|----------|--------------------------------|---|--|
| 3.       | Upper Primary schools / Sector | « As per requirement based on the number of children completing primary education, up to a ceiling of one upper primary school / section for every two primary schools.   | <ul style="list-style-type: none"> <li>• Number of primary graduates as well as number of primary schools should be considered together for the opening of new upper primary schools. This data should be provided in the plan.</li> </ul>   |
| 4.       | Classroom                      | <ul style="list-style-type: none"> <li>• A room for every teacher or for every grade / class, whichever is lower in Primary and upper Primary, with the provision that there would be two classrooms with verandah to every primary school with at least two teachers.</li> <li>• A room for Head-Master in upper Primary school / section.</li> </ul>  | <ul style="list-style-type: none"> <li>• The data on the number of teachers and existing classrooms should be furnished in the plan for the requirement of additional classrooms.</li> <li>• The requirement for a room for headmaster in upper primary level should be supported by data on existing number of classrooms and the number of teachers. The Headmaster will also be taken as a teacher for the purpose of computing the requirement of additional classrooms. The number of classrooms should be computed with reference to the number of teachers including the Headmaster.</li> </ul> |
| 5.       | Free textbooks                 | <ul style="list-style-type: none"> <li>• To all girls / SC / ST children at primary &amp; upper primary level within an upper ceiling of Rs. 150/- per child.</li> <li>• State to continue to fund free textbooks being currently provided from the State Plans.</li> <li>• In case any state is partially subsidizing the cost of text books being supplied to children in Elementary Classes, then the assistance under SSA would be restricted to that portion of the cost of the books which is being borne by the children.</li> </ul> | <ul style="list-style-type: none"> <li>• The upper ceiling of Rs. 150/- per child for textbooks is only an indicative limit. The actual cost of textbooks vary from class to class. During Appraisal, it should be ensured that the estimate is based on the actual cost of textbooks for each class.</li> <li>• It should also be ensured that the state is not providing free textbooks to any class of children. In such cases, the free textbooks under SSA should not be provided to such children.</li> </ul>  |

| Norm No. | Intervention                               | Norm  | Points to be observed   |
|----------|--|---|---|
| 6.       | Civil Works                                | <ul style="list-style-type: none"> <li>• Programme funds on Civil Works shall not exceed the ceiling of 33% of the entire project cost approved by the PAB on the basis of perspective plan prepared for the period till 2010.</li> <li>• However, in a particular year's annual plan provision for civil works can be considered upto 40% of Annual Plan expenditure, depending on the priority assigned to various components of on the programmes in that year, within the overall project ceiling of 33%.</li> <li>• This ceiling of 33% would not include expenditure on maintenance and repair of buildings.</li> <li>• For improvement of school facilities, BRC/ CRC construction.</li> <li>• CRCs could also be used as an additional room.</li> <li>• No expenditure to be incurred on construction of office building.</li> <li>• <b>Districts to prepare infrastructure Plans.</b></li> </ul> | <ul style="list-style-type: none"> <li>• The ceiling of 33% is on the entire project cost based on the approved perspective plan and front loading of expenditure in the initial years of implementation is permissible to the extent of 40% of Annual Plan expenditure.</li> <li>• The requirement of construction of civil works should be supported by data on existing infrastructure and additional requirement.</li> <li>• The construction of civil works would be allowed for Government owned school buildings and in no case it should be allowed to Government aided schools.</li> </ul> |
| 7.       | Maintenance and repair of school buildings | <ul style="list-style-type: none"> <li>• Only through school management committees / VECs</li> <li>• Upto Rs 5000 per year as per specific proposal by the school committee</li> <li>• Must involve elements of community contribution.</li> </ul>  | <ul style="list-style-type: none"> <li>• Specific proposal by the school committee and community contribution should be ensured.</li> <li>• There is no distinction between major or minor repairs. All repairs and maintenance should be carried out within Rs. 5000/- per year</li> </ul>   |

| Norm No. | Intervention   | Norm   | Points to be observed  |
|----------|--|--|--|
|          |  | <ul style="list-style-type: none"> <li>• Expenditure on maintenance and repair of building would not be included for calculating the 33% limit for civil works.</li> <li>• Grants will be available only for those schools which have existing buildings of their own.</li> </ul>  | <ul style="list-style-type: none"> <li>• Not applicable to Government aided schools or other private schools</li> <li>• Data on No of existing Govt. schools and the schools requiring maintenance and repairs should support the plan.</li> </ul>   |
| 8.       | Upgradation of EGS to regular school or setting up of a new Primary school as per State norm | <ul style="list-style-type: none"> <li>• Provision for TLE @ Rs10,000/- per school.</li> <li>• TLE as per local context and need</li> <li>• Involvement of teachers and parents necessary in TLE selection and procurement</li> <li>• VEC / school-village level appropriate body to decide on best mode of procurement</li> <li>• Requirement of successful running of EGS center for two years before it is considered for upgradation</li> <li>• Provision for teacher &amp; classrooms.</li> </ul> | <ul style="list-style-type: none"> <li>• It should be ensured that upgradation of EGS to regular schools is on the basis of successful running of EGS centres for two years.</li> <li>• In case the TLE is for the setting up of new primary schools, it should be ensured that new primary schools have been opened under SSA as per state norm.</li> </ul> |
| 9.       | TLE for upper-primary  | <ul style="list-style-type: none"> <li>• @ Rs.50,000 per school for uncovered schools</li> <li>• As per local specific requirement to be determined by the teachers / school committee</li> </ul>  | <ul style="list-style-type: none"> <li>• It should be ensured that upper primary schools included in the plan for TLE have not been covered any time under Operation Black Board scheme and this fact should be clearly given in the write up of the plan.</li> </ul>  |



| Norm No. | Intervention     | Norm   | Points to be observed  |
|----------|------------------|--|--|
|          |                  | <ul style="list-style-type: none"> <li>• School committee to decide on best mode of procurement, in consultation with teachers</li> <li>• School Committee may recommend district level procurement if there are advantages of scale.</li> </ul>                           |  |
| 10.      | Schools grant    | <ul style="list-style-type: none"> <li>• Rs.2000/- per year per primary/upper primary school for replacement of non-functional school equipment</li> <li>• Transparency in utilization</li> <li>• To be spent only by VEC/SMC</li> </ul>                                   | <ul style="list-style-type: none"> <li>• Provision for book bank and school libraries is not covered under SSA norms.</li> <li>• School grant is applicable for both Government and Government aided schools.</li> <li>• Data on number of existing primary and upper primary schools should support the plan.</li> </ul>                      |
| 11.      | Teacher grant    | <ul style="list-style-type: none"> <li>• Rs.500 per teacher per year in primary and upper primary</li> <li>• Transparency in utilisation</li> </ul>  | <ul style="list-style-type: none"> <li>• Teacher grant is applicable for teachers actually in position in both Government and Government aided schools.</li> <li>• Data on number of teachers actually in position should be given in the plan.</li> </ul>   |
| 12.      | Teacher training | <ul style="list-style-type: none"> <li>• Provision of 20 days In-service course for all teachers each year</li> <li>• 60 days refresher course for untrained teachers already employed as teachers</li> <li>• 30 days orientation for freshly trained recruits.</li> </ul> | <ul style="list-style-type: none"> <li>• It should be ensured that the unit cost of Rs. 70/- per day per teacher and the number of days for each training are strictly adhered to in the plan.</li> <li>• In case, it is not possible to conduct the training for the maximum number of days given in the norm, the duration of the</li> </ul> |

| Norm No. | Intervention  | Norm  | Points to be observed  |
|----------|---|---|--|
|          |   | <ul style="list-style-type: none"> <li>• Unit cost @ Rs.70/- per day</li> <li>• Unit cost is indicative and would be lower in non-residential training programmes</li> <li>• Includes all training cost.</li> <li>• Assessment of capacities for effective training during appraisal will determine extent of coverage</li> <li>• Support for SCERT/DIET under existing Teacher Education Scheme</li> </ul> | <ul style="list-style-type: none"> <li>training period can be reduced to the extent possible.</li> <li>• The data on the number of existing teachers should support the plan.</li> <li>• Teachers actually in position in both Government and Government aided schools shall be given training.</li> <li>• No separate plan for SCERT/DIET will be prepared but the expenditure included in Teacher Education Scheme.</li> </ul> |
| 13.      | State Institute of Educational Management and Training (SIEMAT) | <ul style="list-style-type: none"> <li>• One time assistance of Rs. 3 crore</li> <li>• States have to agree to sustain</li> <li>• Selection criteria for faculty to be rigorous</li> </ul>  | <ul style="list-style-type: none"> <li>• It should be ensured that the state has agreed to open SIEMAT on sustainability angle.</li> <li>• The ceiling of Rs.3 crore is a one time assistance including civil works construction.</li> <li>• The plan should specify the method of procurement procedure being followed for the construction of civil works.</li> </ul>  |
| 14.      | Training of community leaders                                   | <ul style="list-style-type: none"> <li>• For a maximum of 8 persons in a village for 2 days in a year – preferably women</li> <li>• Unit cost @ Rs. 30 per day</li> </ul>   | <ul style="list-style-type: none"> <li>• It should be ensured that the number of persons in a village, duration of the training and unit cost should not exceed the ceiling prescribed in the norms.</li> <li>• The physical target of community leaders proposed for training should be indicated in the plan.</li> </ul>   |

| Norm No. | Intervention                    | Norm  | Points to be observed   |
|----------|---------------------------------|---|---|
| 15.      | Provision for disabled children | <ul style="list-style-type: none"> <li>• Upto Rs.1200/- per child for integration of disabled children, as per specific proposal, per year</li> <li>• District Plan for children with special needs will be formulated within the Rs.1200 per child norm</li> <li>• Involvement of resource institutions to be encouraged.</li> </ul> | <ul style="list-style-type: none"> <li>• Identification of children with a special needs should become integral part of the micro-planning and house hold survey.</li> <li>• As far as possible, every child with special needs should be placed in regular schools, with needed support service.</li> <li>• All children requiring assistive devices should be provided with aids and appliances obtained as far as possible through convergence with the Ministry of Social Justice and Empowerment, State Welfare Department, National Institutions or NGOs.</li> <li>• The data on the number of disabled children identified should support the plan.</li> <li>• All activities pertaining to IED i.e, early detection of children with special needs, identification of children with special needs, functional and formal assessment, educational placement, aids and appliances and support services like physical access, special equipment, reading material, special educational techniques, remedial teaching, curricular adaptation or adapted teaching strategies, training to teachers etc should be covered within the ceiling of Rs. 1200/- per child per year.</li> <li>• Financial assistance to disabled children is not covered under the norm.</li> <li>• Engagement of expert for IED is covered under the management cost.</li> </ul> |

| Norm No. | Intervention                                     | Norm   | Points to be observed  |
|----------|--|--|--|
| 16.      | Research, Evaluation, supervision and monitoring | <ul style="list-style-type: none"> <li>• Upto Rs.1500 per school per year</li> <li>• Partnership with research and resource institutions, pool of resource teams with State specific focus</li> <li>• <b>Priority to development of capacities for appraisal and supervision through resource / research institutions and on an effective EMIS</b></li> <li>• <b>Provision for regular school mapping / micro planning for up dating of household data</b></li> <li>• <b>By creating pool of resource persons, providing travel grant and honorarium for monitoring, generation of community-based data, research studies, cost of assessment and appraisal terms &amp; their field activities, classroom observation by resource persons</b></li> <li>• Funds to be spent at national, state, district, sub-district, school level out of the overall per school allocation</li> <li>• <b>Rs.100 per school per year to be spent at national level</b></li> </ul> | <ul style="list-style-type: none"> <li>• Out of Rs. 1500/- per school per year, Rs. 100/- and Rs. 1400/- per school per year will be spent at national level and state level respectively. The State will decide on the division of resources at various levels from the State to the school from its share of Rs. 1400/- per school.</li> <li>• Data on existing number of schools should support the plan.</li> <li>• Both Government and Government aided schools are eligible.</li> <li>• The funds will be used for carrying out the following activities: - <ol style="list-style-type: none"> <li>1. Creating a pool of resource persons at national, state, district, sub district level for effective-field based monitoring.</li> <li>2. Providing travel grant and a very modest honorarium (as per state specific norm) to resource persons for monitoring.</li> <li>3. Providing regular generation of community based data.</li> <li>4. Conducting achievement tests, evaluation studies.</li> <li>5. Undertaking research activities.</li> <li>6. Setting up special task force for low female literacy districts and for special monitoring of girls, SCs, STs.</li> <li>7. Incurring expenditure on Education Management Information System.</li> </ol> </li> </ul> |

| Norm No. | Intervention | Norm  | Points to be observed   |
|----------|--------------|---|---|
|          |              | <ul style="list-style-type: none"> <li>• <b>Expenditure at State /district /BRC/CRC/ School level to be decided by State/UT. This would include expenditure on appraisal, supervision, MIS, classroom observation, etc. Support to SCERT over and above the provision under the Teacher Education scheme may also be provided.</b></li> <li>• Involvement of resource institutions willing to undertake state specific responsibilities.</li> </ul> | <ul style="list-style-type: none"> <li>8. Undertaking contingent expenditure like charts, posters, sketch pen, OHP pens etc. for visual monitoring systems.</li> <li>9. Assessment and appraisal teams and their field activities.</li> <li>10. Analysing data at sub district/ district/ state and national level.</li> <li>• In addition to the activities specified in the norm, MIS activities of EMIS, DISE, cohort study, child tracking etc shall also be included in this intervention.</li> <li>• In order to improve transparency of programme interventions and to encourage a more open assessment of achievements, research, evaluation and monitoring in SSA may be done in partnership with institutions / NGOs.</li> <li>• The system of financial monitoring would also be important in developing demystified community based approaches that allow for social audit. All financial monitoring has to work within a system of social monitoring with full transparency. Joint training programmes for auditors, community leaders, teachers etc. to understand and appreciate the context of universal elementary education would be made.</li> </ul> |

| Norm No. | Intervention    | Norm   | Points to be observed   |
|----------|-----------------|--|---|
| 17.      | Management Cost | <ul style="list-style-type: none"> <li>• Not to exceed 6% of the budget of a district plan</li> <li>• To include expenditure on office expenses, hiring of experts at various levels after assessment of existing manpower, POL, etc.</li> <li>• Priority to experts in MIS, community planning processes, civil works, gender, etc. depending on capacity available in a particular district.</li> <li>• Management costs should be used to develop effective teams at State/ District / Block / Cluster levels.</li> <li>• Identification of personnel for BRC/CRC should be a priority in the pre-project phase itself so that a team is available for the intensive process based planning.</li> </ul> | <ul style="list-style-type: none"> <li>• The ceiling of 6% is on annual basis and front loading of expenditure in the initial years of implementation is not permissible.</li> <li>• Sustainability of such costs has to be taken into account at the time of incurring the expenditure.</li> <li>• The management cost includes expenditure on data collection and EMIS operationalisation and maintenance; office expenses including the salary of supportive staff engaged on contract basis, hiring of experts under various interventions, provision of equipment including computer and its accessories for SPO, DPO and MIS, stationary, telephone, fax, photocopiers, consumables, POL, postage, vehicle hiring, TA/DA of functionaries, recurring contingent and miscellaneous costs.</li> <li>• For specific tasks, experts may be hired for a given time frame, to provide support to the mainstream educational management structure in the areas like MIS, Pedagogy, Teacher Training, Research and Evaluation, Community Mobilisation, Gender, Sensitisation, Civil Works, Alternative schooling etc.</li> <li>• Before hiring experts, it will be mandatory for districts / states to assess the existing strength.</li> </ul> |

| Norm No. | Intervention   | Norm   | Points to be observed  |
|----------|--|--|--|
|          |  |  | <ul style="list-style-type: none"> <li>• As a policy vehicles should be hired as per need unless such a practice is not feasible in any particular area. Even in case purchase of vehicles is permitted, no new post of driver should be created. Such purchase of vehicles would only be as substitution of condemned vehicles. In any case, prior permission of National Mission will be mandatory for any decision regarding purchase of vehicles.</li> </ul>   |
| 18.      | <p>Innovative activity for girls' education, early childhood care &amp; education, interventions for children belonging to SC/ST community, computer education specially for upper primary level</p> | <ul style="list-style-type: none"> <li>• Upto Rs. 15 lakh for each innovative project and Rs.50 lakh for a district per year will apply for SSA</li> <li>• ECCE and girls education interventions to have unit costs already approved under other existing schemes.</li> </ul> | <ul style="list-style-type: none"> <li>• Innovative activity for girls education, ECC education interventions for children belonging to SC/ST community and Computer education for upper primary level including training of students as well as teachers should be covered under the innovative grant of Rs. 50 lakhs per year for a district.</li> <li>• The innovative programmes for girls' education and education of SC/ST children can include: - <ul style="list-style-type: none"> <li>- Enrolment and retention drives.</li> <li>- Special camps and bridge courses.</li> <li>- Setting up special models of Alternative schools.</li> <li>- Strengthening of madarasas and maktabas for formal education to girls.</li> <li>- Community mobilisation including setting up new working groups and working with existing working groups.</li> <li>- Monitoring attendance.</li> </ul> </li> </ul> |

| Norm No. | Intervention | Norm | Points to be observed   |
|----------|--------------|------|---|
|          |              |      | <ul style="list-style-type: none"> <li>- Remedial / coaching classes.</li> <li>- Providing a congenial learning environment inside and outside the school.</li> <li>• The innovative programme for ECCE should take into account the facilities already created under the ICDS. The DEEP has to list the facility already created under the ICDS. The supplementary support for ECCE will always be in conjunction with the ICDS. Specific support to ECCE may be made available to existing ICDS centres from funds available under the head for innovative activity. Provision for honoraria for pre-school teacher, training of Aanganwadi Sevikas for pre-school learning, activity materials, play items etc., could be provided as support for ECCE.</li> <li>• The innovative programme for computer education for upper primary level should include expenditure on provision of computers and its accessories in upper primary schools, training to teachers in computer education, computer stationery etc.</li> <li>• Each innovative programmes should not exceed Rs. 15 lakhs. All these activities should come under the heading of innovative activity.</li> <li>• It should be ensured that the ceiling prescribed in the norms is strictly adhered to.</li> <li>• Details of the innovative programmes should be clearly spelt out in the plan.</li> </ul> |



| Norm No. | Intervention                                      | Norm   | Points to be observed   |
|----------|---|--|---|
| 19.      | Block Resource Centres / Cluster Resource Centres | <ul style="list-style-type: none"> <li>• There would be ordinarily one BRC in each Community Development (CD) Block. However, in states where the sub-district educational administrative structure like educational blocks or circles have jurisdictions which are not co-terminus with the CD blocks, then the state may opt to have a BRC in such a sub-district educational administrative unit. However, in such a case the overall expenditure on BRCs and CRCs in a CD block, both non-recurring and recurring, would not be more than the overall expenditure that would have been incurred on BRCs and CRCs in case if only one BRC per CD block were opened.</li> <li>• BRC/CRC to be located in school campus as far as possible</li> <li>• Rs. 6 lakh ceiling for BRC building construction wherever required</li> <li>• Rs.2 lakh for CRC construction wherever required – should be used as an additional classroom in schools.</li> </ul> | <ul style="list-style-type: none"> <li>• It should be ensured that the total cost of construction of BRC and CRC in any district should not exceed 5% of the overall projected expenditure under the programme in any year.</li> <li>• The ceiling prescribed for furniture etc. and contingency grants for BRCs and CRCs should not exceed in the plan.</li> <li>• The expenditure on equipment, computer, library books etc for BRC/CRC should be met from the furniture grant and no separate provision for this purpose is covered under the norms.</li> <li>• Blocks having more than 100 schools would be provided with 3 teachers per BRC and 17 teachers in CRCs, while blocks having less than 100 schools would have 2 teachers per BRC and 8 teachers in CRCs.</li> <li>• The posts of Resource persons in BRCs/CRCs would be filled up by transferring senior teachers to these centres from the schools where they are serving. The resultant vacancies in these schools would be filled up by trained primary teachers or para teachers to fill up the vacancies, subject to the state policy on this and NCTE guidelines.</li> <li>• The minimum salary applicable to a primary teacher or para teacher would be provided from SSA.</li> </ul> |

| Norm No. | Intervention | Norm   | Points to be observed   |
|----------|--------------|--|---|
|          |              | <ul style="list-style-type: none"> <li>• Total cost of non-school (BRC and CRC) construction in any district should not exceed 5% of the overall projected expenditure under the programme in any year.</li> <li>• Deployment of up to 20 teacher in a block with more than 100 schools; 10 teachers in smaller Blocks in BRCs/CRCs.</li> <li>• Provision of furniture, etc. @ Rs.1 lakh for a BRC and Rs.10,000 for a CRC</li> <li>• Contingency grant of Rs.12500 for BRC and Rs.2500 for a CRC, per year.</li> <li>• Meetings, Travel Allowance: Rs. 500/- per month for BRC, Rs. 200/- per CRC.</li> <li>• TLM Grant : Rs. 5000/- per year for BRC, Rs. 1000/- per year per CRC.</li> <li>• Identification of BRC/ CRC personnel after intensive selection process in the preparatory phase itself.</li> </ul> | <ul style="list-style-type: none"> <li>• No leave salary or pension contribution of resource persons deployed in BRCs/CRCs would be permissible.</li> </ul> |

| Norm No. | Intervention                             | Norm   | Points to be observed  |
|----------|--|--|--|
| 20.      | Interventions for out of school children | <ul style="list-style-type: none"> <li>• There would be ordinarily one BRC in each Community Development (CD) Block. However, in states where the sub-district educational administrative structure like educational blocks or circles have jurisdictions which are not co-terminus with the CD blocks, then the state may opt to have a BRC in such a sub-district educational administrative unit. However, in such a case the overall expenditure on BRCs and CRCs in a CD block, both non-recurring and recurring, would not be more than the overall expenditure that would have been incurred on BRCs and CRCs in case if only one BRC per CD block were opened.</li> <li>• BRC/CRC to be located in school campus as far as possible</li> <li>• Rs. 6 lakh ceiling for BRC building construction wherever required</li> <li>• Rs.2 lakh for CRC construction wherever required – should be used as an additional classroom in schools.</li> </ul> | <ul style="list-style-type: none"> <li>• Separate budget for EGS/AIE scheme would be prepared during the IX plan period. Thereafter, the outlays for this intervention would be included in the SSA plans.</li> <li>• EGS / AIE scheme makes provision for diversified strategies and has flexibility of the financial parameters.</li> <li>• It has provided a rang of options, such as EGS, Back to School Ccamps, Balika Shivirs which have four broad focus areas. <ul style="list-style-type: none"> <li>(i) Full time community schools for small unserved habitations.</li> <li>(ii) Mainstreaming of children through bridge courses of different duration.</li> <li>(iii) Specific strategies for special groups like child labour, street children, adolescent girls, girls belonging to certain backward communities, children of migrating families etc,</li> <li>(iv) Innovative Programmes – the innovations can be in the areas of pedagogic practces, curriculum, programme management, textbooks and TLMs, etc</li> </ul> </li> <li>• As per the norms prescribed for EGS / AIE centre, cost of individual centre would depend on the number of learners enrolled. However, over al cost for district as a whole would have to be maintained within Rs. 845/- per annum for primary level centres and Rs. 1200,- per child for upper primary level</li> </ul> |

| Norm No. | Intervention   | Norm   | Points to be observed   |
|----------|--|--|---|
|          |  |  | <p>centres.</p> <ul style="list-style-type: none"> <li>• Where number of children exceeds 40 in a primary level centre an additional teacher can be provided.</li> <li>• No rent for running of EGS / AIE centres would be allowed. The community / VEC / Panchayat should provide the space for the centre,</li> <li>• Under the EGS / AIE scheme it has been decided to fund NGOs through SIS.</li> <li>• It will be possible to record the contribution of NGO projects in DEEP which will facilitate transparency of NGO activities also. Substantial partnership of NGO is conceived through community organisation like VEC, PTA, MTA, SMCs etc.</li> </ul> |
| 21.      | Preparatory activities for micro-planning, household surveys, studies, community mobilization, school-based activities, office equipment, training and orientation at all levels, etc. | <ul style="list-style-type: none"> <li>• As per specific proposal of a district, duly recommended by the State. Urban areas, within a district or metropolitan cities may be treated as a separate unit for planning as required.</li> </ul> | <ul style="list-style-type: none"> <li>• Preparatory activity upto Rs. 50 lakhs based on the actual requirement is covered under Para 2.1 of the framework.</li> <li>• School based activities upto Rs. 1000 to a school, which include Balmelas, Jethas, Sports, Maa-Beti sammelans etc.</li> <li>• Cultural activities for mobilisation for SSA, sports and festivals, formation of VEC / school management committees, household surveys and preparation of habitation plans upto Rs. 3 per household.</li> <li>• The activities mentioned in this norm are strictly pre-project activities which shall not be included in the AWP &amp; B.</li> </ul>         |

7. It should be ensured that provision made for activities is covered under the norms. Each activity is to be examined critically with reference to the norms and the items not covered under the norms should not be allowed.
8. SSA norms encourage hiring of vehicles rather than purchase of new vehicles. Purchase of new vehicles should be made against the substitution of condemned vehicles and prior permission of the National Mission is mandatory. However, no new post of driver should be created. Provision of two-wheelers is also not specifically covered under the norms. This may be considered against the ceiling of four-wheelers.
9. Award of any type i.e. best VEC, best shiksha mitra, best teacher, best school, best BRC / CRC etc. is not specifically covered under the norms.
10. Provision of Book Bank, school library, note books, uniform, mid-day meal, supplementary reading material for primary and upper primary schools is not specifically covered under the norms.
11. No specific guidelines have been provided regarding the spill over activities as yet. However, the practice of providing information on DPEP pattern in this regard seems to be important. Therefore it should be ensured that the district/state plans provide requisite information regarding spill over activities both in terms of achievement of physical targets and expenditure incurred.

## SECTION - IV (B)

# ACCOUNTING AND AUDITING

1. Proper maintenance of books of accounts at all levels, generation of financial progress reports, utilisation certificates, financial and social audit of interventions, transparency about findings, systems of continuance improvement will have to be developed to sustain effective programme implementation. Complete accounts in respect of the financial transactions of the state implementing society as well as subordinate offices should be maintained in the same manner as required in a state government office. The following registers / documents shall be maintained: -

- Cash Book
- Ledger
- Journal
- Register of temporary advances
- Register of money orders and bank draft received
- Register of cheque books and receipts books
- Cheque issue register
- Register of remittances made into the Bank
- Bank Pass Book
- Register of money orders, postal orders & Bank drafts despatched
- Bill Register
- Establishment Register
- Stock Register
- Fixed Assets Register

- Register of Works
  - Register of grants to mobilising agencies / NGOs / Voluntary Agencies
  - Register of Investments
  - Classification accounts of the Project
  - Monthly accounts of Receipt and Payments.
2. The monthly expenditure statement indicating the intervention wise and district wise and also state component should be submitted to the EE Bureau by 15<sup>th</sup> of following month.
  3. The accounts of the society shall be got audited by a Chartered Accountant appointed for the purpose in accordance with the provisions of the Societies Registration Act applicable to the State. It should be ensured that the audit of the accounts of the society is completed by a Chartered Accountant and his report made available to the National Mission by 30<sup>th</sup> September every year.
  4. The accounts of the society shall also be audited by the Comptroller and Auditor General of India or his representatives under the provisions of Comptroller and Auditor General (Duties, Powers and Conditions of Service) Act, 1971 as amended from time to time.
  5. It should be ensured that proper internal audit and internal control system has been established / strengthened for periodic scrutiny and review of the expenditures incurred so that the same are in conformity with the approved financial parameters and immediate action has been taken to rectify the irregularities, if any, found in the internal audit to avoid any possible audit observations.

## SECTION - V

# REPORT GENERATION

The purpose of report generation after the appraisal has the express purpose of providing answers to the questions raised in the Terms of Reference (TOR). It is the culmination of the various activities related to the development of the state perspective/district plans and the appraisal of the same by the respective appraisal teams in different states/district. The reports have to contain the required information, comments, recommendations and agreements in an appropriate structure. Stylistic and language uniformity also need to be maintained. It is also desirable that uniformity in style, terminology and language be maintained not only in individual states but in reports written for different states as well. The aim however is comparability and not a blind adherence to a rigid structure.

At the very outset, the report should contain a chapter on the State and District background in terms of the educational profile and the geographic features with tables as and when it is felt to be necessary. There should be a detailed write-up or chapter on the planning process undertaken at the district/state level. This is extremely important in view of the fact that the SSA advocates decentralized participatory planning. This should include details about the pre-project activities and other activities undertaken so far in the area of education and the procedures followed for the same. The report should also mention the problems faced by the districts in the planning process and provide for remedial measures, if any, for the districts/states to follow. Separate write-ups should be provided on access, enrolment, retention, quality of elementary education, capacity building and infrastructural facilities available in the state/district for providing education at the elementary level.



An important component of the report should be the inclusion of the comments of the appraisal teams on the 'Management Structures' and 'Management information Systems' (MIS) proposals of the district plans. The viability of structures and MIS should be viewed in the light of the Sarva Shiksha Abhiyaan programme and comments of the appraisal team included in the report. Similarly, the report should have write-ups (as appraised by the appraisal team) on special focus groups, EGS, AIE, civil works, issues relating to costing and financing of different aspects mentioned in the plans, their justification along with benefits and losses, if any. Detailed discussion on quality aspects like curriculum transaction, teacher training and pedagogical issues need to be provided.

### **Style**

There should be a uniform, clear and concise style to be followed while preparing the report. Ambiguous terms and circumlocutous sentences should be avoided. There should be;

- Standardization of nomenclature so that the terms used convey the same meaning.
- There should be consistency in spellings, detailing and style
- All descriptions and tables should be precise and self illustrative.
- Technical abbreviations that are specific to a particular area should be avoided. A glossary for the abbreviations used should be provided.

### **Structure**

The report should follow a defined structural pattern. Individual sections should be provided on each component specified under the SSA. Sources of data used should be mentioned. Annexures can be provided for additional information and tables. The recommendations should be clear, specific and unambiguous.

### **Language and Tone**

The language should be simple and clear and the tone friendly and recommendatory. Under no circumstances should the report appear to be

sermonizing or admonitory. Recommendations should be framed in a positive manner. The appraiser should not sound like an inspector or a supervisor. In the final report, the language should be in consonance with that of the plan. Agreements on time bound proposals of the plan should be mentioned. Specific interventions recommended could be provided in a tabular form, under component heads.

**A suggestive structure of the report could be as follows:**

Executive Summary followed by

Introduction and Acknowledgement

1. State and District Profile including Educational Scenario
2. Planning Processes
3. Component-wise Report (Issues and Strategies)
4. a) Access and Retention
  - Formal schools (Primary and Upper Primary)
  - EGS/AIE
- b) Quality Improvement
- c) Special Focus Groups
  - Gender
  - Children with Special Educational Needs
  - Scheduled Caste and Scheduled Tribe Children
  - Urban Deprived Children
  - Any other specific groups
- d) Research and Evaluation and MIS
- e) Management Structure and Institutional Capacity Building
- f) Civil Work

5. Budgeting and Financial Management
6. Recommendations
7. Annexures:
  - a) Field Visit Report
  - b) Itinerary of Appraisal Team
  - c) Institutional Visit Report

**Note:** The above structure is **suggestive and not mandatory**.The Appraisal Team may restructure it according to needs.

## APPENDIX - I

### Suggestive Method of Calculation of GER, NER, Retention Rate and Projection

#### a) Gross and Net enrolment ratios

The enrolment ratio for primary education (grade 1-5) gives the coverage of children by that level. Two types of enrolment ratios, Gross Enrolment Ratio (GER) and Net Enrolment Ratio (NER) are calculated for any level.

$$\text{GER} = \frac{\text{Total Enrolment in grades I-V in year T}}{\text{Total population of age 6-11 in year T}} \times 100$$

It is quite clear for the above formula that the gross enrolment ratio relates to the percentage of total enrolment irrespective of the age, in primary education to the population which is supposed to be in primary schools. Since in the numerator age has not been taken into consideration the children whose age is below 6 years or above 11 years are also included and that is why sometimes the GER exceeds 100 percent.

For primary level of education (i.e. grades I-V)

$$\text{NER} = \frac{\text{Total enrolment in grades I-V aged 6-11 in year T}}{\text{Total population the age 6-11 in year T}} \times 100$$

Net enrolment ratio is more appropriate as it relates only those children who are within the official school age range to the school age population. Since the correction of age has made in the numerator the NER can never exceed 100 percent. This is the reason that the NER is considered as the refined version of GER and for the planning purpose it is always advisable to use the NER rather than GER.

The Grade wide enrolment ratio gives the idea of coverage of children in a specific grade. The grade wide enrolment ratio can be calculated by the following formula:

$$\frac{\text{Enrolment ratio for grade II may be} \\ \text{Enrolment in grade II in the year T}}{\text{Population of age 7 in the year T}} \times 100$$

Here in the denominator age 7 is taken because officially this the relevant age for the children studying in grade II.

The grade wise enrolment ratio can also be both gross as well as net and the formula mentioned above actually gives grade wise gross enrolment ratio as in the numerator enrolment of the grade II is taken irrespective of the age of children and there may be a few children whose age may be either below 7 years or above that and in that case the grade wise enrolment ratio may exceed 100 percent. Therefore, the net grade II enrolment ratio can be calculated by the following formula:

$$\frac{\text{Enrolment in grade II of children aged 7 in year T}}{\text{Population of age 7 in the year T}} \times 100$$

The age specific enrolment ratio is independent of the grade of education and it relates to only the students of a given age, irrespective of grades in which they are enrolled. The age specific enrolment can be used to determine the number of out-of-school children and it can be calculated for either single year of age or for the various age groups. It can be calculated by the following formula:

Age specific enrolment ratio for age 'n'

$$\frac{\text{Number of enrolled children aged 'n' in year T}}{\text{Population of age 'n' in the year T}} \times 100$$

Planning team usually finds estimation of grossness, i.e., the percentage of over and under age children in total enrolment quite difficult. No data are available for overage and underage children. What is generally suggested to them is estimation of grossness on the basis of a small sample survey in some representative areas. Few schools can be selected where the percentage of under and over age children can be ascertained through a survey. On the basis of the percentage of children outside the relevant cohort can be estimated.

### b) Estimation of retention or drop-out rates

To achieve universal primary education it is necessary that children are retained in the schools to complete grade 5. However, it is a common knowledge that substantial percentage of children drop out of the system without completing it. Grade specific drop out rate, i.e. percentage of students who leave the system without completing the grade to the total number of students originally enrolled in the grade can be calculated by the following formula:

Drop-out rate for the grade g in the year t

$$\frac{\text{No. of students dropping out in the grade g in the year t}}{\text{Total no. of students enrolled in the grade g in the year t}} \times 100$$

Retention rate can be worked out by subtracting dropout rate from 100. However, what one generally comes across is the retention or dropout rate for the entire primary level calculated with the help of following formula:

$$\text{Retention rate (\%)} = \frac{\text{Grade V enrolment in year y}}{\text{Grade I enrolment in year y-4}} \times 100$$

Dropout Rate at primary level = 100 – retention rate

Though this is a rather crude method and the rates would not be accurate, in the absence of grade-wise dropout, this at least gives some indication. To get a correct picture of retention rate, it is important to know repetition rates also.

The repetition rate is the percentage of students who repeat in the same grade in the next year to the total number of students enrolled in the original grade in the base year. Thus the repetition rate can be calculated by the following formula:

Repetition rate for the grade g in the year t

$$\frac{\text{No. of students repeating in the grade g in the year t+1}}{\text{Total no. of students enrolled in the grade g in the t}} \times 100$$

### **Projection Calculation: Population and Enrolment**

In order to develop plan for Universalisation of Elementary Education at the district level it is necessary to undertake projection exercise. The projections are to be undertaken for the terminal year of the plan i.e. 2010 in case of Sarva Shiksha Abhiyan programme as well as for all the intervening years. The district plans need to present the projection of population specially the relevant age group population as well as projection of enrolment. This is important to know the likely scenario of enrolment in future years.

### **Population Projections**

The district plans need to present the projected population for the district as well as its various blocks for the total population and population of relevant age group namely 6-11 years and 11-14 years as well as for population of age 6. The projection of relevant age group population should be given gender and social category-wise i.e. for boys, girls, S.C., S.T. etc. While appraising the district plans the appraiser should look into the following aspects of demographic projections.

- Whether any population projection has been undertaken?
- Whether the population projection is done only at the district level or block-wise projection have also been done?
- Whether population projection for relevant age-groups i.e. age 6, 6-11, 11-14 years have been presented?

- Whether gender and social category-wise population projection has been present i.e. for boys, girls, SC, ST etc.
- Whether demographic projection have been presented for terminal year only or they have been given for the intervening years also.
- Whether the demographic projection undertaken and presented in the plan has been used for planning purpose?
- What method of demographic projection has been adopted in the plan?
- Whether appropriate projection technique has been adopted and whether it has been done correctly?

### Population Projection Techniques

It is appropriate to use any of the following 2 techniques of population projection

- i) Growth rate method and
- ii) Ratio method

The **growth rate method** is the most simple method which computes the annual growth rate of population as a base for population projection and the growth rate can be computed with the following formula.

$$R = 1/n [(P_n - P_0)/P_0] \times 100$$

Where R is annual rate of growth

n is number of intermediary years

P<sub>n</sub> is population in the current year

P<sub>0</sub> is population in the base year

The **ratio method** is based on the ratio of the district population to the state population. After ratio of the district population to state population is obtained, assumptions are made on the future values of rates. Once the future values are fixed the population of the district can be obtained by applying the ratio to the projected state population in that year. Thus the ratio (R) is defined as,

$$R = P_i^{(t)} / P_c^{(t)}$$



Where  $P_i^{(t)}$  is the population of the  $i$ -th district at time ' $t$ ' and  $P_c^{(t)}$  is the population of the state at time ' $t$ ' to which district ' $i$ ' belongs.

The planning process perceived in Sarva Shiksha Abhiyan programme makes it mandatory to conduct household survey on census basis in the district as a pre-project activity. In case the district has completed Household survey and the data collected is perfectly reliable the 0-14 actual population in the district will be available. Thus population of age '6' 6-11 and 11-14 years can be easily computed and the household survey data may have been used for demographic projection to develop the district plan.

### Enrolment Projection

In order to plan for elementary education we need to have an idea about the number of children for whom educational facilities are to be provided in the years to come. For estimating the expected enrolment in future, Enrolment Projection exercise needs to be undertaken while developing the district plan for UEE. The appraisers need to see whether some estimation of enrolment in the future years have been undertaken and presented in the district plans. Further there is a need for projection of enrolment for the terminal year as well as for all the intervening years of the plan. The appraiser should look into the following points related to enrolment projection in the district plan.

- Whether Enrolment projections have been undertaken at all?
- Whether enrolment is projected for only the terminal year or is it presented on a year to year basis?
- Whether block-wise enrolment projection has been presented?
- Whether gender wise and social category-wise enrolment projection is presented?
- Whether level-wise (i.e. separately for primary and upper primary) enrolment is projected?
- Whether the district plan presents grade-wise enrolment projection?
- Whether the enrolment projection has been done appropriately and correctly?

- Whether enrolment projected in the plan has been used for planning purpose

In order to undertake enrolment projection the following methods are appropriate

- i) Enrolment Ratio method
- ii) Grade-Ratio method
- iii) Grade-Transition method

**Enrolment Ratio** method of enrolment projection takes into account enrolment ratio which is calculated on the basis of past data and is extrapolated into the future by applying a suitable mathematical technique or a certain logic. It is assumed that 6-11 years and 11-14 years age group projected population is available along with the enrolment figures. The enrolment projection will be more reliable if net enrolment ratio (NER) is used instead of gross enrolment ratio (GER).

The steps involved in this method are (i) population projection (6-11 and 11-14 years for coming years) are to be done if it is not readily available, (ii) calculating enrolment ratio for the last 4 to 5 years at least (iii) project enrolment ratio for future years by any method or logic and (iv) obtain enrolment for future years by taking the percentage of enrolment to projected population.

**Grade Ratio** method is used when grade-wise enrolment projection is to be undertaken and data on repeaters is not available. The steps involved in this method are (i) put grade-wise enrolment and population of age '6' in students flow chart in appropriate boxes. Project the population for all the coming years if not available, (ii) calculate gross apparent entry rate for all years and project these till the terminal year of plan, (iii) calculate the ratio of enrolment in the next higher grade in the next year to the enrolment of previous grade in the previous year for all grades, (iv) calculate enrolment in grade I for all the future years by multiplying the entry rate already projected to the projected age '6' population, (v) calculate enrolment of other grades on the basis of projected grade ratios from one grade to another and (vi) enrolment for primary and elementary stage can be obtained by adding enrolment in grade I to V

and I-VIII respectively which can be used to compute projected enrolment ratios.

In Grade Transition Method, net entry is used in place of apparent entry rate and grade-wise enrolment is obtained by assigning the promotion, repetition and dropout rates in different grades and years in place of grade ratios only.

While making projection for enrolment at upper primary level i.e. grades VI-VIII the factors to be taken into account are: enrolment in grade V in the base year, completion rate at primary level and transition rate between primary and upper primary level i.e. between grade V and VI. This is because the enrolment in upper primary grades is not determined by 11-14 age group population as it is very likely that many 11-14 age group children would not have joined the primary schools at all and thus enrolment at upper primary level is rather determined by the number of children enrolled in and completed the primary level of education.

## APPENDIX - II

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|                         |              |
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## APPENDIX - III

**ABBREVIATIONS**

|                  |   |
|------------------|---|
| <b>AIE</b>       | Alternative and Innovative Education            |
| <b>ALS</b>       | Alternative Learning School                     |
| <b>APPEP</b>     | Andhra Pradesh Primary Education Project        |
| <b>AS</b>        | Alternative Schooling                           |
| <b>AWP&amp;B</b> | Annual Work Plan and Budget                     |
| <b>BEO</b>       | Block Education Officer                         |
| <b>BEP</b>       | Bihar Education Project                         |
| <b>BRC</b>       | Block Resource Centre                           |
| <b>BRCC</b>      | Block Resource Centre Coordinator               |
| <b>BTEC</b>      | Basic Teacher Education Centre                  |
| <b>CD</b>        | Community Development                           |
| <b>CDR</b>       | Compact Disc Readable                           |
| <b>CEC</b>       | Continuing Education Centre                     |
| <b>CRC</b>       | Cluster Resource Centre                         |
| <b>CRCC</b>      | Cluster Resource Centre Coordinator             |
| <b>DBE</b>       | District Board of Education                     |
| <b>DCF</b>       | Data Capture Format                             |
| <b>DEE</b>       | Department of Elementary Education              |
| <b>DEEL</b>      | Department of Elementary Education and Literacy |
| <b>DEEP</b>      | District Elementary Education Plan              |
| <b>DG</b>        | Director General                                |
| <b>DIET</b>      | District Institute of Education and Training    |
| <b>DISE</b>      | District Information System for Education       |
| <b>DOE</b>       | Department of Education                         |
| <b>DPEP</b>      | District Primary Education Programme            |
| <b>DPO</b>       | District Project Office                         |
| <b>DS</b>        | Deputy Secretary                                |
| <b>DSS</b>       | Decision Support System                         |

|                 |   |
|-----------------|---|
| <b>EC</b>       | Executive Council   |
| <b>ECCE</b>     | Early Childhood Care and Education                            |
| <b>ECE</b>      | Early Childhood Education                                     |
| <b>Ed.CIL</b>   | Educational Consultants India Limited                         |
| <b>EE&amp;L</b> | Elementary Education and Literacy                             |
| <b>EGS</b>      | Education Guarantee Scheme                                    |
| <b>EMIS</b>     | Educational Management Information System                     |
| <b>EVS</b>      | Environmental Science   |
| <b>GC</b>       | General Council   |
| <b>GER</b>      | Gross Enrolment Ratio   |
| <b>GOI</b>      | Government of India   |
| <b>HT</b>       | Head Teacher  |
| <b>ICDS</b>     | Integrated Child Development Services                         |
| <b>IED</b>      | Integrated Education for the Disabled                         |
| <b>JRY</b>      | Jawahar Rozgar Yojana   |
| <b>MHRD</b>     | Ministry of Human Resource Development                        |
| <b>MIS</b>      | Management Information System                                 |
| <b>MLA</b>      | Member of Legislative Assembly                                |
| <b>MLL</b>      | Minimum Levels of Learning                                    |
| <b>MP</b>       | Member of Parliament  |
| <b>MTA</b>      | Mother Teacher Association                                    |
| <b>NCEC</b>     | Nodal Continuing Education Centre                             |
| <b>NCERT</b>    | National Council of Educational Research and Training         |
| <b>NCTE</b>     | National Council of Teacher Education                         |
| <b>NER</b>      | Net Enrolment Ratio   |
| <b>NFE</b>      | Non-Formal Education  |
| <b>NFHS</b>     | National Family Health Survey                                 |
| <b>NGO</b>      | Non-Government Organisation                                   |
| <b>NIEPA</b>    | National Institute of Educational Planning and Administration |
| <b>NLM</b>      | National Literacy Mission                                     |
| <b>NPE</b>      | National Policy on Education                                  |
| <b>OB</b>       | Operation Blackboard  |
| <b>OBC</b>      | Other Backward Caste  |
| <b>OHP</b>      | Over Head Projector   |
| <b>PA</b>       | Private Aided   |

|        |   |
|--------|---|
| PEEP   | Project for Enhancement of Elementary Education Programme |
| PHED   | Public Health and Education Department                    |
| PMGY   | Prime Minister Gram Yojana                                |
| PMIS   | Project Management Information System                     |
| PMRY   | Prime Minister Rozgar Yojana                              |
| POL    | Petrol Oil and Lubricant                                  |
| PRI    | Panchayati Raj Institution                                |
| PTA    | Parent Teacher Association                                |
| PTR    | Pupil Teacher Ratio                                       |
| PUA    | Private Un-Aided  |
| PWD    | Public Works Department                                   |
| RIE    | Regional Institute of Education                           |
| SC     | Schedule Caste  |
| SCERT  | State Council of Educational Research and Training        |
| SEC    | School Education Committee                                |
| SES    | Selected Educational Statistics                           |
| SIEMAT | State Institute of Educational Management and Training    |
| SIS    | State Implementation Society                              |
| SMC    | School Management Committee                               |
| SPD    | State Project Director                                    |
| SPO    | State Project Office                                      |
| SRC    | State Resource Centre                                     |
| SSA    | Sarva Shiksha Abhiyan                                     |
| ST     | Scheduled Tribe   |
| TA/DA  | Traveling Allowance/Daily Allowance                       |
| TLC    | Total Literacy Campaign                                   |
| TLE    | Teaching Learning Equipment                               |
| TLM    | Teaching Learning Material                                |
| TOR    | Terms of Reference  |
| TSG    | Technical Support Group                                   |
| UEE    | Universalization of Elementary Education                  |
| UN     | United Nations  |
| UPBEP  | Uttar Pradesh Basic Education Project                     |
| UT     | Union Territory   |
| VCC    | Village Core Committee                                    |
| VEC    | Village Education Committee                               |

