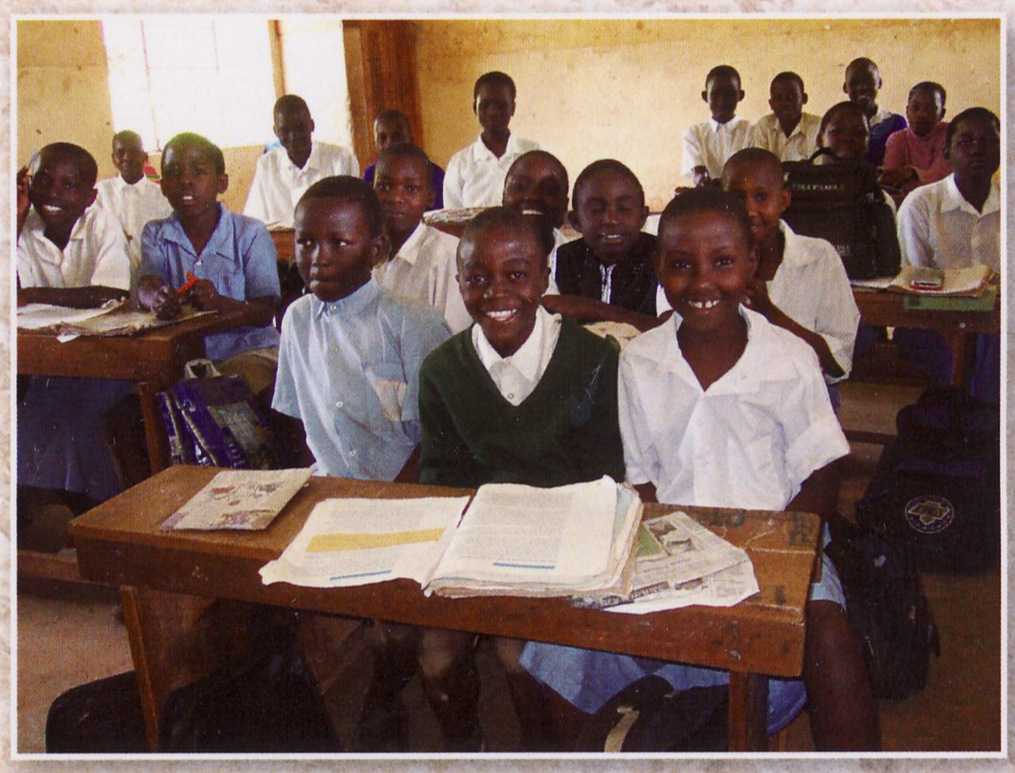
Country Status Report

for

the International Educational Cooperation Initiative

on

A Comparative Analysis on Universal Primary Education Policy and Administrative and Financial Systems in Sub-Saharan Africa



March 3, 2007

Graduate School of
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Foreword

Universal Primary Education (UPE) Policy has become popular in many countries in sub-Saharan Africa (SSA) for achieving Education for All (EFA) since the mid-1990s. However, the UPE policy severely lacks analytical studies on its impacts and challenges. Some researchers have indicated that the recent uniformity of the educational policies prevails in SSA countries and suggested that there should be studies to examine how these seemingly similar policies are responding to the capacity and needs of each country. To examine the financial and administrative systems that support UPE policy is equally important for creating a more effective and sustainable approach to official development assistance in the education sector. Under such recognition, this study attempts to analyze how UPE policies have been formed, implemented and evaluated in each country and what kind of administrative and financial issues should be raised from a comparative perspective.

The objective of activities in FY2006 was to create a common comparative analytical framework in close collaboration with researchers who participate in the Africa Asia University Dialogue for Basic Education. As the first attempt to create a comparative analytical lens, four countries were chosen, namely, Malawi, Uganda, Kenya and Ghana. Malawi and Uganda have initiated the UPE policies relatively earlier than other countries, while Kenya and Ghana are the more recent implementers.

This report is the outcome of activities in the first year that presents the current status of each country, based on the draft Analytical Framework that we developed this year. I believe that this will be a broad base for our comparative analysis for the next two years, which will eventually generate some impacts on formulation of education policy and international assistance in primary education in sub-Saharan Africa.

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March 3, 2007

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Table of Contents

DRAFT

ANALYTICAL FRAMEWORK

DRAFT
Analytical Framework for A Comparative Analysis on Universal Primary Education Policy* in Sub-Saharan Africa

***UPE policy refers to all policies that are geared towards achieving universal primary education in both quality and quantity rather than mere abolition of school fees.**

◆ 5 Key Words for the Analytical Framework

- **Performance Gap:** To identify areas in which primary education performance has most challenges in a country from the perspectives of access, quality, efficiency, equity, and management.

- **Financial Gap:** To identify the financial gap in UPE policy and actual funding volume and modalities, using the indicative framework.

- **Administrative Gap:** To identify the gap between capacity of the government and the actual administrative task in implementing UPE.

- **Policy Gap:** To analyze the extent to which there is a gap in the UPE policies written in official documents, strategies, and the actual implementation on the ground.

- **Perception Gap:** To examine how UPE has been perceived by stakeholders/beneficiaries such as head teachers, teachers, School Management Committees (SMCs), parents, and students and subsequently find the gap between the intentions of policy makers and those of stakeholders/beneficiaries with regard to the UPE policy.

Area of Data to be Collected	*Purpose of Data Collection and Analytical Perspectives*	*Data Source*
1. Historical Background of Policy Settings		
1.1 Historical overview of primary education policy since independence	To examine what kind of development plans and education plans, if any, have been implemented in the country and how the primary education sub-sector has been placed in these national plans. To place the UPE policy in the historical context.	Existing literature, Ministry of Education
1.2 Demographic overview of the country	To examine the demographic context of the country concerned and its changes over time.	Bureau of Statistics, Population Census
1.3 Historical overview of the economic and political settings	To examine how economic and political situation has been facing the country and how these settings have affected the education sector.	Existing literature, Ministries of Finance and Planning
1.4 Historical overview of aid receipt	To review the aid environment in the country and the actual volume of aid and the proportion of educational aid in the total aid flow.	Existing literature, Ministries of Finance and Planning, International organizations (World Bank, OECD, etc.)
1.5 Components of UPE policy	To identify the major components of UPE policy.	Ministry of Education
2. Performance in the Primary Education Sub-Sector		
2.1 Basic statistical data on educational performance since independence	To analyze the available national chronological data such as GER, NER, intake rate, repetition rate, dropout rate, teacher pupil ratio, teacher classroom ratio, pupil textbook ratio, leaving examination scores, etc.	UNESCO, UNICEF, World Bank, Ministry of Education, Bureau of Statistics
2.1.1 Access	To examine the before-after-UPE trend of access indicators such as GER, NER, intake rate, classroom pupil ratio	UNESCO, UNICEF, World Bank, Ministry of Education, Bureau of Statistics
2.1.2 Quality	To examine the before-after-UPE trend of quality indicators such as teacher pupil	UNESCO, UNICEF, World Bank, Ministry

Area of Data to be Collected	*Purpose of Data Collection and Analytical Perspectives*	*Data Source*
	ratio, Qualified/unqualified teacher ratio, textbook pupil ratio, test scores of Primary Leaving Exams, etc.	of Education, Bureau of Statistics
2.1.3 Efficiency	To examine the before-after-UPE trend of access indicators such as repetition rate, dropout rate, promotion rate, etc.	UNESCO, UNICEF, World Bank, Ministry of Education, Bureau of Statistics
2.1.4 Equity	To examine the data collected for access, quality, and efficiency by gender, location (i.e. by urban-rural, region, and district), orphan status, and other categorical criteria in the country and identify disparities in educational performance.	UNESCO, UNICEF, World Bank, Ministry of Education, Bureau of Statistics
2.1.5 Management	To examine management system of education including planning, monitoring and evaluation activities, school management, etc.	Ministry of Education, schools
2.2 The impact of UPE on performance in the Education Sector	To analyze the difference before and after the UPE policy in access, quality, efficiency, equity and management of primary education and identify the relations among one another.	UNESCO, UNICEF, World Bank, Ministry of Education, existing literature, Bureau of Statistics
2.3 Performance gap	To identify areas in which primary education performance has most challenges in a country from the perspectives of access, quality, efficiency, equity, and management	UNESCO, UNICEF, World Bank, Ministry of Education, existing literature, Bureau of Statistics
3. Finance		
3.1 Educational expenditure	To examine the education expenditure as percentage of GDP, percentage of total public expenditure and in per capita (student) terms at all education levels. To compare sub-sectors and examine the trend of public expenditure on primary education.	World Bank, Ministry of Education, Ministries of Finance and Planning, Bureau of Statistics
3.2 Financial system before and after UPE	To grasp what kind of mechanism is used for the current UPE financing such as the role of Ministries, the extent of decentralization, the usage of MTEF, etc. and to compare that of pre-UPE era.	Ministry of Education, Ministries of Finance and Planning

Area of Data to be Collected	*Purpose of Data Collection and Analytical Perspectives*	*Data Source*
3.3 Aid flow	To examine the volume and types of aid for UPE.	Ministry of Education, Ministries of Finance and Planning, Bureau of Statistics
3.4 Aid modality	To review aid modalities adopted in the country, including project, program, common basket fund, general budget support, etc. and see whether there has been any chance before and after UPE policy implementation.	Ministry of Education, Ministries of Finance and Planning, donors
3.5 Accountability system	To examine what kind of system the country adopts to maintain accountability of educational finance. Auditing and the role of School Management Committee would need special attention.	Ministry of Education, Ministries of Finance and Planning, donors, local education departments
3.6 Financial gap	To compare the financial envelop and educational requirements and identify the financial gap in UPE policy and actual funding volume and modalities.	Ministry of Education, Ministries of Finance and Planning, donors, local education departments
4. Administration		
4.1 Roles and responsibilities of organizations	To identify roles and responsibilities of organizations involved in UPE in terms of planning, implementation, and evaluation.	Ministry of Education, other related Ministries, Local education offices, Local government office, School head teachers, SMCs
4.2 Capacity of the government	To analyze the tasks and capacity of the government structure.	Ministry of Education, other related Ministries, Local education offices, Local government office, School head teachers, SMCs
4.3 Partnership coordination among stakeholders	To identify the coordination mechanism a country adopts to manage aid coordination and partnership with NGOs and	Ministry of Education, other related Ministries,

Area of Data to be Collected	*Purpose of Data Collection and Analytical Perspectives*	*Data Source*
	community based organizations in implementing UPE policy.	Local education offices, Local government office, School head teachers, SMCs, NGOs/CBOs
4.4 Administrative gap	To identify the gap between capacity of the government and the actual administrative task in implementing UPE.	Ministry of Education, other related Ministries, Local education offices, Local government office, School head teachers, SMCs
5. School Management and Policy Implementation Issues		
5.1 Perception on UPE at school level	To examine how UPE has been perceived by stakeholders such as head teachers, teachers, SMCs, parents, and students	head teachers, teachers, SMCs, parents, and students
5.2 Management mechanism of UPE	To analyze how UPE grant has been delivered to schools and how they are used.	head teachers, teachers, SMCs, parents, and students
5.3 Cost of schooling	To examine how much schooling costs each student under UPE, including school fees, if any, and other direct costs such as textbooks, uniforms, travel cost, lunch, and other scholastic materials.	head teachers, teachers, SMCs, parents, and students
5.4 Reasons for dropout and repetition	To examine what kind of constraining factors exist for schooling under UPE.	head teachers, teachers, SMCs, parents, and students
5.5 Policy gap	To analyze whether there is any gap between the UPE policies written in official documents and the actual implementation on the ground.	head teachers, teachers, SMCs, parents, and students
5.6 Perception gap	To analyze whether there is any gap between the UPE policies written in official documents and how beneficiaries perceive UPE.	head teachers, teachers, SMCs, parents, and students

COUNTRY STATUS REPORT

‘A Comparative Analysis on Universal Primary Education Policy in Sub-Sahara Africa’

The case of REPUBLIC OF GHANA

TABLE OF CONTENTS

1 Historical Background of Policy Settings

1.1 Historical overview of primary education policy since independence

Ghana has undergone significant and ambitious education reforms in her post-colonial period. Through early 50's until 60s, Ghana has seen a number of attempts to create better education system. For example, an Accelerated Development Plan, declared in 1961, was sought to expand 'access to education' and Education Act made education free and compulsory at the basic level. By 1970 Ghana had one of the most highly developed education systems in West Africa. (Akyeampong, 2000a) Gross enrolment ratios increased dramatically, 60 % of teachers in primary schools were trained, and the Ministry of Education (MOE) projected that all untrained teachers would be eliminated from the education system by 1975. The late 1970s and early 1980s, however, saw a sharp economic decline and the real value of government financing for education fell sharply from 6.4 % of GDP in 1976 to 1.4 % in 1983, as it resulted in a near collapse of the education system. (Ibid, 2000)

In 1987, Education Reform Programme (ERP) to reverse the decline in the education system was launched in partnership with World Bank and other International Agencies. Its major goals were to expand 'access to basic education, to improve the quality of basic education, to make education more relevant to Ghana's socioeconomic needs,' and to ensure sustainability of the reform programme after the economic adjustment period.

The main elements of the reform programme were to reduce the length of pre-university education from 17 to 12 years and to restructure into a 6 (Primary) -3 (Junior Secondary) -3 (Senior Secondary) system. It also introduced a new curricula designed to be more relevant to the needs of the labour market across all educational levels. Further, teacher training programme were altered and entry requirements for teacher trainees were raised.

The Education Reform Review Committee (ERRC) was set up in 1994 to review the achievements of the 1987 ERP. Following it, in accordance with the World Bank and other international donors, Free Compulsory Universal Basic Education (fCUBE) [1] project was launched in 1996; designed to address the weaknesses of the 1987 Reform.

In 2003, Ministry of Education and Sports (MOES) issued Education Strategic Plan (ESP) 2003-2015 in line with the Ghana Poverty Reduction Strategy (GPRS); to facilitate poverty reduction and to promote socio-economic growth and national development by means of education, namely, to train skills of the youths and to develop their potentials of productivity (MoES, 2006a). The new ESP focuses on Universal Basic Completion, all

[1] The fCUBE programme is strongly supported by a World Bank credit, the Basic Education Sector Improvement Programme (BESIP). BESIP was established with the aim of translating the fCUBE objectives into an operational plan of the World Bank. Due to the size and complexity of fCUBE, the GOG has been working on its implementation with a number of development partners, including USAID, DFID, EU, GTZ and JICA, in a joint MOE-donor forum, in addition to the World Bank. (Akyeampong, 2000b)

enrolled students completing 6 years of Primary and 3 years of Junior Secondary education, a more ambitious goal than mere Universal 'Primary' Completion (UPC). Accordingly, the government's goals have been revised that 100 % completion for primary education is to be achieved in 2012 so that UBC would be attained by 2015. (MoES, 2006b) Gender Parity is scheduled to be achieved by the end of 2005, which is also drawn in Millennium Development Goals (MDGs) and Education For All (EFA).

1.2 Demographic overview of the country

MAP of REPUBLIC OF GHANA

Ghana, officially the Republic of Ghana, is a country in West Africa. It borders Côte d'Ivoire to the west, Burkina Faso to the north, Togo to the east, and the Atlantic Ocean to the south. Accra is the capital and largest city in the country. The country's population in 2005 was 21,029,853. (CIA, 2006) Trade with European states flourished after contact with the Portuguese in the 15th century, and the British established a crown colony, Gold Coast, in 1874. It was the first black African country to obtain independence from colonial rule. Upon achieving independence from the United Kingdom in 1957, the name Ghana was chosen for the new nation as a reference to its ancient roots in the Empire of Ghana.

1.3 Historical overview of the economic and political setting

Thanks to the rich natural resources, Ghana has twice the per capita output of the poorer countries in West Africa. Even so, Ghana remains heavily dependent on international financial and technical assistance. Gold, timber, and cocoa production are major sources of foreign exchange.

The domestic economy continues to revolve around subsistence agriculture, which accounts for 40% of GDP and employs 60% to 70% of the work force, mainly small landholders. In 1995-97, Ghana made mixed progress under a three-year structural adjustment program in cooperation with the IMF. On the minus side, public sector wage increased and regional peacekeeping commitments have led to continued inflationary deficit financing, depreciation of the cedi, and rising public discontent with Ghana's austerity measures. In the meantime, regional disparities have been stunning since northern part of Ghana has undegone slower social and economic development where educational infrastructure were less equiped.

1.4 Location of basic education in Ghana's Education Policy

Education Strategic Plan (ESP), 2003-2015

ESP is the long term education sector plan which is concurrent with and in support of GPRS, in which Ghana expressed its commitment to achieve MDGs on education, namely Gender Parity (GP) in primary schooling by 2005 and Universal Primary Completion (UPC) by 2015.

Sector Plan

There is a 3-year rolling plan to operationalize ESP, called Annual Education Sector Operational Plan (AESOP), which carries the list of activity plans. It is consistent with the ESP framework. According to ESP, there are five objectives to be achieved in education sector. Breaking down these objectives, at the sub-sectoral level, four key thematic areas are attended to. The thematic areas are further divided into ten operational targets.

Overall Policy objectives

(A) To ensure that all citizens, irrespective of age, gender, tribe, religion, and political affiliation, are functionally literate and self-reliant

(B) Basic Education for All

(C) Opportunities for open education for all

(D) Education and training for skill development with emphasis on science, technology and creativity

(E) Higher education for the development of middle and top-level manpower requirement

Key thematic areas pursued in respective sub-sectors of education (MoES, 2006a):

(1) Equitable Access to Education

a; To increase access to education and participation in education and training
b; To promote and extend pre-school education
c; To provide girls with equal opportunities to access the full cycle of education

(2) Quality of Education

d; To improve quality of teaching and learning for enhanced pupil/student achievement
e; To improve the quality of academic and research programmes
f; To promote good health and environment sanitation in schools and institutions of higher learning
g; To identify and promote education programmes that will assist in the prevention and management of HIV/AIDS

(3) Educational Management

h; To strengthen and improve educational planning and management

(4) Science, Technology and TVET

i; To extend and improve technical and vocational education and training
j; To promote and extend the provision of science and technology education and training

2, Performance In the Primary Education Sub-sector

2.1. Access

From 1987 to 1994 under the previous educational reform programme, average enrolment growth rates were 4.3% at primary, 1.9% at JSS, 8.5% at SSS, and 13.8% at the university level. After the fCUBE was initiated in 1995, the average growth rates fell to 3.2% annually (from 1995 to 1997) at primary. Despite an absolute increase in primary enrolments since the late 1980s, the rate of increase has failed to keep pace with the growth of the school age population. Population growth averaged 3.3 % between 1980 and 1990, and 2.7 % between 1990 and 1997 (Figure 2.1., Table 2.1.) (World Bank, 2003) This has resulted in a gradual decline in the participation rate such that nationally one child in three was not attending primary school (DFID, 1998).

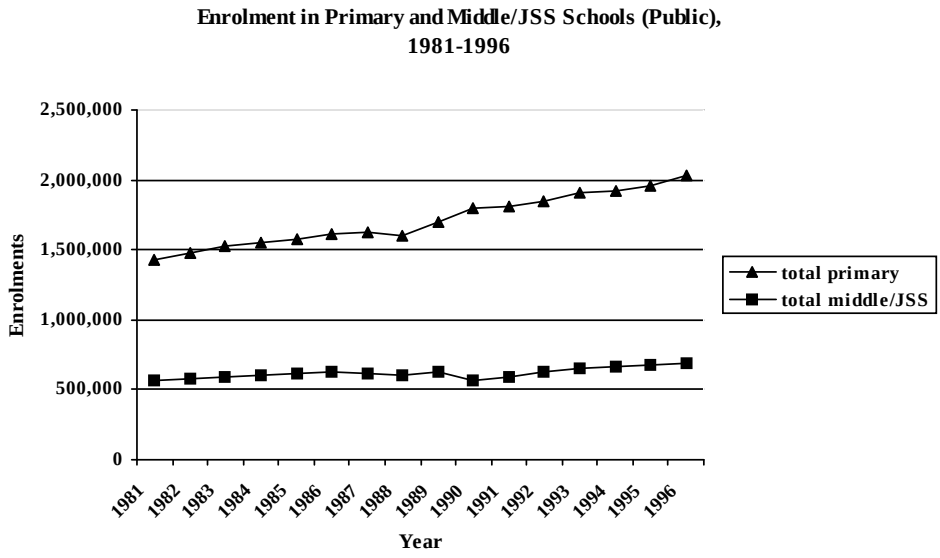


Figure 2.1: Enrolment in Primary and Middle/JSS Schools (Public), 1981-1996
Source: Akyeampong, 2000b, original source from Planning, Budgeting, Monitoring and Evaluation Division, MOE, Republic of Ghana, 1998

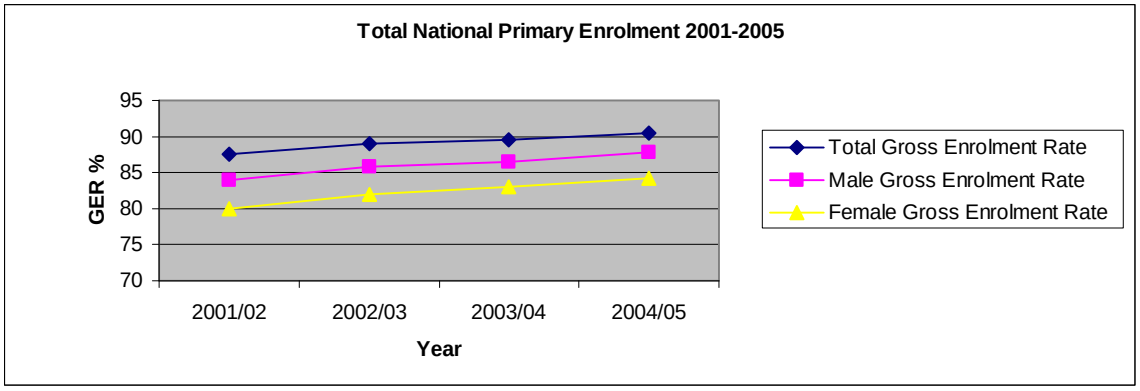
Table 2.1: Enrolment and Enrolment Growth Rates, 1987-1997

	Primary		JSS		SSS		University	
YEAR	**Number**	**Growth Rate**	**Number**	**Growth Rate**	**Number**	**Growth Rate**	**Number**	**Growth Rate**
1987/88	1677074		610094		153284		8565	
1988/89	1598443	-4.7	608690	-0.2	154477	0.8	8609	0.5
1989/90	1703074	6.5	625018	2.7	167640	8.5	9641	12.0
1990/91	1945422	14.2	569343	-8.9	199260	18.9	9997	3.7
1991/92	2011602	3.4	605760	6.4	235962	18.4	11857	18.6
1992/93	2047293	1.8	644976	6.5	257355	9.1	14278	20.4
1993/94	2138635	4.5	676182	4.8	245897	-4.5	15183	6.3
1994/95	2154646	0.7	690558	2.1	209190	-14.9	18000	18.6
1996/97	2333347	8.3	738057	6.9	199028	-4.9	23126	28.5
1997/98	2288768	-1.9	755162	2.3			26684	15.4
OVERALL		3.7		2.5		3.5		13.8

Data for 1997/98 for SSS not available
Source: Akyeampong, 2000b

As visible in the recent GER and NER trend both at the national and district level, high performance is observed, ranging from 80% to around 90% (Figure 2.2), However, female GER is still lower than boy's and this is more apparent in north and deprived district. (MoES 2006a, 25) GER for the 30 surveyed districts in 2005, national education review revealed great disparity between regions, raging from minimum 22.3% to 97%, averaging in 69.8% across all the districts. Only 16.7% in 2005, which is 5 out of 30 surveyed districts had achieved a minimum GER of 85.5% for primary school enrolment.

Figure 2.2: National Enrolment for Primary Education, 2001-2005



Source: MoES 2006a

In terms of access to basic education, Ghana has shown her good performance from late 80's to 90's. However, explanations for the slow rate of change would include *(a) a lack*

of commitment to change among education professionals, (b) underestimation of the extent of institutional change required and the necessary time to effect the changes, (c) lack of accountability at all levels of the system, (d) lack of an agreed and integrated approach to the reform programme, and (d) continuing growth of the school-age population, and (e) lack of focus in the contribution of external funding. (DFID, 1998 and Akyeampong 2000b)

2.2 Quality

Overall, a significant increase in enrolment at basic level was achieved partly due to the introduction of Capitation grants. However, there appeared a large demand for education infrastructure, classrooms, text books and trained teacher, which must be met before quality of education is compromised. From 2005, Participatory Learning Action (PLA) programme has provided schools with the assistance to identify their needs in delivery of the educational services, such as upgrading and examination of school performance. So far, the programme has been implemented in 16 districts. Communities are encouraged to draw School Performance Improvement Plans (SPIP) to be able to manage their school effectiveness. To improve the quality of instruction, teacher training, especially at the JSS (Junior secondary schools) level, were held with special science tutors dispatched to Teacher Training Colleges (TTCs).

Pupil-Teacher Ratio

The MoES and GES are pursing policies to increase the PTR nationally up to 35:1 (MoES, 2006b), however, as the table below shows, the deprived areas do not match up with teacher supply perhaps as a result of increase in primary enrolment by introduction of capitation grant under ESP policy[2]. To bridge the gap, it is necessary for districts to prepare some incentives to attract teachers in their teaching profession in remote areas, meanwhile urban areas are overstuffed. The supply of school facilities and materials are overall yet to be sufficient.

Table 2.2: Disparities in District PTR

Parameters	District Classification	Average Performance (Primary Education Level)			
		2001/02	2002/03	2003/04	2004/05
The Pupil/Teacher Ratio	Urban	33.9	33.2	31.6	34.8
	Semi-urban	32.1	49.9	31.6	33.1
	Deprived	**37.8**	**37.9**	**42**	**43.4**

Source; MoES, 2006a

[2] The Capitation Grant (30,000 cedies per student) is disbursed to each school according to the number of enrolment. It is expected to serve as an incentive to increase basic education enrolment and retention as it provides 30,000 cedis per students, by removing financial barrier of school levies from the households .

Table 2.3: Primary Pupil/Teacher Ratio

	2002/03	2003/04	2004/05	2004/05 (Target)	2005/06 (Target)
National PTR	32.3	34	34.9	33.1	34.1
PTR in Northern Region	36.3	38.6	40.2	35	35
PTR in Upper East Region	53.7	58.9	57.4	45	44
PTR in Upper West Region	47.9	46.2	49	35	35
PTR in 40 deprived districts	36.6	39.5	41.9	33.1	35
PTR in other districts	30.6	31.9	32.2	33.1	35

Source; MoES, 2005

Students' performance

Students' performances in specially designed tests could be used for measuring the impact of reform, since it constitutes the primary benchmark for evaluating educational quality. As a consequence of the 1987 reform, a test instrument was developed, with the support of USAID, to measure students' achievement in English and mathematics in the last year of primary school. The test is based on the criterion-referenced standards, which are reported as a percentage of students reaching a score of 60 % in English and 55 % in mathematics. Data for 1996 show that only 5.5 % of pupils achieved the criterion pass score in English, and only 1.8 % in mathematics. In that year the tests were administered to a total of 16,641 pupils from 529 public and 36 private schools.

Table 2.4: Criterion-Referenced Test Results (Public Schools), 1992-1996

	1992	1993	1994	1995	1996
English*	2.0%	5.3%	3.3%	3.6%	5.5%
Mathematics**	1.1%	2.1%	1.5%	3.6%	1.8%

Source: DFID, 1998

Notes: *percentage achieving 60 per cent criterion pass score; **percentage achieving 55 per cent criterion pass score

Curriculum Research and Development Division in collaboration with BECAS (Basic Education Comprehensive Assessment System) project developed a national assessment system[3] for basic education in Mathematics and English. In 2006, PESPR witnesses that there is a positive long-term effect of this system that will lead to identify problems confronting curriculum as of instruction and contents (MoES 2006b). Contrarily, immediate performance checking exams, such as Criterion Referenced Text and Performance Monitoring Test have been abolished since 2002 instead it is only measured by Basic Education Certificate Examinations (BECE) and Senior Secondary Certificate Examinations (SSCE) upon completion of JSS and SSS.

[3] National Education Assessment (NEA), School Education Assessment (SEA) and Continuous Assessment (CA) are three pillars of new assessment system.

2.3 Efficiency

Through the review of presented data in PESPR in 2006, upward trend on dropout rate was seen as the grades goes up. Average rate of promotion, repetition and dropout is 90.85, 6.0% and 3.2% respectively. Grade 1 has the highest repetition and dropout rate, whereas Grade 6 has the highest promotion rate with low rate of dropout. It is assumed that possibility to promote to JSS is quite an incentive for retention for Grade 5 and 6 students. Accordingly, indicators for female students are higher in repetition and dropout since girls tend to be less budgeted by parents. Survival and completion rate for secondary education has been much improved since 2003 as actual rate of 77.9% which is higher than the targets of 66.4% as of 2005 to 2006 period. (MoES, 2006b, 39) It is a key for MoES not only to seek increase in promotion rate to JSS and SSS at the national level but also to reduce district disparities.

Table 2.5: Public Primary Promotion, Repetition and Dropout rate

Year: 2003-2004

National (Grade)	P1	P2	P3	P4	P5	P6
Promoters %	**80.9**	93.1	92.5	90.6	93.1	95
Repeaters %	9.8	6.8	6.2	5.5	4.8	5.1
Dropouts %	**9.3**	0.1	1.3	3.9	2.2	0

Year: 2004-2005

National (Grade)	P1	P2	P3	P4	P5	P6
Promoters %	**82.5**	93	92.7	90	92.3	94.5
Repeaters %	9.4	6.3	5.8	5.1	4.4	4.7
Dropouts %	**8**	0.7	1.5	4.8	3.3	0.9

Source: MoES 2006a

2.4 Equity

In PESPR 2005, relevance and quality of education and the process of curricular development are raised as the primary concerns to ensure equity. To ascertain a balanced development of the education system, percentage of schools availability to the population, pupil and teacher ratio and core text book ratio must be improved between districts. However, in reality, imbalanced allocation of budget from the government hampers the local educational initiatives to meet the standard.

It is also a challenge for the Ghanaian government to achieve gender equity. The Girls Education Unit (GEU) was established within the GES in 1997 to promote the education of girls in order to improve access and to develop the social capital of women. The specific tasks of the GEU are to increase enrolment of girls in primary schools to equal

that of boys by the year 2005, and to reduce the dropout rates for girls in primary schools from 30% to 20% and of girls in JSS from 21% to 15%.

2.5 Management

Progress in strengthening education management, especially Education Management Information System[4] (EMIS) has been a major challenge to be achieved under the ESP policy objective. EMIS is expected to contribute to improve the quality of service delivery via timely collection and provision of relevant and reliable data needed for policy analysis and planning. It is coupled with the interventions to develop mechanisms and capacities of school-based and local governance. One of major outcomes of this initiative is setting out School Management Committees (SMCs) and Board of Governors for SSSs. MoES comprehensively works together with varieties of educational personnel and stakeholders to conduct effective data collection with some use of ICT. For 2006, 50 districts inclusively have input their data and produced district level reports in line with central level.

Also, Ghana officially received monetary credits from World Bank in 2004 for Capacity Building Projects with main objectives of improving effectiveness and efficiency of MoES, which has so far taken the form of various training. At the district level, staff's ability to assess the programme and service performance adequately is considered to be the core competency to be trained so as to upgrade its management and procurement skills.

2.6 Performance Gap

Expansion of access to quality education has been generally successful since enrolment rate, gender parity, survival and promotion rate have improved at national level. However, acute shortages of teachers persist in rural area that deteriorates teacher/pupil ratio and academic performance. In fact, as for the percentage of qualified teachers at the primary level, target of 2004-05 has failed to be achieved except the performance outcome of Upper West region. Only Eastern Region shows continuous increase in PTR, whereas most regions have suffered a more or less severe shortage in the number of trained teachers.

Although ESP recognizes the importance of creating more skilled workforce, the enrolment in TVET is not consistent. While the overall targets for TVET enrolment in 2004-05 have been met, female enrolment was stagnated. TVET institution is being hampered because of the delay in ratifying the TVET National Framework policy and

[4] EMIS is a data collection system to serve the decision makers and administrators to plan effective and manage the education system efficiently , MoES 2006b.

less improvement in the access of secondary TVET graduates to Polytechnics and industrial attachment.

The number of students enrolled at teacher education sector is still low since district promotion and recruitment are not successful or unattractive. Training at teacher Education College is still in need of improvement in curriculum, infrastructure development and gender parity. Teacher education deserves more attention, since provision of well-trained, sufficient number of teachers is the basis of achieving UPE.

Areas of priority, as indicated above – training and distribution of sufficient number of teachers, equitable resource allocation among all districts, and text book availability – must be met urgently. Also it is important to identify the stumbling factors for students' academic performance at earlier stages so that teachers can assist them to continue education and improve the levels of numeracy and literacy.

3. Finance

3.1 Governmental finance

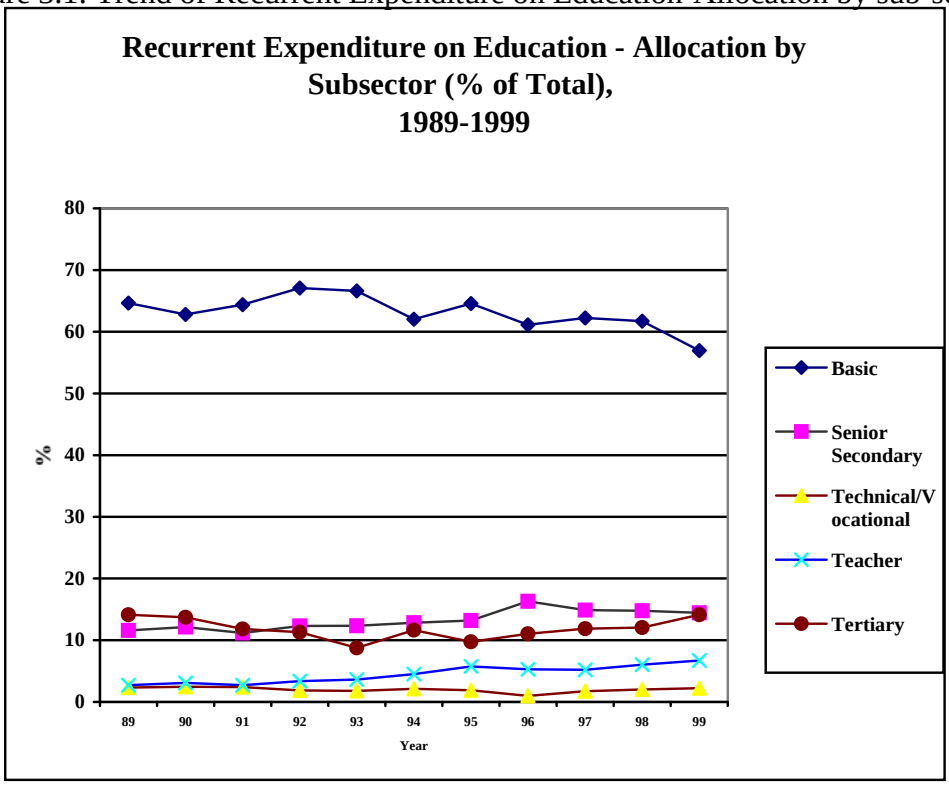
Figure 3.1 presents data on sub-sectoral breakdown of the government's recurrent expenditure on education. The proportion of basic education has risen from 44 % of the expenditure in 1984 to be consistently over 60 % since 1989.

In 1998, basic education received 61.7 % of the educational budget. Since then, however, the share of basic education in the total education recurrent expenditure has been shrinking. In fact, the share of basic education in the total educational expenditure is as low as 51.1% in 2005 (MoES 2006a, 107). This recent trend clearly contradicts to the policy to invest a greater proportion of recurrent expenditure in basic education. The gap between the plan and actual execution of budget allocation is also serious. According to the ESP, it was targeted to allocate 37.7% of the education budget to primary sub-sector. But actual expenditure on this sub-sector was 31.8% (ibid, 109).

Recurrent expenditure on senior secondary schools was proportionately greater in the second half of the 1990s, but its share of the budget has been declining after its peak in 1996. The recurrent allocation to tertiary education fell in the mid-1990s but has since increased to early 1990s levels, and was 12 % in 1998.

Teacher education has seen the growth in its share of the recurrent budget more than any other sub-sector. Its allocation increased from 2.7 % in 1989 to 6 % by 1998 despite decreases in the years 1991, 1996, and 1997.

Figure 3.1: Trend of Recurrent Expenditure on Education-Allocation by sub-sector



Source: Akyeampong, 2000b

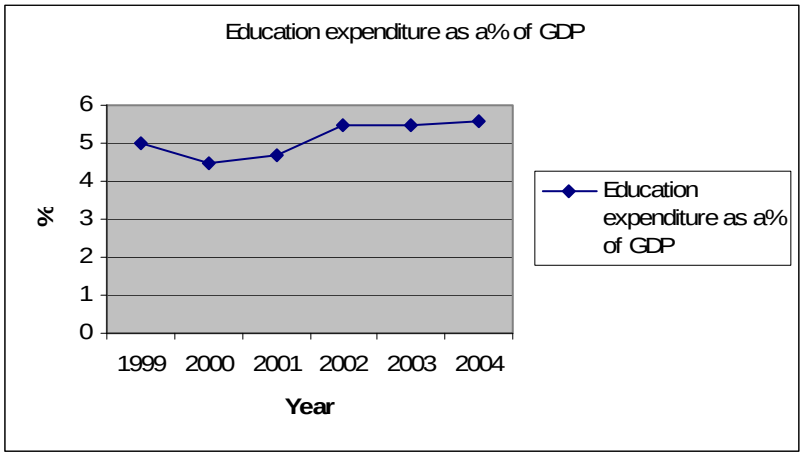
The share of education in the total governmental budget has increased until 2002 (36%) but experienced a gradual decrease as it reached 29.5% in 2005 (MoES 2006a, 102). While the total financial resource directed to education and, specifically, basic education is not satisfactory, there is also an issue of resource (mis)-appropriation within education sector. It is a constant phenomena that resources are overused for salary and underused for non-salary provisions. In 2005, in comparison with the budget, executed expenditure on salary was 125%, while execution for non-salary provisions were only 9% (ibid, 103). Inadequate budgetary allocation and appropriation must be reassessed taking accounting dynamics of education and education system. The financial sector therefore is required to analyze carefully on what to prioritize on budgeting.

Table 3.1; Expenditure by Level of Education as a % of Total Resource Envelope, 2003-2006

	2003	2004	2005	2006
Pre-School	2.4	4	3.4	4.1
Primary	39.7	31.6	29.9	30.7
JSS	22.1	16	17.8	14.8
Basic	**64.2**	**51.7**	**51.1**	**49.7**
SSS	15.3	19.9	20.8	21.2
TVET	1.1	1.1	1.2	0.7
SPED	0.4	0.4	0.4	1.2
NEFD	0.9	1.6	1.9	1.1
Teacher Education	4	3.7	3.9	4
Tertiary	13.9	21	19.6	20.8
Management and Sub-vented	0.1	0.5	1	1.2
Total	100	100	100	100

Source: MoES, 2006a

Figure 3.2: Education Expenditure as a % of GDP



Source: MoES, 2005

The sources of educational finance are: GOG, Donor, GET fund and Internally generated Funds, District Assemblies Common Funds (DACFs), HIPC and EFA FTI Catalytic Funds.

The recent government's policy of increased community participation in education has empowered districts to assume grater responsibility for education. They receive payments from the District Assembly Common Fund (DACF) which represents 5 % of national tax revenue from central government, for the development of the district. In addition, districts generate income, mostly through education levies and fund raising activities. At the school level, the Parent Teacher Associations (PTAs) also embark on various development projects to support basic education. District Assemblies (DAs) manage and use the locally generated resources at its discretion. The decision on and construction of

education infrastructures and equipment are delegated to the District Education Office and Department of the District Assemblies which is to demonstrate comprehensive role to organize local education in consultation with district managers. It is also delegated to the district level the decision-making regarding teacher recruitment, assessment, and promotion. (Adu-Boahene, 2005) Again, until the introduction of the new budget procedure in 1999, district level expenditure on basic education was not accounted for by the MOE budget figures.

3.2 Aid inflow

Table 3.2 shows the sources and distribution of funding for the fCUBE, the basic education improvement project which preceded the current ESP, during the period 1996-1998.

Table 3.2: Source of fCUBE funding 1996-1998

source of funding	GOG	IDA (PSDP)	IDA (BESIP)	USAID	DFID	UNICEF /CIDA	KfW/ GTZ	JICA
% contributed	19%	40%	11%	5%	7%	4%	12%	3%

Source: Akyeampong 2000b, original source from MOE, 1998

Currently, according to Adu-Boahene (2000), there are 16 major Development Partners (donors) identifiable in the education sector of Ghana. The biggest partners are two multilateral banks: the World Bank and African Development Bank (AfDB). Bilateral donors active in education sector are DfID, USAID, and JICA/Government of Japan. UN agencies such as UNICEF and UNESCO are also involved. Internationally known NGOs working in Ghana are the Catholic Relief Service, Plan International and World Vision Ghana. Aid flow takes some approaches which are indirect and direct budgetary, program, project support to MOES. Financial resource enveloped by Donors.

Table 3.3: Total Resource envelope by source, 2003-2006

	2003	2004	2005	2006
Sources	Allocation %	Allocation %	Allocation %	Allocation %
GOG	**82**	**68**	**66**	**61**
DONOR	**4**	**7**	**8**	**8**
IGF	n/a	9	9	9
GET Fund	10	9	10	15
HIPC	3	5	4	3
DACF	1	2	1	2
EFA Catalytic	n/a	n/a	0	2
SIF	n/a	n/a	1	n/a

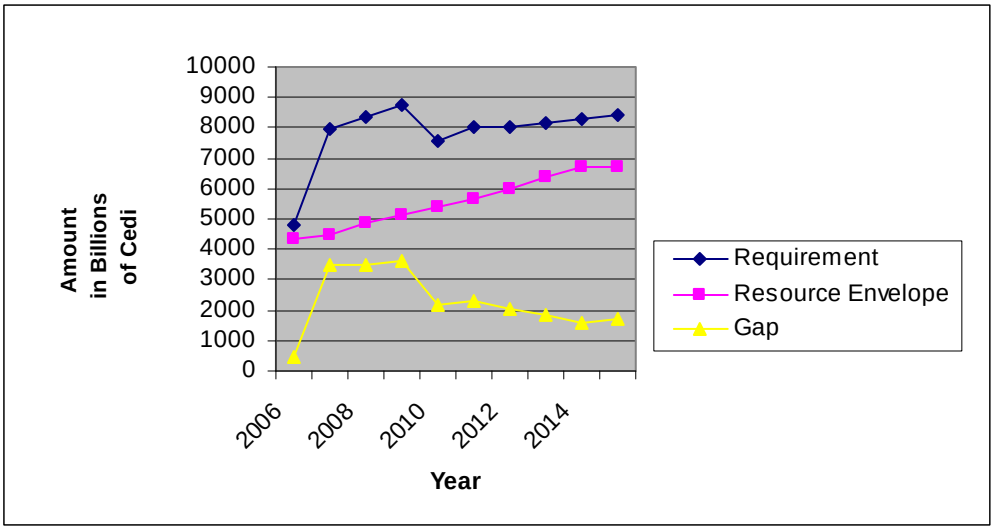
Source, MoES, 2006a

Mobilizing internal and external resources to support ESP is to a great extent important to ensure UBC achievement by 2015. However, the fact that there is no comprehensive monitoring system of the educational activities funded from various sources – such as GET Fund, DACFs, HIPC Fund and donor assistance – has rendered the situation difficult to collect information on disbursement and reduced the accuracy of report at the end of budget year. For example, a large amount of GET Funds is favorably used for senior secondary and tertiary education, which does not appear to be consistent with priorities of basic primary educations. Also, the demand for providing matching funds to donor funded projects for tertiary and secondary education may even compromise the ability of the MoES and GES to prioritize the allocation of its own resources. Since Ghana sees educational development requires a sector wide commitment, it is necessary to look for balanced approach to the expansion of education with the appropriate set of interventions.

3.3 Financial gap

In May 2006, the MoES prepared a 10-year work plan for the education sector and its cost estimate, taking consideration on current emerging trend and challenges such as the implementation of the capitation grants, was $15.4 trillion in total, averaging in $1.5 billions per year and basic education is 56% of the total estimates for the sector. The resource envelope (Total of the education budget from various sources) is projected to increase steadily, but the resource requirement will increase at nearly 150% between 2006 and 2007, which will result in a serious financial gap (590.22 million US$)(MoES 2006a, 116)(See Figure 3.3).

Figure 3.3: Requirement, Resource Envelope & Gaps For Basic Education, 2006-2015



Source: MoES 2006a, 117.

For example, by amount of money required will be used for upgrading 24,000 untrained teachers by the year 2011, textbook policy, capitation grant, school feeding, scholarship, HIV/AIDS programme, purchase of vehicles/equipment and other capital requirement especially, infrastructure development in remote areas, special education and regional offices. As of needed for management level are upgrading ICT, EMIS development and GES teacher resources centers.

In this model, teacher salary is targeted to fall to 3.5 times GDP per capita by 2015, however, effective cost saving measurement yet to be established.

4. Administration

4.1 Roles and responsibilities of organizations and capacity of the government

At the top of education sector, there is the Ministry of Education and Sports (MoES) with divisional departments, the subordinate organizations and educational institutions such as schools, colleges, universities and polytechnics. In the system, the relationship is vertically and horizontally structured and the MoES is responsible for overall policy formulation, planning, budgeting, monitoring and evaluation, curricular development, and tertiary education including teacher training. At the basic education level, the majority of authority over finance and administration is in the hand of district education offices. Regional education offices look after regional issues of education and senior secondary institutions. Ghana Education Service (GES), an agency under MoES, oversees the service delivery at the basic and secondary levels. Tertiary education institutions enjoy high level of autonomy, although they are under the National Council of Tertiary Education (NCTE). For the TVET sector, there is National Council for Vocational and Teaching Education (NACVET).

Planning Budgeting Monitoring and Evaluation Division (PBME) of MoES plays a coordinating role in preparing the Annual Education Sector Operational Plan (AESOP). It is also responsible for monitoring and evaluation in which it assesses the performance of various sections of education sector and prepares annual reports called Activities Progress Reports as per AESOP targets. AESOP is the operational breakdown of ESP. In the future, it is hoped that district education offices develop and submit their own annual operation plans to the PBME, which will then serve as the basis of AESOP while it hasn't happened yet.

4.2 Partnership coordination among stakeholders and Capacity of the government

ESP as it is widely recognized adopts Sector Wide Approach (SWAPS). According to UNDP, *'a SWAP defines a programmatic approach for a particular sector or cross cutting thematic field that supports the achievement of a coherent set of nationally-determined goals (UNDP, 2004).'* The idea of SWAPs came up in response to the government's and donors' recognition of the problems caused by 'proliferation of uncoordinated projects, duplication of effort, parallel management units, high administrative costs, lack of country ownership, overrun cost and time and instability and poor sustainability of supports.' Project duplications and similar piloted activities are on account of the absence of communication and exchange of policy dialogue and adjustment between MoES and other stakeholders. The concept of SWAPs, therefore, applies strong partnership and benefits derived from direct or indirect support from all the stakeholders though government led process (MoES, 2006a). Therefore, well examined strategies across all levels of education sector are central to be acknowledged and implemented.

In Ghana, for the sake of enhancing the partnership among various stakeholders concerned about education within and outside the government, Sector Technical advisory Committee (ESTAC) has been established. Under the ESTAC, four Thematic Groups were established corresponding to the four focus areas of ESP; namely, (1) quality education, (2) efficient management of resources, (3) accountability and transparency, and (4) equity. ESTAC is composed of representatives from various ministries such as Ministries of Local Government, Health, Finances, Economic Planning and Employment & Manpower Development, regional and district governments, private sector, NGOs and CBOs (Community-Based Organizations), Religious Associations, and from Development Partners. The Chair of ESTAC is Deputy Minister of MOES and each Thematic Group is chaired by the chief of relevant MoES division. Inputs from all stakeholders are being examined in the process of annual review, possibly to allow collective reflection or to modify the priorities of ESP goals (MoES, p 98, 2006a).

It is recognized by the MoES that civil society organizations such as NGOs and CBOs contribute to ESP rather indirectly, since there are limited channels for them to participate in policy-making and their activities tend not to be well coordinated with the government policy. In order to avoid the unfavorable outcomes, there is a need to prepare NGO coordinating desk at both ministry and regional levels which will link NGOs with relevant agencies or divisions of MoES. In addition to creating structures and partnership mechanism, NGOs need to be represented more in ESTAC and Thematic Group meetings.

4.3 Administrative gap

Not many schools have capacities to develop their own School Performance Improvement Plans (SPIP) yet. Also, contrary to the policy objective of Education Management, only 68.6% of teachers in 30 surveyed districts had received management training and no management training had been conducted for Head Teachers. GOG and MoES are promoting decentralization, delegating larger authorities to the regional and district levels, so that local government bodies can attend to the needs of beneficiaries more responsively and in timely manners. For the decentralization policy to achieve its intended objective, however, it is of critical importance to develop the capacities of local government officials, school administrators, teachers, and SMCs. Currently, the great majority of the educational resources are used up for teacher salaries. Therefore, there is a serious shortage of resources to procure and distribute materials and equipment to ensure acceptable quality of basic education at school. On top of that, the low capacities of personnel in the areas of management, planning, administration, and service delivery, severely fetter the government to achieve ESP goals at various levels of its structure.

5. School management and Policy Implementation Issues

5.1 Perception on UPE at school level

Quality and relevance of education can be enhanced at the level of basic education by focusing on literacy, numeracy, life skills and vocational skills which matches the socio-cultural environment and local labor demands. For the students and parents, it is an important determinant of enrolment and retention whether the skills and knowledge learned at school are useful for the life after graduation. Unless they see good prospects, regardless of accessibility or quality of education, students and parents may choose not to enroll or to continue education.

At the same time, from the administrative point of view, it is crucial to establish a mechanism of performance-based monitoring and evaluation. Currently, ESP and AESOP are developed at the national level and the monitoring/evaluation has been done in a rather top down approach (MoES, 2005). Programs and curriculums prepared in such manner may not fit to the context and, as a result, may not be attractive enough for local stakeholders to actively participate in financing and managing the education system. Therefore, it should be carefully reviewed whether AESOP is designed to empower local actors effectively and, if necessary, some modification should be considered.

5.2 Management mechanism of UPE

Presently, 34% of the total education resource envelop is being provided by non-statutory and external sources such as development partners, internally generated resource of GET Fund, HICP ad DACF. To strengthen partnership, set common framework and establish reporting system are the areas which the government need to focus on, so as to strengthen the management mechanism of UPE.

A funding framework called 'Multi Donor Budgetary Support (MDBS)' was agreed among major donors in 2004, which is a unified channel of providing funds directly to the Ministry of Finance (Adu-Boahene 2005). The funds provided through MDBS melt into the GOG's national budget and Ministry of Finance is responsible for allocating resources in negotiation with various ministries. The other funding modality which has been introduced in the last few years is Sector Budgetary Support (SBS), which is sector support. Regarding the SBS funds, MoES decides its allocation across sub-sectors based on their priorities identified in the AESOP, although it is assumed that this allocation is consistent with the sector development strategy driven by the GPRS and MDGs. (Adu-Boahene 2005)

5.3 Cost of schooling

Free Tuition Policy

Recent issue of PESPR identified 64.9% of 30 surveyed districts with KG attached have implemented the free tuition policy under ESP framework. Yet 26.7%, 8 out of 30 districts had not implemented the free tuition policy at any school in the district which seems it is a backdrop of access to primary education especially financially marginalized area (MoES 2006a).

Direct and indirect cost

Direct cost such as school uniform, text book and travel fees strongly affects a student's accessibility to education. Access to higher levels of schooling is much more restricted according to the World Bank study in 1996 that only 46% of households had a middle school in the community, while the rest had to travel at least 5 miles to reach such a school. Further, only 8% of households had a secondary school in their community and the average distance to the nearest school was 15 miles. Since 95% of students in Ghana attend free public schools, the main direct costs of schooling are the time and cost of travel. The costs of post-primary schooling, represented as the distance needed to travel to JSS and SSS schools, are among the strongest determinants of primary school enrollment and completion.

Further, the costs of post-primary school can offset any positive effects on enrollment which improved access to primary education might have. The study suggests that even when the focus of policy is expanding primary school enrollment and completion, it is at least as important to improve access to secondary education cycle as it is access to primary schools.

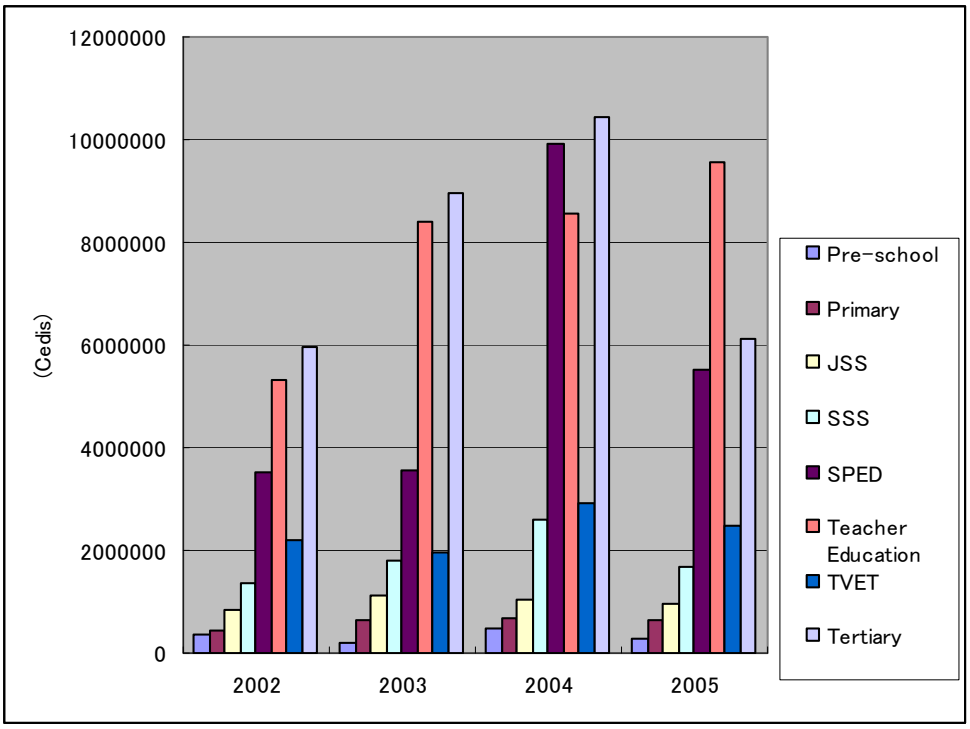
Per student government expenditure

Unit costs at the primary level have remained relatively constant but declined in the period 1995 to 1998 despite the objectives of fCUBE. Unit costs for JSS increased in 1995, but by 1998 had returned to their 1992 level. Expenditure per student at the SSS level, however, has increased significantly since 1992. The unit costs of technical and vocational education have increased since falling in the mid- 1990s. By level of education, the most dramatic change in the unit costs has been the increase in cost per student in teacher education. The unit cost of polytechnic students more than doubled between 1992 and 1998, but in 1998 was only about one-third of the unit cost of teacher education and a quarter of the unit cost of university. Over the same period, the university student unit declined by 37.5 %. Thus, the disparity in unit costs between these forms of tertiary education has been closing.

Figure 5.1 shows the trends of unit cost by level of education between 2002 and 2005 (The basis of calculation is GOG fund, not the total resource envelop). As per the average of this period, it costs about 14 times as much to educate a tertiary student as a

primary student. In 2005, the cost difference reduced to 10 times. This depicted that more resources have been shifted also to the primary sector in 2005 especially from the GOG.

Figure 5.1: Unit cost by level of education (per student)(cedis)(GOG)



Source: MoES 2006a, 111.

5.4 Reasons for dropout and repetition

Reasons identified from student leaving education system are poverty, irrelevancy of educational contents, death and divorce of parents, weak in academic background, distance and migration from rural to urban areas. According to the child labour survey conducted in 2003, it was found that there is a significant proportion of children living on the street – 8% of 5 to 9 years old and 54% of those aged 15 to 17 years – who were not attending any form of education. This data was seriously taken by the MoES and Non-Formal Education Division (NFED).

The followings are the policies and strategies outlined in the plan concerning the out-of-school children and youth under ESP:

- To support them with complementary/alternative education programmes
- To design and implement programmes for the integration of complementary schools with formal education system

- Access the cost and application of distance and on-line approaches to education for those outside the physical reach of tertiary institutions
- To research and integrate excluded children intra-cycle dropouts and adolescent mothers within the formal system where possible
- To develop programmes a the secondary and tertiary levels that have a definitive focus on job market readiness, preparation and entrepreneurship through alliance with private sector and other public sector agencies
- To establish database on career advancement for students and provide careers advisory service

5.5 Policy gap

Table 5.1: Education Sector Program Expected Result

	1990	2003/2003	2005/2006	2015 MDGs
Gross Primary Enrolment %				
National	79	81	88.5	100
Female	n.a	78	88.5	100
Deprived Regions				
Northern Region	n.a	68	70	100
Upper East Region	n.a	72	79	100
Upper West Region	n.a	70	73	100

MoES, World Bank, 2003

Progress has been made in each of thematic areas; access, quality, science and TVET, and education management, while it is not sufficient to meet the targets unless otherwise financial and technical backdrops are solved.

Followings are identified opportunities to way forward in achieving UPE by 2015

- Retain qualified teachers in the deprived areas
- Deliver core text books to primary pupils in deprived area
- Increase resources for non-salary expenditures, since most of the resources expenditures, (90 percent) goes for teachers salaries
- Elimination of school fees in deprived areas should increase enrollment rates
- Plan a new budget allocation formula to increase funding available for deprived areas and ensure predictability of funding.

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‘A Comparative Analysis on Universal Primary Education Policy in Sub-Sahara Africa’

The case of KENYA[1]

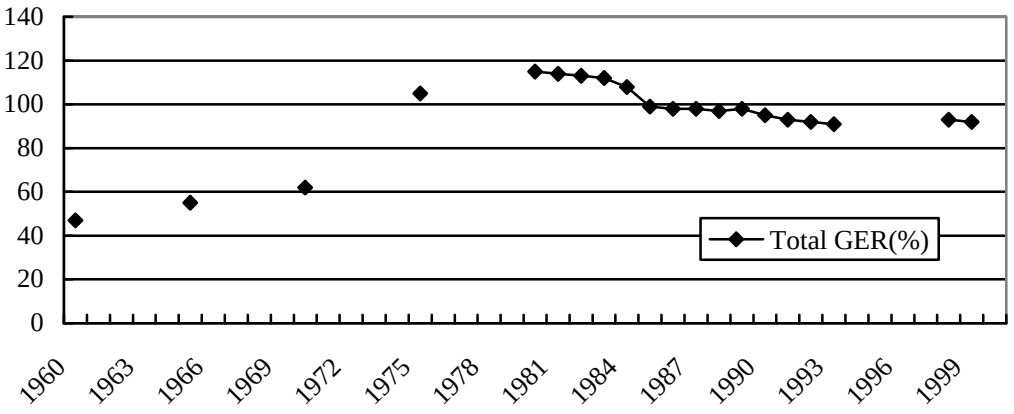
[1] This study employs two main methods. One is to review existing literature and the other is to interview with stakeholders, i.e. head teachers, class teachers, parents, pupils, officials in the central and local offices of the Ministry of Education (MOE) and donor agencies. This is one of the country reports in order to analyze UPE policy in Sub-Saharan Africa with particular reference to its performance, finance, administration, perception and policy.

TABLE OF CONTENTS

1. Historical Overview of Primary Education Policy in Kenya

Since independence in 1963, the Government of Kenya (GOK) has perceived education as one of the crucial factors for national development and committed itself to providing universal primary education (UPE). It was in the 1970s that this commitment took the form of free primary education (FPE) for the first time; in 1974, FPE was partially implemented to cover children in standards 1 to 4 and then extended to standards 5 to 7 in 1978. This initiative brought a dramatic gain in primary school enrollments and a gross enrollment rate (GER) increased from 47 percent (1963) and peaked at 115 percent in 1980.

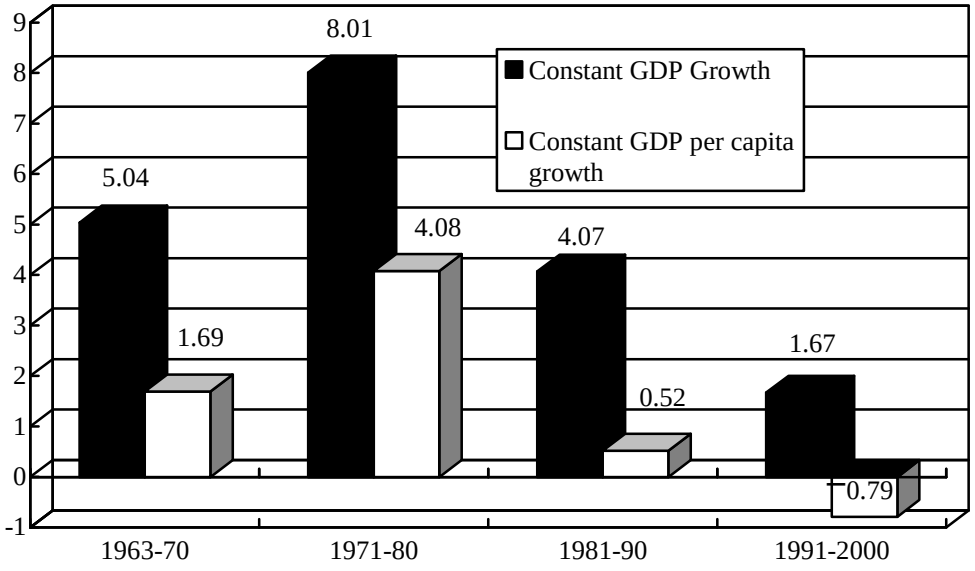
Figure 1.1: National Gross Enrollment Rate between 1960 and 1999



Source: Legovini (2002)

Kenya's economy made a remarkable advance in the first two decades after independence. For example, between 1963 and 1970, the economy developed at an average real growth rate of 5 percent and from 1971 to 1980 at 8 percent. Being negatively affected by the oil crisis in the 1970s, however, it stagnated in the 1980s and thereafter (See Figure 1.2). To overcome this situation, the government, along with the support from the World Bank and IMF, launched structural adjustment programmes (SAPs) and resulted in suspending the FPE policy. Then, cost sharing policy was introduced in 1989 as part of SAPs, whereby parents and communities were required to contribute to their children's schooling. Under this policy, the Government was to train and employ teachers while communities were to construct physical facilities and to ensure their maintenance, and the cost of textbooks and activities and additional tuition and examination fees became parents' responsibility. It is said that this policy prevented many children from access to primary education.

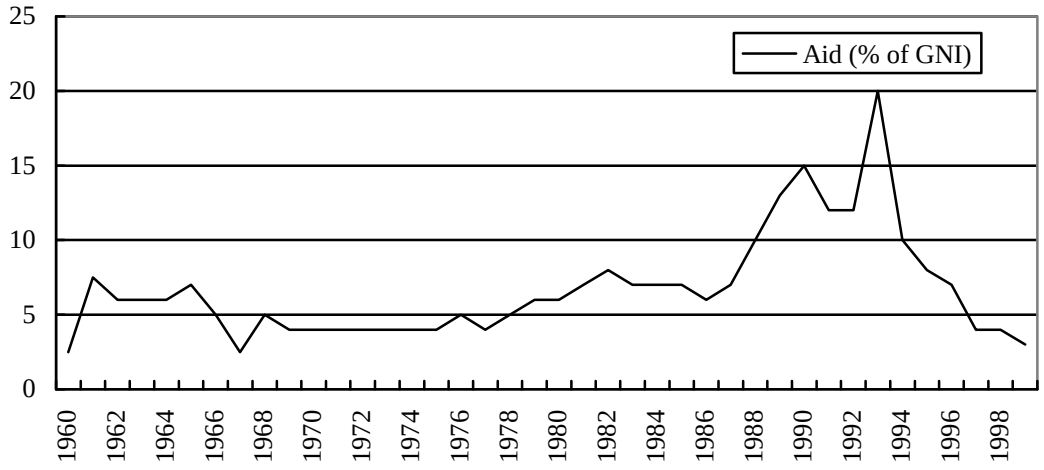
Figure 1.2 Economic Growth by Decade



Source: Legovini (2002)

Economic performance remained very poor from the early 1990s till the early 2000s due to weak macroeconomic management, slow progress in structural reforms and failure to address governance issues. Because of these failures, coupled with the political turmoil stemming from the 1992 and 1997 elections, Kenya lost credibility in the international community as reflected in the fall of international aid back to the level of before 1980. Low GDP growth rates during this period are partly ascribed to the decrease in aid inflow.

Figure 1.3 International Aid



Source: Legovini (2002)

In December 2002, the domination of one political party, which had ruled the country since independence, came to an end. Kenyan voters elected their new president Kibaki from the National Rainbow Coalition (NARC). Being confronted with the enormous challenge of reconstructing the economy, the new government quickly embarked on

strengthening its poverty reduction efforts, and addressing the governance and economic management issues. The government has emphasized importance of education, recognizing the close links between poverty alleviation, economic growth, and human development. The FPE policy implemented in January 2003 was one of the NARC's campaign pledges.

In November 2003, the Ministry of Education, Science and Technology (MOEST)[2] held a National Conference on Education and Training to address various challenges arising from the abolition of fees and levies. The conference outcomes were then used to develop the Sessional Paper of 2005 on a Policy Framework for Education, Training and Research. To build comprehensive partnership between the various sub-sectors in education and training, the Ministry adopted a Sector Wide Approach (SWAp) in planning its overall development. The Ministry in collaboration with development partners, civil societies and other stakeholders developed a five-year investment programme (KESSP), which was launched in July 2005, to operationalize the Sessional Paper of 2005 through the SWAp process. The investment programme aims at "Delivering Quality Equitable Education and Training to All Kenyans" as clearly stated in the KESSEP document and is guided by the broad principles as stipulated in the Economic Recovery Strategy (ERS), the Millennium Development Goals (MDGs) and Education for All (EFA). Out of the 23 investment programmes listed in the document, the following 18 programmes directly or indirectly support the implementation of the FPE programme:

1. Primary School Infrastructure Programme
2. ECDE Programme
3. Non-Formal Education Programme
4. Special Needs Education Programme
5. Adult Basic Education Programme
6. HIV/AIDS Programme
7. School Feeding Programme
8. School Health and Nutrition
9. School Instructional Materials Investment Programme
10. Support to Low Cost Boarding Primary Schools
11. Primary Teacher Training Investment Programme
12. Primary Teacher In-Service Training Investment Programme
13. ASAL Mobile Schools Investment Programme
14. Capacity Building Investment Programme
15. Education Management Information System (EMIS)
16. Information, Communication and Technology (ICT)
17. Guidance and Counseling
18. Quality Assurance and Standards Investment Programme.

[2] The Ministry was divided into the Ministry of Education (MOE) and the Ministry of Science and Technology (MOST) in 2005.

2. Performance Gap

The FPE policy removed one of the major barriers to access to education for children of parents with limited resources and reversed a trend of declining enrollment rates. The gross enrolment rate (GER) increased quickly from 88.2 percent (2002) to 102.8 percent (2003) and rose further to 104.8 percent in 2004 (See Table 2.1). The net enrolment rate (NER) also went up from 76.4 percent (2002) to 80.4 percent (2003) and further increased to 82.1 percent in 2004 (See Table 2.2). At the national level, gender parity had almost been achieved before FPE; although boys present better figures than girls both in GER and NER, difference between the two is insignificant. At the regional level, it is impressive that girls surpass boys in Nairobi for GER and NER, and in Central and Eastern provinces for NER in 2004. A serious challenge, which the FPE policy has not solved yet, lies in regional disparity. For example, North Eastern Province recorded the least GER and NER of 26.6 percent and 19.6 percent (2004) compared to the highest Western Province of 134.2 percent and 98.3 percent respectively. There is a significant gender disparity in North Eastern Province after as well as before the introduction of FPE.

Table 2.1 Primary Gross Enrolment Rate by Gender and Province, 1999- 2004

Percent

	1999		2000		2001		2002		2003		2004	
PROVINCE	Boys	Girls	Boys	Girls	Boys	Girls	Boys	Girls	Boys	Girls	Boys	Girls
Coast	82.0	66.3	71.9	61.8	70.8	60.3	70.3	59.4	86.9	73.7	97.3	83.7
Central	110.4	111.4	99.3	101.9	95.9	97.9	92.2	93.3	102.3	100.9	102.2	99.9
Eastern	102.3	100.9	100.6	104.6	99.9	103.7	103.0	105.2	116.3	114.9	120.6	117.4
Nairobi	60.1	52.2	33.2	37.2	29.4	33.0	32.3	36.2	39.1	43.9	41.0	45.8
Rift Valley	89.4	86.6	89.4	85.5	92.0	87.9	92.3	88.1	109.5	102.7	113.0	104.2
Western	102.0	103.1	107.2	106.1	105.8	104.9	112.6	108.0	137.4	123.2	143.3	125.9
Nyanza	99.5	96.1	108.7	105.7	105.6	102.8	104.8	102.3	127.8	122.8	126.2	117.4
North Eastern	23.1	12.4	26.0	13.7	24.7	13.2	25.3	13.3	32.4	18.8	33.5	18.5
TOTAL	92.6	89.7	89.0	88.4	88.0	87.3	88.9	87.5	105.0	100.5	108.0	101.6
GRAND TOTAL	91.2		88.7		87.6		88.2		102.8		104.8	

Source: MOE (2006a), p.13

Table 2.2: Primary Net Enrolment Rate by Gender and Province, 1999- 2004

Percent

	1999		2000		2001		2002		2003		2004	
PROVINCE	Boys	Girls	Boys	Girls	Boys	Girls	Boys	Girls	Boys	Girls	Boys	Girls
Coast	58.9	52.1	52.6	46.1	60.1	52.4	58.2	53.2	66.9	60.1	72.8	67.7
Central	82.6	84.5	77.4	80.1	80.5	83.0	83.5	87.8	83.6	84.2	81.4	81.8
Eastern	74.2	76.8	77.9	80.8	83.5	86.2	87.7	91.6	90.4	90.3	91.4	91.5
Nairobi	46.4	43.5	24.2	28.1	37.8	44.3	25.4	29.5	35.5	40.3	35.9	41.1
Rift Valley	67.8	67.3	70.2	68.8	75.0	74.3	81.1	81.5	84.1	82.0	87.8	85.4
Western	74.2	77.2	78.4	75.3	91.8	87.2	95.4	91.7	97.5	93.2	99.3	97.2
Nyanza	74.4	73.7	80.2	79.8	90.9	89.2	88.9	89.6	96.2	95.4	96.9	96.2
North Eastern	17.9	10.6	19.3	11.0	18.8	11.3	19.6	14.1	26.1	16.2	23.6	14.9
TOTAL	68.8	68.8	67.7	67.8	75.0	75.0	76.5	76.3	80.8	80.0	82.2	82.0
GRAND TOTAL	68.8		67.8		75.0		76.4		80.4		82.1	

Source: Source: MOE (2006a), p.14

One of the key achievements of the FPE policy is the provision of learning materials particularly textbooks in primary schools, thus improving the quality of education. The textbook-pupil ratio (TPR) tends to be towards 1:3 for core subjects in lower primary and 1:2 for core subjects in upper primary compared to 1:15 before the FPE (See Table 2.3 and also Alubisia, 2005). Meanwhile, the nation-wide pupil-teacher ratio (PTR), which is another quality measurement, rose from 31:1 (1999) to 40:1 (2004) (See Table 2.4). As Kenya's national PTR was traditionally much lower than those of the other Sub-Saharan African countries, its rise can be considered as the improvement of teacher utilization rather than the deterioration of educational quality, at the national level, but not necessarily at the regional and the school levels. In some schools, particularly in ASAL areas the PTR exceed 100:1 (MOE workshop, April 2006). The scores of KCPE (Kenya Certificate of Primary Education) examination have not shown significant difference in the national average between 2001 and 2004. Boys get better marks than girls on average in all provinces both before and after the FPE (See Table 2.5). On the other hand, according to the assessment carried out in February 2006 by the Directorate of Quality Assurance and Standards of the Ministry of Education, out of the 35 low achieving districts, 21 has steadily improved KCPE performance between 2002 and 2005 (MOE workshop, April 2006).

Table 2.3: Textbook Pupil Ratio by Subject and Standard, 2003

Standard	English	Mathematics	Science	Kiswahili	GHCRE
Standard 1	1:2	1:3	1:3	1:4	1:164
Standard 2	1:4	1:5	1:4	1:8	1:234
Standard 3	1:3	1:4	1:4	1:6	1:273
Standard 4	1:3	1:3	1:3	1:5	1:95
Standard 5	1:2	1:2	1:2	1:2	1:51
Standard 6	1:3	1:4	1:4	1:5	1:53
Standard 7	1:3	1:3	1:3	1:4	1:41
Standard 8	1:2	1:2	1:2	1:3	1:29
Total	1:2	1:3	1:3	1:4	1:71
Lower Primary	1:3	1:4	1:3	1:5	1:207
Upper Primary	1:3	1:3	1:3	1:3	1:49

Source: Source: MOE (2006a), p.23

Table 2.4: Pupil Teacher Ratio, 1999-2004

PROVINCE	1999	2000	2001	2002	2003	2004
Coast	32.9	33.5	34.6	35.1	43.6	48.8
Central	31.9	31.4	31.0	33.0	35.8	36.5
Eastern	29.2	28.7	29.3	31.5	35.0	36.9
Nairobi	31.9	32.2	34.4	35.3	48.1	48.5
Rift Valley	29.9	30.2	31.0	33.1	36.8	38.1
Western	34.9	35.0	36.3	40.1	46.1	48.0
Nyanza	30.9	30.5	30.7	34.4	41.9	40.3
North Eastern	40.3	40.8	41.1	38.2	50.0	45.6
Total	31.2	31.0	31.6	34.1	39.1	40.3

Source: Source: MOE (2006a), p.21

Table 2.5 KCPE Mean Score by Gender and Province, 2000 – 2004

	2000		2001		2002		2003		2004	
PROVINCE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE
Coast	338.48	361.90	243.65	259.07	248.01	263.23	245.52	262.31	243.33	256.84
Central	324.01	342.80	234.26	248.06	234.12	243.78	236.29	248.81	235.53	244.95
Eastern	344.29	367.71	241.42	257.67	239.90	253.07	238.93	253.36	240.27	251.33
Nairobi	354.70	358.29	265.35	270.47	267.21	269.98	267.58	273.03	267.67	269.46
Rift Valley	348.48	372.99	246.65	263.20	249.88	263.41	243.70	260.61	242.64	257.98
Western	344.25	367.16	242.29	260.59	244.60	260.04	243.23	260.94	246.60	262.00
Nyanza	311.28	342.36	226.36	247.60	227.02	246.79	227.80	250.00	233.40	254.32
North Eastern	277.14	304.39	151.69	183.59	167.87	198.42	180.50	205.32	194.32	218.88
Private	263.17	297.68	193.12	207.92	200.98	216.35	205.47	222.78	213.99	222.60
TOTAL	335.29	357.37	239.53	255.07	240.68	253.87	239.34	254.94	240.59	253.96
NATIONAL	346.71		247.53		247.50		247.42		247.57	

Source: Source: MOE (2006a), p.50

The Ministry's statistics shows that a repetition rate (RR), a measurement of internal efficiency, declined from 13.2 percent (1999) to 9.8 percent (2003) (See Tables 2.6 and 2.7). Further before the FPE, the Ministry's policy has not allowed children to repeat grades even if they did repeat on the ground. It has been their parents who would like them to stay in the same grade when their performance is poor for fear of undesirable results in KCPE examination. Most of the head teachers interviewed in Nairobi claimed that the FPE policy has contributed to reduction in grade repetition as there is no room for pupils to remain in the same class due to highly expanded access. Besides, they acknowledged that there are still a few cases where pupils are not promoted to the next grade when parents request it in a written form with proper reasons. A dropout rate (DR), 4.9 percent in 1999 and 2.0 percent in 2003, also presents a positive trend (See Tables 2.8 and 2.9). Although the FPE policy must have brought positive impacts on RR and DR, the available data are hardly considered to reflect the reality of such a situation. Cases of repetition between public and non-public schools, different localities and after an interval of years have not been fully captured in the data. The DR also possibly underrepresents the reality. Most of the head teachers interviewed remarked that it is quite difficult to differentiate dropout and transfer as there is no way to trace those who leave a school reporting they will be enrolled in another; they might just drop out.

Table 2.6: Primary Repetition Rate by Gender and Province, 1999 and 2003

Percent

	1999			2003		
PROVINCE	Boys	Girls	Total	Boys	Girls	Total
Coast	14.7	15.1	14.9	11.6	11.2	11.5
Central	11.6	10.5	11.0	6.8	6.2	6.5
Eastern	13.2	13.1	13.2	8.5	7.9	8.2
Nairobi	3.0	2.4	2.7	0.7	0.6	0.6
Rift Valley	15.6	14.9	15.2	11.0	10.0	10.5
Western	15.4	13.8	14.6	12.3	11.4	11.9
Nyanza	12.7	12.2	12.5	10.3	9.3	9.8
North Eastern	6.5	9.3	7.4	4.5	4.9	4.7
Grand Total	13.5	12.9	13.2	10.1	9.4	9.8

Source: Source: MOE (2006a), p.17

Table 2.7: Primary Repetition Rate by Gender and Standard, 1999 and 2003

Percent

	1999			2003		
CLASS	Boys	Girls	Total	Boys	Girls	Total
Standard 1	17.9	16.5	17.2	10.7	8.0	9.3
Standard 2	13.2	12.8	13.0	9.6	8.8	9.2
Standard 3	13.2	11.9	12.6	9.2	8.2	8.7
Standard 4	13.6	12.9	13.3	9.7	8.8	9.3
Standard 5	12.1	11.9	12.0	8.7	9.4	9.1
Standard 6	12.3	12.5	12.4	8.7	6.9	7.8
Standard 7	17.0	17.0	17.0	11.1	10.8	11.0
Standard 8	4.3	3.9	4.1	9.1	8.4	8.8
Grand Total	13.5	12.9	13.2	10.1	9.4	9.8

Source: Source: MOE (2006a), p.18

Table 2.8: Primary Dropout Rate by Gender and Province, 1999 and 2003

	1999			2003		
PROVINCE	Boys	Girls	Total	Boys	Girls	Total
Coast	5.2	5.0	5.1	1.9	1.8	1.8
Central	3.1	2.6	2.9	1.0	0.8	0.9
Eastern	6.4	5.7	6.1	1.9	1.4	1.6
Nairobi	1.6	1.3	1.5	1.6	1.3	1.5
Rift Valley	4.9	4.7	4.8	2.3	2.2	2.2
Western	5.1	5.0	5.1	2.4	2.4	2.4
Nyanza	5.5	6.2	5.8	2.8	3.1	2.9
North Eastern	5.5	6.9	6.0	2.3	3.1	2.6
Grand Total	5.0	4.8	4.9	2.1	2.0	2.0

Source: Source: MOE (2006a), p.19

Table 2.9: Primary Dropout Rate by Gender and Class, 1999 and 2003

	1999			2003		
CLASS	Boys	Girls	Total	Boys	Girls	Total
Standard 1	4.8	4.6	4.7	2.1	1.7	1.9
Standard 2	4.2	4.1	4.2	1.9	1.6	1.8
Standard 3	4.8	4.3	4.6	2.0	1.7	1.9
Standard 4	5.6	4.8	5.2	2.2	1.8	2.0
Standard 5	5.6	5.0	5.3	2.2	2.0	2.1
Standard 6	6.1	5.8	6.0	2.4	2.6	2.5
Standard 7	6.8	7.1	6.9	2.6	3.3	2.9
Standard 8	1.9	2.6	2.3	1.0	1.5	1.2
Grand Total	5.0	4.8	4.9	2.1	2.0	2.0

Source: MOE (2006a), p.19

3. Financial Gap

3.1 Finance at the School Level

School-level finance has been "decentralized" in Kenya. Funding from the government is provided directly through the Ministry of Education to each primary school as a capitation grant of 1,020 Kenyan Shillings (Kshs) per pupil to finance the purchase of textbooks and other teaching and learning materials, as well as to support other school operation activity. Not only public schools but also registered non-public ones are entitled to receive the capitation grant. Each school must spend the grant in accordance with the instruction given by the Ministry and not necessarily utilized it based on actual needs.

An annual audit is conducted by district auditors. Here is a summary of audit report on the accounts of primary schools for the year 2006, prepared by auditors in a district. It is found that further capacity development is required on the bank side as well as on the school side.

Table 3.1 Summary of Audit Report

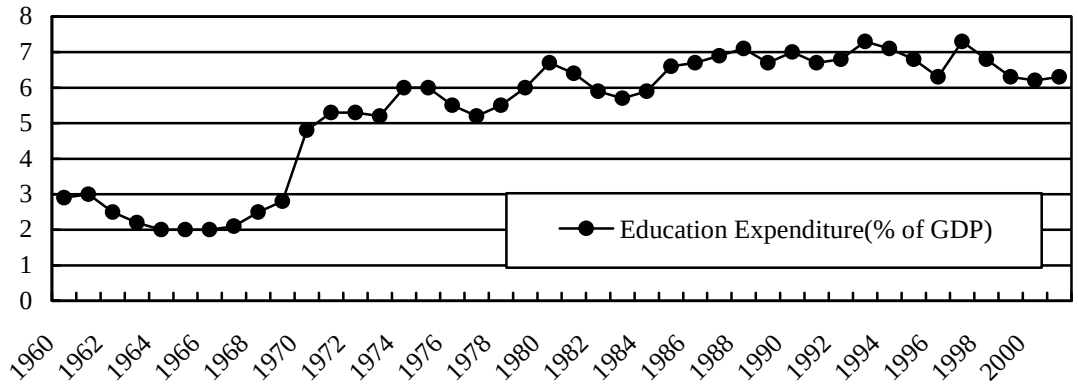
● 23.2% of the schools could not be audited as the head teachers did not submit their books for audit.
● Weakness Observed: 1) In most of the school filing system of payment vouchers was poor. 2) Some head teachers had difficulties in preparation of the books of account. 3) In some cases money for SIMBA (School Instructional Materials Bank Account) account was banked in GPA (General Purpose Account) account and vise versa. 4) Money from other sources e.g. Constituency Development Fund was banked in FPE account which is contrary to the regulation governing FPE. 5) Receipt and issue register were not put to proper use. 6) In some cases, money was kept in school's bank account for a long period especially in SIMBA account. 7) There were complaints of delay in disbursement of funds from MOE. 8) Some new schools that had started did not benefit from FPE funds. 9) In a primary school in the district, the head teacher paid a supplier by personal cheque instead of his business name.
● Strength Observed: 1) All schools audited had raised payment voucher except a few that had not raised it for SIMBA Account. 2) Most schools had a functional SIMSC (School Instructional Materials Selection Committee). 3) Auditors did not come across cases of gross financial mismanagement.

3.2 Finance at the National Level

Kenya has spent significantly more on education compared to other African countries. Education expenditure has fluctuated between 5 and 8 percent of GDP since 1970 (See Figure 3.1 and Table 3.2). Over the last five years, the average percentage of actual spending in primary, secondary and university education has been 53.0 percent, 24.6 percent and 11.9 percent, respectively (See Table 3.3). Unit Cost of primary

education is Kshs 5,438 as of 2003/04 and those of secondary, TIVET and university education are 4.1, 6.6 and 25.2 times as that of primary education, respectively (See Table 3.4).

Figure 3.1 Education Expenditure as % of GDP between 1960 and 2001



Source: Legovini (2002)

Table 3.2 Education Expenditure as % of the Total Government Expenditure and as % of GDP between 1991 and 2005

	Education Expenditure as % of Total Government Expenditure	Education Expenditure as % of GDP
1991/92	18.8	5.5
1992/93	15.3	5.3
1993/94	15.1	5.4
1994/95	19.2	6.1
1995/96	19.4	6.1
1996/97	20.4	5.7
1997/98	22.6	6.9
1998/99	22.7	6.1
1999/00	26.6	6.1
2000/01	25.4	6.1
2001/02	29.4	6.1
2002/03	29.6	6.6
2003/04	27.4	6.6
2004/05	27.1	7.2
2005/06*	26.9	8.3

* Printed Estimates

Source: *QBR, Treasury, June 2001 Edition*<1991/92-1999/00>, MOEST (2004)<2000/01>, p.33 and MOE (2005a)<2001/02-2005/06>, p.21

Table 3-3 Total Recurrent and Development Actual Budget Expenditure (Percent)

Sub-Vote	2000/01	2001/02	2002/03	2003/04	2004/05
General Administration and Planning less teachers salaries and allowances	7.2	5.5	11.2	8.4	6.2
Primary Education including teacher salaries	**53.8**	**51.7**	**49.7**	**52.8**	**56.8**
Teachers Education	0.3	0.3	0.2	0.5	0.3
Schools for Handicapped	0.2	0.2	0.2	0.2	0.3
Miscellaneous services	0.5	0.5	0.3	0.3	0.4
Early Childhood Education	0.3	0.4	0.3	0.2	0.0
Secondary Education including teacher salaries	23.9	27.6	25.3	24.9	21.3
Technical Education	1.6	1.7	1.4	1.6	2.1
University Education	12.3	12.1	11.3	11.0	12.6
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: MOEST (2004) and MOE (2005a),

Table 3-4: Unit Cost of Actual Spending by Government and Donors in 2003/04

Sub-Sector	Cost per Student (Kshs)	Ratio to Primary
Primary	**5,438**	**N/A**
Secondary	22,381	4.1
TIVET(MOES&T institutions only)	35,932	6.6
University	136,882	25.2

Source: MOEST (2004), p.42

Regarding external support, currently, 12 donors have been involved in the education sector, among which the World Bank, DFID and UNICEF have joined the SWAP pooling fund arrangement. Brun et al. (2003) presents the financial gap between the estimated expenditure to achieve the MDGs by 2015 and the potential domestic resources under several alternative policy measures (See Tables 3.5 and 3.6). As is shown in Table 3.6, including AIDS-related costs, the gap for external financing is estimated between 53 and 134 million U.S. Dollars as of 2000 on annual average from 2001 to 2015. Meanwhile, Table 2 shows the data for the years 1999 and 2004, constituting the EFA Indicative Framework used for the Fast-Track Initiative. Pupils per teacher and average repetition rates have reached “Best Practice” by 2004. The education share of government and the primary education share of government recurrent budget, both of which were already beyond the standard settings in 1999, have further expanded. Although the share of recurrent spending on inputs other than teachers has significantly improved from 4.2 percent in 1999 to 15.0 percent in 2004, it is still far behind “Best Practice”, i.e. 33.3 percent. On the whole, the financial status has improved after the introduction of FPE within the framework.

Table 3-5: MDG-2015 Financing Gap under Alternative Policy Measures, Kenya.

		A:QUALITY MEASURES			B:EFFICIENCY MEASURES	C:FINANCING MEASURES				
Policy Scenario1)		Pupil Per Teacher	Spending on Inputs Other than Teachers 2)	Average Annual Teacher Salary (as multiple of per capita GDP)	Average Repetition Rate	Government Revenue 3)		Primary Education Recurrent Spending 4)	Private Enroll-ments (as % of total)	Annual Financing Gap5)
						As % of GDP	% for Education			
Status quo		31	4.2%	5.3	14.2%	24.2%	26.2%	44.2%	2.2%	53
A only		31	33.3%	5.3						178
A+B		40	33.3%	4.8	10.0%					-3
"Best practice": A+B+	C1	40	33.3%	4.8	10.0%	16.0%	26.2%	50.0%	10.0%	61
	C2					16.0%	20.0%			113
	C3					24.2%	20.0%			32

Source: Bruns et.al (2003), p.216

Note:

1) Policy scenarios are: A for quality improvement, B for efficiency improvement, and three alternation resource mobilization scenarios (C1, C2 and C3). The combination of scenarios A+B+C is considered "best practice."
2) As a share of primary education recurrent spending.
3) Current revenues, excluding grants.
4) As a share of total education recurrent spending.
5) In millions of 2000 U.S. dollars. Calculated as the difference between the total cost of service delivery under the specific policy scenario and the total resources for primary education mobilized domestically.

Table 3-6: MDG-2015 Cost Estimates and Sources of Financing under "Best Practice"Policies and Alternative Resource Mobilization Scenarios (millions of 2000 U.S. dollars), Kenya.

Cost Item	Period	Scenario	Domestic Resources Mobilized	COST OF MDG-2015			FINANCING SOURCES					
							DOMESTIC RESOURCES			GAP FOR EXTERNAL FINANCING		
				Recur.	Cap.	Total	Recur.	Cap.	Total	Recur.	Cap.	Total
Education Service Delivery	Cumulative, 2001-2015	C1	5,517	6,436	0	6,436	5,517	0	5,517	919	0	919
		C2										
		C3										
	Annual	C1	368	429	0	429	368	0	368	61	0	61
		C2	316	429	0	429	316	0	316	113	0	113
		C3	397	429	0	429	397	0	397	32	0	32
AIDS-Related Costs	Annual	C1		21		21	0		0	21		21
		C2		21		21	0		0	21		21
		C3		21		21	0		0	21		21
Both Items	Annual	C1		450	0	450	368	0	368	82	0	82
		C2		450	0	450	316	0	316	134	0	134
		C3		450	0	450	397	0	397	53	0	53

Source: Bruns et.al (2003), p.216

Note: "Best practice" policies refer to the combination of scenarios A+B+C.

The KESSP also presents indicative financing gap between 2005 and 2009. In order to cover the whole education sector, it is estimated that there is a financial gap of 172.87 million U. S. Dollars (as of December 2005) every year over the five years between the total proposed investment and the total government funding. The total external funding being considered is 558.51 million U. S. Dollars, which makes 111.70 million of U. S. Dollars on annual average (See Table 3-7). The government recognizes that the gap cannot be bridged without assistance from the development and private sector partners (MOEST, 2005b). There needs to a more detailed discussion on the aspect of financing, and the biggest question is the extent to which the free primary education intervention is sustainable with such heavy financial support by the government and the development partners as well as poor economic performance.

Table 3-7: Indicative Financing Gap (Kshs million) between 2005/06 and 2009/10

	2005/06	2006/07	2007/08	2008/09	2009/10	TOTAL	AVERAGE
Net GOK Recurrent Funding	86,792.00	91,131.60	95,688.20	99,515.70	103,496.40	476,623.90	95,324.78
Net GOK Development Funding	842.00	842.00	842.00	842.00	842.00	842.00	842.00
Total GOK Funding	87,634.00	91,973.60	96,530.20	100,357.70	104,338.40	480,833.90	96176.78
Total Proposed Investment	96,544.90	105,338.00	112,628.50	113,343.00	115,557.20	543,411.60	108,682.32
Financial Gap (A)	8,911.00	13,364.40	16,098.20	12,985.30	11,218.9	62,577.80	12515.56
(A) in million. Of 2005 US$	***123.08***	***184.59***	***222.35***	***179.35***	***154.96***	***864.33***	***172.87***
Total Donor Funding (B)	6,979.10	6,546.50	4,557.70	2,350.00	1,708.40	22,141.70	4,428.34
(A)-(B)	1,931.90	6,817.90	11,540.50	10,635.30	9,510.50	40,436.10	8087.22
(A)-(B) in million of 2005 US$	*26.68*	*94.17*	*159.40*	*146.90*	*131.36*	*558.51*	*111.70*

Source: MOEST (2005b)

Table 3.8: The EFA Indicative Framework and data for 1999 and 2004

	1999	2004
Average Annual Teacher Salary (as Multiple of per capita GDP)	5.3	N/A
Pupil per Teacher	31	40
Share of Recurrent Spending on Inputs other than Teachers	4.2%	15.0%
Average Repetition Rate	14.2%	9.8% (2003)
Education Share of Government Recurrent Budget	26.2%	34.0%
Primary Education Share of Government Recurrent Budget	44.2%	54.9%

Source: Brun et al.(2003, p.147) and MOE (2005a)

4. Administrative Gap

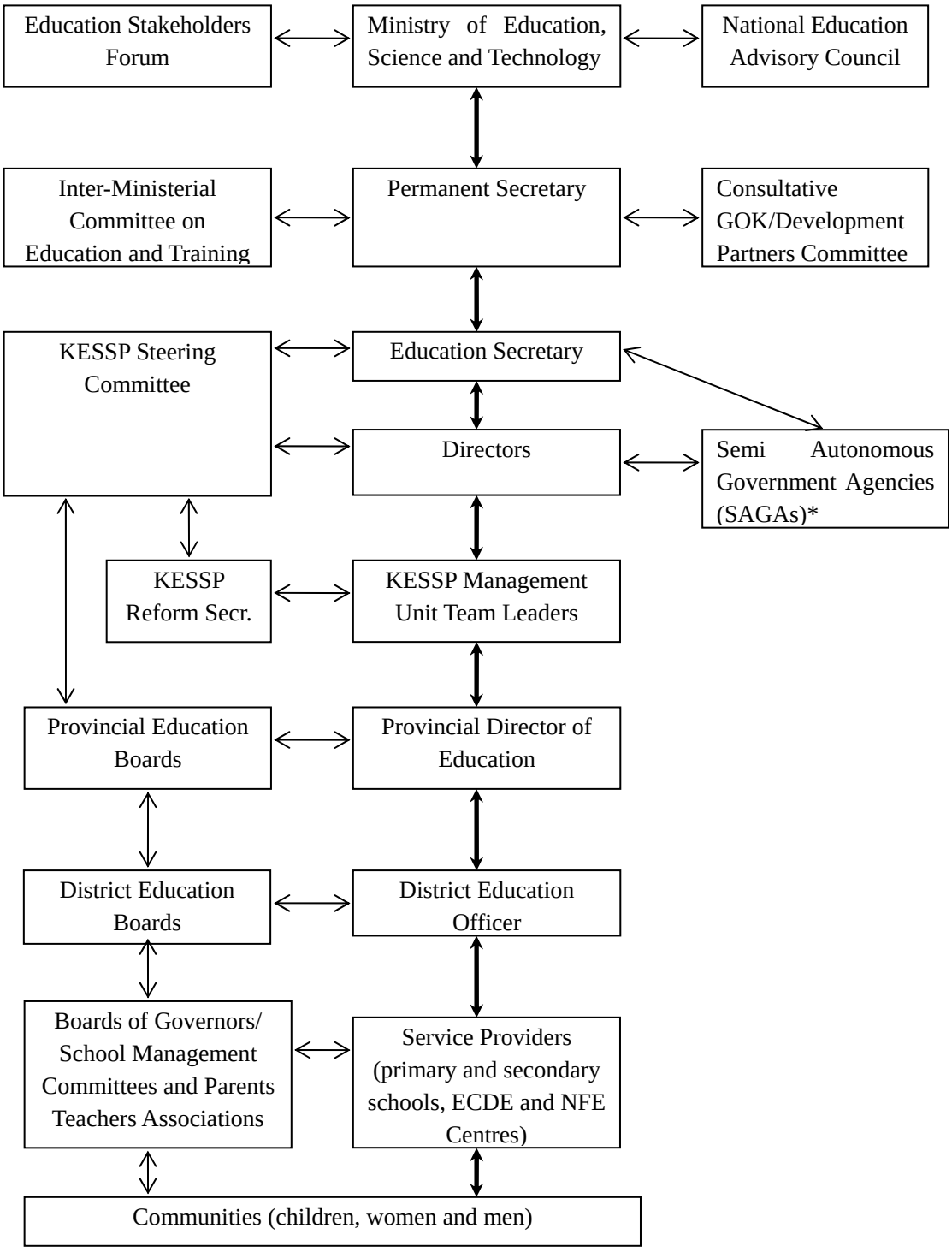
An administrative reform occurred in the Ministry during the 2004/05 saw the establishment of five Directorates, i.e. Directorates of Basic Education, Technical Education, Higher Education, Planning and Policy, and Quality Assurance and Standards, besides the position of Education Secretary. These were followed by the redeployment of the professional staff within the five Directorates to the field as the first step towards decentralization of core functions and this process is still going on.

Figure 4.1 presents the KESSP coordination, implementation and accountability structure. The coordination has been structured in a manner that facilitates:

(1) Sector-wide stakeholders coordination through an Education Stakeholders Forum and National Education Advisory Council;
(2) Government coordination through Inter-Ministerial Committees on Education and Training;
(3) Development partner coordination through a Consultative GOK/Development Partners Committee;
(4) Ministry-wide coordination through a KESSP Steering Committee; and
(5) Provincial and district coordination through the Provincial Education Boards and District Education Boards. (MOEST, 2005b)

Insufficient staffing is widely witnessed in the Ministry. For instance, Directorate of Education and Directorate of Quality Assurance have 2,199 and 960 members of staff respectively, against the approved establishment of 3,210 and 1,696 (MOE, 2005a). In addition to this understaffing, it may be more critical to provide the existing staff with the necessary resources to perform their duties. This problem has arisen as a result of exits through natural attrition and past embargo on new employment. Due to the lack of personnel, the remaining staff is obliged to overwork. The difficulties were found during interviews with DEOs (District Educational Officers) and other educational officials. In a district, each zone is supposed to be allocated at least one QASO (Quality Assurance Officer), which has not been realized. In Kajiado District, for example, it is only 2 zones out of 16 that have zonal QASOs. Consequently, TAC (Teacher Advisory Centre) tutors, whose original duty is to conduct in-service training, are acting as QASOs. All the personnel involved in quality monitoring and teacher support need more training (MOE ,2006b).

Figure 4.1 KESSP Coordination, Implementation and Accountability Structure



Source: MOEST (2005b)

* “SAGAs” includes TSC (Teachers Service Commission), HELB (Higher Education Loans Board), CHE (Commission for Higher Education), KIE (Kenya Institute of Education), KISE (Kenya Institute of Special Education), KNEC (Kenya National Examinations Council), KLB (Kenya Literature Bureau) and JKF (Jomo Kenyatta Foundation).

5. Policy Gap

Under the FPE policy, each school has two accounts managed by School Management Committee (SMC) to receive a capitation grant from the government through the Ministry of Education. One is SIMBA Account to cover direct teaching-learning materials, and the other is GPA Account to be spent on various costs including wages for support staff, repairs, maintenance, quality assurance, water and electricity. Each account gets the grant twice a year; Kshs. 650 is sent to the former per pupil, per year and Kshs. 370, to the latter, though such a remittance is not regularly done. The breakdown of each account is indicated in Table 5.1.

Table 5.1 Breakdown of Capitation Grant under FPE

SIMBA ACCOUNT (Account I): Kshs. 650 per pupil, per year	GPA ACCOUNT (Account II): Kshs. 370 per pupil, per year
Textbooks per pupil: Kshs. 360(1.5 books) Exercise Books per pupil: Kshs. 210 (21 exercise books) Supplementary Readers & Reference Materials per pupil: Kshs. 55 Pencils: Kshs. 15 (3 pencils) Dusters, Chalk, Register: Kshs. 5 Chart and Wall Maps: Kshs. 5	Support Staff Wages: Kshs. 112 Repairs, Maintenance & Improvement: Kshs. 127 Activity: Kshs. 43 Quality Assurance (School Based Evaluation, Seminar /Workshops for Teachers and Examination Materials): Kshs. 29 Electricity/ Water/ Conservancy: Kshs. 10 Local Traveling & Transport: Kshs. 21 Postage/ Rental Box/ Telephone: Kshs. 22 Contingencies: Kshs. 6

Source: MOE (2006b)

The amount of the grant per pupil, which is Kshs. 1,020 per year, is consistent throughout the country irrelevant to actual needs. Head teachers must obtain permission from the local authorities if they like to spend the headed money for another purpose within the account. However, in reality, some head teachers spend the money in GPA Account flexibly using their discretion. That is where complaints arise among head teachers. During the interviews conducted in September 2006, some head teachers in urban schools, especially in Nairobi, claimed, it is unfair that rural schools without the supply of electricity received the money for it. A head teacher in Nairobi reported the school got approximately Kshs 3,000 per month from the capitation grant compared to the actual amount paid per month, Kshs 23,000. The financial gap was being filled in by renting the swimming pool to some private schools, according to the head teacher, and collecting money from the parents based on the data obtained from the parents. On the other hand, the money in SIMBA account is controlled much more rigidly with an operating condition imposed by the Ministry in conjunction with the Commercial Banks that there would be no cash withdrawals. It has the effect of ensuring credibility and transparency in the utilization of FPE funds. However, the amount of stationery children provided with differ significantly depending on the school they attend. According to the parents interviewed, in a rural school, a child receives 12 exercise books and 4 pencils per term while in an urban school only 5 exercise books are provided with.

The most notable and substantial gap between the policy and its implementation is

that some schools are still collecting school fees as well as levies from parents. Out of 11 public primary schools in Nairobi to be investigated through parents, 10 proved to charge pupils' families in some way. A general tendency was that good-performing schools, most of which used to be schools for Europeans, charged more while schools in the slum areas or pockets of poverty did only minimum amount. It is not realistic to expect those good-performing high-cost primary schools to operate on the capitation grant without charging more money form parents. It was also observed that 1 school had even raised the charge after the FPE not to enroll children from poor families. Table 5.2 shows samples of the "fee structure".

Table 5.2 Primary School Fees and Levies Being Collected from Parents under FPE

Characteristics of School	Compulsory Payment to School	Optional Payment to School	Contingent Payment to School
School A - Very good performance in the national exam	(Per Term) Child Support Fund: Kshs 2,600 Furniture Replacement: Kshs 417 Bus Replacement: Kshs 610 Fire Fighting Equipment: Kshs 102	Tuition: Kshs 2,000/ term School Trip: Kshs 5,000 N.B. All of the pupils are to attend, therefore they are substantially compulsory.	N/A
School B - Very good performance in the national exam	School Fees: Kshs 3,800 / year	Evening Tuition: Kshs 200 /month	N/A
School C - Very good performance in the national exam	School fees: 600 Kshs / month	Evening Tuition: Kshs 500 / month, Saturday Tuition: Kshs 100 / day	Fund raising is frequently addressed by letter or in a meeting according to need (e.g. reconnection of lighting, maintenance of swimming pool)
School D - catchment area is pockets of poverty - poor performance in the national exam	Supportive: Kshs 200 /term Mid-Term Exam: Kshs 30 Terminal Exam: Kshs 30	Saturday Tuition: Kshs 30 /day	Wages for Non-academic Staff etc.
School E - catchment area is pockets of poverty - poor performance in the national exam	Exam: Kshs 100/term	Saturday Tuition: Kshs 50/ day Lunch: Kshs 10/ day	N/A

Source: Interviews with parents in Kawangware and Kibera, Nairobi, in September 2006.

6. Perception Gap

There are two areas worth discussing in this section. One is concerned with School Management Committee (SMC) and Parent-Teacher Association (PTA). Prior to the introduction of the FPE policy, head teachers and members of SMC benefited from school fees and levies without accountability. Therefore, most of them opposed to the abolition of levies. Members of SMC strongly believed that the capitation grants from the government would not meet all the school requirements. As a result, SMC members resigned in some schools. These were the immediate challenges that emerged in 2003 (MOE, 2006b). In accordance with them, some head teachers interviewed reported that the attendance rate for meetings was adversely affected by the policy as the members could not be paid any allowance any more. Interestingly enough, however, other head teachers, especially those in the schools whose catchment areas are either slums or pockets of poverty, claimed that parents now feel free to attend meetings called by school as they cannot be begged money any more. In these schools, SMC members are as active as, or even more active than before, according to the head teachers.

Another gap seems to exist between what the government means by the word “free” in the context of the FPE policy and how parents interpret it. The government is aware that limited sensitization of the FPE policy to communities led to diminished support in provision of requisite physical facilities and that the perception created by the FPE declaration was that parents no longer had any obligation in providing for school needs (MOE, 2006b). From the parents’ point of view, first of all, it is irrational that under the “Free” primary education, some schools still charge “school fees”, whatever it is called, as presented in the previous section. Other items parents bear the expenses for are indicated in Tables 6.1 and 6.2.

Table 6.1 School Uniform Items and Their Costs by Gender

	Boys	Girls
Shirt	Kshs. 280-320	N/A
Full Dress	N/A	Kshs. 520-680
Short	Kshs. 320-480	N/A
Tie	Kshs.120	N/A
Shoes	Kshs. 1,300-1,780	
Sweater	Kshs. 680	
Socks	Kshs.120	
P-Shirt*	Kshs.300	
P-Short*	Kshs.420	

* Shirts and shorts for physical education

Source: Interviews with parents in Kawangware, Nairobi, in September 2006.

Table 6.2 Other Items to be Purchased by Parents

	Price	Remarks
Textbooks	Kshs.290-380 / book	The government does not secure textbooks for each child. In good-performing schools, pupils are expected to have their own textbooks and other learning aids, for each subject.
Exercise books	Kshs.30-120	The amount of stationery provided for pupils varies in schools. In some schools in Nairobi, as few as 5 exercise books are given per year. Parents are required to buy some when the government's provision is not sufficient. Generally, pupils in rural schools receive more items than those in schools in Nairobi.
Stationery	Pencil Kshs.3, Rubber Kshs 5, Pen Kshs. 7	
Desk	Kshs.400-2500	In some schools, each child is required to get his/her own desk when enrolled in standard 1.In other schools, "desk charge" is to be paid.
Transport	Ksh.1,200-4,000/ month	Using public transportation costs much less than making private arrangements. Most children in slum areas walk to school for between 45 minutes and an hour to save the transport charge.

Source: Interviews with parents in Kawangware and Kibera, Nairobi, in September 2006.

During the interviews, many parents wondered nothing was free under "free" primary education and some class teachers complained that some parents were reluctant to buy anything necessary for learning insisting that education was supposed to be free. Unless the government clarifies what should be covered by parents or communities or how they should contribute to schools and disseminate it, the perception gap cannot be filled with. The whole issue of government support to primary education needs to be re-visited with a view to adopting a much more democratic approach in consultation with the communities. This will clarify their role as stakeholders in the education sector, especially with regard to their contribution, management of schools, hiring of extra teachers in situations of need, promotion of pre-schools attached to primary schools and other issues.

7. Suggestions for Amendment of the Draft Analytical Framework

Reaction to non-public institutions as an impact of the FPE policy may be included in the analytical framework. In Kenya, there are four types of primary education institutions; public, private, non-formal schools (NFSs) and non-formal educational centres (NFECs). The NFSs follow the formal curriculum while NFECs do not, otherwise both of them are flexible in the other aspects of learning like uniforms and the standards of learning facilities. Taking an example of Nairobi in 2003, enrollment in public institutions is 192,832, that in private, 24,345 and NFSs and NFECs at the primary level recorded as many as 72,415 in total (See Tables 7.1, 7.2 and 7.3). In spite of the outstanding presence, the enrollments at NFSs and NFECs are not counted in calculation for official enrollment rates. During field research in Kibera and Kawangware, it was proved that many parents recognized NFSs and NFECs as "private" institutions. Unless the school obtains an official status from the government, the pupils will not be able to sit for the KCPE exam. Yet they are studying in expectation of taking it, assuming the school will be registered in the near future. It may be appropriate to explore more this respect from the amendment of the existing Education Act, which excluded many aspects of education such as ECDEs, NFEs, recognition of other stakeholders in the education sector and others. With such an amendment, ECDEs and NFEs will be able to benefit from government capitation.

Table 7-1 Public Primary Enrolment by Gender and Province, 1999- 2004

PROVINCE	1999		2000		2001	
	Boys	Girls	Boys	Girls	Boys	Girls
Coast	202,251	164,713	197,176	164,131	196,626	163,945
Central	428,978	432,240	418,662	424,013	410,676	414,291
Eastern	558,274	545,155	537,860	548,217	545,012	554,769
Nairobi	75,944	74,670	72,873	72,806	63,833	63,775
Rift Valley	727,807	699,981	718,926	687,363	747,666	713,738
Western	417,091	423,871	399,889	429,872	400,013	431,583
Nyanza	516,967	496,501	515,844	496,570	506,793	487,358
North Eastern	32,361	14,866	31,661	14,806	31,303	14,610
Total	2,959,673	2,851,997	2,892,890	2,837,779	2,901,922	2,844,069
GRAND TOTAL	5,811,670		5,730,669		5,745,991	

Table 7.1 (Cont'd). Public Primary Enrolment by Gender and Province, 1999- 2004

PROVINCE	2002		2003		2004	
	Boys	Girls	Boys	Girls	Boys	Girls
Coast	199,414	165,344	251,194	208,091	285,455	241,183
Central	398,683	399,773	429,366	420,106	430,670	420,677
Eastern	572,082	574,437	652,555	636,123	685,811	663,127
Nairobi	72,611	72,668	96,366	96,466	101,044	102,017
Rift Valley	756,571	720,321	889,003	834,884	920,177	853,704
Western	430,433	450,127	527,501	518,898	554,690	537,525
Nyanza	514,524	499,554	654,575	626,789	651,151	607,739
North Eastern	33,200	15,034	43,244	21,194	46,188	21,249
Total	2,977,517	2,897,259	3,543,804	3,362,551	3,675,186	3,447,221
GRAND TOTAL	5,874,776		6,906,355		7,122,407	

Source: MOE (2006a), p.p.11-12

Table 7.2 Private Primary Enrolment by Gender and Province, 1999- 2004

PROVINCE	1999		2000		2001	
	Boys	Girls	Boys	Girls	Boys	Girls
Coast	14,940	7,808	12,512	13,961	13,112	12,861
Central	9,396	5,215	10,352	10,278	8,234	8,337
Eastern	8,743	4,866	6,295	5,951	6,345	5,431
Nairobi	10,010	4,755	16,762	15,167	16,762	15,167
Rift Valley	12,640	8,007	11,199	11,032	10,974	10,966
Western	2,387	1,086	1,697	1,798	1,302	1,086
Nyanza	8,933	6,703	40,807	36,919	43,429	40,945
North Eastern	-	-	396	272	396	272
Total	67,049	38,440	100,020	95,378	100,554	95,065
TOTAL	105,489		195,398		195,619	

Table 7.2 (Cont'd). Private Primary Enrolment by Gender and Province, 1999- 2004

PROVINCE	2002		2003		2004	
	Boys	Girls	Boys	Girls	Boys	Girls
Coast	11,706	11,411	13,277	14,067	14,605	14,770
Central	9,193	8,615	27,922	27,376	30,714	28,745
Eastern	6,320	5,691	11,162	9,968	12,278	10,466
Nairobi	16,762	15,167	12,775	11,560	14,053	12,138
Rift Valley	10,728	13,038	28,240	27,662	31,064	29,045
Western	1,499	1,442	4,746	3,549	5,220	3,727
Nyanza	39,807	35,919	31,071	27,459	34,179	28,832
North Eastern	396	272	1,399	936	1,539	983
Total	96,411	91,555	130,592	122,577	143,652	128,706
TOTAL	187,966		253,169		272,358	

Source: MOE (2006a), pp.12-13

Table 7.3 NFE Enrolments by Level of Education, 2003

Province	**Primary**		Secondary		Adult Education		Basic Literacy		Technical		Total
	M	**F**	M	F	M	F	M	F	M	F	
Coast	**2,240**	**1,813**	370	369	376	752	929	1,120	659	242	8,870
Central	**247**	**159**	166	18	103	207	146	245	23	-	1,314
Eastern	**71**	**84**	2	12	160	321	182	151	188	150	1,321
Nairobi	**36,456**	**35,959**	3,645	437	126	251	278	289	139	105	77,685
Rift	**504**	**470**	-	-	167	334	782	610	329	600	3,796
Western	**602**	**532**	673	-	-	-	22	11	11	4	1,855
Nyanza	**1,050**	**945**	209	71	151	303	707	780	229	90	4,535
North	**1,413**	**738**	545	189	133	265	427	400	104	38	4,252
Total	**42,583**	**40,700**	5,610	1,096	1,216	2,433	3,473	3,606	1,682	1,229	103,628

Source: MOE (2006a), p.39

Although there is no reliable statistics, the enrollment at NFSs and NFECs seem to have increased after the FPE. Transfers from public schools to NFSs or NFECs, and vice versa are observed very frequently especially in Nairobi, to save family's economic burden on education. Meanwhile, the second type of institution, private, has significantly increased enrollments especially after the FPE due to parents' concerns toward deterioration of educational quality at public institutions. Actually, private institutions have ranked high in the KCPE exam in recent years and this trend has been strengthened after the FPE. In Nairobi, in 2005 the best performing public school was placed after 38 private ones and among the best 50, only 5 were public (City Council of Nairobi, 2006). As these good-performing public institutions as well as private ones charge unaffordable school fees, socio-economic equity in terms of educational quality appears to be jeopardized. At the same time, expansion of private education is critical to attainment of MDGs and the EFA considering the financial

constraints in Kenya.

Another item that could be included is cultural gap. Each country focused in this comparative analysis has ethnic groups that are particular about their traditional culture and do not make a point of education. Pastorals are one of the examples and their areas are usually characterized by low educational indices. In Kenya, it has been pointed out that there is a linkage between high HIV-infection rate in some areas and certain ethnic tradition among the inhabitants. In those areas, some school-age children cannot attend school as they have to take care of their sick parents or relatives, or earn some money for their siblings in their parents' place. Along with reasons for dropout and repetition proposed to be dealt with in 5.4, the reason why certain children are still out of school should be examined. Culture in a broad sense will assist the analysis as various groups of people, regardless of their ethnic origin, have different values on education. Involvement of Community Based Organizations (CBO) can also be discussed in conjunction with culture.

Finally, considering there are many issues to be discussed about school management, it might be proposed "2.1.5 management" be included in "5. School Management and Policy Implementation Issues" and that another section, "6. Family, Community and Culture-Related Issues" be made to accommodate "5.3 Cost of schooling", "5.4 Reasons for *no access*, dropout and repetition", "Community Participation" and "Cultural Gap".

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‘A Comparative Analysis on Universal Primary Education Policy in Sub-Sahara Africa’

The case of MALAWI

TABLE OF CONTENTS

1. Historical Background of Universal Education Policy in Malawi

1.1 Historical Overview of Primary Education Policy since Independence

Universal Primary Education (UPE) has been an important part of the Malawian political agenda since the 1960s, even before the country's independence. Soon after Malawi's independence, at the UNESCO pan-African conference a declaration was made to achieve UPE by 1980. Unfortunately, the Malawi Congress Party (MCP) intervened and abolished any strategies to achieve the goal of UPE, placing high priority on secondary and tertiary education from the 1960s through to the 1980s. In line with the First Education Development Plan (EDP) outlined for 1973-1980, secondary and tertiary education were largely emphasized. UPE re-emerged in the Second Education Development Plan (EDP) outlined for 1985-1995. During the implementation of the two EDPs, and especially since the early 1990s, UPE was actively pursued along with the abolishment of school fees. With the support of the World Bank, the abolishment of school fees began from standard 1 for the 1991/92 school year and was pursued in standard 2 and 3 in the following years. In the 1992/93 school year, the Girls' Attainment in Basic Literacy and Education (GABLE) program, funded by United States Agency for International Development (USAID), was established. This program abolished school fees for non-repeating primary school girls from standard 2 to 8. For the implementation of Free Primary Education, (FPE) that began in 1994, Malawi received a great deal of support from international donors.

1.2 Demographic Overview of Malawi

Malawi suffers from a high early child mortality rate. In 1990, the under-5 and infant mortality rate (under 1) was recorded to be 221 percent and 131 percent respectively. By 2005, the under-5 and infant mortality rate improved to 125 and 79 percent (UNICEF[1]). HIV has also been a severe threat in Malawi. In 1992, HIV infection rate was recorded at 9.3% and the situation has since worsened. According to UNDP, by 2003, the HIV infection rate rose to 14.4 percent. Life expectancy dropped from 45 (World Bank, World Development Indicator 2004). in 1990 to 40 in 2005. (UNICEF) The fertility rate decreased from 7 in 1990 to 5.9 children in 2004. On a more positive note, the adult literacy rate (above 15) improved from 54.2% in 1993 to 64% in 1994 (World Bank[2]). The struggle for AIDS prevention and health improvements in Malawi are difficult and ongoing.

1.3 Historical Overview of the Economic and Political Settings

Malawi was under British rule from 1891 until July 1964. Since independence, Hastings Kamuzu Banda's Malawi Congress Party (MCP) took the country under dictatorship. Malawi's economy is based on agriculture, namely, tobacco, tea, and sugar. Agriculture accounted for 31 percent of the GDP and 90 percent of export revenue in 1994. Eighty-five percent of the Malawian population live in rural areas and are dependent on farming for their livelihood. This majority of the population suffered tremendously in 1992 when Malawi was faced with a severe drought. Additionally, more than one million Mozambique refugees fled to Malawi because of

[1] http://www.unicef.org/infobycountry/malawi_statistics.html#0

[2] http://www.unicef.org/infobycountry/malawi_statistics.html#0

the civil war in Mozambique. Malawians, faced with intense poverty find it increasingly difficult to be self sufficient and provide for themselves.

Social and economic problems including limited freedom of speech, concerns about political democratization and violation of human rights have been brought to the forefront by international aid agencies, overseas mass media, and human rights groups. As a result of such exposure, the first multiparty elections were carried out in 1994. Bakili Muluzi's United Democratic Front (UDF) Party won the presidency. Given Malawi's bad economic condition, one of his primary concerns was poverty alleviation.

By the 1990 World Conference on Education for All (EFA) in Jomtien, Thailand, global attention was increasingly concentrated on the importance of education. The Malawian government also saw education as a right and believed that educational policies could lead to economic growth and stability. Founded on such principles and beliefs, with the background of the Malawian political and economic situation, the new government launched one of their first election promises as the target of Universal Primary Education (UPE).

1.4 Historical Overview of Aid Inflow

After the elections in 1994, the Government of Malawi appealed to international donors for the necessary funds to achieve the goals of the Free Primary Education (FPE) initiative. As a result, major international donors responded and though Official Development Assistance (ODA) loans decreased from US$189 million in 1994 to US$73 million in 2004, ODA grants increased by approximately 50 percent from US$299 million in 1994, to US$482 million in 2004 (see Table 1.1).

Table 1.1 Official Development Assistance by Type of Assistance (USD million)

	1994	**1995**	**1996**	**1997**	**1998**	**1999**	**2000**	**2001**	**2002**	**2003**	**2004**
ODA Grants	299	350	287	211	293	336	338	317	331	468	482
ODA Loans	189	114	243	165	183	153	151	138	92	120	73
Total ODA	488	464	530	376	476	489	489	455	423	571	555
% of GNI	41	32	22	13	25	26	26	24	21	31	27

Source: OECD DAC International Development Statistics (online database)
(International Development Department School of Public policy, 2006)

1.5 Components of the UPE Policy

In Malawi, the main strategy to achieve UPE was FPE (Free Primary Education); UPE was synonymous with FPE. Because the main objective of FPE was increasing access, very little attention was paid to quality issues. The government promised to do the following:

- Abolish all fees including contributions to school development funds;
- Assume responsibility for the provision of teachers, teaching and learning materials, classrooms, furniture, teachers' housing, sanitation facilities and boreholes;

- Manage the financing of all primary schools, including the previously unsupported community junior primary schools categorized as unassisted schools by merging them with government-assisted schools thereby creating a unified primary school system;
- Introduce community schools; and
- Encourage the participation of girls in primary education

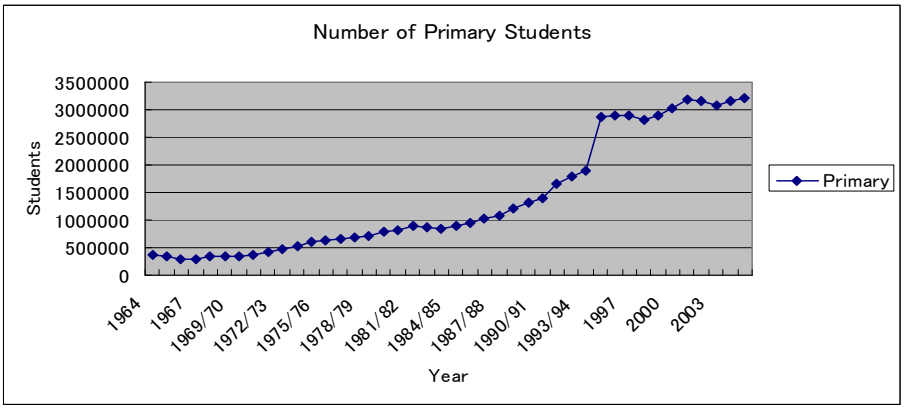
2. Performance in the Primary Education Sub-Sector

2.1. Access

Gross Enrollment Rate (GER)

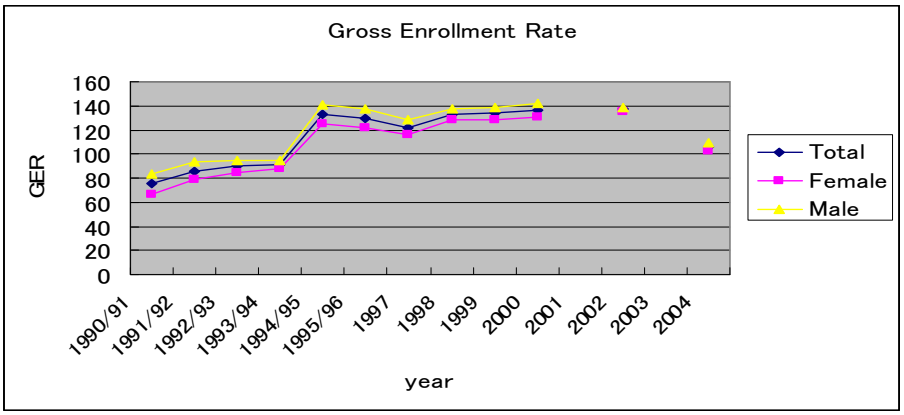
The number of primary students increased significantly in the past fifty years. The number of students in primary school in 1964 was only 359,841 in Malawi. In the 1993/1994 school year, enrollment was increased to 1.9 million and was dramatically increased in the 1994/1995 school year to 2.9 million after FPE was implemented. For 2002, the gross enrollment rate (GER) was recorded at around 137%. However, by 2004, it decreased to 106%. These decreasing statistics indicate low efficiency as a problem that surfaced after the implementation of FPE. .

Figure 2.1 Number of Primary Students Enrolled



Source: GoM Education Statistics (various years)

Figure 2.2. Gross Enrollment Rate



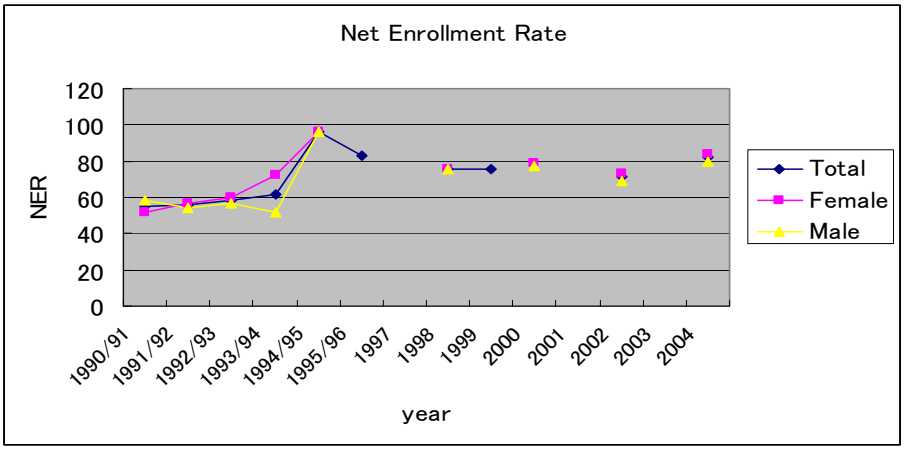
Source: WB "World Development Indicator", National Statistical Office (2005), Kadzamira (2004)

Net Enrollment Rate (NER)

The net enrollment rate (NER) was historically low, at approximately 60% before FPE was implemented. The NER rapidly increased to 96% by the 1994/95 school year. While the GER remained constant around 130% from the 1994/95 school year until 2000, NER remained at around 80%. This data implies that 20% of school aged children are still not enrolled in schools. Additionally, since 1990 the gender disparity in enrollment was marked until the 1995/96 school year when the gender gap

began to decrease.

Figure 2.3 Net Enrollment Rate

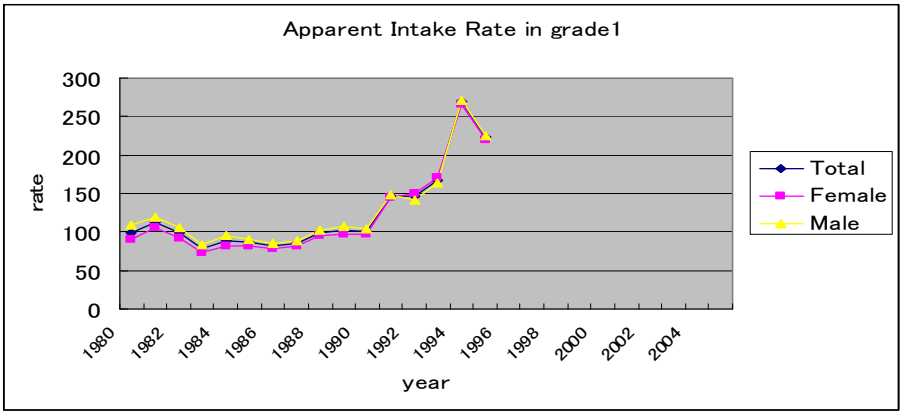


Source: National Statistical Office (2005), "Malawi Socio Economic Database (MASEDA), Kadzamira (2004)

Intake Rate

The Apparent Intake Rate was between 80 to 100% before FPE was implemented. The year that FPE was implemented the apparent intake rate reached its record high with 268.7%.

Figure 2.4 Apparent Intake Rate

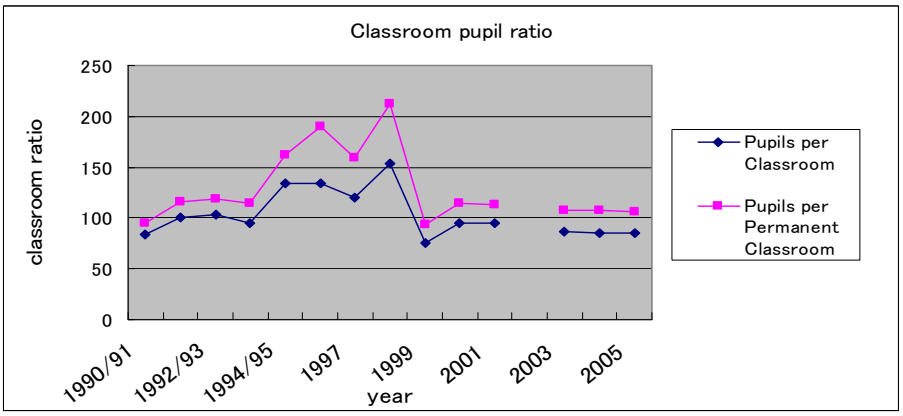


Source: WB, World Development Indicator

Classroom Pupil Ratio

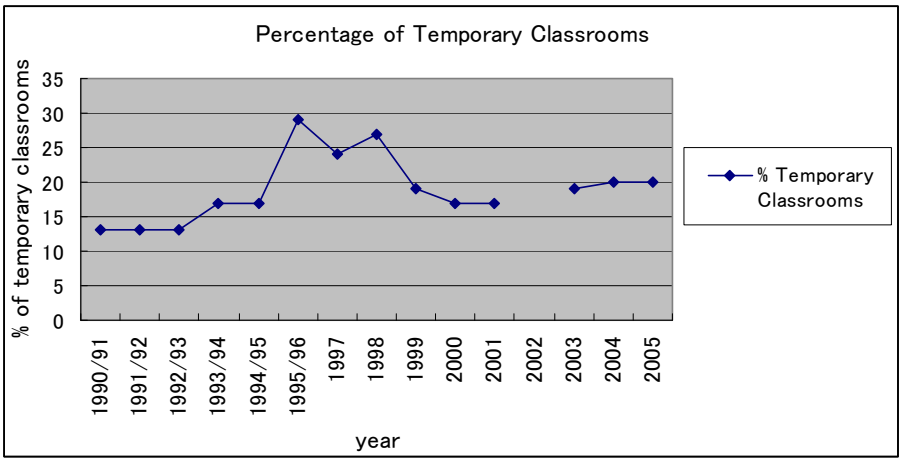
The classroom pupil ratio nearly doubled as a result of the increase in enrollment. The ratio increased from 1:95 in 1993/94 to 1:134 in 1994/95. Because classrooms were not constructed with the expectation of enrollment increases, many pupils had to attend classes outside of classrooms. When temporary classes were constructed, temporary classes as a percentage of total classes were estimated to be around 30% in 1995/96. As a result, the pupil per permanent classroom ratio fell to 1:106 and temporary classrooms as a percentage of total classes fell to 20% in 2005. It is clear that there are classroom shortages and construction of new classrooms does not match the enrollment increases. Additionally, future classroom should be built in a manner that allows for cost effective and efficient expansion if necessary.

Figure 2.5 Classroom Pupil Ratio



Source: Kadzamira (2004), Calculated from MoE Education Statistics (various years)

Figure 2.6 Percentage of Temporary Classrooms



Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

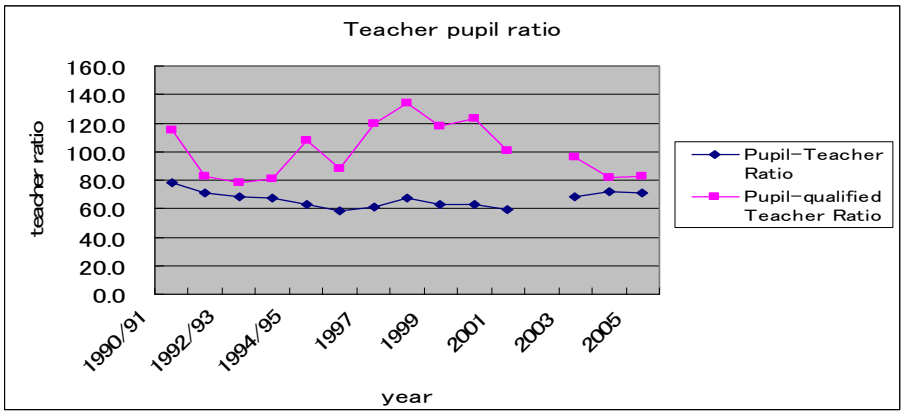
2.2. Quality

Teacher Pupil Ratio

The increase in student enrollments inevitably necessitates an increase in teachers. The number of primary school teachers increased by 64% from 27,950 in 1993/94 to 45,775 in 1994/95. However this increase was largely filled by unqualified teachers, as indicated by the statistics when the pupil-qualified teacher ratio increased from 80.9% in 1993/94 to 107.8% in 1994/95. Teachers are given only a two and half week orientation before being deployed to their respective schools.

The pupil-qualified teacher ratio in 2005 remained high at 82.8%, while it was 80.9% in 1993/94 before FPE. Despite UPE, education quality was not at a satisfactory level, particularly in terms of the teacher pupil ratio.

Figure 2.7 Teacher Pupil Ratio

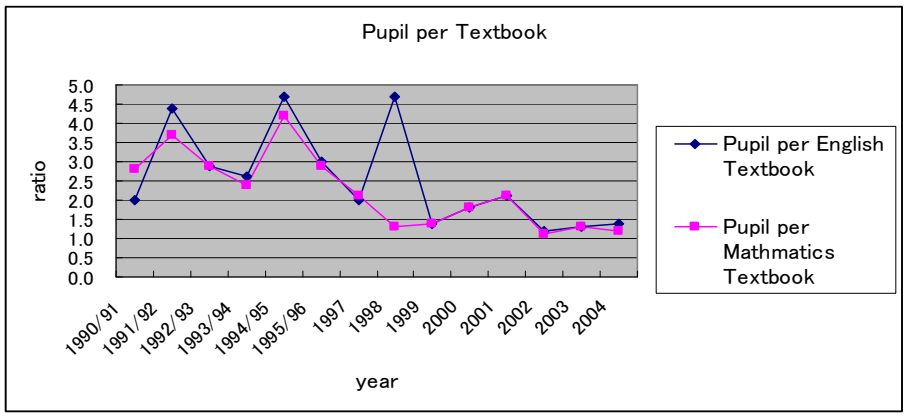


Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

Textbook Pupil Ratio

The number of pupils per English textbooks and Mathematics textbooks was recorded at 4.7% and 4.2% respectively for the 1994/95 school year. By 2004, the number of pupils per English textbooks improved to 1.4% and the pupils per Mathematics textbooks improved to 1.2%.

Figure 2.8 Pupils Per Textbook



Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

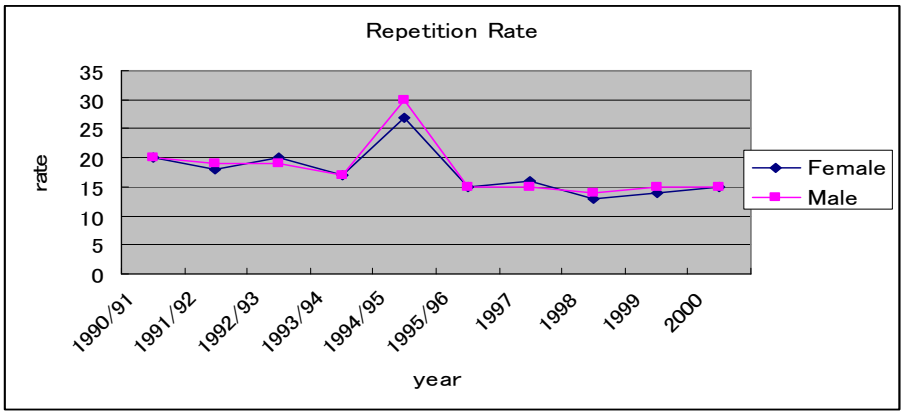
2.3. Internal Efficiency

Repetition Rate

The repetition rate in Malawi was highest during the 1994/95 school year when the male and female rate was 30% and 27% respectively. Compared pre and post FPE, the repetition rate decreased around 5% and has remained constant at about 15% since the 1995/96 school year.

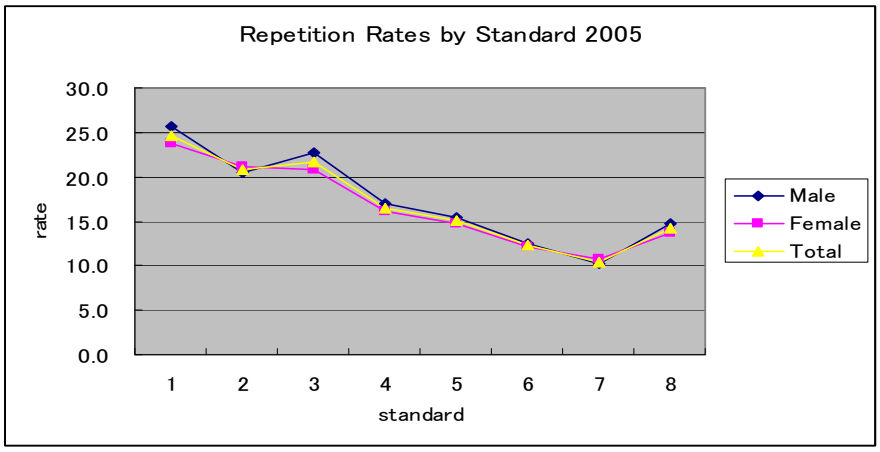
The repetition rate varies largely across standards. Generally, lower standards have higher repetition rates. According to the education statistics of 2005, the repetition rate was 24.7% for standard 1 and 10.5% for standard 7.

Figure 2.9 Repetition Rate



Source: Kadzamira (2004)

Figure 2.10 Repetition Rates by Standard (2005)

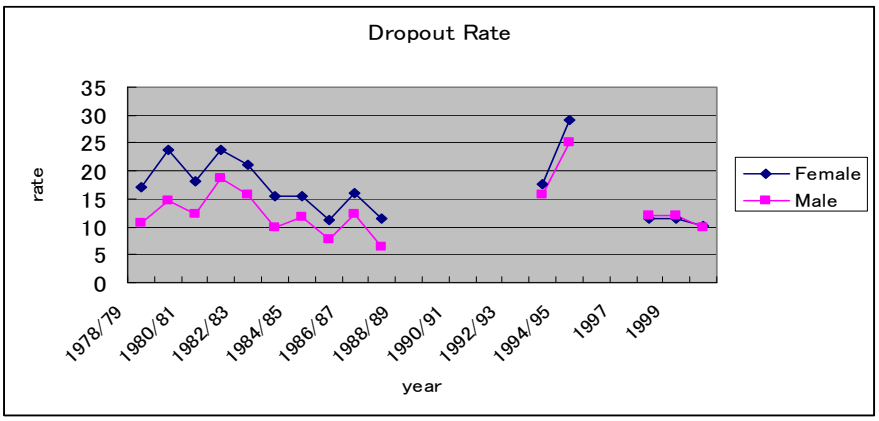


Source: MoE, Education Statistics 2005

Dropout Rate

Before FPE was implemented, both male and female dropout rates had progressed in the same direction, maintaining a 5% gender disparity. However, though the dropout rate is still high, the gender disparity has improved.

Figure 2.11 Dropout Rate



Source: MoE Education Statistics (various years), Malawi Socio Economic Database (MASEDA)

2.4. Equity

Gender Disparity in NER/GER

Though the Gender Parity Index (GPI) of GER indicates that girls' enrollment is lower than that of boys', NER indicates that girls' enrollment is higher than that of boys'. This implies that that the ratio of girls' of relevant school age is higher than that of boys' of the same age cohort.

Comparing rural and urban areas, it is seen that the gender disparity is more pronounced in rural areas where the GPI is 0.95 compared with the GPI of 0.93 in urban areas. Observing the gender disparity across regions, it is clear that the disparity is higher in the northern region (Northern GPI of 0.91, Central GPI of 0.97, and Southern GPI of 0.93). Comparing the years 1990/91 and 1994 to determine the impact of FPE, it is evident that the disparity has improved overall. Nonetheless, the gender disparity in the northern region worsened from 0.97 in 1991 to 0.91 in 1994.

Regional Disparity

Comparing rural and urban areas, it is clear that the enrollment rate is higher in urban areas. Total GER and NER are highest in the northern region, followed by the central region and then the southern region. With respect to boys, GER and NER are highest in the northern region, followed by the southern region and then central region.

Table 2.1 Gross and Net Enrollment Ratios by Region, Residence and Gender (1994)

	GER				**NER**		
	Total	Female	Male	*Gender Parity Index	Total	Female	Male
Residence							
Urban	108.7	104.8	112.7	0.93	89.2	89.4	89.0
Rural	105.3	102.4	108.3	0.95	80.9	83.0	78.7
Region							
Northern	123.2	117.2	129.1	0.91	92.2	93.0	91.4
Central	103.7	102.3	105.1	0.97	80.6	83.4	77.6
Southern	102.8	99.0	106.6	0.93	80.5	81.7	79.2

Source: MoE, DHS 2004

Note: *the ratio of the primary school GER for females to the GER for males

Table 2.2 Gross Enrollment Ratios by Region, Residence and Gender 1990/91

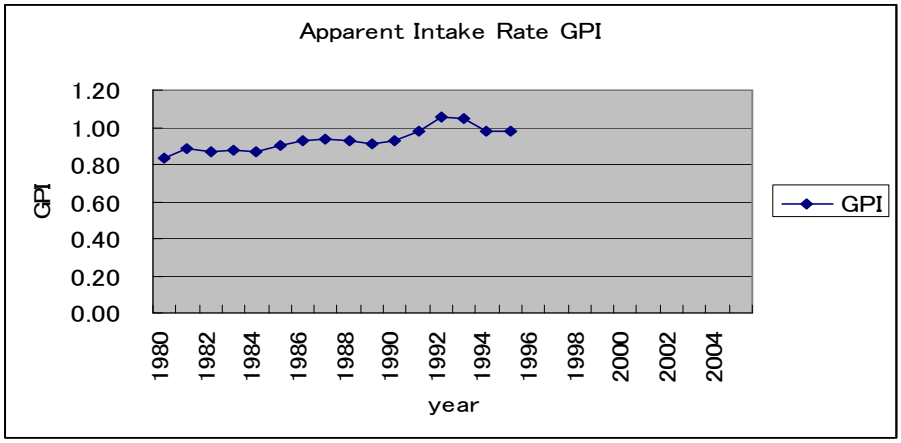
	Total	Female	Male	Gender Parity Index
Residence				
Urban	-	108	122	0.89
Rural	-	71	82	0.87
Region				
Northern	118	116	119	0.97
Central	78	75	81	0.93
Southern	75	67	82	0.82

Source: Castro-Leal 1996, MoE (1999)

Gender Disparity in Intake Rate

The Gender Parity Index (GPI) for the intake rate was 0.84 in 1980. Before UPE was implemented, the GPI was already improved reaching 0.98 in 1994.

Figure 2.12 Apparent Intake Rate GPI



Source: WB, World Development Indicator

Pupil Classroom Ratio

Comparing rural and urban areas, the pupil classroom ratio is higher in urban areas. However, the percentage of temporary rooms in urban areas is lower than in rural area. Looking at the different regions, the percentage of temporary rooms is highest in the Northern Division where there are the least number of pupils per classroom.

Table 2.3 Percentage of Temporary Rooms and Pupil Classroom Ratio by Division **(2005)**

	Percentage of Temporary Rooms			Pupil Classroom Ratio		
	Urban	**Rural**	**Total**	**Urban**	**Rural**	**Total**
Total	3	21	20	1:136	1:104	1:106
Northern Division	11	32	31	1:116	1:83	1:85
Central East Division	-	24	24	-	1:102	1:102
Central West Division	1	21	19	1:139	1:120	1:122
Southern East Division	1	14	14	1:88	1:109	1:108
Southern West Division	2	17	14	1:153	1:103	1:114
Shire highlands Division	-	11	11	-	1:110	1:110

Source: MoE, Education Statistics 2005

Regional Disparity in Pupil/Teacher Ratio

There is a huge disparity between the urban and rural female teacher ratio. Due to the employment of many unqualified teachers after FPE, the disparities between rural and urban areas have widened. Comparing the regions, the rural pupil teacher ratio in the Northern Division is the lowest (57:1). On the other hand, the urban pupil teacher ratio is lowest in the Southern East Division (37:1). The disparity among rural and urban areas in Southern East Division is huge.

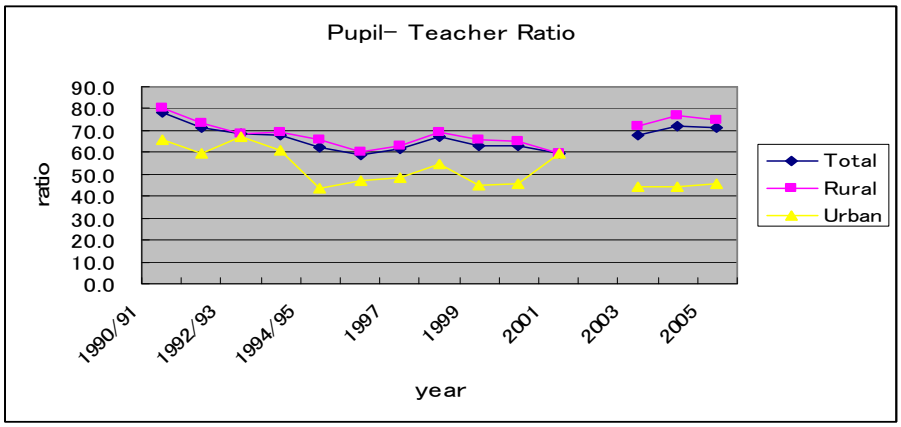
All unqualified teachers are deployed to rural areas and the pupil per qualified teacher ratio in rural areas deteriorated from 84:1 in 1993/94 to 117:1 in 1994/95. Even today, there is still about a 30% disparity between rural and urban areas.

Table 2.4 Percentage of Female Teachers by Location

	Urban	**Rural**	**Total**
1990/91	75	26	34
1994/95	75	31	38
2005	82	30	37

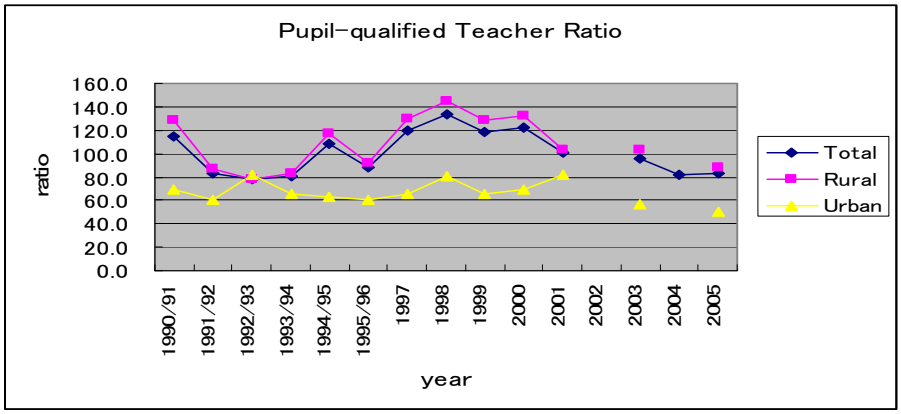
Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

Figure 2.13 Pupil Teacher Ratio



Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

Figure 2.14 Pupil-Qualified Teacher Ratio



Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

Table 2.5 Percentage of Unqualified Teachers by Location

	Urban	**Rural**	**Total**
1990/91	5	37	32
1994/95	30	44	42
2005	8	15	14

Source: Kadzamira (2004), calculated from MoE Education Statistics (various years)

Table 2.6 Pupil Teacher Ratio and Pupil Qualified Teacher Ratio by Division (2005)

	Pupil Teacher Ratio			Pupil Qualified Teacher Ratio		
	Urban	**Rural**	**Total**	**Urban**	**Rural**	**Total**
Total	1:75	1:46	1:71	1:50	1:88	1:83
Northern Division	1:44	1:58	1:57	1:50	1:74	1:72
Central East Division	-	1:72	1:72	-	1:82	1:82
Central West Division	1:40	1:79	1:71	1:44	1:88	1:79
Southern East Division	1:37	1:87	1:82	1:39	1:107	1:101
Southern West Division	1:54	1:74	1:67	1:58	1:92	1:78
Shire Highlands Division	-	1:89	1:89	-	1:97	1:97

Source: MoE, Education Statistics 2005

Regional Disparity in Textbook Distribution

Comparing urban and rural areas, the shortage of textbooks is much more severe in urban areas.

Table 2.7 Pupil per English and Mathematics Textbook 2003

	Urban	**Rural**	**Total**
Pupil Per English Textbooks	1.8	1.3	1.3
Pupil Per Mathematics Textbook	1.6	1.2	1.3

Source: Calculated by MoE Basic Education Statistics

Gender and Regional Disparity in Repetition Rate

Although the male repetition rate is overall slightly higher than the female repetition rate, the difference remains to be quite minor in 2005. The pattern of the repetition rate improving from standard 1 to standard 7 is seen with both male and female students. The increase of repetition in standard 8 is also a problem associated with both male and female students.

The repetition rate in the northern division is the highest of all. On the other hand, the repetition rate is low in the south west and central west divisions. The pattern that is prevalent across standards is also consistent across regions.

Table 2.8 Repetition Rate by Gender 2005

	1	**2**	**3**	**4**	**5**	**6**	**7**	**8**
Male	25.7	20.5	22.7	17.0	15.4	12.5	10.2	14.8
Female	23.8	21.2	20.8	16.1	14.8	12.1	10.7	13.7
Total	24.7	20.9	21.7	16.6	15.1	12.3	10.5	14.3

Source: MoE, Education Statistics 2005

Table 2.9 Repetition Rate by Division 2005

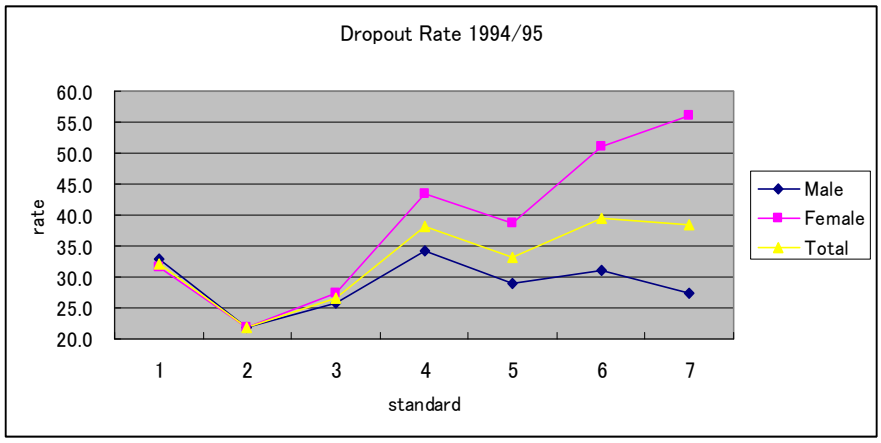
Standard	1	2	3	4	5	6	7	8
Northern Division	27.9	23.8	21.4	17.9	15.8	13.4	12.9	24.0
Central East Division	24.0	19.3	21.9	16.8	13.3	10.6	8.8	16.9
Central West Division	23.8	20.0	21.3	15.4	14.5	11.9	9.6	7.7
Southern East Division	27.0	22.3	22.1	17.3	16.1	12.8	11.0	9.5
Southern West Division	21.9	19.9	20.8	14.9	15.8	12.0	9.5	8.6
Shire highlands Division	23.8	20.7	23.3	17.3	15.7	13.2	10.1	12.8

Source: MoE, Education Statistics 2005

Gender Disparity in Dropout Rate

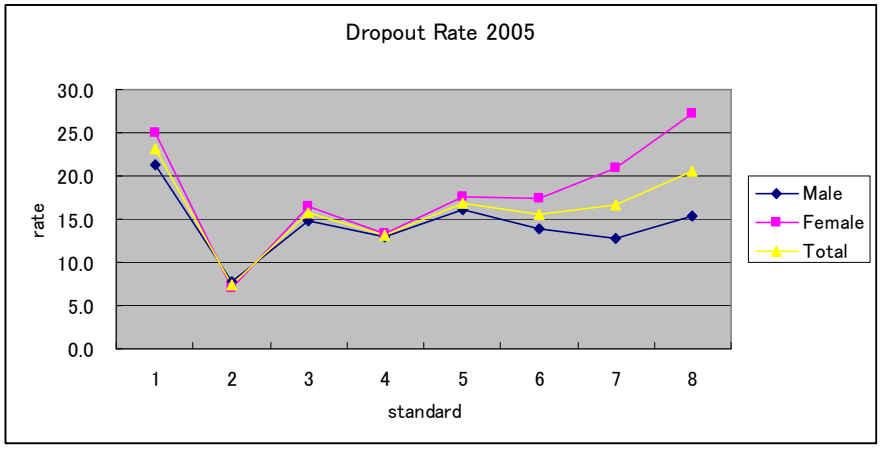
The gender disparity in dropout rates grew from standard 4 in the 1994/95 school year. Although there was an improvement after UPE, there remains a significant gender disparity in the dropout rates for standard 7 (Male:12.8, Female:20.9) and standard 8 (Male:15.5 ,Female:27.2). Girls increasingly drop out of school from standard 6 and above due to marriage and pregnancy.

Figure 2.15 Dropout Rate (1994/95)



Source: MoE, Basic Education Statistics 1995

Figure 2.16 Dropout Rate (2005)



Source: MoE, Education Statistics 2005

Table 2.10 Dropout Rate by Gender (2005)

Standard	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**
Male	21.3	7.7	14.8	13.1	16.2	14.0	12.8	15.5
Female	25.0	7.1	16.5	13.3	17.6	17.4	20.9	27.2
Total	23.2	7.4	15.7	13.2	16.9	15.6	16.6	20.6

Source: MoE, Education Statistics 2005

Table 2.11 Percentage of Girls' Dropout Reason by Standard (2005)

Standard	Family Responsibility	Pregnancy	Marriage	Fees	Employment	Sickness	Death	Lack of Interest	Dismissed/ Disobedience	Other Reasons
1	24.4	0.0	0.0	0.2	2.0	3.3	1.0	62.8	0.5	5.7
2	26.0	0.0	0.1	0.3	4.2	3.5	1.1	59.2	0.5	5.2
3	26.8	0.2	1.2	0.4	7.7	3.3	1.5	53.1	0.6	5.3
4	26.5	1.2	4.5	0.4	9.0	2.6	1.1	48.9	0.6	5.4
5	22.1	4.0	13.5	0.7	8.0	2.6	1.2	42.1	0.8	4.9
6	20.3	8.3	23.2	0.9	6.1	1.8	0.7	34.7	0.5	3.6
7	17.4	12.8	30.7	0.8	4.5	1.3	0.7	27.6	0.6	3.6
8	14.2	17.5	38.4	1.0	2.4	1.4	0.8	21.5	0.5	2.3

Source: Calculated by MoE, Education Statistics 2005

Table 2.12 Number of Dropouts by Reasons, Gender (2005)

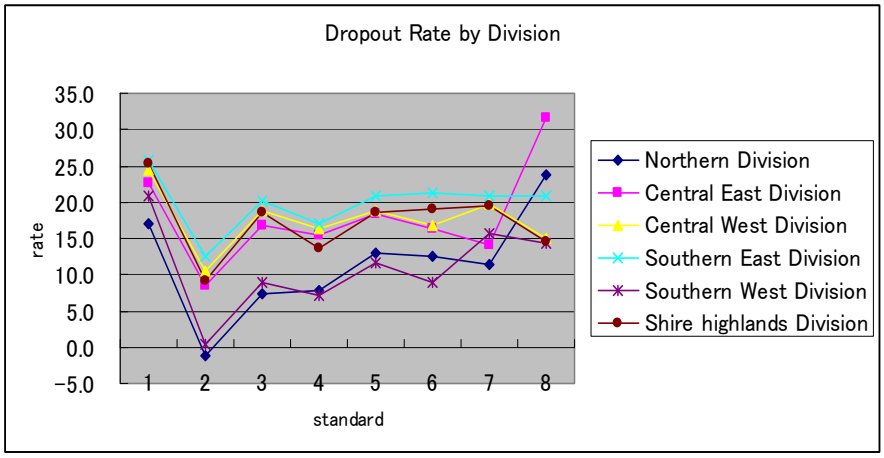
	Boys	Girls	Total
Lack of Interest	84,095	67,610	151,705
Family Responsibilities	31,621	31,211	62,832
Employment	7,344	6,315	13,659
Marriage	1,822	9,362	11,184
Sickness	4,025	3,796	7,821
Pregnancy	176	3,529	3,705
Death	1,612	1,373	2,985
Dismissed/Disobedience	1,023	741	1,764
Fees	514	547	1,061
Other Reasons	7,060	6,562	13,622
Total	139,292	131,046	270,338

Source: MoE, Education Statistics 2005

Regional Disparity

Compared with other divisions, the dropout rate in the North and Southern West division is low in all standards except standard 8. The dropout rate is high in the Southern East division. With respect to standard 8, the dropout rate is high in the North and Central East division.

Figure 2.17 Dropout Rate by Division

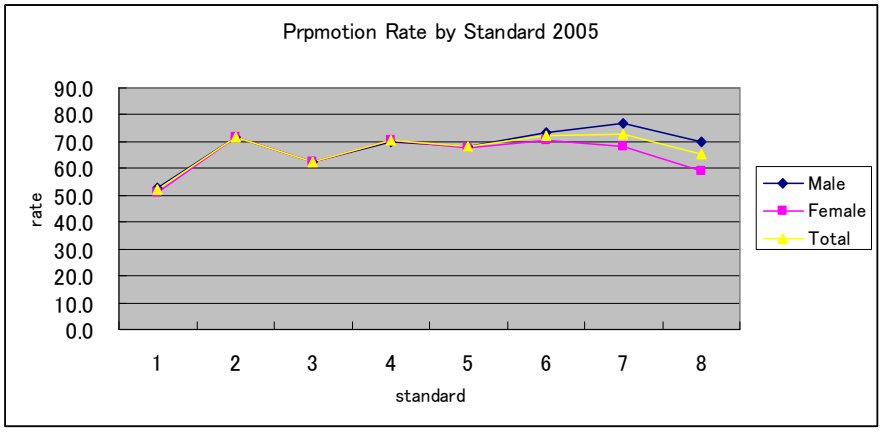


Source: MoE, Education Statistics 2005

Gender Disparity in Promotion Rate

Until standard 5, there is no gap between male and female promotion rates. After standard 5, the female intake rate falls lower than the male intake rate. This can be attributed to the high female dropout rates in standard 6.

Figure 2.18 Promotion Rate by Standard (2005)



Source: MoE, Education Statistics 2005

Table 2.13 Promotion Rate by Standard (2005)

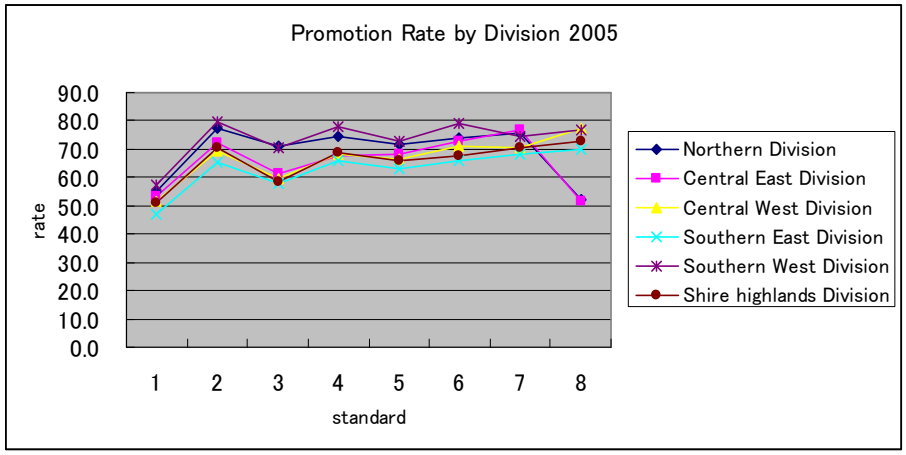
Standard	1	2	3	4	5	6	7	8
Male	53.0	71.7	62.5	70.0	68.4	73.5	77.0	69.8
Female	51.3	71.7	62.7	70.5	67.6	70.6	68.3	59.1
Total	52.1	71.7	62.6	70.3	68.0	72.1	72.9	65.1

Source: MoE, Education Statistics 2005
Standard 8 promotion rates calculated using Primary School Leaving Certificate Examination Results (2004)

Regional Disparity

Across all divisions, the promotion rate increased in standard 2 and decreased in standard 3. After standard 3, the promotion rate is increasing gradually for the Central West, Southern East and Shire Highlands division. For the Northern and Central East division, the promotion rate rapidly decreased between standard 7 and 8.

Figure 2.19 Promotion Rate by Division (2005)



Source: MoE, Education Statistics 2005

3. Finance

3.1 Educational Expenditure

After UPE was implemented, public expenditure on education as a percentage of GDP increased from 3.2% in 1991 to 6% in 2004 (UNESCO). Public expenditure on education as a percentage of total government expenditure increased from 11.1% in 1991 to 24.6% in 1999 (UNESCO).

Primary recurrent expenditure as a percentage of total education recurrent spending was 42.9% in 1990/91. Primary education has always been receiving more than 40% of the resources available in the education sector. This large share that primary education receives peaked for the 1997/98 school year when it reached 65.4%. By 2000/01, it had fallen to 47.3% of the resources available in the education sector. Looking at the development expenditures, primary development expenditure as a percentage of total education development spending was only 10.3% in 1990/01, while secondary education enjoyed the lion's share with 45.6% of total education development spending. The share of primary education rose to 44.5% in 1995/96 and 68.7% in 1997/98. In 2000/01, teacher training received the largest share (49%) of development expenditure, followed by primary education (34.2%) and secondary education (15.0%) in 2004/05 (Kadzamira 2004). Primary education's share of the Ministry of Education's budget is 55%.

Looking at per pupil expenditure, there was a decline at the primary level after FPE due to the insufficient number of teachers and the subsequent rise in the pupil teacher ratio. The disparities are vast across sub-sectors.

The share of the recurrent and development budget in 2004/05 was 71.5% and 24.7% respectively. In the 1994/95 school year, recurrent expenditure as a percentage of total expenditure was 81.7% (Kadzamira, 2004) indicating that the share of recurrent expenditure increased.

Table 3.1 Sub-sector Share of MoE Budget (2004/05 approved)

Administration	21%
Primary	55%
Secondary	20%
Teacher Training	5%

Source: MoE, 2005, Malawi National Education Sector Plan

Table 3.2 Nominal per Pupil Expenditure by Sub-sector (Oct, 2003 USD)

	1993/94	1994/95	1995/96	1996/97	1997/98	1998/99	1999/00
Primary	10	5	13	15	12	9	14
Secondary CSS* only	116	80	132	148	125	71	118
Secondary as a whole	61	33	49	46	30	19	29
Teacher education	366	363	687	317	119	45	n.a.
Technical	382	330	576	517	740	n.a.	n.a.
University	2,900	2,434	2,998	3,271	4,571	2,617	2,650

Source: World Bank (2004b)

*CSS: Conventional Secondary Education

Table 3.3 Percentage of MoE Recurrent and Development Budget (2004/05 approved)

	Recurrent	Development
Administration	14.8%	5.1%
Primary	39.2%	13.6%
Secondary	14.0%	4.8%
Teacher Training	3.5%	1.2%
Total	71.5%	24.7%

Source: MoE, 2005, Malawi National Education Sector Plan

3.2 Financial System before and after UPE

Educational administration in Malawi was previously divided into three regional offices and is now divided into six divisions (Northern, Central Eastern, Central Western, Southern Eastern, Southern Western, and Shire Highlands) with a total of 33 districts under the divisions. The District Education Officer is the head of the district office. Each district has a zone, which controls from 10 to 15 schools. There is a Primary Education Advisor deployed at each zone.

When UPE policies were implemented, the Malawian government was centralized. It was not until November of 1993 that the government of Malawi formally began discussing governmental decentralization to local districts. By January 1996, decentralization became part of cabinet policy. In 1998, the government passed the Local Government Act defining the enhanced role of District Assemblies.

The government statement below clearly depicts the nature of government processes and procedures:

> The whole system of government at local level is under-resourced in terms of money, skills and equipment. It is badly managed without horizontal co-ordination. All decision processes (particularly related to resources) are

> vertical, long and cumbersome.(Malawi Government, 1996)

From the MoE report published in 2004, it is clear that decentralization has been making progress. This is clearly seen in the excerpt from the MoE report below:

> Administration of education over the years has been centralized at the Ministry Headquarters, but some steps have been undertaken to decentralize the management of the system. To date, there has been devolution of the responsibility for budgeting and financial management to post-primary institutions, regional and district education offices. Decentralization of functions such as schools inspection and planning is at an advanced stage while that of staff development has just started. Primary schools are organized by a Teachers' Development Centre (TDC). (MoE, 2004, The Development of Education in Malawi p.17)

At present, for budget formation, Kadzamira (2004) stated as below:

> Primary schools are asked to prepare their funding requirements for the forthcoming financial year. Primary schools submit the funding requirements to the district education managers (DEMs) through their primary education advisers (PEAs). But in reality, it has been revealed that district education officers simply use monthly returns on enrollment, number of teachers, and inventories of teaching and learning materials to determine the financial requirements for all the primary schools in a particular district.

A DEM chairs the district education officer's budget committee, which consolidates the funding requirements of all primary schools in the district and then submits them to Division offices. In submitting the funding requirements to Division offices, DEMs also include the funding needs for running the district education offices. Divisions request information from DEMs. When the various submissions are scrutinized, if certain items are not properly justified, Division managers ask the district education officers to revise their estimates. Subsequently they consolidate the estimates into a Division-level budget for further submission to the MoE headquarters.

At the MoE headquarters, all the various Divisional budgets, with the budget for the headquarters are further consolidated, using guidelines provided by the MoF. However the MoE develops only the recurrent budget. The development budget is developed by Physical Facilities Unit (PFU). During implementation, Divisions can affect intra-sectoral reallocations. The regulations require approval from the Treasury through the MoE headquarters first. In practice, however, allocation of funds takes place without following such procedures. The MoE can not make the most of Mid-term Expenditure Framework (MTEF). Because the MoE rely on foreign resources for 40% of their recurrent costs and 95% of development costs, it is difficult to generate a long term budget.

Each division conducts their own budgeting requirements. Each district is responsible for their teachers' salary. By 2004/2005 the cost-center of budget complication was at the division level and will be at the district level by the 2005/06 budget year. Authority of budgeting and administration in primary education will be transferred to the district level. Although a decentralized structure has been established on official documents, a lot of obstacles lie in the way of true decentralization. For example, decentralized finances will require some form of banking near each district office, but

that is not yet available.

3.3 Aid Flows

In the education sector there is the recurrent budget and the development budget. The recurrent budget comprises of expenditures that are financed by tax revenues, non-tax revenues and grants, while the development budget comprises of spending under multilateral loans and the government's local contribution. The development budget does not capture grants from bilateral donors. In 2000/01, these off-budget grants accounted for about 70 percent of total development expenditures. External agencies contribute about 95% of total on-and off-budget development expenditure and about one third of the education budget as a whole.

Table 3.4 Composition of the Public Budget (Constant 1990 MWK Millions)

	1990/01	% of GDP	2000/01	% of GDP
Total revenue and grants	1,155.36	22.8%	2,274.35	30.8%
Tax revenue	887.46	17.5%	1,260.56	17.1%
Non-tax revenue	155.2	3.1%	122.57	1.7%
Grants	112.7	2.2%	891.22	12.1%
Total expenditure	1,469.05	27.1%	2,334.58	32.8%
Recurrent	1,060.30	20.9%	1,667.10	22.6%
Development	408.75	6.1%	667.48	10.3%
Budget deficit	-313.69	-4.3%	-60.22	-2.0%

Source: Kadzamira (2004)

Seventy percent of the total development budget in the year 2000/01 was comprised of bilateral aid funds and 89% of the development budget was loans. In total, about 97% of the total development budget is provided by donors. At the primary level, loans as a percentage of the development budget increased from 80% in 1990/91 to 88% in 2000/01. The composition of the budget indicates that donor projects and programs determine the nature of educational sector development.

Table 3.5 Decomposition of 1990/00 and 2000/01 Education Sector Development Expenditure by Source

Program	Loans % of Development Budget	GoM % of Development Budget	Total	Development Budget	Bilateral (Estimate) % of total	% of total
1990/00						
Total	89%	11%	100%	35%	65%	100%
Primary	80%	20%	100%	26%	74%	42%
Secondary	92%	8%	100%	60%	40%	36%
Teacher education	99%	1%	100%	6%	94%	20%
Administration	97%	3%	100%	79%	21%	2%
2000/01						
Total	89%	11%	100%	30%	70%	100%
Primary	88%	12%	100%	33%	67%	56%
Secondary	89%	11%	100%	43%	57%	19%
Teacher Education	100%	0%	100%	14%	86%	15%
Tertiary	n.a	n.a	n.a	n.a	n.a	n.a
Administration	94%	6%	100%	10%	90%	10%

Source: World Bank, (2004b)

3.4 Aid Modality

Overall aid to Malawi has increased considerably in the last few years in the forms of program/budget support and project grants as well as reduced debt. The estimated grants to Malawi are:

Table 3.6 Grants to Malawi (Millions of Malawi Kwacha)

	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09
Grants	10 675	23 063	27 893	51 030	48 093	49 992	53 287
Program/budget support	1 220	6 576	5 085	15 159	9 852	8 903	8 300
Project	4 604	6 518	11 138	15 185	17 365	19 493	28 683
Dedicated grants	188	4 219	6 591	13 645	12 691	13 175	7 675
HIPC debt relief	3 588	5 261	5 078	7 041	8 186	8 422	8 630

Source: UN, 2006

Looking at program and project aid, program aid as a percentage of GDP has decreased from 9.9% in 1994/95 to 2.5% in 2003/04. On the contrary, project aid as a percentage of GDP has increased from 5.1% in 1994/95 to 8.5% in 2003/04. It is seen that the inflow of both program and project aid is volatile.

Table 3.7 Volatility of Foreign Aid Inflows Included in the Central Government Operations 1994/05–2003/04 (% of GDP)

	94/95	**95/96**	**96/97**	**97/98**	**98/99**	**99/00**	**00/01**	**01/02**	**02/03**	**03/04**
Program Aid	9.9	5.7	8.3	4.1	9.2	5.6	9.4	1.9	0.8	2.5
Project Aid	5.1	5.0	3.1	3.6	6.5	8.4	8.3	5.8	6.2	8.5

Source: International Development Department School of Public policy, University of Birmingham, 2006

General Budget Support (GBS) to Malawi during the period from 1994–2004 is a source of non-earmarked funding for the state budget. Donors have gradually shifted their definitions and terminology for aid instruments.

Partnership General Budget Support (PGBB) began in 2000/01, but it was suspended in 2002/03 because of the breach of conditionality by the government, most notably being off-track with the Poverty Reduction and Growth Facility (PRGF) arranged with the International Monetary Fund (IMF). The percentage of PGBS as percentage of total ODA was recorded to be 5% in 2004 (International Development Department School of Public policy, University of Birmingham, 2006). In 2002 a group of donors including UK, Norway, Denmark and Sweden established a joint working arrangement called the Common Approach to Budget Support (CABS).

According to the MoE 2004 report, there are three forms of support for the education sector. First of all, The support that Malawi receives from the donor community takes three forms. The first is through budgetary support for recurrent expenditure that Malawi receives from multilateral as well as bilateral donors. Because the money goes into the consolidated fund before the treasury can distribute it, it is difficult to track how much of this funding goes to various sectors. It takes the form of grants and Highly Indebted Poor Countries (HIPC) debt relief.

The second form of donors support in the education sector is through budgetary support for capital expenditure. Over a long period of time, more than three-quarters of Malawi's capital expenditure has been provided by donors. This is clearly presented in the budget. Information provided includes the name of the project being funded, the name of the donor funding it and the exact amount.

The third type of donor support is external funding which is never reflected in the budget documents. (MoE, 2004, P.33-34).

3.5 Accountability System

Kadzamira (2004) stated about monitoring and audit system that expenditure in the MoE is monitored using the monthly expenditure returns that are supposed to be submitted to the MoF. All institutions have to submit Expenditure Return Forms to Divisional offices every month. The Division offices consolidate these forms and submit them to the MoE headquarters by the 10th of every month. The MoE then submit the forms to the Treasury. The ministry's budget is finally evaluated by the Audit-General.

In actual practice, there is no monitoring tool for an Activity-based Budgeting (ABB) as of yet. Furthermore, evaluation of the budget is supposed to be an annual exercise, but this has never been the case. This explains why when a recent audit was

conducted, many fraudulent scandals were uncovered.

School Committees' statutory role in terms of finance include ensuring proper payment of non-teaching staff where they exist, and controlling school funds through the DEO. The role of a Chairperson is like a lead signatory at the bank for the school account. The Secretaries are responsible for records and school accounts and property usage, and for witnessing the payment of non-teaching staff. The Treasurers are responsible for keeping petty cash for the committee, the recording income and expenditure, reporting financial statements at meetings, for paying non-teaching staff, and accounting for property

4. Administration

4.1. Roles and Responsibilities of Organizations

In order to successfully implement UPE, many internal and external actors have contributed. According to FREE PRIMARY EDUCATION 1994-98, much support was provided during this period.

Internal Actors

Ministry of Education, Sports and Culture (MOESC)

MOESC had the primary responsibility of planning and implementation including the coordination of all donor activities in the implementation process. Because donors have provided much needed financial and administrative support, they have been able to exert considerable influence on policies in Malawi.

Education Development Management Unit (EDMU)

There are implementation units under the EDMU such as the Supplies Unit (SU) which is responsible for the distribution of all the teaching and learning materials in all the schools, the Teacher Development Unit (TDU), and the Private and Independent Contracting Management Organization which subcontract school construction component.

Malawi Institute of Education (MIE)

MIE was established in 1982 as an agency affiliated to the MOECS. This institution has primarily three responsibilities. The first is improving and updating the curriculum to keep up with the FPE program; the second is publishing primary school textbooks, teachers' guides and teacher training manuals; and the third is conducting studies to identify the problems and challenges faced by the FPE programme.

Ministry of Women, Youth and Community Services

The Ministry of Women, Youth and Community Services plays a key role in mobilizing local communities, and organizing adult literacy and early childhood education centers.

Ministry of Health and Population

The Ministry of Health and Population has provided the Malawian education system with school nurse programmes. The Ministry has also contributed to create school curriculum related to HIV/AIDS, family planning, nutrition and health.

Ministry of Finance

The Ministry of Finance is the central budgetary authority for the government. The Ministry defines priorities among sectors and allocates funds accordingly.

Religious Organizations

After abolition of fees for primary education in 1994, the Government of Malawi and religious organization such as the Christian Council of Malawi and the Muslim Association agreed to jointly manage the operation of schools. After FPE was implemented, MOESC was increasingly concerned with matters including payment of the teachers and providing teaching materials.

The Mass Media

Mass media, including the radio and newspaper publications, have encourage parents to send children to school.

The Private Sector
The private sector became involved in providing teaching and learning materials. The private sector has contributed through establishing the universal Milk-O-Fund, donating school construction, and supporting vitamin a campaign.

NGOs/Grassroots Organizations
NGOs and grassroots organizations such as Save the Children Federation, action aid, Forum for African Women Educationalists in Malawi (FAWEMA) have been working on many aspects within education such as skills training, provision of teaching and learning materials, gender and women's development, and HIV/AIDS.

External Actors
United Nations Children's Fund (UNICEF)
UNICEF has made a significant contribution to the Malawian education sector by promoting community schools. Additionally, major achievements of UNICEF include the construction of classrooms and provision of safe water, distribution of materials, and initial training of para-professional teachers.

German Technical Cooperation (GTZ)/ The German Central Lending Bank (KfW)
GTZ has carried out tremendous support in the areas of science curriculum development, management and implementation of basic education at district and school levels, training of untrained teachers, and school committee training. GTZ is also directly supporting recurrent budget funds for district education officer in particular districts. KfW has carried out a school construction project.

The World Bank
The World Bank has conducted teacher education programs, been involved with school and classroom construction and rehabilitation, been active in textbook distribution, and community empowerment projects.

Department for International Development (DfID)
DfID has contributed to build and equip community primary schools (standard 1 to 4) in addition to training and supporting teachers in those schools. DfID aid has also been provided for the establishment of a national training programme, development of Teacher Development Centers (TDC), and preparation of training materials and training of Heads and PEAs.

United States Agency for International Development (USAID)
USAID is focused on the gender-related GABLE project, which aims to increase the long term financial resource base, and improve the quality, availability, efficiency, and relevance of primary education for girls.

Canadian International Development Agency (CIDA)
CIDA supported the construction and rehabilitation of schools and reprinting of teaching and learning materials for standards 5 to 8.

The European Union (EU)
The EU has carried out the construction of low-cost classrooms and teachers' housing. The EU has also provided sanitary and safe water facilities for schools.

African Development Bank (AfDB)
The AfDB has assisted in building and equipping primary schools in urban areas.

Classrooms, two divisional education offices, and 13 district education offices have been constructed under AfDB's financing.

World Food Programme (WFP), Danish International Development Agency (DANIDA), Norwegian Agency for Development (NORAD), and Japan International Cooperation Agency (JICA) have also supported primary education project.

4.2. Capacity of the Government

In Malawi, in particular, malaise in the bureaucracy is negatively affecting the government's capacity. Malawi has a core group of committed and capable individuals, but widespread institutional capacity is lacking. Capacity-building programs are now in place.

Public officers at the local level also exhibit low capacity. For example, PEAs are responsible for collecting data in the district, but there has not been any pooling or analysis of data at the district level. The data arrives at the division office in a haphazard way indicating that the Division planner was not trained on how to collate data for the centre's purpose.

4.3. Partnership Coordination among Stakeholders

After FPE was implemented, school fees were abolished and uniforms were no longer required. Regardless, some parents contribute to school general-purpose funds by providing stationary such as pens and exercise books. The community significantly contributes to school maintenance and construction. Malawi Social Action Fund (MASAF) requires each community to contribute 20 percent of the value of the project in materials or labor in kind. In the 5 years since 1996, communities, via MASAF, have constructed 41 percent of all new classrooms. However Parent-Teacher Associations (PTAs) and school committees are the most common mechanisms for community involvement, levels of participation vary widely.

UNESCO (2005) reported about partnerships with development agencies and civil society as follows: Through the Planning Department, the Ministry of Education coordinates the partnership with development agencies and the civil society. The Planning Department has officers designated to act as contract persons for specific development/partners programs under the Director of Planning who reports to the Principal Secretary for Education. The Ministry of Education convenes monthly meetings with development partners including the civil society organizations. These meetings offer a forum for information sharing and collective sector programme planning.

A memorandum of understanding and code of ethics document to guide the operations and relationship between government and its partners was drawn up and adopted. The Ministry of Education organizes annual Joint Sector Reviews where government and its partners review the education sector's performance and agree on recommendations and action points.

The civil society organizations actively participate in policy formation, advocacy, and monitoring of policy implementation. They are also involved in service delivery. NGOs active in education are coordinated by the Civil Society Coalition for Quality

Basic Education (CSCQBE) which has a membership of about 70.

Coordination of donor support is an area that poses a challenge. Until recently when the Ministry of Education was considering a sector-wide approach (SWAP) for programme implementation, it was difficult for the Ministry to coordinate and direct efforts by development partners towards priority areas. Though the Ministry is now aware of which partner is supporting which element of the education sector and by how much, all partners are still unwilling to pool their resources into one basket due to different funding policy arrangements. The SWAP is therefore being implemented in a phased approach with a pilot arrangement involving pooling funds from a few donors for specific programmes.

Because of problems associated with poor coordination of support from partner organizations there has been uneven geographical distribution of the support. Effectively, there are some districts with several projects and activities supported by the funding agencies and NGOs while some districts receive little if any support and funding.

5. Policy Implementation

5.1 Policy Gap

After FPE was implemented, the Policy and Investment Framework (PIF), a ten-year education plan, was developed in 1995. It was revised in 2000 and extended to be effective until 2012. Contrasting the policy goals of the PIF created in 1995 and actual indicators of performance after the plan was implemented, it was clear that very few, if any of the goals were achieved by 2005. There was clearly a large gap between policy-making and implementation.

Table 5.1 Actual Indicator of Performance and Goals Set by PIF 1995 and 2000

	Actual indicator	**PIF1995 (1995-2005)**	**Actual Indicator**	**PIF200 (2000-2012)**	**Actual Indicator**
Access					
NER	61% (1993/94)	90% (2005)	76% (1998)	95% (in all district) (2015)	82% (2004)
Quality					
Teacher Pupil Ratio	1:68 (1993/94)	1:60 (2005)	1:67 (1998)		71% (2005)
Qualified Teacher Pupil Ratio	1:81 (1993/94)		1:134 (1998)	1:60 (2012)	1:83 (2005)
Classroom Pupil Ratio	1:95 (1993/94)	1:60 (2005)	1:154 (1998)		1:85 (2005)
Permanent Classroom Pupil Ratio	1:115 (1993/94)		159 (1997)	1:80 (2007)	1:106 (2005)
Textbook Pupil Ratio	1:4.7 (English textbook 1994/95)	1:2 (intermediate target) (2005)	1:2 (1997)	1:2 (2002)	1:1.4 (2004)
Efficiency					
Dropout Rate	Girls:18%, Boys:16% (1993/94)	Less than 5% in standard1to 7, and 15% in standard 8 (2005)	Girls:12%, Boys:12% (1998)	5% in all standard(2012)	Girls:7%, 27% Boys:8%, 16% standard 2 and 8 respectively (2005)
Repetition Rate	Girls:17% Boys:17% (1993/94)	Less than 5% in standard 1to 7, and 15% in standard8 (2005)	Girls:13% Boys:14% (1998)	less than 5% in standard 1 to 7, and 10% in standard8 (2012)	Girls:21%, 14% Boys:21%, 15% standard 2 and 8 respectively (2005)
Equity					
Girls Participation	48.1% (1993/94)		48.6% (1998)	50% (2002)	

5.2 Perception Gap

According to the World Bank (2004a), 79 percent of respondents felt that their children were learning more than they had before free primary education (FPE) was introduced (84 percent of the lowest income quintile and 66 percent of the highest quintile), 65 percent felt that teaching had improved, and 82 percent felt that the quality of infrastructure and the supply of textbooks had improved. These results suggest that the overall quality of education improved, but does not necessarily mean that the quality of education is at a satisfactory level. The challenge of continuing to improve education quality is of great importance for Malawi.

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‘A Comparative Analysis on Universal Primary Education Policy in Sub-Sahara Africa’

The case of UGANDA

TABLE OF CONTENTS

1. Historical Background of Policy Settings

1.1 Historical Overview of Primary Education Policy Since Independence

In Uganda the importance of primary education had been recognized as early as at independence in 1962. Backed with enthusiasm and high expectation of the people for the newly independent nation, an education review commission was appointed by the government in 1963. The commission advocated a need for highly educated human resources to build a new nation and stated that expansion of primary education is an essential precondition for it. However, proceeding political turmoil has damaged educational development in Uganda over two decades. Until the 1980s, educational expansion remained mere slogan and only 65 percent of school-going age children were enrolled in primary school in the early 1990s[1].

In 1991, a year after the Education for All conference in Jomtien, Thailand, the Government of Uganda initiated formulation of educational policy to retrieve the long-lasted neglect for expansion of educational opportunities and improvement of educational quality. The Primary Education Reform Programme (PERP), launched in 1993, shifted the resources for secondary and tertiary education to primary education. As a consequence, the government planned the Primary Education and Teacher Development Programme (PETDP) that focused on teacher training and improvement of school management.

While expansion of primary education attracted both international and domestic attention in Uganda, a then candidate for presidency, Mr. Yoweri Kaguta Museveni, pledged for universal primary education during the political campaign in 1996. Upon his designation, the UPE policy started in January 1997.

1.2 Components of the UPE policy

The components of the UPE policy initially included five major fields of policy intervention. The first component was abolition of school fees, which initially applied to up to four children and changed its eligibility to all children in 2003[2]. The second component was to increase the government expenditure on primary education. The education expenditure as percentage of GDP increased from 1.6 percent to 3.8 percent and the share of primary education in the total education expenditure rose from 40 percent to 65-70 percent. The third component was to introduce double-shift for grades 1 and 2 and changed the pupil-classroom ratio from 37:1 to 55:1 to allow some congestion in classrooms. Furthermore, the fourth component defined the parental responsibilities as provision of lunch, uniform, and shelter and the fifth component was to abolish PTA fees with an exception for the urban areas where voluntary labor is hard to obtain. Moreover, the government initiated administrative and fiscal decentralisation and implemented advocacy campaigns for girl's education.

[1] Malinga, F (2004). *Achieving EFA: Uganda's Experience in Financing Basic Education*, Commonwelth Education Partnerships. London: Commonwealth Secretariat.
[2] Primary education in Uganda lasts for 7 years and school-going age is between 6 to 12 years old.

1.3 National development plan and education

The Poverty Eradication Action Plan (PEAP), the Uganda's national plan, has put education as one of the five high priority areas since 1997[3]. As the national education plan, the Ministry of Education and Sports formulated the Education Sector Investment Plan (ESIP) in 1998 for the period of 1998-2003 in which resource allocation clearly puts high priority for primary education sub-sector. Uganda attracted many donors' assistance and the annual joint monitoring has been implemented under good partnership between the MOES and donor agencies. Furthermore, in 2004 Uganda was selected as one of the eligible countries for the EFA Fast Track Initiative (FTI) and its education plan obtained high reputation for its relevance to EFA. Based on the recognition that the UPE policy has been successfully implemented, at least in terms of expansion of educational opportunities, and the graduates from primary schools who received benefits from the UPE policy are now entering secondary schools, the Education Sector Strategic Plan (ESSP) 2004-2015 shifts its emphasis from one of implementing UPE to a more balanced concern for post-primary and other sub-sectors as well as primary sub-sector.

1.4 Demographic challenges

Although the resource shift is expected to happen from primary to post-primary, primary education sub-sector still faces challenges in light of demographic characteristics in Uganda. The population growth is as high as 3.4 percent and the number of pupils in primary schools is expected to have reached 8.4 million in 2005-6[4].

[3] Other priority areas include health care, agriculture, roads, and water for PEAP 1997-2006 and Poverty Reduction Strategy Papers (PRSP) have been based on PEAP.

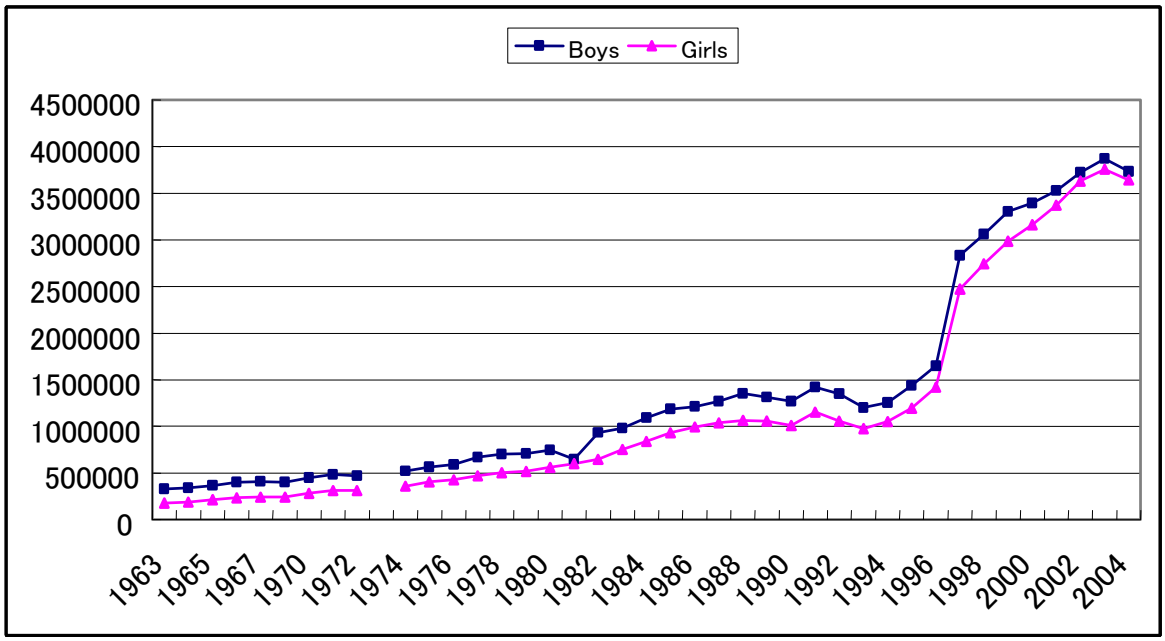
[4] Ministry of Education and Sports. (2004). UPE: Universal Primary Education: Enhancing UPE: A Stakeholders Handbook. Kampala: MOES.

2. Performance in the Primary Education Sub-Sector

2.1 Access

The UPE has brought a sharp increase in primary school enrollment. The total primary school enrollment has risen from almost 3 million in 1996 to a phenomenal 7.2 million children in 2006. The net enrollment rate, which was approximately 60% before UPE, has reached 90% (92.5% for boys and 87.6% for girls) in 2004[5].

Figure 2.1 Access: Primary Enrollment for Boys and Girls 1963-2004



Deininger (2003) found that the introduction of UPE was associated with a significant expansion of attendance in primary education by the poor and that the school fees decreased significantly. He also found that the school attendance increased dramatically for girls aged 6 to 8 years and that the household expenditure on primary schooling decreased by about 60 percent between 1992 and 1999.

Nevertheless, the intake rate has been low and delayed enrollment has been a challenge for UPE. Nishimura, et al. (forthcoming) found that the UPE policy has reduced the delayed enrollment by 24.3 percentage points for girls and 25.8 percentage points for boys. Orphans and children in female-headed households are more prone to delay enrollment. In contrast, children in Muslim households, children with educated parents, and children in high expenditure households are less likely to delay enrollment. Furthermore, the education level of mothers seems to have a large impact on preventing delayed enrollment for both girls and boys, and that boys in female-headed households

[5] MOES, EMIS data 2004.

are more likely to delay enrollment. However, in 2005, the number of under age pupils dropped from 232,479 to 62,098, possibly due to the policy on ECD and circular given to head teachers of primary schools not to allow children of below age in primary schools (Byamugisha, 2006).

Table 2.1 Access: Under Age Pupils by Year and Gender (2000-2005)

	2000	2001	2002	2003	2004	2005
Male	135,706	141,808	146,253	192.382	113,183	29,251
Female	141,304	160,495	158,634	135,368	119,298	32,847
Total	277,010	292,303	304,887	264,750	232,479	62,098

Source: EMIS data, MOES

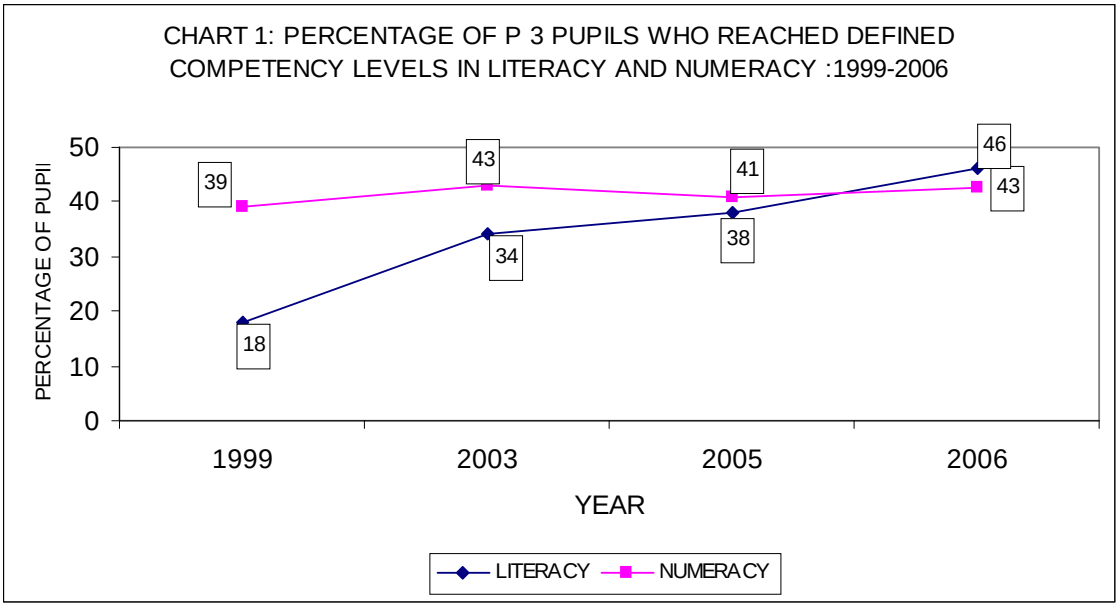
2.2 Quality

With an increase of the education budget, the number of primary school teachers increased by 41 percent from 103,331 in 1997 to 145,703 in 2004 and the number of schools also increased by 41 percent from 10,490 in 1997 to 14,816 in 2004 (MOES, 2005). Nonetheless, the rate of increase in the number of teachers and schools (41%) is far below the increase of students (171%). As counter-measures against this challenge, the nationally set pupil teacher ratio was amended to 1:55 from 1:37 as indicated earlier. The double shift system has also been introduced to avoid congestion in classrooms, especially for lower grades. The actual average pupil teacher ratio was 1:65 in 2000 and improved to 1:54 in 2004. For lower grades, the pupil teacher ratio was 1:106 in 2000, which became 1:85 in 2004.

The government also intervened in teacher training to reduce unqualified teachers and provide textbooks. The number of qualified teachers was 59,747 in 1996 and increased to 107,009 in 2002 (Malinga, 2004). The textbook unit in MOES used the recurrent budget for scaled-up textbook provision. As a result, pupil textbook ratio recorded at 4:1 in 1996, worsened to 9:1 in 1997, and then improved in 2000 recorded at 5:1.

While the educational provision improved, the pupils' educational attainment in examinations has significant challenges. Results indicate that on average 80% of the pupils who sit for PLE pass, while not all those who register for PLE sit for exams. In 2005 out of 445,615 candidates who registered for P7, 410,363 (92%) sat for PLE. This means that 35,252 (8%) of the registered pupils did not sit for exams. Furthermore, the National Assessment of Progress in Education (NAPE) that is designed to test performance of pupils in P3 and P6 and has been conducted since 1999 shows the overall low performance of students. According to the data in 2006, the percentages of pupils who reached defined competency levels in literacy and numeracy were 46% and 43% respectively for P3 and 34% and 31% for P6.

Figure 2.2 Quality: Trends in the Overall Level of Achievement



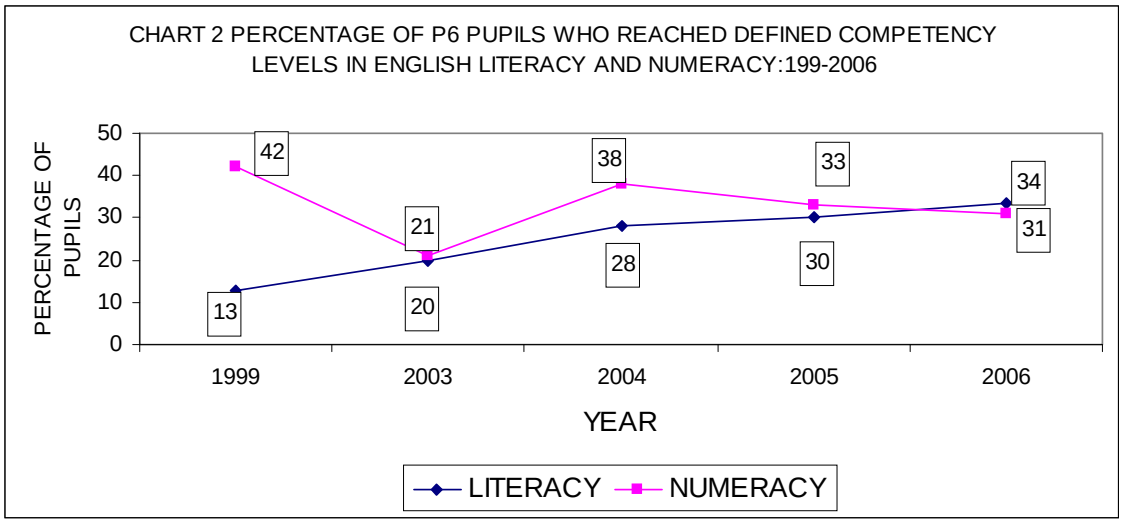


Table 2.2 Showing P7 Enrolled Pupils and PLE Candidates 2001 - 2006

Year	P7 Pupils	Registered Candidates	Loss Between P7 pupils and candidates	Candidates sitting	Passes	Percentage passing
2001	428,004	349,413	78,591	326,771	257,595	(79%)
2002	460,109	408,547	51,562	365,891	273,379	(75%)
2003	485,703	405,998	79,705	373,664	301,546	(81%)
2004	473,482	433,518	39,964	401,936	320,543	(80%)
2005	479,951	445,615	34,336	410,363	347,833	(85%)
2006	*484,554	434,580	49,974			

Source: EMIS and UNEB * estimate

2.3 Efficiency

UPE policy faces severe challenges in internal inefficiency in the primary education system. The available information suggests that only 22% of children that enrolled in primary one in 1997 managed to reach primary seven in 2003. This trend is still persistent (see Table 2-3). The official statistics show that the repetition and dropout rates are within the range of 8-11% and 5-6% respectively between 1998-2005 (Byamugisha, 2006). Furthermore, as indicated earlier, out of those who reached primary seven, approximately 8 percent of pupils do not sit for the primary leaving exam that make them eligible for completion of primary cycle (Byamugisha, 2006).

Table 2.3 Efficiency: Enrollment flows for primary schools from 1997-2005

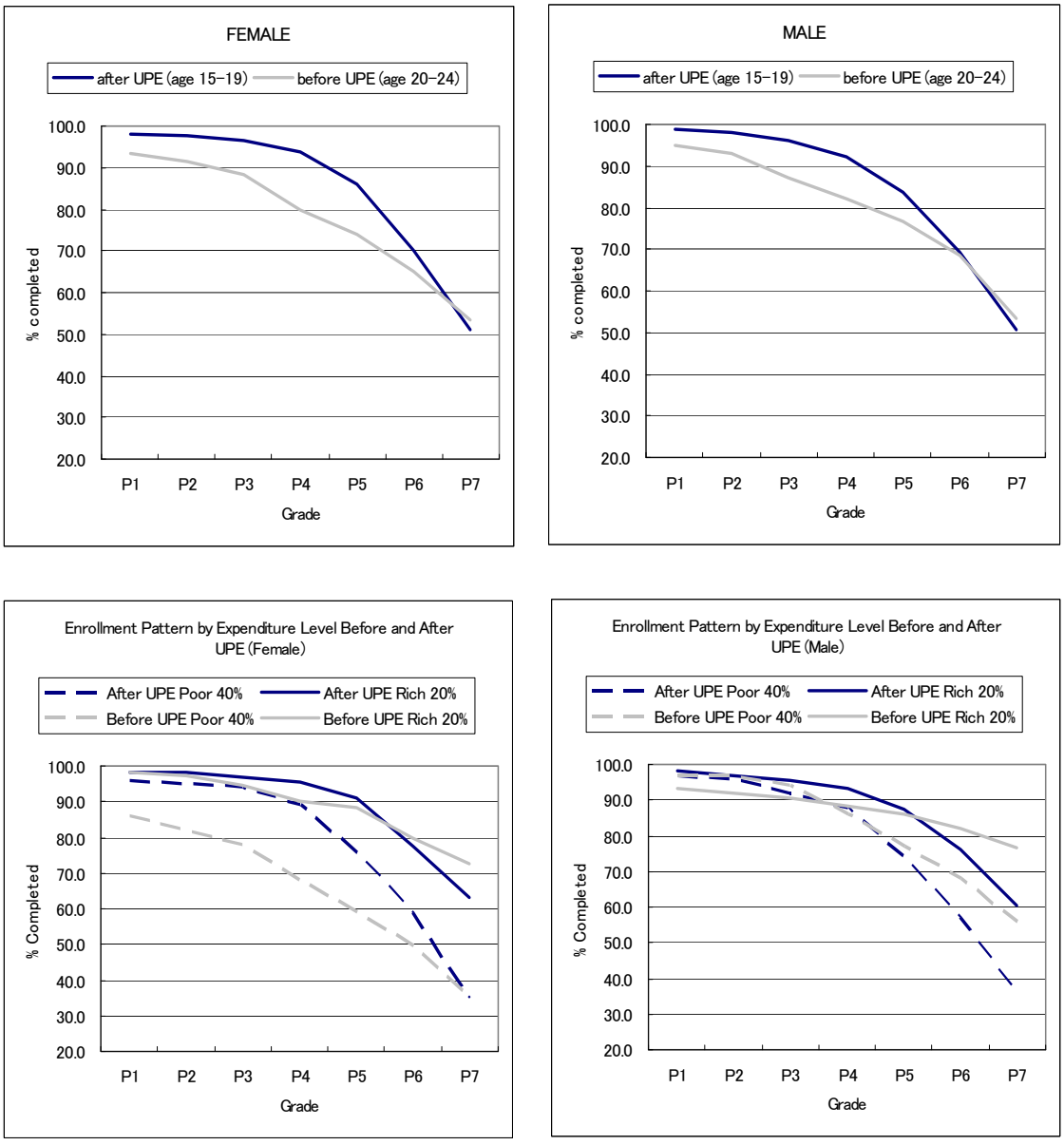
	1997	1998	1999	2000	2001	2002	2003	2004	2005	Prov. 2006
P1	2,159,850	1,655,126	1,610,008	1,637,651	1,704,766	1,847,180	1,914,893	1,837,277	1,712,420	1,694,276
		We do not expect retention rates simply because these are the new entrants to Primary 1.								
P2	820,545	1,312,593	1,205,347	1,157,547	1,157,982	1,203,983	1,244,801	1,194,477	1,175,032	1,152,289
	Promotion rate	61%	73%	72%	71%	71%	67%	62%	64%	67%
	Retention Rate	61%	73%	72%	54%	56%	58%	72%	54%	53%
P3	725,786	863,148	1,128,216	1,125,285	1,128,770	1,159,871	1,178,890	1,150,525	1,162,462	1,156,063
		Promotion rate	86%	93%	98%	100%	98%	92%	97%	98%
		Retention Rate	52%	68%	70%	54%	55%	70%	54%	54%
P4	565,238	704,163	813,320	962,052	1,019,362	1,070,119	1,089,884	1,045,814	1,019,290	1,016,668
			Promotion rate	85%	91%	95%	94%	89%	89%	87%
			Retention Rate	45%	62%	66%	50%	63%	47%	47%
P5	449,281	545,151	654,951	723,132	832,855	910,690	958,458	923,709	915,504	884,693
				Promotion rate	87%	89%	90%	85%	88%	87%
				Retention Rate	39%	55%	60%	56%	42%	41%
P6	340,048	428,564	514,556	568,943	629,177	702,201	760,685	752,008	759,220	736,721
					Promotion rate	84%	84%	78%	82%	80%
					Retention Rate	33%	46%	47%	35%	34%
P7	242,816	297,640	361,841	384,403	428,004	460,109	485,703	473,482	479,951	451,808
		88%	84%	75%	75%	73%	69%	62%	64%	60%
							22%	29%	30%	28%
Total	5,303,564	5,806,385	6,288,239	6,559,013	6,900,916	7,354,153	7,633,314	7,377,292	7,223,879	7,092,518

Source: Byamugisha, A. (2006). *Overall Performance of Districts and Constraints towards Attainment of Sector Targets Using the District League Tables (basing on Education Performance Index (EPI)*. Kampala: Government of Uganda.

Nishimura, et al. (forthcoming) found that the UPE policy has both impacts and limitations

in improving internal efficiency in education. According to the household survey results, the completion rates of the fourth and fifth grades increased more than 11 percentage points for young female adults aged 15 to 19 in the post-UPE cohort. In contrast, the UPE policy has rather limited impacts on young male adults: the completion rates of the fourth grade increased by 4.4 percentage points but the completion rate of the fifth grade did not increase significantly for male young adults in the post-UPE cohort. Thus, it seems that the UPE policy has large positive impacts on the completion rates of primary education up to the fifth grade for female students but only up to fourth grade for male students, and the sizes of the impacts are larger for female students than male students.

Figure 2-3 Efficiency: Enrollment Profile before and after UPE1: Educational Attainment

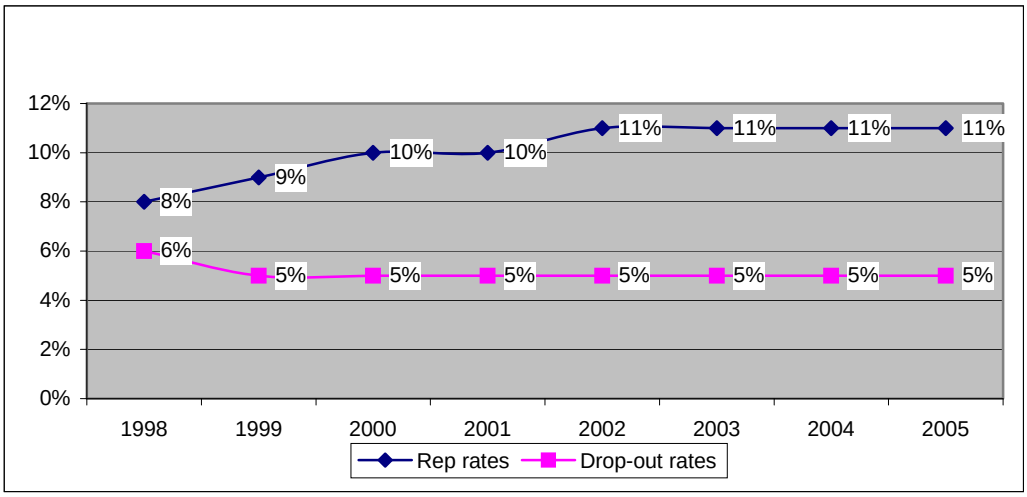


Source: Nishimura, et al. (forthcoming)

In the survey, Nishimura, et al. (forthcoming) have asked the reasons for the non-enrollment. The most frequently cited reason for dropouts or non-enrollment by parents or guardians of children aged 6 to 12 is 'not yet schooling age' for both boys and girls, which accounts for 69.7 percent for boys and 78 percent for girls. "Can't pay school fee" was the second most frequently cited reason for both boys (8.2 percent) and girls (10.1 percent). These results are different from the previous national household surveys that indicated school fees as the most important reason for non-enrollment (MOES, 2001; Deininger, 2003). Regarding the starting age, some parents or guardians of children over age 10 responded that their child is not yet school going age. The distance to school in part may explain why younger children of school age do not still attend school due to security and physical reasons (MOES, 2001). However, the fact that some parents consider it too early to send their children aged over 10 raises some questions on parental awareness on schooling. Byamugisha (2006) note that the reasons for dropout include long distance to school, financial costs, parental attitudes towards education, early pregnancy or early marriage, seasonal and geographical barriers, personal reasons (e.g. peer-ridicule, illness, failure to pass exams), employment, and war-related trauma.

As for the reasons for repetition, ten reasons are reported, namely, rampant absenteeism, poor academic performance, pupil's low value of education, lack of scholastic materials, slow learners, domestic work, delinquent behavior, premature sexual distractions, bias against certain subjects (e.g. math and English), and disabilities (Byamugisha, 2006).

Figure 2-4 Repetition and Dropout Rates



Source: Byamugisha (2006).

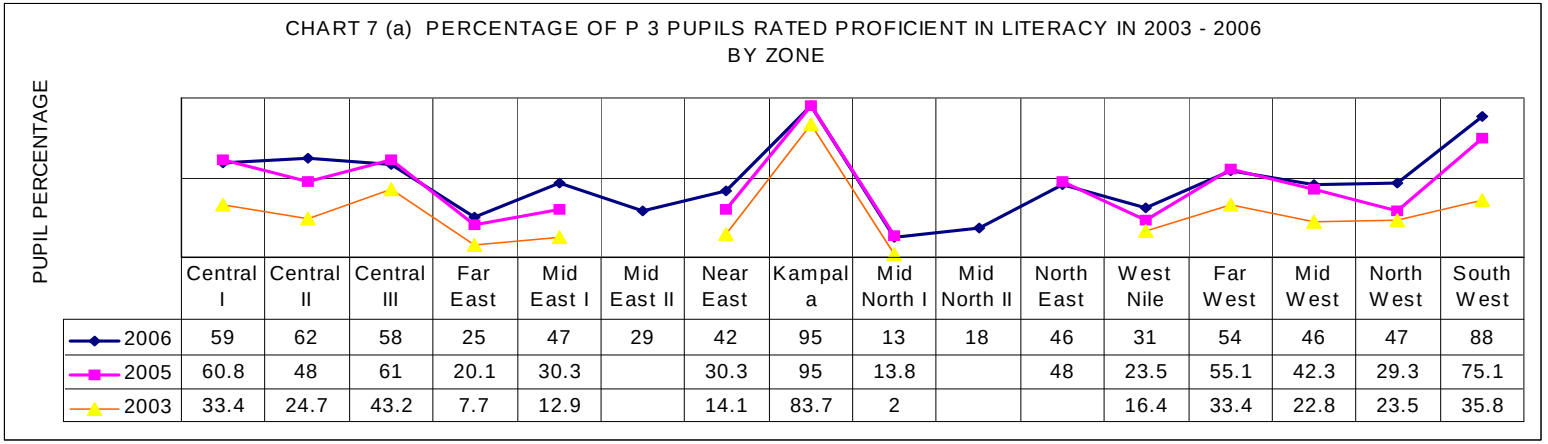
2.4 Equity

UPE increased girls' access to education and gender parity for access to P1-5 is now equal. However, girls occupy only 47% of enrollment in P6 and 43% in P7, albeit better than in 1992 when the numbers showed 41% and 38% respectively (MOES, 2004). Nishimura, et al. (forthcoming) also find that different factors affect the school enrollment of boys and girls aged 6 to 12. Among girls, the age of the child and the mother's education are the only factors that have significant impacts on enrollment. Younger girls tend to be out of school, which will result in delayed enrolments, while the mother's education has a positive impact on enrollment. For boys aged 6 to 12, younger boys also tend to be out of school but the education levels of both father and mother do not have impacts on enrollment. Although the household expenditure increases boys' enrollment, but not girls' enrollment, in this age group, the opposite results were obtained in the older age group. Thus, it is not clear if there is a gender preference for boys over girls, or vice versa.

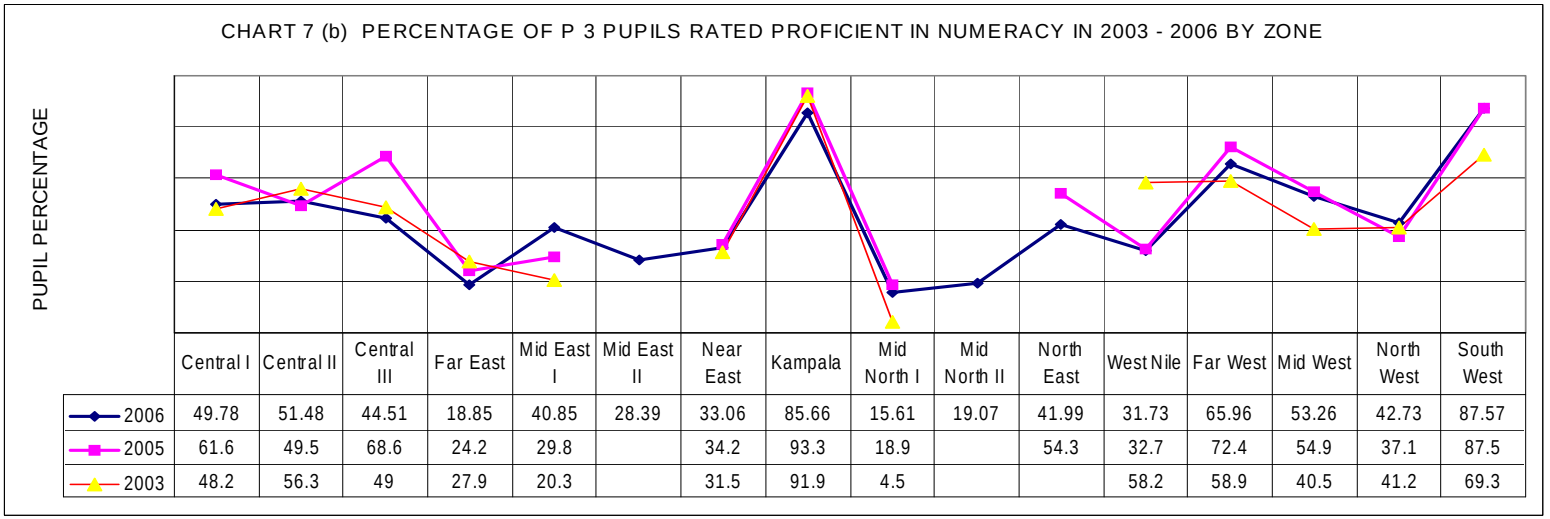
Nishimura, et al. (forthcoming) also found that many socio-economic factors, such as educational resources and wealth variables, influence delayed enrollment and educational attainment. Therefore, it is suggested that socio-economic factors still have a significant influence on overall education attainment in primary education even when the tuition is free under the UPE policy.

Disparity also persists in pupils' educational performance. For instance, while the percentages of P6 pupils who were rated proficient in literacy and numeracy were 60% and 68% respectively in urban areas, those of rural areas were as low as 27% and 36% respectively. The difference also exists by school zones as shown in Figures 2.7 and 2.8.

Figure 2.5 Equity: The Trend of Proficiency in Literacy and Numeracy by Region (P3)



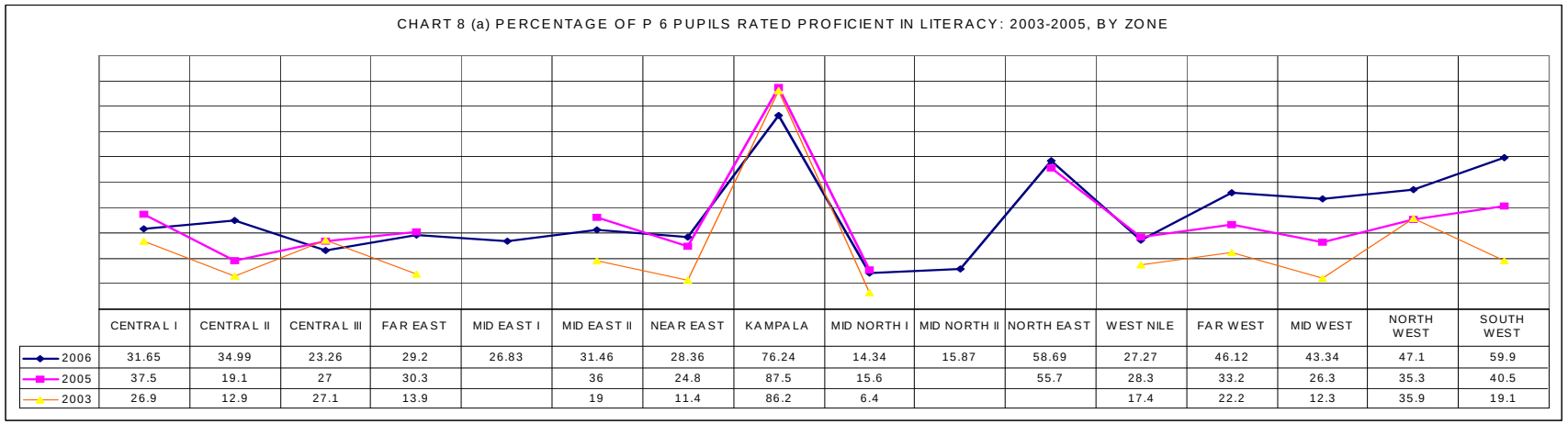
	Central I	Central II	Central III	Far East	Mid East I	Mid East II	Near East	Kampala	Mid North I	Mid North II	North East	West Nile	Far West	Mid West	North West	South West
2006	59	62	58	25	47	29	42	95	13	18	46	31	54	46	47	88
2005	60.8	48	61	20.1	30.3		30.3	95	13.8		48	23.5	55.1	42.3	29.3	75.1
2003	33.4	24.7	43.2	7.7	12.9		14.1	83.7	2			16.4	33.4	22.8	23.5	35.8



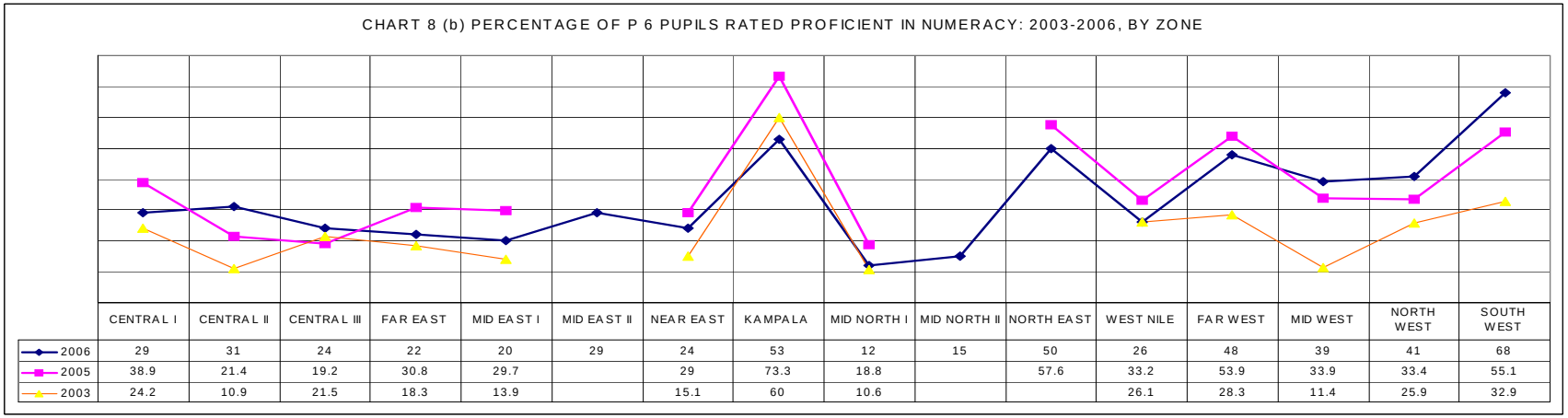
	Central I	Central II	Central III	Far East	Mid East I	Mid East II	Near East	Kampala	Mid North I	Mid North II	North East	West Nile	Far West	Mid West	North West	South West
2006	49.78	51.48	44.51	18.85	40.85	28.39	33.06	85.66	15.61	19.07	41.99	31.73	65.96	53.26	42.73	87.57
2005	61.6	49.5	68.6	24.2	29.8		34.2	93.3	18.9		54.3	32.7	72.4	54.9	37.1	87.5
2003	48.2	56.3	49	27.9	20.3		31.5	91.9	4.5			58.2	58.9	40.5	41.2	69.3

Source: MOES data (excel sheet).

Figure 2.6 Equity: The Trend of Proficiency in Literacy and Numeracy by Region (P6)



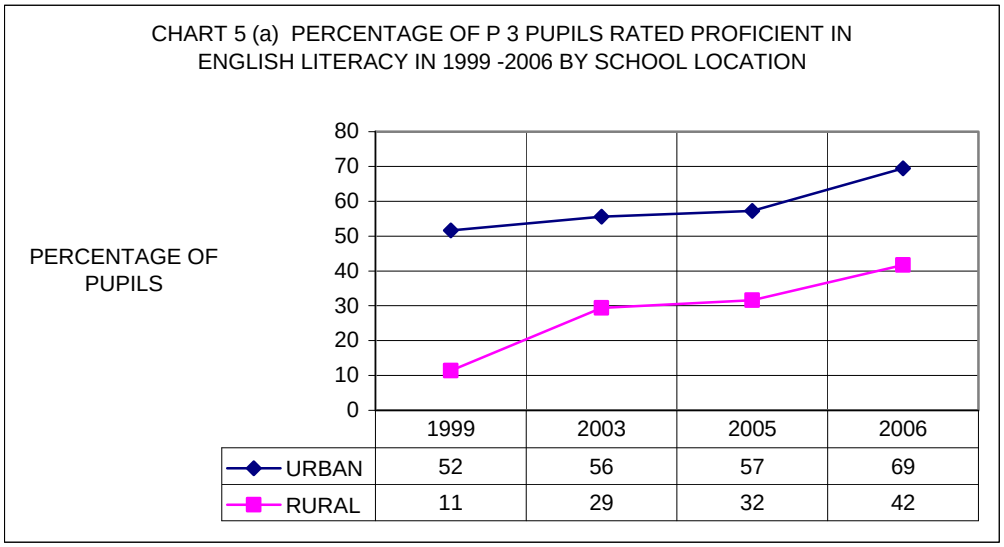
	CENTRAL I	CENTRAL II	CENTRAL III	FAR EAST	MID EAST I	MID EAST II	NEAR EAST	KAMPALA	MID NORTH I	MID NORTH II	NORTH EAST	WEST NILE	FAR WEST	MID WEST	NORTH WEST	SOUTH WEST
2006	31.65	34.99	23.26	29.2	26.83	31.46	28.36	76.24	14.34	15.87	58.69	27.27	46.12	43.34	47.1	59.9
2005	37.5	19.1	27	30.3		36	24.8	87.5	15.6		55.7	28.3	33.2	26.3	35.3	40.5
2003	26.9	12.9	27.1	13.9		19	11.4	86.2	6.4			17.4	22.2	12.3	35.9	19.1

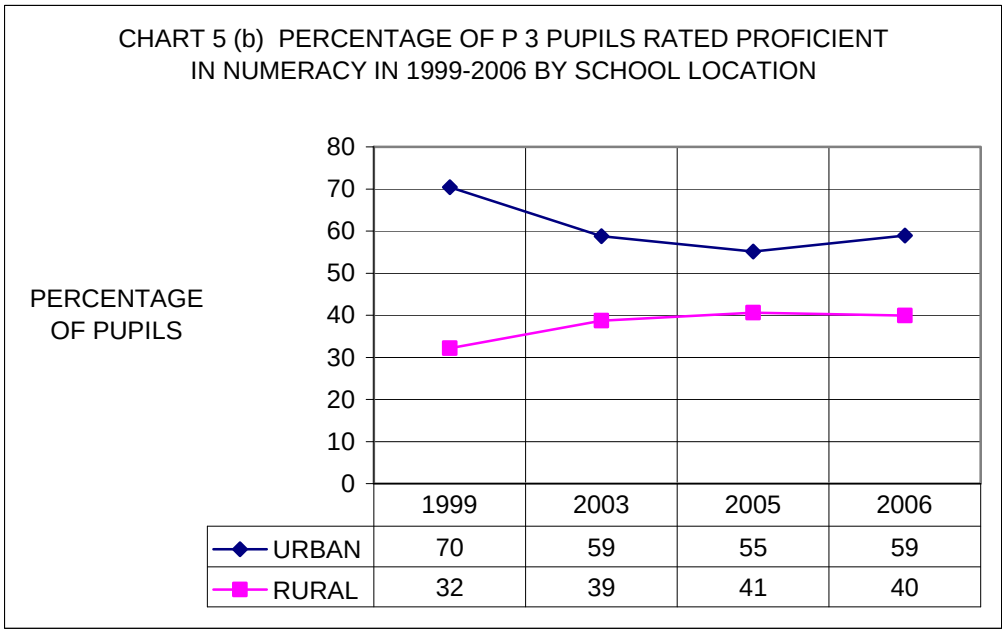


	CENTRAL I	CENTRAL II	CENTRAL III	FAR EAST	MID EAST I	MID EAST II	NEAR EAST	KAMPALA	MID NORTH I	MID NORTH II	NORTH EAST	WEST NILE	FAR WEST	MID WEST	NORTH WEST	SOUTH WEST
2006	29	31	24	22	20	29	24	53	12	15	50	26	48	39	41	68
2005	38.9	21.4	19.2	30.8	29.7		29	73.3	18.8		57.6	33.2	53.9	33.9	33.4	55.1
2003	24.2	10.9	21.5	18.3	13.9		15.1	60	10.6			26.1	28.3	11.4	25.9	32.9

Source: MOES data (excel sheet).

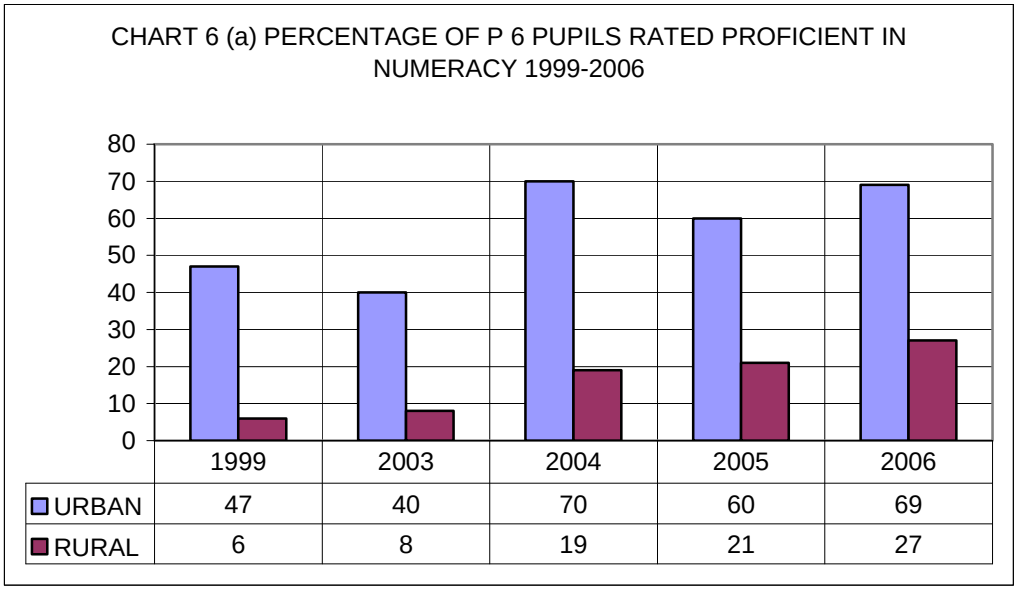
Figure 2.7 Trends in Achievement by School Location (P3)

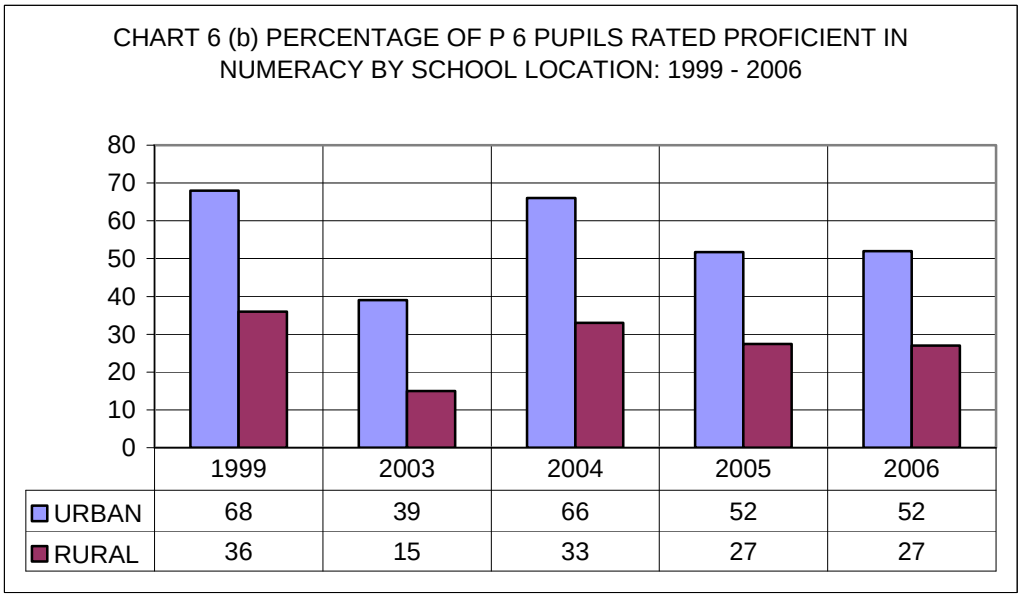




Source: Uganda National Examination Board (UNEB) (2006).

Figure 2.8 Trends in Achievement by School Location (P6)





Source: Uganda National Examination Board (UNEB) (2006).

In response to these challenges, MOES is currently making efforts to pay special attention to schools in the "hard-to-reach" areas. Special policy interventions in these areas have recently been accepted in the form of top-up salary and provision of housing for teachers. Also, school construction in the remote areas is to be facilitated using school mapping based on the recent Geographic Information Survey (GIS) results. Such targeting strategies are to further the benefits of UPE to marginalized children (Malinga, 2005).

2.5 Management

One of the most impacts that the UPE and ESIP had was to improve donor coordination and streamline the educational planning, monitoring, and evaluation. After the introduction of ESIP, MOES and donors organize the education sector review meeting in every October to assess and monitor the progress of the Education Sector with more emphasis on UPE policy, which is the ground base for all aid agencies to plan further assistance.

At school level, schools have strong mandate since the introduction of decentralisation in 1997. The UPE grant is disbursed to school through the district from the Ministry of Finance Planning and Economic Development. The head teachers were trained to keep all school records and accounting situation on wall to maintain transparency. However, due to the lack of monitoring, the actual implementation of accountability and transparency cannot be confirmed at this stage as described later under administrative gap.

3. Finance

3.1 Education Expenditure

As far as education financing is concerned, public education in Uganda was under-funded prior to the introduction of the UPE policy in 1997 (Mehrotra and Delamonica, 1998). The direct costs of education were heavily dependent on private resources. Students' families paid more than 80 percent of the total direct costs of public primary schooling, while the government paid the rest. The largest part was allocated to the salaries of teachers and administrators. The share of private resources in the total direct costs of education in Uganda was high compared to other low-income countries such as Burkina Faso (41.3%), Bhutan (27.2%), Myanmar (58.5%), and Viet Nam (40.0%) (Mehrotra and Delamonica, 1998).

The UPE policy made primary education high priority. The education expenditure as percentage of GDP increased from 1.6 percent to 3.8 percent and the share of primary education in the total education expenditure rose from 40 percent to 65-70 percent. As of 2005/6, primary education occupied 67.1% of the total education budget, while secondary, BTVET, and tertiary occupied 16.1%, 3.9%, and 11.1% respectively (MOES, 2006). The share of the government expenditure in the education sector has been kept at approximately 24% since 1997, while it dropped down to 17% in 2005. The recurrent expenditure occupies 73.6% of total primary education expenditure in 2004/05 and 76% in 2005/6. This rate is planned to decrease to 64% by 2014/15 (MOES, 2005). In addition, since the government's pledge for universal post-primary education in 2006 is likely to change the current budgetary plans for sub-sectoral share in the near future and would have cost implications for primary education.

3.2 Mid-Term and Long-Term Expenditure Framework

The Ministry of Finance, Planning and Economic Development (MFPED) anticipates that the budget for education will increase by 76% between 2003/04 and 2013/14 (MOES, 2005). The MFPED expects the rate of growth in terms of GDP to rise from 5.0% in 2003/04 to 6.4% in 2013/14[6]. The share of education in total government expenditure is expected to increase from 19.4% to 21.2% during the same period[7]. The share of primary sub-sector in the education budget is projected to stay at around 40-47% during the period of 2004-2015, which shows some resource shift from primary to other sub-sector (MOES, 2005). Among the share of primary education, the percentage share of recurrent cost is projected to decrease from 73.6% in 2004/05 to 64% in 2014/15. MTEF is made based on this long-term expenditure framework and Ushs 1.618 billion was allocated to primary education for the 3-year MTEF (2002/3-2004/5) (Business Synergies, 2003). For the period of FY2005/6-2007/8, the estimated budget projections for the education sector is Ushs.2.112 billion (MFPED).

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[6] The projection is assumed to be driven by rapid GDP growth. Other assumptions include a sharp increase of the private investment as the financing of the public debt absorbs a shrinking share of rising savings. Private consumption is projected to increase by an average of 5.3% a year over the decade. Population growth is assumed to average 3.56% a year. Thus per capita consumption is predicted to rise by 1.7% a year.

[7] Expenditures for security, interest payments, public administration, economic functions and social services are planned to fall.

3.3 UPE Capitation Grant

Since 1997 the government of Uganda has disbursed the UPE capitation grant from the MFPED to schools via districts. The grant is calculated based on the number of pupils in schools. From 1997 to 2002 schools received 5,000 shillings per year for each child in P1-3 and 8,100 shillings per child in P4-7. However, since 2003/04 a new formula has been adopted to include a threshold for each school of 100,000 shillings per month for nine months a year. This amounts to 9.2 billion shillings for all schools. An additional 32.2 billion shillings is then divided among all schools on the basis of pupil numbers and also the schools' support for sports (MOES, 2004a).

Schools should comply with the following guideline for the usage of the capitation grant: a) at least 20% for co-curricular activities; b) at least 15% for school management; c) at least 35% on extra-instructional/scholastic materials; and d) not more than 10% for administration. The Chief Administrative Officer (CAO) at district level is accountable for its proper expenditure. The school management committee (SMC) is responsible for overseeing the school budget and for accountability.

While these grants seem to be viable financial measures under the decentralized management, there are issues of inefficiency and mismanagement in handling the grant. The tracking studies conducted in 2000 (International Development Consultants, Ltd., 2000) and 2005 (SDU II, 2006) revealed that it takes much more time than expected to transfer the grant to schools. In fact, according to the 2005 survey, central government takes 32 days to transfer UPE funds to the local government collection account, as compared to the case of 2000 when it took 2 weeks (SDU II, 2006). It also takes local government a further 34 days to transfer UPE Capitation Grant funds to schools, although this is a substantial improvement over the average of 90 days that was found in 2000. In terms of accuracy in management, the survey in 2005 revealed that out of the 5 Local Governments (LGs) surveyd, only one accurately released the correct amounts and the average level of diversion is of the order of 26-28% of the variable component of the UPE Capitation Grant. It is also reported that while most schools spend the UPE grant in compliance with the category guidelines, they are rated as poor with respect to accounting records, use of vouchers, availability of a cashbook, and regularity of accountability to the Education Office. Furthermore, most of the local governments were found not to spend the 5% for monitoring and evaluation and schools and local governments hardly conduct supervisory visits to schools. This is reported to be caused by the abolition of Graduated Tax, which resulted in the loss of local revenue and the self-funded operating costs of all departments of local governments (SDU II, 2006). There is also a general view of stakeholders that the capitation grants provided under UPE are not adequate to effectively run the schools and the guidelines are too rigid to meet a variety of needs at school level (Business Synergies, 2003[8]).

[8] This study was commissioned by MOES and conducted in 10 sample districts nation-wide including Kampala as a control district between November 2002 and March 2003 (i.e. Mpigi, Mbale, Busia, Kalangala, Mbarara, Kabale, Hoima, Arua, Apac and Kampala). The total of 160 schools were visited.

3.4 The School Facilitation Grant (SFG)

In 1998 the government created the School Facilitation Grant (SFG) as the decentralized financial scheme for classroom construction. The SFG is a grant from central government to districts and aims at assisting the most needy communities to build classrooms or new schools to increase access to education in previously underserved areas. Fifteen percent of the grant is used for construction of teachers' houses. The implementation of the SFG programme is the responsibility of the District Local Council. There is general agreement, however, that the construction of school facilities is not yet at pace with the rate of increases in school enrollments (Business Synergies, 2003). Also field observations/findings by the various stakeholders (Education Statistical Abstract and Ministry of Education field visits) have indicated that more classrooms are still needed to reach a pupil classroom ratio of 40:1 (cf. The current ratio is 79:1).

3.5 Volume and Modality of Aid

The introduction of UPE invited a magnificent amount of donors' contribution. The funding agencies are working with MOES through projects and the sector-wide approaches. With a recognition that much of the assistance needed to achieve UPE will be more in recurrent budget as oppose to capital investment[9], many aid agencies have shifted their aid modality to budget support that can also cover the recurrent expenditure. With regard to the Education Sector, the World Bank, DFID, Irish Aid, the Netherlands, European Union, CIDA and USAID prefer the budget support modality while JICA, UNICEF, Germany/GTZ and KFW, NORAD, Italian Government and DANIDA continue to utilize the project-support modality. However, within the context of a SWAP, the bottom line for all these funding agencies is that their interventions are affected in accordance with the priorities by the MoES as shown in the Table 3.1.

It can be deduced from Table 3.1 that although external resource inflows into the education sector (in absolute terms) have generally been increasing with time, they have also been fluctuating or even declining in relative terms. For example, the Education Sector share of the total donor project funds steadily declined from 7.11% in FY 2000/01 to approximately 5.46% in 2002/03 despite the absolute increment of external funding of the sector from US$ 8.6 million to US$21.66 million during the same period.

[9] For instance, Bruns, et al. (2002) note that close to 60 percent of the external financing requirements for EFA FTI countries over the next 13 years will be of a recurrent nature (Bruns, et al., 2002, p. 120).

Table 3.1 Flow of Aid: Donor Project Support to Education Sector in Millions of USD (2000/01 – 2004/05)

			2000/01	2001/02	2002/03	2003/04	2004/05
			Actual	Actual	Estimate	Estimate	Estimate
DFID	113	Education Sector Programmes	0.68	1.41	0.04	0.00	0.00
DFID	113	Primary School Facilities	0.04	0.01	0.00	0.00	0.00
DFID	113	Education Sector Strategic Plans	0.00	0.00	0.00	0.00	0.00
Germany	113	Promotion of Private Vocational Training Providers I	0.20	1.62	1.96	0.00	0.00
Germany	113	Promotion of Private Vocational Training Providers II	0.00	0.00	0.25	1.47	2.94
Germany	113	Promotion of Private Vocational Training Providers I (TA)	0.19	0.15	0.10	0.00	0.00
Germany	113	Study and Expert Fund (IV)	0.33	0.10	0.20	0.20	0.20
USAID	113	Support Uganda Primary Education Reform	1.47	1.08	1.51	0.00	0.00
Netherlands	113	Primary Education and Teacher Development	0.22	0.00	1.20	0.00	0.00
DANIDA	113	Special Needs Education	0.20	0.20	0.10	0.00	0.00
DANIDA	113	Education Assessment & Resource Services – EARS	1.40	1.20	1.00	0.00	0.00
DANIDA	113	Agricultural Sector Programme Support – MoES	0.40	0.50	1.00	1.10	0.00
Italy	124	Medicine Faculty	0.00	0.00	0.21	0.00	0.00
Italy	113	Food Aid 2000	0.00	0.00	1.00	0.00	0.00
Sweden	124	Research	0.00	0.00	3.28	3.04	1.55
Norway	124	Land Rights Study,	0.00	0.00	0.03	0.00	0.00
Norway	113	Primary Education, Northern Uganda	0.00	0.00	0.63	1.31	1.96
Norway	124	Frame Agreement, Makerere University	0.00	0.00	3.66	2.83	1.47
Japan	113	Nakawa Vocational Training Institute	3.30	1.40	1.40	0.00	0.00
IDA	124	Makerere Pilot Decentralisation Service Delivery	0.00	0.00	1.77	1.84	1.39
China	113	Mandela National Stadium	0.25	0.16	0.00	1.00	0.00
Ireland	113	Primary Education Reform	0.00	0.98	1.70	1.21	0.98
Ireland	113	Adult Literacy	0.00	0.00	0.62	1.24	1.24
		Total Education Sector	8.69	8.81	21.66	14.24	11.74
		Grand Total for all Sectors	122.23	137.81	396.75	379.44	280.55
		Education Sector Share of Grand Total (%)	7.11	6.39	5.46	3.75	4.18

Source MOFPED 2005.

3.6 Financial Gap Based on the Indicative Framework

According to the World Bank (Bruns, B., Mingat, A., and Rakotomalala, R., 2002), the estimated financial gap between 2001-2015 is 14 million US dollars (in 2000 constant) even if the current policy and expenditure level are maintained and if Uganda is to achieve universal primary completion with teacher salaries as 3.5 times per capita GDP, pupil teacher ratio as 40:1, recurrent spending on inputs other than teachers as 33%, average repetition rate in 2015 of 10%, unit classroom construction cost of $8,000, and 10% private share of school finance, as the best practice assumptions. Furthermore,

HIV/AIDS-related costs are added by US$ 24 million for expected teacher turn-over and support for orphans. When assuming that government revenues as percentage of GDP is considered to be 18% and public spending on education as percentage of government recurrent revenue is 26% and primary education spending as percentage of total public recurrent education spending is unchanged, the financial gap amounts to US$ 65 million. When public spending on education as percentage of government recurrent revenues, excluding grants, is changed to 20% and primary education spending as percentage of total public recurrent education spending is set at 50%, the financial gap is estimated to be US$ 87 million.

Table 3.2 Financial Gap: Cost Share of Education by Sector 2005-15 (Billions Ushs.)

	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010	FY2011	FY2012	FY2013	FY2014
Primary	400.4	407.5	486.2	449.9	461.1	487.5	558.1	613.4	687.9	777	891
Academic secondary	227.8	266.2	338.1	391.6	454.7	456.9	506.7	473.2	460.9	462.2	460.5
BTVET	64.8	75.7	93.7	108.3	116.8	128.3	144.6	162.2	184.6	205.6	218.9
Tertiary	134.1	133.5	137.7	144.5	153.3	152.9	156.7	170.5	191.2	217.5	254.1
Central and administrative costs	40.7	48.7	50.6	52.2	54.9	57.9	60.9	62.9	64.9	67.1	69.3
Total	867.8	931.7	1106.2	1146.5	1240.8	1283.5	1427.1	1482.1	1589.6	1729.5	1893.8

(% Share)

	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010	FY2011	FY2012	FY2013	FY2014
Primary	46.1	43.7	44.0	39.2	37.2	38.0	39.1	41.4	43.3	44.9	47.0
Academic secondary	26.3	28.6	30.6	34.2	36.6	35.6	35.5	31.9	29.0	26.7	24.3
BTVET	7.5	8.1	8.5	9.4	9.4	10.0	10.1	10.9	11.6	11.9	11.6
Tertiary	15.5	14.3	12.4	12.6	12.4	11.9	11.0	11.5	12.0	12.6	13.4
Central and administrative costs	4.7	5.2	4.6	4.6	4.4	4.5	4.3	4.2	4.1	3.9	3.7
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Source: Made by author, using MOES (2005).

Table 3.3 Cost Comparison between Sub-sectors in Per capita Terms

	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010	FY2011	FY2012	FY2013	FY2014
Primary	53,204	54,489	66,465	64,278	67,736	73,657	85,685	94,333	104,531	115,016	126,555
Academic secondary	254,043	276,313	318,752	324,414	322,437	282,386	280,115	239,704	220,421	218,070	216,553
BTVET	885,246	871,116	852,593	843,458	841,499	838,014	832,949	827,551	821,906	818,146	818,012
Tertiary	2,424,955	2,431,694	2,428,571	2,424,497	2,417,981	2,426,984	2,425,697	2,415,014	2,405,031	2,398,015	2,388,158

	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010	FY2011	FY2012	FY2013	FY2014
Primary	1	1	1	1	1	1	1	1	1	1	1
Academic secondary	4.8	5.1	4.8	5.0	4.8	3.8	3.3	2.5	2.1	1.9	1.7
BTVET	16.6	16.0	12.8	13.1	12.4	11.4	9.7	8.8	7.9	7.1	6.5
Tertiary	45.6	44.6	36.5	37.7	35.7	32.9	28.3	25.6	23.0	20.8	18.9

Source: Made by author, using MOES (2005).

Table 3.4 Share of Recurrent and Capital Expenditures (%)

	04/05	05/06	06/07	07/08	08/09	09/10	10/11	11/12	12/13	13/14	14/15
Recurrent	73.6	76.0	83.4	90.9	90.0	87.7	80.1	76.3	72.7	68.0	64.0
Capital	26.4	24.0	16.6	9.1	10.0	12.3	19.9	23.7	27.3	32.0	36.0

Source: MOES (2005).

Table 3.5 Release of Funds to Districts, 1996/2003

Financial year	UPE capitation grant releases	SFG releases
1996/97	14,316,814,124	-
1997/98	26,220,673,589	-
1998/99	31,663,139,112	18,632,000
1999/00	38,407,522,000	33,970,000
2000/01	38,982,272,000	48,304,000
2001/02	41,831,092,148	53,540,000
2002/03	40,340,383,000	68,348,000

Source: MOES (2005).

Table 3.6 UPE Allocation Formulae FY2005-2006

LG UPE Allocation= (Annual Threshold × No. of Schools) + (Total No. Enrolled × UPE Capitation per Enrolled), where;

Annual Threshold = Ushs. 100,000
Total Enrolled = Total No. Enrolled by applying a 2% annual growth rate on Annual School Census 2004 data as of November 2004.
UPE Capitation = Ushs. 3,464

Source: MOES quoted in SDU Phase II (2006), p. 12.

4. Administrative Gap (e.g. capacity of the government and coordination exercises)

4.1 Roles and Responsibilities of Organizations

Although there is guideline for roles and responsibilities in the education sector, there is general lack of coordination between the center and local governments, and in some cases lack of clarity of roles (see Table 4.1). Synchronizing central and local government planning and programme management is still a serious challenge according to the survey (Business Synergies, 2003). Furthermore, organizations at lower levels such as local councils (LCs) and school management committees (SMCs) suffer from low level of participation, together with less motivated parents and communities.

Table 4.1 Roles and Responsibilities of Organizations and Status of Implementation

Roles and Responsibilities	*Status of Implementation*	*Constraining Factors*
MOES		
● To provide policy guidelines & monitoring policy implementation ● To ensure provision of basic requirements & maintenance of minimum national standards ● To provide basic instructional materials ● To monitor the quality of infrastructures & quality of learning/teaching ● To monitor the utilization of funds/grants ● To monitor the payments of teachers' salaries & payroll management ● To monitor and administer national examinations (PLE)	✓Limited direct presence at school level ✓Limited participation to issuance of policy guidelines, direction, monitoring & evaluation ✓Constrained setting and ensuring standards due to incapacity to reach schools	✧ Inadequate human resource capacity ✧ Still new Education Standards Agency (ESA) and short of effective integration in the decentralized structure ✧ The institutional weaknesses of the local governments
District Local Governments		
● To provide financial support ● To tender SFG construction ● To manage, supervise, and monitor education programmes (e.g. teachers' payroll, discipline of teachers, planning of new schools) ● To enact byelaws in support of education development	✓Irregular visits to schools and minimal financial support ✓Ineffective implementation of byelaws ✓No systematic recruitment of teachers ✓Limited facilitation of education programmes	✧ Inadequate human resource capacity ✧ Inadequate local revenue to finance education services ✧ Inadequate logistics and skills for supervision ✧ Inadequately funded DSCs
Sub-County and Town Council Local Governments		
● To supervise and monitor school activities ● To train and provide guidance on teachers accountability and financial management ● To provide financial and material support to schools	✓Visits made and audit of financial transactions of schools by some LGs ✓Low level of participation	✧ Sidelined by district authorities ✧ Lack of competent and adequate human resource capacities and logistical facilities
Local Councils and Women and Youth Councils		
● To mobilize and sensitize children on their rights and responsibilities ● To monitor and guide children on discipline, healthcare, HIV/AIDS and academics ● To monitor and participate in schools' development activities	✓Very limited participation and in most cases, no participation	✧ Lack of awareness on their roles and responsibilities ✧ schools' lack of awareness and appreciation for the roles of this constituency (i.e. perceived as intruders)
Parents and Community		
● To maintain and manage the school ● To provide food, uniform, scholastic	✓Generally low participation in school meetings and	✧ Ignorance and poor attitude to education

Roles and Responsibilities	*Status of Implementation*	*Constraining Factors*
materials for their children ● To monitor the performance of their children	activities ✓No provision of basic needs for children by some parents ✓Absenteeism of pupils and withdrawal from schools caused by parents	✧ Inappropriate cultures and beliefs ✧ poverty
School Management Committees		
● To plan, maintain and manage the school ● To control budget and be accountable for school funds	✓Generally low participation, with an exception for the chairpersons in most cases	✧ No motivation ✧ Limited knowledge of their roles and responsibilities due to no or insufficient training and orientation ✧ Busy personal work schedules to effectively get involved in school activities (e.g. urban areas)
Inspectors and Education Officers		
● To regularly supervise and monitor school facilities construction and management/administration ● To monitor and advise the quality of teaching and learning in schools as well as administration	✓Irregular visits to schools ✓Some improvement in most districts by decentralized inspectorate functions to county and lower levels	✧ Inadequate logistical facilitation ✧ Inadequate motivation ✧ Insufficient skill in monitoring and evaluation
Coordinating Center Tutors		
● To train teachers and continuous assessment of child learning	✓High participation due to professional enthusiasm, motivation and logistical support	✧ The status of CCTs that are sidelined in the governance structure and less opportunities to reflect their observations in policies ✧ Being under TDMS programme and expected to phase out with project

Source: Business Synergies (2003), pp.28-31.

4.2 Tasks and Capacity of the Government Structure

While most head teachers have undergone basic training in general and financial management, a survey found that the training provided was reported to be insufficient as some beneficiary observes that head teachers still display management incompetence (Business Synergies, 2003). It was found that there was high compliance on use of registers and information on daily attendance of pupils was displayed on attendance boards as required by the guidelines. However, most schools reported high levels of absenteeism in schools due to market days, domestic household chores, sickness, lack of food, poor dress, harsh punishments in schools, teacher absenteeism, etc., for which schools do not seem to have preventive measures (Business Synergies, 2003). Financial accountability is also reported to be the most challenge at school level, although interference by district officials is also reported (Business Synergies, 2003). While the Poverty Action Fund (PAF) regulations stipulate that the contractors for building classrooms should come from the local communities, this is not mostly the case due to the interference by the local governments in the contractual process (Business Synergies, 2003).

With respect to school inspection by education officials, it seems that Coordinating Center Tutors (CCTs) at core Primary Teacher Centers (PTCs) more frequently visit schools than inspectors who belong to district education office because they are better facilitated and motivated compared to inspectors of schools in terms of transport, allowances, etc. (Business Synergies, 2003).

In terms of teacher recruitment and deployment, more teachers have been recruited in all schools under the UPE policy, while deployment is problematic in some rural areas. As of 2002/3 many schools had not filled up the vacancies due to delayed action by the District Service Commission (DSC).

4.3 Coordination Mechanisms in the Delivery of Educational Services

The MOES is responsible for the design of policy and legislation within its mandate. Under decentralisation, the responsibility for service delivery for UPE was switched to the local authorities.

However, there has been lack of coordination between the centre and local governments, and in some cases lack of clarity of roles. Synchronizing central and local government planning and programme management planning and programme management itself is still a serious challenge.

4.4 Administrative Gaps

The institutional constraints lie in insufficient monitoring and supervision at all levels of central government, local government and communities. The survey reports that there is inadequate supervision and monitoring of SFG construction, and the utilization of UPE capitation grants, as well as monitoring the quality of teaching or process of learning (Business Synergies, 2003). It is reported that the procedure of selection of beneficiary schools for SFG, in most cases, gives priority to relatively well-off schools in provision of classrooms at the expense of the more desperate ones (Business Synergies, 2003). Transfer of grants from the central government to local government is also problematic as described earlier.

In more detailed administrative terms, the furniture of schools seems inadequate according to the schools surveyed under Stakeholders' Perception study (Business Synergies, 2003). Poor quality of furniture and absence of provisions for maintenance were raised as key concerns. The provision of instructional materials was also reported by all the schools to be inadequate. Furthermore, the pupil-latrine stance ratios are still higher than the targeted 40:1.

Although the School Finance Committees (SFC) and School Management Committees (SMCs) are in place in most schools, the survey reports that it was only in very few schools where they were reported to be active (Business Synergies, 2003). In particular, the procedure for establishment of SMCs is not clear and uniform. The composition and length of term of office of SMCs appear to vary and it is common for people to be appointed without their prior knowledge. Furthermore, cases of manipulation of the

proves of nominating SMCs by the head teachers are reported to be common, which, together with the limited capacity of communities to choose the SMCs, constrains strict accountability at school level (Business Synergies, 2003).

5. Policy Gap (e.g. conflict between the UPE policies and the actual implementation on the ground)

Use of the UPE Grant

The survey reports that most of the schools visited follow the established procedures in disbursement and expenditure of the capitation grants in general and all the districts and schools visited acknowledged that the funds are remitted to the beneficiary schools through the cheques system as soon as they are received at the districts (Business Synergies, 2003). However, while the guidelines for SFG and UPE capitation grants have generally strong provisions for enhancing transparency and accountability, they have not been effectively internalized and are in many cases not followed. It is pointed out that this is due to the limited preparation by way of sensitization, training and information dissemination to ensure their comprehension, interpretation and practice (Business Synergies, 2003). There is also an indication that more than half of schools (53%) visited under the survey in 2002/3 reported that the guidelines for capitation grants were rigid and do not take into consideration the unique needs of the school and locality characteristics (Business Synergies, 2003).

5.2 Private Costs of Schooling

Although UPE significantly reduced direct cost of education, there are still costs born by schooling. On average, 41,800 shillings (US$21) is spent on education per primary school pupil. The mean spending has high variance and the median shows 15,000 shillings (US$7.5) (Nishimura, forthcoming). The average share of education spending in household expenditure is 2.7%. According to the regression results, the education expenditure at the primary education level is positively associated with asset-value, per capita household expenditure, and the number of children in the household (Nishimura, et al., forthcoming). Households with young household heads in the 20s and 30s spend significantly less on primary education than older household heads in their 40s. Furthermore, households with only female children spend significantly less on primary education. This suggests that households spend less for girl's education. The ratio of orphans out of the total number of children does not affect the education expenditure at the primary education level.

In terms of the economic burden of education, the Muslim religion and the Central region are significant factors that have positive association with the economic burden. The household assets also positively contribute to the economic burden of education. In contrast, the age of household head and having only female children are negatively associated with the economic burden of education. The households with only female children spend less proportion of household expenditure on education, which suggests a low priority placed on girls' education.

5.3 Constraining Factors for UPE

In light of Millennium Development Goals (MDGs), UPE policy aims at universal completion of primary education in Uganda. Major constraining factors come from both supply and demand sides. From the perspective of the supply side, lack of teachers'

houses is a major limitation to attracting and retaining qualified teachers, especially in remote rural schools where most teachers on the round commute from their homes (Business Synergies, 2003). The issue of instructional language is also a problem. Communication with the children in local languages is rather difficult in cosmopolitan communities, while the situation is even more complicated in rural schools where the English language alternative is also difficult to use. MOES will start to gradually introduce local language as instructive language in 2007, for the purpose of improving learning achievement of pupils and increase the primary completion rate.

Turning to the demand side, poverty is a major constraining factor for implementation of UPE policy in the following ways (Business Synergies, 2003):

(1) Failure of parents to provide uniform and basic scholastic materials (exercise books, pens, and pencils) as well as medical care to their children;
(2) Failure of parents in urban areas to pay the Ushs. 10,400 for utilities;
(3) Failure of parents and communities to undertake operation and maintenance of the school facilities and infrastructures; and
(4) Failure to provide children with a mid-day meal (feeding).

5.4 Policy Gap

According to the survey conducted in 2002/3 (Business Synergies, 2003), major concerns for policy implementation have arisen under the UPE programme as follows:

(1) High rates of absenteeism and dropout rates;
(2) Delays in disbursement of capitation grants;
(3) Inappropriate estimates for capitation grants (under or over estimates);
(4) Sub-standard quality of the facilities and infrastructures provided under SFG programme in some isolated cases due to inadequate supervision and monitoring;
(5) Inappropriate plans for infrastructure development in urban areas in conformity with urban regulations;
(6) High cost of utilities (water, electricity) in urban schools;
(7) Inappropriate content and methods of instruction especially for infants owing to inadequacies in teacher training appropriateness of instructional materials, etc.;
(8) Absence of operational policy guidelines for teaching of vernacular or local languages, especially in cosmopolitan schools;
(9) Inadequate facilitation or marginalization of the inspectorate in terms of budgetary provisions to programmes;
(10) Too much freedom to children under children's rights;
(11) Negative attitude of parents and communities towards disabled children;
(12) Insufficient teachers and facilities for special needs education; and
(13) Low moral of teachers due to inadequate facilitation and motivation in terms of housing, transport, etc.

In addition, as one of the unexpected outcome of UPE policy was that schools around the borders had pupils from bordering countries benefiting from the UPE programme (Business Synergies, 2003; Byamugisha, 2006). This made the official calculation of enrollment difficult, while the communities and local government officials were positive about this as an inevitable development (Business Synergies, 2003).

Another problem exists in recruiting under-age children under UPE contrary to the guidelines. The lower classes especially P1 tend to have under age children and in some cases these accompanied their elder siblings and thus affecting enrollment figures under the UPE programme. Two reasons are indicated: a) head teachers wanting to increase the enrollment levels so as to get more capitation grants; and b) parents seeing the school as a day care center while they work (Business Synergies, 2003).

6. Perception Gap (e.g. gap between the official views and beneficiaries' perception)

6.1 Stakeholders' Perception of UPE

The community responsiveness to the UPE programme is generally positive. There is also genuine political goodwill among local governments to support the programme. However, there has been a tendency of stakeholders that they look at the UPE programme as a central government programme. This resulted in low participation of parents, local leaders and communities in the primary education activities, despite commendable efforts are being made in identifying and bringing on board key stakeholders and recognizing their roles in ensuring the success of the UPE programme (Business Synergies, 2003). Furthermore, there is wide perception among teachers and some communities that the UPE funds are manipulated by head teachers and transparency is not secured at school level, which contributes to parents' lack of interest in school activities and decline in teachers' morale (Business Synergies, 2003).

Even at the administrative level, there are conflicts between the center and decentralized structures surrounding roles and responsibilities. The survey reports that there exists a perception among local governments that UPE is centrally managed and so it is a central government programme in which their role is limited in terms of planning, and provision of funds for operational activities (Business Synergies, 2003).

There are also socio-cultural complexities that contradict with the UPE policy. For instance, in Lake Albert zone, people have beliefs in early marriages and cultural rites that prevent children from attending school.

6.2 Perception Gap

Limited ownership by and sense of responsibility among local communities is a challenge. There has been general laxity, among parents, communities and local leadership, to get involved in education activities since the UPE programme started. Insufficient mobilization and over-politicization of the UPE programme have largely alienated the participation of parents and communities in education activities especially in supporting their children in schools.

6.3 Suggestions for amendment of the draft analytical framework

Several amendments are proposed as follows:

(1) To combine the management in performance gap and administrative gap and also policy gap and perception gap, since they are intertwined with each other;
(2) To change the "gap" analysis approach to "performance" analysis approach;
(3) To streamline the perspective as three, namely, "the overall impacts and challenges of UPE," "performance in finance and administration of UPE" and "performance of stakeholders' perceptions"; and
(4) To focus more on stakeholders' perceptions for the research activities in FY2007.

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