

EFA PLANNING GUIDE

Southeast and East Asia

**Follow-up to the World
Education Forum
Dakar, Senegal
April 2000**



Education for All



**UNESCO Principal
Regional Office for
Asia and the Pacific**

Funding provided by the Asian Development Bank

EFA PLANNING GUIDE

Southeast and East Asia

Follow-up to the World
Education Forum
Dakar, Senegal
April 2000



Education for All



UNESCO Principal
Regional Office for
Asia and the Pacific

Funding provided by the
Asian Development Bank

UNESCO Principal Regional Office for Asia and the Pacific
*EFA Planning Guide: Southeast and East Asia: Follow-up to the
World Education Forum Dakar, Senegal, April 2000.*
Bangkok: UNESCO PROAP, 2001
110 pages + 1 CD-ROM.

Funding Provided by the Asian Development Bank.

- | | |
|-----------------------|-------------------------------------|
| 1. EDUCATION FOR ALL. | 2. EDUCATION PLANNING. |
| 3. BASIC EDUCATION. | 4. EDUCATIONAL FINANCIAL RESOURCES. |
| 5. SIMULATION MODELS. | 6. SOUTH EAST ASIA. |
| 7. EAST ASIA. | |

379.5



(c) UNESCO 2001

Planning and Sector Analysis Unit (PSA)
UNESCO Principal Regional Office for Asia and the Pacific
P.O. Box 967, Prakanong Post Office
Bangkok 10110, Thailand
Tel: (66 2) 391-0577, 391-0703
Fax: (66 2) 391-0866
E-mail: psa@unesco-proap.org

Design and production: Keen Publishing
Printed in Thailand

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

CONTENTS

page

1	PREFACE
3	INTRODUCTION
7	1. FUNDAMENTALS OF EDUCATION PLANNING
7	1.1 Basic definitions
9	1.2 The planning framework
9	1.2.1 Levels of planning
10	1.2.2 Stages of planning
10	1.2.3 Planning focus
11	1.2.4 The planning process
15	1.3 Sector analysis
17	1.4 Preparing the plan
19	1.5 Relationship between the education plan and the national development plan
21	2. PLANNING FOR EFA
21	2.1 The EFA goals
22	2.2 The crucial importance of national EFA plans for attaining the EFA goals
23	2.3 The particular nature of the EFA plan
26	2.4 Coverage and scope of the EFA plan
27	2.5 The phases and steps of EFA plan preparation
28	2.6 Target setting
29	2.7 The plan preparation process
30	2.8 Organization of plan preparation
30	2.9 Harmonizing the EFA plan with overall education sector development plans
31	2.10 The structure of the EFA plan
35	3. EFA PLANNING FOR FORMAL BASIC EDUCATION (PLANNING FOR EFA TARGET-GROUP 2)
35	3.1 The importance of target-group 2
36	3.2 Policy thrust and structure of EFA plan for formal basic education
37	3.3 Plan preparation phases and steps
38	3.4 Planning for access to formal basic education
41	3.5 Planning for quality and relevance of formal basic education
52	3.6 Planning for efficient management of formal basic education

CONTENTS

page

55	4. EFA PLANNING FOR: <ul style="list-style-type: none">• Children in ECCD and preschool children (EFA target-group 1)• Out-of-school children and youth (EFA target-group 3)• Adults below literacy level (EFA target-group 4)
55	4.1 The EFA goals
56	4.2 The role of government
57	4.3 The plan preparation process for EFA target-groups 1,3 and 4
57	4.4 Plan preparation phases and steps
59	4.5 Target setting
61	5. COST AND FINANCING CONSIDERATIONS
61	5.1 The meaning of "costs" for purposes of planning
62	5.2 Different categories of costs
65	5.3 Cost projections and considerations of financing the plan
66	5.4 The problem of inflation
67	5.5 The Financing plan
68	5.6 Financial resource requirements of the education sector in relation to the macro-economic framework
69	6. ANALYSIS AND PROJECTION DATA FOR EFA PLANNING
69	6.1 The importance of reliable data for EFA planning
69	6.2 Sources of information
70	6.3 Types of information
70	6.3.1 External information
71	6.3.2 Internal information
73	6.4 EFA analysis aspects and indicators for which data are required
76	6.5 Core EFA Indicators
77	6.6 Monitoring of EFA plan implementation

CONTENTS

page

ANNEXES:

- | | |
|----|---|
| 79 | Annex 1 The Dakar Framework for Action and the Asia and Pacific Regional Framework for Action |
| 93 | Annex 2 Glossary of Principal Terms Used in Planning Basic Education Development |
| | Annex 3 EFA Analysis and Projection Model (provided in separate booklet) |

LIST OF FIGURES

- | | |
|----|--|
| 9 | Figure 1: Planning Levels |
| 12 | Figure 2: The Planning Phases of the Planning Process |
| 14 | Figure 3: The Planning Framework |
| 20 | Figure 4: The Education Planning Process and Corresponding Structure of a Typical Plan Document |
| 25 | Figure 5: Relationship between the EFA Plan and Other Plans and Strategic Instruments including EFA-related Activities |
| 32 | Figure 6: Example of a Typical Structure of a National EFA Plan Document |

PREFACE

The Dakar Framework for Action (DFA) adopted at the World Education Forum in Dakar, in April 2000, contains the overall goals and commitments of governments and the international community for achieving basic education of good quality for all by 2015. The DFA refers to the preparation of a credible national EFA Plan of Action as a pre-condition for the provision of external support for EFA by the international community.

Providing advisory services in state-of-the-art educational planning is an important part of the longstanding commitment of UNESCO PROAP to the countries of the Asia-Pacific region. With the present *EFA Planning Guide* the UNESCO Principal Regional Office for Asia and the Pacific (PROAP) puts at the disposal of Member States in the region and EFA partners a basic technical tool to support them in their efforts to prepare sound, realistic EFA Plans of Action. The Guide is a working instrument designed to provide national EFA teams, government and non-government units, and their technical staff involved in EFA, with practical guidance and help in the process of preparing national EFA Plans of Action.

The EFA Planning Guide is the result of an intensive process undertaken by UNESCO PROAP over a period of six months to synthesize the broad, longstanding and practical planning experience of countries in Southeast Asia. PROAP has drawn on a wide range of regional and international expertise by associating an important number of senior planning experts from government agencies and universities to consultation workshops, peer reviews and the final writing process. It should be read in the context of both the Dakar Framework for Action and the Country Guidelines for the Preparation of National Plans of Action that provide the longer-term normative perspective towards which EFA Plans of Action must be directed.

UNESCO PROAP wishes to express its thanks to all those who have contributed to preparing this Guide. The document benefited from the strong professional commitment, expertise and wide experience of over twenty senior officials from Ministries of Education from seven countries in South and Southeast Asia. Some were involved in a peer review process, commenting on several consecutive, early drafts of the Guide, others provided concrete proposals during a sub-regional PROAP workshop held in Bangkok, in February 2001, aimed at ensuring that the Guide would become a practical how-to-do tool for the preparation of the EFA Plan in each country. The seven countries from which those senior officials were drawn, namely Cambodia, Lao PDR, Myanmar, Nepal, Philippines, Thailand and Viet Nam, represent a range of EFA situations typical for the region.

Among the senior planning officials were Mr. Nath Bunroeun, Director of the Teacher Training Department and National EFA Coordinator, Ministry of Education, Youth and Sports, Cambodia; Mr. Somkhanh Didaravong, Head of Statistics and Planning Division, Department of Planning and Cooperation, Ministry of Education, Lao PDR; Mr. Tun Hla, Deputy Director General of the Department of Educational Planning and Training, Ministry of Education, Myanmar; Mrs. Hunsu Laohansarekul, Bureau of Policy and Planning, Ministry of Education, Thailand;

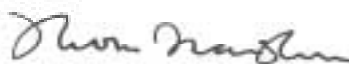
Mr. Nguyen Quoc Chi, National Project Manager, Primary Education Project and EFA Advisor, Ministry of Education and Training, Viet Nam; Mrs. Lilia Z. Roces, Chief of Research and Statistics Division, Office of Planning Service; Mrs. Lourdes De Vera, Assistant Secretary for Planning and Development and EFA Task Force Coordinator, Department of Education, Culture and Sports, The Philippines; Mr. Ram Sarobar Dubey, Joint Secretary, Ministry of Education and Sports and Mr. Bidya Nath Koirala, Faculty of Education, Tribhuvan University, Nepal.

The preparation of the Guide also involved the participation of a team of high-level experts from Italy, Germany, Australia and the USA, working as UNESCO consultants. Mr. Fabrizio Ossella prepared the first draft of the EFA Planning Guide. This draft was submitted to a peer review involving three other education planning experts of international standing, Professor Douglas Windham, Dr. Kenneth Vine, and Dr. Klaus Bahr. The above-mentioned workshop with senior planning officials from countries in South and Southeast Asia provided the basis for the re-conceptualization and writing of the present EFA Planning Guide that was undertaken by Dr. Klaus Bahr. Mr. Nyan Myint prepared the computerized EFA Analysis and Projection Model.

The EFA Planning Guide was initiated in the framework of a joint Asian Development Bank / UNESCO project on *Education for All 2000 Assessment*. UNESCO PROAP would like to thank the Asian Development Bank for supporting much of the research work, drafting process and country-level consultations that led to the production of the EFA Planning Guide.

The Planning Guide was initiated and put together by the Planning and Sector Analysis Unit (PSA) of UNESCO PROAP. The work was organized under the professional technical coordination of Dominique Altner, Chief PSA. Mr. Toshiyuki Matsumoto, PSA consultant, managed the day-to-day contacts with consultants and national senior staff from Member States in the region, and the organization of country-level consultations and sub-regional workshop. Mrs. Lapapan Choovong, Senior Programme Assistant, synthesized the contributions of the various consultations for integration into the final report. Mr. Nyi Nyi Thaug, Assistant Programme Specialist, oversaw and collaborated in the elaboration of the computerized EFA Analysis and Projection Model and production of Annex 3. Mr. Philip Bergstrom, PROAP education consultant, undertook the technical language editing and editorial consistency checks of the final manuscript. Several senior education specialists read the final draft and provided extremely useful inputs and corrections. Among them were Mr. Abdul Hakeem, Coordinator of the Asia-Pacific Programme of Education for All (APPEAL); Mr. Kiichi Oyasu, Programme Specialist in literacy from APPEAL; Mr. Jayananda Ratnaike, education advisor and Mrs. Leslie Limage, basic education, literacy and language specialist from UNESCO Paris. Mr. Sheldon Shaeffer, at the time Chief, Education Section, UNICEF New York, and designated Director UNESCO PROAP, scrutinized the final draft and offered important comments, observations and proposals.

UNESCO PROAP would like to express its gratitude to all the colleagues and experts from inside and outside the organization who contributed in many ways to the development of this Guide. The responsibility for the orientations and contents presented in the Guide rests with UNESCO PROAP.



Zhou Nanzhao
Director a.i.
UNESCO PROAP

INTRODUCTION

PURPOSE OF THE PLANNING GUIDE

The Dakar Framework for Action calls upon Governments to ensure that EFA goals and targets are achieved by 2015 with support from partners within countries and the international community. The Dakar Framework for Action contains two fundamental conditions which must be fulfilled at the national level before the partner members of the international community will contribute resources required for the implementation of the national EFA plans:

Condition-1 is that specific national conditions for EFA development (and for the development of the education sector as a whole) must be in place and functioning, including among others, government leadership, systematic consultation with national civil society, preparation and implementation of reforms addressing the EFA goals, a sustainable national funding framework, and coherence and synergy of all human development activities within the national development planning framework (The Dakar Framework for Action, paragraph 16).

Condition-2 is that a credible EFA plan must be in place to support Condition-1 (The Dakar Framework for Action, paragraph 17).

If the EFA goals are to be attained, they must first be translated into realistic and feasible national EFA plans and action programmes. Without solid plans and programmes, countries and the international donor community have little chance of ever seeing the EFA goals attained. National EFA plans are the *sine qua non* condition for effectively reaching the EFA goals.

The purpose of the Planning Guide is to provide a working tool for educational planners and members of national EFA task forces, forums, and other national groups in charge of preparing the EFA plan 2002-2015. The wider purpose of this Guide is to provide practical advice to education administrators at the provincial, district and community levels who have planning functions or, amongst other assignments, carry out planning tasks.

SCOPE OF THE PLANNING GUIDE

The Planning Guide attempts to provide practical advice on how to prepare long term plans, for the EFA period 2002-2015, covering the four EFA target groups and their respective sub-sectors: ECCD-plus-preschool children (children in the age group 0-6), children in formal basic education (including primary and lower secondary education), out-of-school children and youth and illiterate adults.

The emphasis of this Planning Guide is on formal basic education (primary and lower secondary education). Among the four target areas formal basic education, in almost all countries, covers the largest population group, utilizes the largest amount of resources and, in the case of free compulsory

primary education, represents a constitutional and legal obligation for governments that must provide them with adequate financial resources¹.

The focus of the Planning Guide is on the methodology of planning resource requirements. It is applicable to basic education delivered through both formal and non-formal means. The focus is not on the contents of formal and non-formal education. They differ widely from country to country. Deciding on content requires country-specific approaches that must be developed by each country, in line with its national policy setting processes.

Planning of resource requirements for formal basic education, as much as for the other three EFA sub-sectors, is a more or less specific form of educational planning. Therefore, the methodology, technical terms, presentation and other technical aspects contained in this Planning Guide are to a large extent the same as those of education planning in general. Some of the technical terms, presentations and proposed methodologies may need to be adapted by users of this Guide to suit the specific conditions in their country.

Planning principles and approaches are similar for all levels of government (central level and local levels, including province, district, township, community), although the emphasis and some technical tools may differ from level to level and between long-term, medium-term and short-term planning.

The Guide is designed to be useful (i) to national planners in their technical tasks, (ii) to the principal EFA stakeholders in their dialogue on feasible targets and implementation priorities, (iii) to the government, for decisions on allocation of public resources to EFA, and (iv) to external technical assistance and funding partners in their decisions on how best to associate their assistance and funding to national priorities.

SOURCES

The Planning Guide draws on broad, longstanding practical planning experience of countries of the Southeast Asia region, and also of countries in other regions of Asia. This experience has been synthesized by UNESCO-PROAP on the basis of its close working relations with the countries and its capacity to develop a good regional overview.

The planning approach suggested in this Guide reflects the essential features of the approaches widely used today in national education planning in many countries, by all major donors (such as The World Bank, Asian Development Bank, UNDP, European Union, major bilateral donors) and by leading training institutions such as the International Institute for Educational Planning (IIEP).

THE MATERIAL INCLUDED IN THE PLANNING GUIDE

The material is presented in six sections organized as follows:

- Section 1** introduces the education planning principles and highlights the major steps in the planning process,
- Section 2** introduces the overall EFA plan preparation approach,
- Section 3** presents an approach for preparing the plan for formal basic education (EFA target-group 2),

¹ Advice on technical aspects of planning for non-formal and continuing education is available in: APPEAL, *Manual for Planning and Management of Literacy and Continuing Education (AMPM)*, UNESCO PROAP: Bangkok (1994).

- Section 4** presents an approach for preparing the plans for ECCD-plus-preschool children (EFA target-group 1), out-of-school children and youth (EFA target-group 3) and adults below literacy level (EFA target-group 4),
- Section 5** addresses issues of costs and financing for the plan preparation,
- Section 6** provides an overview of data aspects.

Annexes provide, among others, a glossary and a computer-based EFA Analysis and Projection Model on CD-ROM prepared by UNESCO PROAP specifically for inclusion in this Planning Guide to provide a practical tool for situation analysis and assessment of resource implications of plan targets and plans.

- Annex 1** The Dakar Framework for Action
and the Asia and Pacific Regional Framework for Action
- Annex 2** Glossary of principal terms used in planning for basic education development
- Annex 3** The EFA Analysis and Projection Model

1. FUNDAMENTALS OF EDUCATION PLANNING

1.1 BASIC DEFINITIONS

There is no standardized international terminology for education planning. This EFA Planning Guide uses the technical terms that are most commonly applied in international education planning work. These terms are also widely used in national education planning.

Policy

- Policy means a decision or group of decisions that set out overall directives for guiding subsequent decisions and actions.
- Policy setting is the process of preparing policies. The policy setting process comprises sector analysis, identification of issues, formulation of responses to the issues and feasibility assessment. Policy setting and the planning process are interlinked.

Plan

- A plan is the result of a planning process. The plan describes in detail the intended way to pursue the achievement of the goals/objectives/targets. The plan is specific in terms of what to attain, by when, in what way, who is responsible, the resource inputs required (physical inputs, financial inputs, human resources), and the necessary resources to provide the required inputs and manage plan implementation.
- Different types of plans are designed by the time period covered and the degree of detail they contain. Long-term plans, usually spanning ten years or more, contain overall, general goals and objectives. Medium-term plans, usually covering three to five years, formulate implementation strategies by setting measurable objectives and targets, setting priorities, and outlining implementation modalities. Short-term plans, usually for one to three years, are linked to the public budget cycle and spell out detailed action programmes or plans (including detailed financing plans).
- An Action Plan (sometimes also called implementation action plan) spells out implementation details such as activities, schedules, budget, financing, organization of plan implementation, in a short-term framework, usually 1 to 3 years. An Outline Action Plan is a sort of sketch presenting only the principal implementation aspects.
- EFA plans for the period 2002-2015 are a combination of long-term and medium-term plans.

Planning

- Planning is the process through which the plan is prepared. The planning process consists of a sequence of phases, including:
 - (i) finding the facts, i.e. finding out how the sector functions today, by undertaking a sector analysis (also called sector review, sector survey) or more limited situation analysis;
 - (ii) mapping the future, i.e. setting policy goals, formulating strategic objectives and targets, assessing resource requirements and resource availability, setting priorities, and designing implementation strategies.

- (iii) drawing up of outline implementation plans. Designing detailed implementation plans is normally not part of plan preparation; instead, it is the first step of plan implementation once the plan has been adopted and has become government policy.
- The planning process is also a policy setting process. The planning process involves a review of existing policies, as part of the overall assessment of the status and functioning of the education system, which may lead to an adaptation of existing policies, or formulation of new policies.

Goals / Objectives / Targets

- Usually, these terms are synonyms and refer to the desired outcomes of a plan, irrespective of the length of the plan period. However, the present Planning Guide attempts to use these terms in a distinctive manner according to whether they relate to long-term plans (goals), medium-term plans (objectives and targets) or short-term plans (targets).
- The Dakar EFA-texts do not use consistent technical terms. They apply the words goal/objective/target to designate desired developments for the period from now until 2015, and desired situations to be prevailing by 2015.

Goals

- Goals (often also called policy goals, or overall policy goals) are the ultimate socio-economic aspirations of a programme expressed in broad terms (for example, providing free enrolment in primary education for all, better quality education, including marginalized groups of children, and reducing the drop-out rate).
- They describe broad, overall achievements to be attained over a long period (ten years or more) through strategic plans (also called implementation strategies). They are part of the policy setting process.

Objectives

- Objectives (or strategic objectives) are the results expected to be reached through the implementation of the medium term plan (the implementation strategy). The results are intended to contribute to the attainment of the long-term policy goals. Formulating objectives is also part of the policy setting process.

Programmes

- (Or implementation programmes) are sets or groups of activities which are necessary to attain the objectives, and, which, if implemented, will result in effectively attaining them.

Targets

- Targets designate the specific, measurable results to be achieved by the implementation programmes, in order to attain the objectives.

Sector Analysis

- Sector analysis (also called: sector review, sector survey, sector diagnosis) is the starting point of planning. It involves a process of data collection and analysis concerning the present functioning of the sector (situation analysis). It identifies issues and possible responses to the issues. Sector analysis provides a basis for long-term and medium-term planning.
- EFA sector analysis refers to all the sub-sectors and activities which in a given country are considered to be directly relevant to achieving the EFA goals.

1.2 THE PLANNING FRAMEWORK

1.2.1 LEVELS OF PLANNING

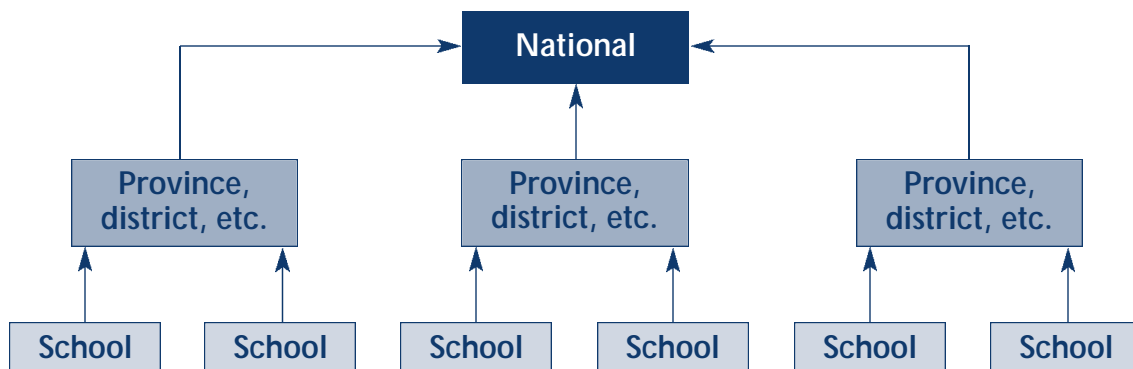
The overriding goal of educational activities is to serve the needs of children in the context of their national, cultural, ethnic, religious, social and economic environments. Consequently, the ultimate aim of the planning process concerned with formal basic education is to serve the needs of children of school age at the level of the school or alternative programme. Therefore, the school level, cluster school level, or community level, can be called Planning Level-I. In order to function, schools need support from higher levels, such as townships, districts, provinces, etc., which is Planning Level-II. These entities, in turn, need guidance and support from the central, national level, which is Planning Level-III.

All three levels have to work together; but each level has specific functions and tasks. Although different systems exist in countries in Asia, the most common structure appears to be the following. Planning Level-I is concerned with matters such as organising the teaching/learning process and parent and community participation. Planning Level-II is concerned with support, such as teacher training, provision of teaching and learning materials, personnel management, major construction and maintenance to ensure access to education, some resource allocation, efficiency of resource utilisation, and mobilising of funding. Concerns of Planning Level-III include ensuring national standards for, and unity (not necessarily uniformity) of, curriculum, textbooks, exams, teacher training, personnel management, resource allocation to ensure access to quality education, resource utilisation, ensuring donor relations, and sector reform and development.

In a growing number of countries the planning functions and tasks of these levels are in a process of change. For example, decentralization is moving many tasks to lower levels, including tasks like teacher training, personnel management, fund-raising, and infrastructure management. The planning concept to be applied in each country will have to be based on a matrix which shows what level is presently responsible for which functions and tasks and then plan for the changes which should occur in this matrix over time.

All three levels are directly involved in short term planning, particularly the annual budgeting process. Medium-term planning requires the involvement of Levels II and III. Long-term planning is usually primarily the concern of Level-III. Drawing up the EFA plan 2002-2015 is a joint task of Levels II and III. Through appropriate participatory mechanisms and process, Level I (the level of schools and school clusters) is also involved in planning, particularly in EFA planning. The active participation of Level-I is essential when, once the EFA plan has been adopted, implementation action plans are being prepared.

FIGURE 1: PLANNING LEVELS



1.2.2 STAGES OF PLANNING

Ideally, planning proceeds in three successive stages: each stage corresponds to a particular type of plan: first long-term planning (plan covering ten years or more), then medium-term planning (plan covering three to five years), and finally short-term planning (plan linked to the government budget cycle).

Today, most countries already have a long-term education plan (in a variety of forms: as part of the national development plan, or as a master plan for the different education sub-sectors, or as general education sector plan), which sets the long-term policy goals. By nature, long-term plans are quite general. Much more detailed concepts (objectives, targets, feasibility assessments, organization of sector management, etc.) are needed for making resource allocation decisions and for making sure that enough financial, material and human resources are available to carry out activities required to attain the long-term goals. Therefore, many countries are now concentrating their planning efforts on the design of medium-term plans, since they are closer, in terms of both time horizon and detail of content, to resource allocation cycles (such as public sector investment programmes, public sector financing programmes and annual budgets).

The national EFA plan to be prepared for the period 2002-2015 will have typical features of both long-term and medium-term plans. On the one hand, the EFA plan will set overall, long term policy goals to be reached by the year 2015; on the other hand, it will also set specific medium-term targets and priorities, and outline implementation programmes for concrete action for the first five or six years of the plan period.

Planning Stage 1 - Preparing the long-term plan (also called strategic plan or master plan)

By setting overall policy goals, the long-term plan determines the general, basic concepts and principles for education compatible with each country's intrinsic values, its current needs and future expectations. It outlines the overall resource requirements for the sector in the long run. It is the outcome of political decisions taken in the context of the overall social and economic development policies of the country.

Planning Stage 2 - Preparing the medium-term plan

The medium term plan defines what needs to be done, when, how and with what resource inputs, in order to attain the long-term policy goals. It sets specific objectives and targets and outlines implementation programmes and implementation modalities. It contains a finance plan, identifying national as well as external sources of funding.

Planning Stage 3 - Preparing a short-term plan (also called implementation plan)

Implementation plans lay out the details of what will be done, by whom, how, with what amount of resources and financed by what sources. Usually spanning a period of a few budget years, they are broken down by annual budgets, setting the specific targets to be attained in the context of the fiscal or budget year.

1.2.3 PLANNING FOCUS

In most countries, education planning focuses on a number of key concerns, around which education plans are structured, including:

(i) access to schooling, i.e. access to the first grade of the primary and secondary education cycle, and the possibility to complete the full cycle; access to alternative approaches to providing basic education (for those children who have no access to formal basic education); including key factors

such as classrooms, teachers, teaching/learning materials, language, an enabling social and physical environment; access to education for girls, and other excluded groups;

(ii) quality of the teaching/learning process, content, structure of the system, learning achievements, and relevance of the curriculum to cultural, social and economic goals of national development;

(iii) sector management, including the regulatory framework, resource allocation, resource utilization, policy setting and planning, implementation monitoring and evaluation of results, and decentralization.

1.2.4 THE PLANNING PROCESS

Preparing an education plan is a process aimed at identifying the most appropriate course of action to address issues, set priority objectives and targets, and provides the basis for cost-effective resource allocation. The plan preparation process consists of a sequence of four phases, including:

Planning Phase-1: finding the facts about how the sector functions today and identifying issues that need to be addressed in the future, as well as strengths that need to be maintained or reinforced in the future, and undertaking a sector analysis (also called sector review, sector survey, sector diagnosis) or a more limited situation analysis;

Planning Phase-2: charting the future, i.e. preparing the plan, by setting policy goals and strategic objectives, formulating implementation programmes, setting targets, assessing resource requirements, setting priorities and designing implementation strategies;

Planning Phase-3: designing the action by drawing up outline implementation plans. This step has in recent years begun to be included in the planning process, particularly in the preparation of medium term plans. Drawing up detailed action plans is not part of preparing long term or medium term plans. Detailed action or implementation plans are drawn up once the medium-term plan has been approved by the government and the relevant legislative bodies, and correspond to the first step of implementation of the medium term plan.

Planning Phase-4: adopting the plan as an official government document with normative status, orienting laws, statutory decisions, and budgets (which, as a rule, are legally binding documents, in the same way as other laws).

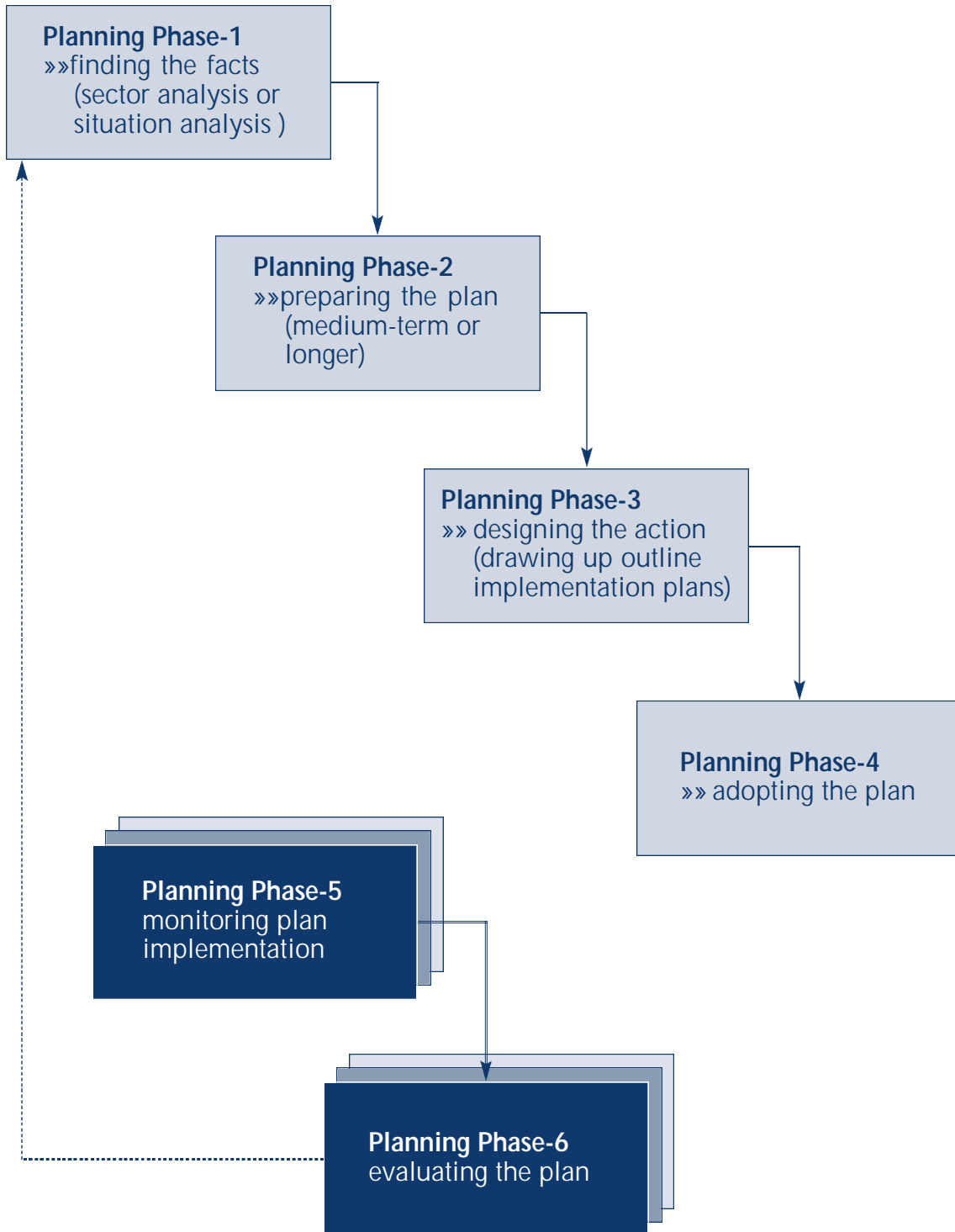
Planning is a continuous process. The planning process also includes monitoring of the plan implementation, regular updating of sector analysis information, assessing the results and impact of implementation and feeding back this information into adjustments of policies and implementation strategies throughout the period of plan implementation.

Planning Phase-5: implementing and monitoring the plan implementation. The monitoring information is fed back into the plan implementation process and used to review the plan regularly and adapt it as necessary to changing needs and conditions within the overall planning framework.

Planning Phase-6 : evaluating the plan, including its achievements in terms of reaching stated qualitative and quantitative objectives and targets, producing expected outcomes and impact on priority target groups, as well as its cost-effectiveness. The results of the evaluation are used to improve the planning and policy setting process in consecutive plans.

This Planning Guide concentrates on the first four phases that concern the preparation of the plan document.

FIGURE 2: THE PLANNING PHASES OF THE PLANNING PROCESS



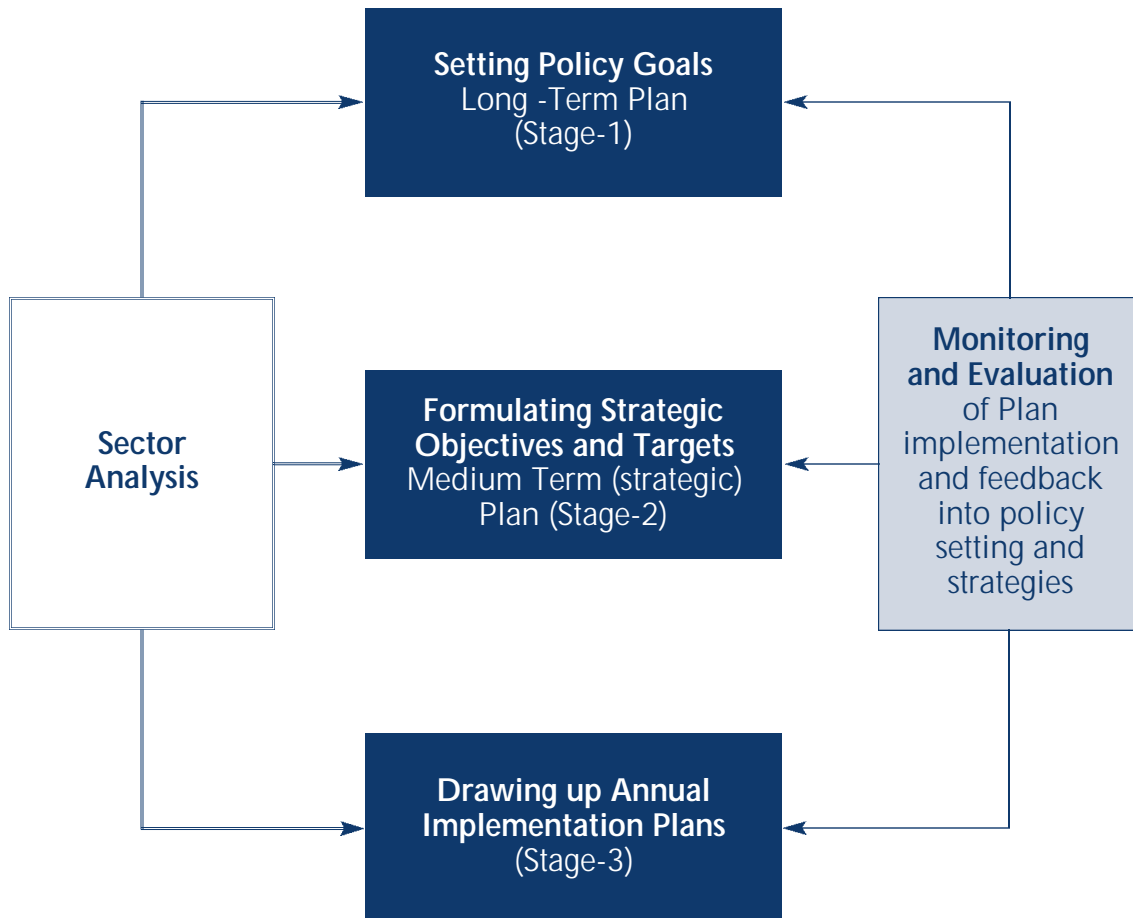
Depending on what type of plan is being prepared (long-term, medium-term or short-term plan) the planning process (i) puts emphasis on different aspects, (ii) involves specific partners and stakeholders as active participants in the preparation of the plan, and (iii) uses specific approaches.

FOCUS OF DIFFERENT TYPES OF PLANNING

	Long-term planning	Medium-term planning	Short-term planning
Principle aspects	<ul style="list-style-type: none"> • policy goals • role and function of education as essential contributor to economic and social development • economy and society as provider of resources for education 	<ul style="list-style-type: none"> • specific objectives • targets • priorities • implementation strategies • action programmes • financing plans 	<ul style="list-style-type: none"> • all inputs into education which require financial resources, to be included in the annual budget
Principle partners/ participants/ stakeholders	<ul style="list-style-type: none"> • All Level-III partners • Relevant Level-II partners 	<ul style="list-style-type: none"> • Level-III partners • as many Level-II partners as possible • teachers, parents • employers • civil society • external funding partners 	<ul style="list-style-type: none"> • Level-I partners • those Level-II and Level-III partners who provide resources • external funding partners
Approaches	<ul style="list-style-type: none"> • directive, top-down 	<ul style="list-style-type: none"> • professional fact finding and analysis (EMIS etc.) • professional projections and resource implication assessments • alternative strategies • consultation processes • dialogue • arbitration/trade off (between strategies; between sectors, sub-sectors, levels of government) • consensus 	<ul style="list-style-type: none"> • technical approach, driven by budget preparation rules and procedures, and resource allocation mechanisms • budget law

The planning process generates information and provides an overview of the present situation of the education and training system (also called base situation) against which it will be possible to monitor plan implementation and assess performance and impact of programmes and activities. This will permit identifying needs, revising implementation programmes, and then, designing measures to adjust plan implementation as and when needed, and not only when the next plan is drawn up in five or ten years time.

FIGURE 3: THE PLANNING FRAMEWORK

**Phase-1**

of the Planning Process
(finding the facts,
identifying the issues
and possible responses)

Phases-2,3,4

of the Planning Process

- (charting the future [targets, resource requirements, priorities, strategies]
- designing the action,
- adopting the plan)

Phases-5, 6

of the Planning Process

- Monitor plan implementation
- evaluate the plan

1.3 SECTOR ANALYSIS

A thorough understanding of the current educational situation is the essential basis for formulating the plan. Education sector analysis (also called sector review, sector survey, sector diagnosis) provides this basis. It is a comprehensive analysis of the current situation and functioning of the education and training sector, or of a sub-sector, and therefore the necessary first phase in the planning process. Without being based on sector analysis information, the plan runs the risk of not being sufficiently rooted in reality and establishing unrealistic targets and actions.

Sector analysis consists in the collecting and analysing of basic data which yield necessary insight into the functioning of the educational system, making it possible to diagnose causes of malfunctioning, underachievement and inefficient utilization of resources (situation analysis). It identifies and helps to understand the major shortcomings, and formulates realistic assumptions about the cause and effect relations that condition the performance of the educational system. Sector analysis also includes the identification of possible responses to the problems.

A typical sector analysis collects information and conducts analysis on major areas and their components:

Performance of the sector (sub-sector): access (admission, transition rates, enrolment rates), enrolment (by gender, geographical area, home language), internal efficiency, learning conditions (pupils-class ratio, pupil-teacher ratio), learning achievement, teaching staff (by qualifications), physical facilities, teaching/learning materials, curriculum, teaching methodology, examinations and certification, relevance to manpower needs of the economy, costs, financing; contextual aspects such as the community served by the school, and social and economic factors which impact on the educational system in terms of access to and demand for educational services. Among social factors are, for example, the social characteristics of the learners, the learning environment and the environment in which the teacher works (his role in the community, social standing, support from sector management services such as resource centres, pedagogical advisory services).

Management of the education system: management of pedagogical services, including teacher training, teacher support services (inspection, resource centres), curriculum and teaching/learning material development; administrative and financial management, including personnel (recruitment, career, salary), budget and expenditure, efficiency of resource utilization, community participation.

Policy management: planning and budgeting, resource allocation, costs of access to education, monitoring, evaluation of impact, donor coordination.

The areas covered by sector analysis may be defined in other ways, such as grouping the components according to criteria which are appropriate for the sector policy environment of the country concerned. A structure often used is: access to education, quality and relevance of education, and sector management (see above Section 1.2.3 on Planning Focus).

Undertaking sector analysis results in a number of important side effects that contribute to improving the management of the education system. One is the discovery of weaknesses in data collection, data management and analysis, and in dissemination and use of basic data and analytical information. In a growing number of countries, sector analysis is instrumental in identifying the causes of conceptual inadequacies and of non-performance of educational management information systems (EMIS). Responding to these findings through quick action can improve the data system, thus strengthening the basis for monitoring of plan implementation and evaluation. Another important

side effect is the cooperation generated by sector analysis (a) among the providers of analytical information (research institutions, statistical services, planning units, etc.) which are compelled, by the rigor of sector analysis, to compare and align methodologies, definitions, coverage, explanations and analysis, and (b) between the providers and the users of analytical information (policy makers, senior administrative staff, planners, donors) whereby the providers are induced to revise their ways of working and start providing information which is effectively needed by the users, and whereby the users are compelled to understand and use analytical information as an essential input into their decision making. These side effects of sector analysis are significant and very effective contributions to improving the quality and relevance of the planning process.

A complete sector analysis includes surveys and studies aimed at filling information gaps and providing insights into the complex relationships between resource inputs and teaching/learning outcomes, and on factors which determine private demand for education.

There is no standardized way of presenting sector analysis information. In some countries it has been more detailed and rigorous than in others, depending on the availability of reliable data and on the time and resources available to undertake the work. If the time and the resources available to prepare the plan are not enough for a complete sector analysis to be carried out, sector analysis can be undertaken as a synthesis of existing data and other relevant information. In most countries, a large amount of information already exists that can be used, thus saving time and allowing sector analysts to move into plan preparation more quickly. Sector information is generally available in papers, reports, working documents, studies, and surveys generated by donor-funded activities. Bringing all this information together into a sector analysis is a difficult task requiring high professional skills. Yet, without it, the planning process would be truncated, and the plan would have no roots. Sector analysis is the starting point for all types of long term and medium term planning.

Undertaking sector analysis is both an informative and a formative process. It creates awareness and understanding on the part of the stakeholders associated to the work, thereby laying the ground for a realistic dialogue later on during the plan preparation process, particularly when objectives and targets are being set. To achieve this, sector analysis must be carried out in a participatory way, involving principal actors, including public authorities, NGOs, organizations and associations of civil society (CSO), and in some countries, religious leaders. It must take into account the results of studies and ongoing analysis undertaken by donors and in the framework of wider international programmes, for example, the United Nations Development Assistance Framework (UNDAF) (see Section 2.3).

1.4 PREPARING THE PLAN

Once sector analysis (Phase-1 of the planning process) is completed and has provided the necessary base information the preparation of the plan can begin (Phase-2 of the planning process).

There is no standard approach for preparing the plan. A widely applied approach to preparing long-term and, particularly, medium-term plans, which has proven to be relatively simple, efficient and adaptable to specific country situations, consists of the following principle plan preparation steps:

Plan Preparation Step-1:

- (1.1) identifying the goals and objectives adopted by the government for the plan period;
- (1.2) identifying possible responses and solutions to the issues and problems which have been identified by the sector analysis; responses and solutions being expressed as objectives and as outline programmes (with outlines of activities and measures) to be undertaken in order to reach the targets and objectives;
- (1.3) setting preliminary targets for each programme (and the activities needed to reach the targets);

Plan Preparation Step-2: assessing the resource implications of the proposed responses and solutions; by projecting the development of each cost-creating component of the education system and estimating the total. The principal components include: pupil enrolment, teachers, physical facilities, teaching/learning materials, activities aimed at ensuring access to and quality and relevance of education, and sector management.

Plan Preparation Step-3: assessing the feasibility and affordability of the proposed solutions; by

- (3.1) estimating the likely availability of funds (share of education in government budget; distribution of these funds within the education sector, i.e. between the different sub-sectors; cost-sharing possibilities);
- (3.2) estimating the likely availability of non-financial inputs such as teachers, premises, textbooks, which depend on the respective production capacity, as well as funding;
- (3.3) assessing the organizational and management capacity likely to be available to ensure the normal functioning of the education system and to carry out reform and development activities; and
- (3.4) identifying likely resource gaps;

Plan Preparation Step-4: designing alternative strategies to reach the objectives and targets;

- (4.1) identifying measures to close the resource gap, such as: (a) reducing the costs of the education system by improving the cost-efficiency of resource utilization (which includes changing of targets and of technical coefficients which determine the way in which the sector functions; (b) mobilizing additional resources (including cost sharing); (c) encouraging the creation of private education institutions; and (d) lobbying by the education authorities for a higher share of the national budget for the education sector;
- (4.2) revising some of the proposed programmes and activities; and
- (4.3) agreeing on the final EFA targets and priorities.

Plan Preparation Step-5: formulating the plan by deciding on definite objectives, targets, programmes, activities, priorities, resources needed, financing, and implementation scheduling.

Plan Preparation Step-6: preparing implementation action plans: In order to increase (a) the chances of obtaining consensus among the principal stakeholders concerning the proposed plan, and (b) the chances of obtaining the required funding for plan implementation, in a growing number of countries, Ministries of Education include in the medium-term education plan more or less detailed action programmes (or action plans, or implementation action plans). This is a way to respond effectively to the principal concerns and expectations of stakeholder groups. In these cases, preparing implementation action plans is included in the planning process (Step-6).

Plan Preparation Steps-1, -2 and -3 are technical in nature and involve experts (analysts, educators, planners, researchers, statisticians, etc.). They are carried out through fact finding, desk work, workshops, involving consultations with, and participation by local communities, schools, teachers, NGOs and other actors. By contrast, Plan Preparation Step-4 is the central policy part of planning. During this step stakeholders exercise their influence to promote specific concepts, objectives and targets to be considered in policy formation. In a modern planning process this step is often organized to a very large extent in the form of dialogue between the stakeholders, bringing them together in seminars, roundtable meetings and other appropriate forms of consultation aimed at (i) providing the planners with the opportunity to reflect the interests and needs of stakeholder groups in the formulation of targets, proposed programmes and modalities for implementation as realistic as possible, and (ii) building consensus for the objectives and programmes of the plan, thereby strengthening the chances of enlisting their support for plan implementation.

Plan Preparation Step-4 is also the step where the issue of sustainability has to be carefully assessed. In order to succeed, education initiatives have to be sustained politically and financially, as well as socially and culturally, over long periods of time. The long-term implications of pursuing certain education policy options rather than others must be carefully weighed, against the outlook for (i) economic development, in particular, trained manpower requirements and public sector potential for financing education investments and recurrent expenditure, and (ii) social, cultural and political transformation.

Figure 4 presents an overview of the principal Plan Preparation Steps of the medium-term (or strategic) planning process, starting with sector analysis, and then moving on to the preparation of the plan. The Figure also shows the corresponding chapters of a typical medium-term plan.

1.5 RELATIONSHIP BETWEEN THE EDUCATION PLAN AND THE NATIONAL DEVELOPMENT PLAN

The programmes and targets of the education plan are part of the overall national development efforts for the economy and society as a whole. They should be linked to existing socio-economic development plans and programmes, in particular national strategies related to poverty reduction, health service provision or other fields which affect the attainment of education development objectives.

For the allocation of financial resources the education plan competes with all the other sectors. Planners have to be careful to propose programmes which are set within reasonable limits of resource requirements and have a good chance of being funded and implemented. To do this requires overcoming two difficulties: (i) to decide at what stage in the planning process the resource-limitation aspects should be taken into account, and (ii) to obtain reliable indications of likely available resource levels.

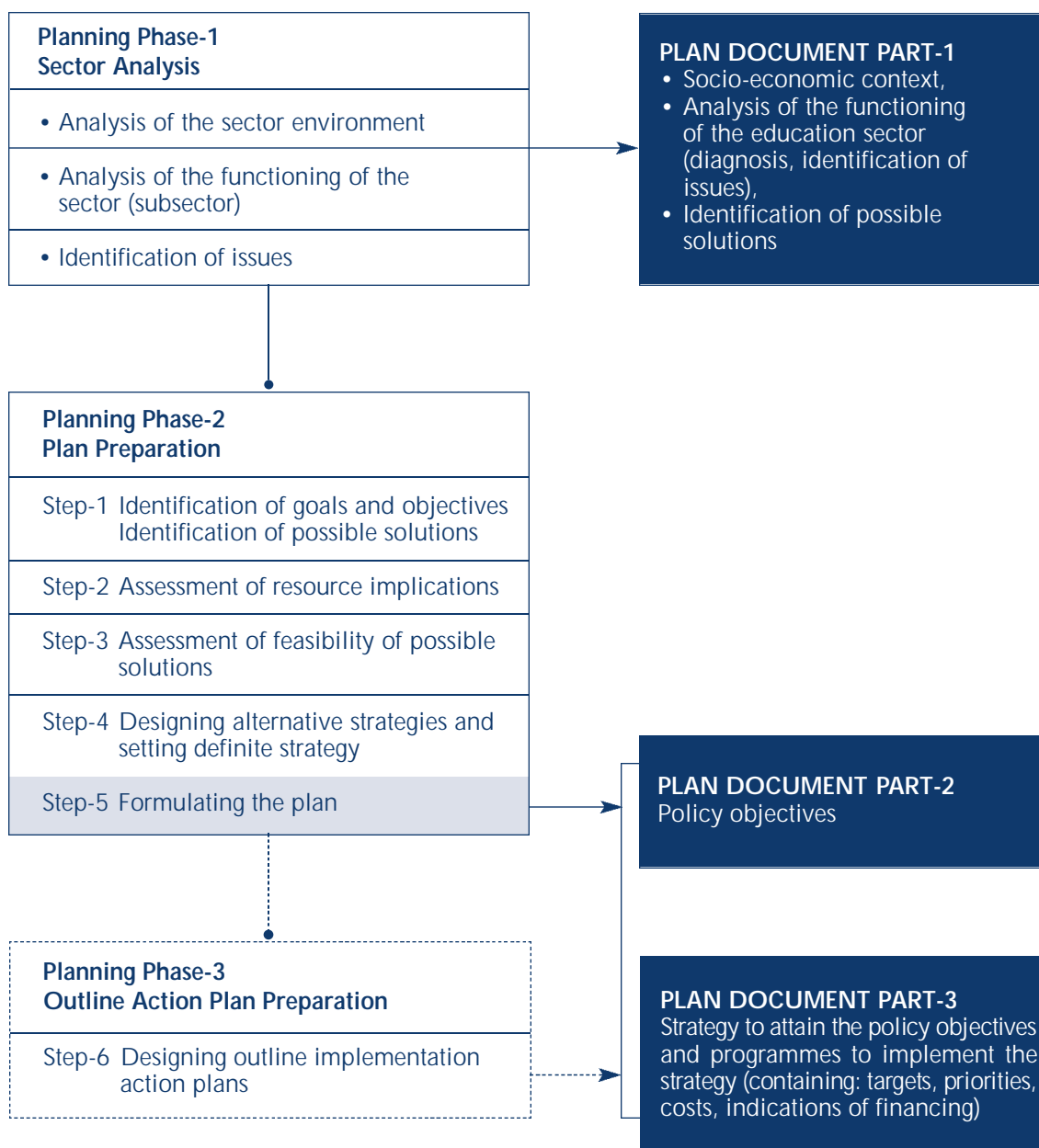
Taking the resource limitation aspects into account is a consideration, which pervades and underlies the entire plan preparation process. Throughout plan preparation the planners must take into account the fact that other sub-sectors will also want the resources which the education sector is counting on. The usual way of making planning assumptions on resource ceilings for the education sector is to assume that the minimum ceiling in the future is the present share of the education sector in the national budget. However, in a situation where the education policy goals for the plan period imply an increase of the education sector share, the planners must seek to convince the providers of resources to change the resource allocation pattern in favour of education.

The planners can do this by closely associating the policy level of the Ministry of Education as well as the Ministry of Planning and the Ministry of Finance to the plan preparation work right from the start of the plan preparation process. In this way there is a good chance that the decision levels in the Planning and Finance Ministries will gain sufficient insight into the functioning of the education sector and a better understanding of the programmes included in the education plan, as well as of the reasonableness of the resource requirements of the education sector.

**FIGURE 4: THE EDUCATION PLANNING PROCESS
AND CORRESPONDING STRUCTURE OF A TYPICAL PLAN DOCUMENT**

EDUCATIONAL PLANNING PROCESS

PLAN DOCUMENT



2. PLANNING FOR EFA

2.1 THE EFA GOALS

The World Education Forum (held in Dakar, Senegal, 26-28 April 2000) adopted the Dakar Framework for Action which contains overall goals and commitments of governments and the international community for achieving basic education for all by 2015. The goals aim at ensuring, in particular, quality primary education for all and gender equality for all levels of education by 2015, appropriate education for all out-of-school young people and under-educated adults, and recognized and measurable learning outcomes at all levels and for all educational activities.

**Education For All (EFA) Goals
adopted by The World Education Forum, Dakar, April 2000,
for the period 2002-2015**

- (i) expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children;*
- (ii) ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete free and compulsory primary education of good quality;*
- (iii) ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life skills programmes;*
- (iv) achieving a 50 per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults;*
- (v) eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality;*
- (vi) improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills.*

Source: The Dakar Framework for Action, para. 7., p.8

2.2 THE CRUCIAL IMPORTANCE OF NATIONAL EFA PLANS FOR ATTAINING THE EFA GOALS

If EFA goals are to be attained they must first be translated into national EFA plans and action programmes. Without realistic plans and programmes, countries and the international donor community have little chance of ever seeing these goals attained. National EFA plans are the *sine qua non* condition for effectively reaching the EFA goals ^[1].

The Dakar Framework for Action contains two fundamental conditions which must be fulfilled at the national level before partners in the international community will be prepared to contribute resources required for the implementation of the national EFA plan (The Dakar Framework for Action, para. 16 and 17):

Condition-1 is that specific national processes for EFA development (and for the education sector as a whole) must be in place and functioning, including among others, government leadership, systematic consultation with national civil society, preparation and implementation of reforms addressing the EFA goals, a sustainable national funding framework, and coherence and synergy of all human development activities within the national development planning framework.

Condition-2 is that a credible EFA plan must be in place.

The planning approach presented in this Planning Guide aims at facilitating the translation of the Dakar EFA goals into credible national plans and action programmes. The planning approach is designed to provide a professionally sound basis and at the same time be flexible and usable in a wide range of specific country situations. Its purpose is to be a practical tool for realistic national EFA planning, carried out by national planners. It is based on broad real country level planning experience, and it is hoped that it will result in national EFA plans which (i) take into account the particular situation of each country, (ii) address the specific priority needs of each country, (iii) are feasible and affordable, and (iv) when implemented, are capable of effectively ensuring that the EFA goals are reached in a sustainable way.

The Dakar Framework for Action is a policy document reflecting the views of a large range of countries, regions, donors, technical assistance agencies and NGOs. It therefore contains little in the way of technical advice in drawing up national EFA plans. This EFA Planning Guide provides a technical concept that attempts to put the Dakar follow-up in the context of national plan preparation structures and mechanisms and makes sense professionally.

^[1] National action plans drawn up following the Jomtien and Amman EFA conferences were seldom implemented. Main reasons for this disappointing development, recognized by the Dakar meeting, include (a) the plans were prepared outside of, and unrelated to, the normal planning and budgeting processes, (b) the plans were drawn up by ad-hoc working groups composed of persons with sometimes little policy influence and little professional experience, (c) methodologies were used, at the insistence of international advice, which aimed at international comparability, but were largely unrelated to national sector reality (structure, functioning, management of national basic education sectors), (d) the basic education sector was treated in isolation from the other sub-sectors of the education system, without regard for the reality that national (and international) resource allocation takes place within a sector-wide arbitration and decision context, (e) the EFA plan was not linked to national socio-economic development strategies that affect the attainment of EFA goals, and (f) EFA work did not create national capacity in sector analysis, planning and plan implementation.

2.3 THE PARTICULAR NATURE OF THE EFA PLAN

Principles guiding the preparation of national EFA plans have been defined in the Dakar Framework for Action.

Principles guiding the preparation of the National EFA Plan

Each National EFA Plan will:

- (i) be developed by government leadership in direct and systematic consultation with national civil society;*
- (ii) attract co-ordinated support of all development partners;*
- (iii) specify reforms addressing the six EFA goals;*
- (iv) establish a sustainable financial framework;*
- (v) be time-bound and action oriented;*
- (vi) include mid-term performance indicators; and*
- (vii) achieve a synergy of all human development efforts, through its inclusion within the national development planning framework and process.*

Source: The Dakar Framework for Action, para.16, p.10

The EFA goals, their implied targets, and the guiding principles for national EFA plans have to be translated into operational, practical planning concepts. The Planning Guide attempts to do this within the technical framework of a professionally sound plan preparation approach.

The EFA plan is a long-term macro-plan, covering the 14-year period 2002-2015 (i.e. school year 2002/03 - 2015/16)¹. It may be broken down into two medium-term phases, in line with specific national planning cycles (for example 2002-2010 and 2011-2015). The plan for the first medium-term phase will be more detailed than the plan for the second medium-term phase. At the end of the first phase a mid-term review of plan implementation should be undertaken. The EFA plan will be implemented through annual budgets which are integral parts of the national education budgets and, thus, the annual public sector budgets.

The EFA plan should not be an additional plan to already existing plans. Instead, the EFA plan should be a framework, in the form of a large programme, integrating in a coherent way all EFA aspects of all other presently valid plans and policy documents (e.g. socio-economic development plan, national poverty reduction strategy). The EFA plan will be drawn up in a situation where other plans and programmes already exist which cover EFA aspects or are in other ways directly relevant to EFA; such as the national development plan, the education sector plan, education sub-sector

¹ If commonly applied technical planning terminology is used, then the EFA plan is not an "action plan". Once the EFA plan has been adopted and has become government policy, then action plans can be drawn up to guide the implementation. In this respect the Dakar texts, written in policy not technical language, are unclear when they speak of a "framework for action" and "plans of action".

plans, other policy documents and strategic instruments (e.g. development concepts and strategies relevant to the education sector formulated by donors in partnership with EFA actors ^[2]).

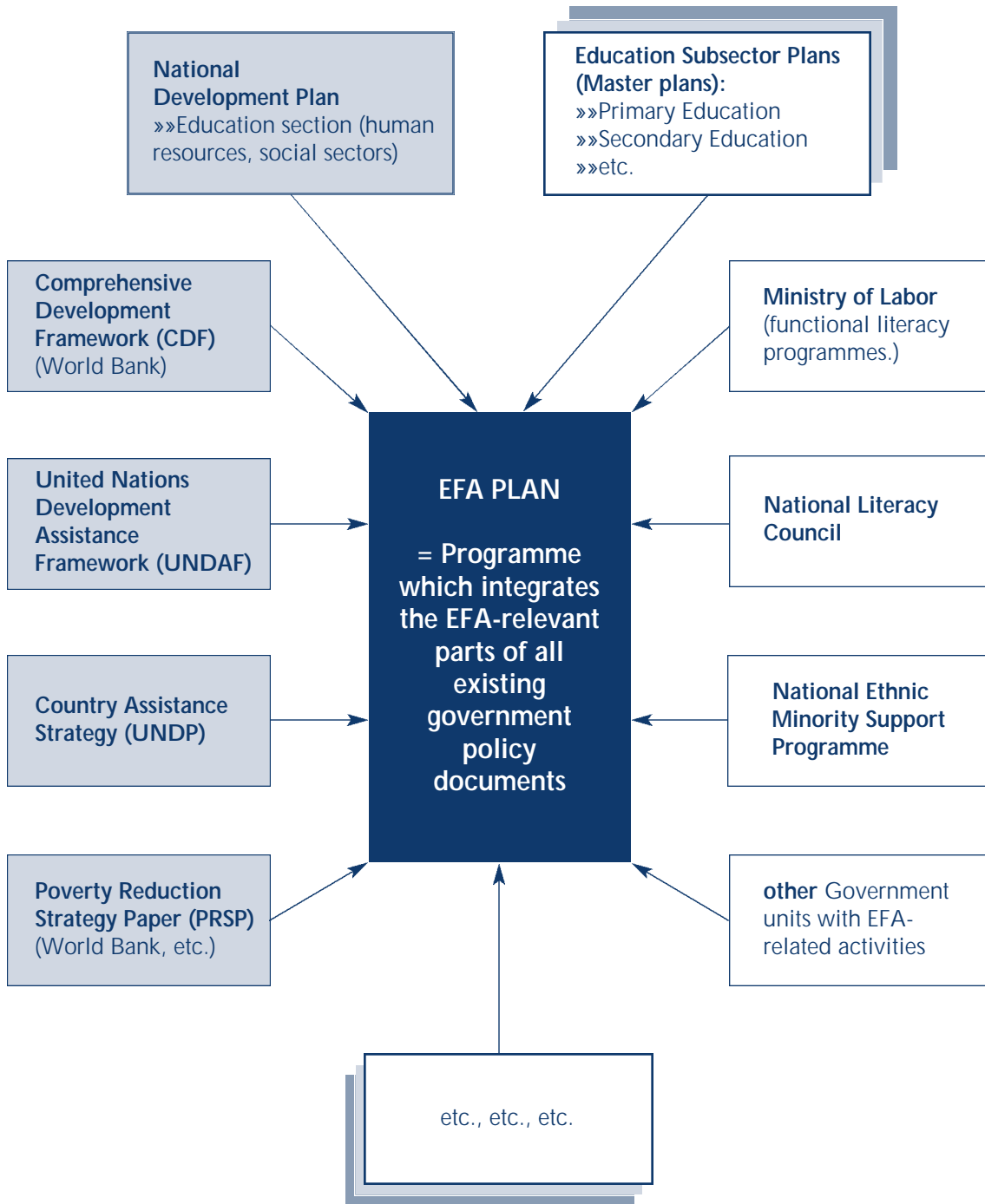
The coverage of EFA goes beyond the formal education system. It concerns a number of other government entities (ministries other than the Education Ministry, literacy programmes, early childhood care programmes, NFE and continuing education activities, etc.) that carry out educational activities aimed at EFA target groups. The ongoing and pipeline projects relevant to EFA of these other government bodies must also be taken into account in drawing up the EFA plan. Moreover, there are ongoing and planned donor financed projects which, in their totality, or with certain components, are directly relevant to EFA, although they may not have been developed within a national EFA concept. The EFA plan must also take them into account.

Once the EFA plan has integrated all EFA activities for the plan period into a coherent, sector-wide framework, all EFA activities foreseen for the EFA plan period (including both the ongoing activities as well as new activities), it guides the EFA activities of all government bodies.

In fact, the normative function of this integrated EFA plan obliges all government bodies, as well as their external funding partners, to adhere to it and abstain from launching separate initiatives.

^[2] Including, for example, the United Nations Development Assistance Framework (UNDAF), the World Bank Comprehensive Development Framework (CDF), the Poverty Reduction Strategy Papers (PRSP), the Heavily Indebted Poor Countries Initiative (HIPC) and several others.

FIGURE 5: RELATIONSHIP BETWEEN THE EFA PLAN AND OTHER PLANS AND STRATEGIC INSTRUMENTS INCLUDING EFA-RELATED ACTIVITIES



2.4 COVERAGE AND SCOPE OF THE EFA PLAN

The EFA plan has four main target groups and three target sub-sectors:

Target Group	Corresponding Sub-sector
(1) <u>the young child from age 0 to 6</u> including infants and children in preschool age	Early childhood care and development (ECCD) and preschool ²
(2) <u>children in formal basic education</u> (with particular attention to girls) Subgroup (2.1): pupils who are already in the formal education system; Subgroup (2.2): children who are expected to enter grade-1 (i.e. primary education) and grade-7 (i.e. lower secondary education), and total enrolment in all grades	formal basic education (for EFA purposes this comprises in most countries primary education, and in some countries also lower secondary education)
(3) <u>out of school youth in the EFA-age range</u> (with particular attention to girls) Subgroup (3.1): children who never enrolled, i.e. who never entered grade-1 (typically children in educationally under-served areas, minority groups, etc.) and grade-6 (primary education) leavers who do not enter grade-7 (lower secondary education); Subgroup (3.2): children who enter grade 1 and children who enter grade-7 but drop out before attaining the end of the cycle.	non-formal education (NFE) and continuing education ³
(4) <u>adults below literacy level</u>	non-formal education (NFE) and continuing education

In most countries the priority EFA target is to provide access to formal education for as many children as possible and to reach universal primary (or universal lower secondary) education as soon as possible. Therefore, the principle EFA planning efforts in these countries concern formal basic education.

² In most countries a preschool subsector does not yet exist as an identifiable structure within the education sector. The term is used in this Guide only for easy reference.

³ For easy reference this Guide uses the term non-formal education (NFE) to refer to any learning activity, including continuing education, delivered through non-formal modes.

The ultimate EFA goal is to ensure full and quality education to all children in the primary age range and provide extended learning opportunities, in the form of formal basic education or non-formal equivalency programmes, for youth and adults⁴. To attain this ultimate goal in the long term requires optimal resource allocation across sub-sectors; what is considered optimal will differ among countries and change as the system develops. In countries where financial resources are very limited, assigning priority of resource allocation to target groups, 1, 3 and 4 may appear to leave formal education underprovided, limiting its growth and improvement, which would result in more young people not having access to formal basic education or to drop out, thereby increasing the number of out-of-school children and youth and the EFA programmes and resources required for them. This may end up defeating the ultimate goal of EFA.

2.5 THE PHASES AND STEPS OF EFA PLAN PREPARATION

A typical EFA plan might contain four sub-plans (one for each of the four target-groups) and a consolidated plan which brings together the four sub-plans into a coherent framework.

Preparing the EFA sub-plans includes all essential phases and steps of education planning, as explained in Section-I and **Figure 4** above:

Planning Phase-1: situation analysis or sector analysis: finding out how the EFA sector (i.e. the various programmes and activities carried out in the country that are related to EFA) works at present, identifying the issues and possible responses;

Planning Phase-2: mapping the future course of EFA, i.e. identifying possible solutions to the issues (in the form of programmes); setting preliminary targets and outlining activities needed to reach the targets; assessing the resources required; identifying likely resource gaps; identifying possibilities of reducing the resource gaps through improving the functioning of EFA and through mobilizing additional resources; setting the definite EFA targets and formulating the plan;

Planning Phase-3: preparing future action, by outlining implementation action plans, including among others, financing plans.

Several tasks under Planning Phase-2 are technical and complex, requiring good analysis and planning skills. To facilitate the work, and at the same time ensure the necessary high level of professional rigor, this Planning Guide offers a practical planning tool in the form of a projection model, the EFA Analysis and Projection Model of UNESCO/PROAP presented in **Annex 3**. This PC-based model helps in essential planning tasks such as analysing the base situation, making projections, assessing the resource requirements related to pursuing the plan targets, designing alternative implementation strategies, setting priorities, and providing a reference base for implementation monitoring.

Three analysis and projection models have been developed: for pre-school education (children in preschool from target group 1), for formal basic education, including primary and lower secondary education (target group 2) and for out-of-school children and youth programmes (target group 3).

⁴ These extended learning opportunities are included in the notion of basic education. A growing number of countries have already decided or are preparing to apply a reform policy creating a "basic education" cycle, i.e. a cycle of nine years of schooling which in several countries also includes non-formal equivalency programmes for out-of-school children in primary school age and youth. Those programmes may be provided and financed, or co-financed, by other agencies than the Ministry of Education, for example the Ministry of Health or non-governmental organizations.

2.6 TARGET SETTING

Setting the targets that must be reached in order to attain the EFA goals is the centre-piece of the EFA planning process. It is through this step that EFA goals and objectives are translated into feasible and affordable programmes.

The target setting process has two closely interrelated dimensions: a technical dimension, consisting of a sequence of rather complex tasks (as listed below); and a sector policy dimension, in the form of a dialogue and negotiation process among the principal stakeholders, under government leadership.

Target setting for EFA is made particularly difficult by already existing plans and by ongoing and proposed donor projects which have components directly relevant to EFA.

Target setting involves a number of complex tasks:

- (1) drawing up a complete overview of all components (programmes, activities, targets) contained in the already existing plans and projects and in pipeline projects relevant to EFA;
- (2) formulating the programmes to be carried out in order to attain the EFA goals (e.g. a programme for improving the teaching-learning process in order to increase internal efficiency, learning outcomes and access, which together help attaining EFA goals (ii), (iii) and (vi));
- (3) identifying the activities required in order to carry out the programmes (e.g. carrying out in-service teacher training, creating resource centres, revising teaching methodology, revising pre-service teacher training, strengthening advisory services to schools);
- (4) defining the targets (e.g. number of teachers to be trained every year, number of resource centres to be set up);
- (5) assessing the resources required (teachers, classrooms, teaching/learning materials, funding, management) to undertake the activities necessary in order to achieve the targets;
- (6) assessing the feasibility and affordability of the activities and, thus, the targets; i.e. the task of identifying likely resource gaps, and
- (7) in the inevitable case of foreseeable resource gaps, ensuring that the dialogue process among stakeholders (typically Ministry of Education and local level education authorities, Ministry of Finance and local level finance authorities, also the Planning Ministry and, in some countries organizations representing civil society) aimed at identifying and agreeing on reasonable, realistic EFA targets and corresponding activities.

Since the already existing plans, and their ongoing implementation, may not plan ahead as far as 2015, the targets for the EFA plan must take into account:

- (i) the targets in the existing plans, and
- (ii) the results of the sector analysis which yield information on the progress achieved and problems that have arisen in reaching the targets.

The fact that the EFA plan has to be an integrated EFA programme (targets and activities) combining already existing plans, strategic instruments, and ongoing projects, makes it necessary to undertake a special kind of analysis: one which will establish consistency and compatibility between the targets, activities and resource requirements of the different EFA relevant parts of these plans and projects. This requires understanding of the different assumptions and methodologies used for preparing these plans and strategic instruments⁵. Undertaking this analysis may turn out not to be easier technically than a complete sector analysis, but it is certainly less time consuming.

⁵ In the course of this analysis process, on-going EFA activities of poor quality can be identified and marked for change in future. The decision of whether, and if so, how they will be reshaped will be taken during the plan preparation (in particular during the steps of target setting and resource implications assessment).

2.7 THE PLAN PREPARATION PROCESS

The EFA plan is both a policy document, which reflects consensus among the stakeholders on goals, objectives, targets, and commitment to effectively provide the resources and the management support needed to attain them; and a technical document, containing the concrete, formal and accountable basis for sustainable action. It is this technical nature of the EFA plan which informs the policy consensus. It helps to minimize inappropriate decisions concerning programme content and resource allocation which are contrary to the plan and might jeopardize its efficient implementation.

All important national stakeholders must be associated at an appropriate stage of plan preparation. Participatory planning as referred to in the Dakar Framework for Action requires the involvement of a wide range of stakeholder groups from government institutions at all levels of the system, civil society and external donors. The ways in which this participatory process is being organized depend on the country's political traditions and existing legislative and institutional framework. In many countries central institutions and technocratic approaches still prevail in the planning process. In those countries the Ministry of Education, as a first step, should associate other relevant government institutions and stakeholder groups organized at central level to the preparation of an outline EFA plan. The outline plan should be drawn up in linkage with existing plans prepared by those institutions and results from previous consultations, and then become the basis for a wide dialogue among stakeholders. An inter-institutional central planning framework during the plan implementation will legitimize and support cross-sectoral local initiatives, which in the longer term will reinforce the momentum towards joint planning and wider stakeholder participation when follow-up plans are prepared.

Other approaches might be more appropriate in particular in countries with decentralized education management systems, where detailed EFA plans are needed at planning Level-II (see Section 1.2.1), and for those sub-sectors, in particular ECCD and NFE, that depend largely on funding and service provision from non-public sources (e.g. voluntary, not-for-profit and private organizations) (see Section IV). In those countries, and for those sub-sectors, all important national stakeholders should be associated to the plan preparation from the start, including representatives from civil society (e.g. teacher organizations, mass organizations), NGOs and external donors.

It is also useful for major donors and technical assistance partners to be associated in the plan preparation process, since they will be instrumental in plan preparation. Associating them in some ways is particularly important at the point when programmes are being designed, targets and priorities set, and financing plans outlined. Close association of at least the principle donors to the plan preparation process will set the ground for close donor-government cooperation within the framework of a Sector Wide Approach (SWAp).

2.8 ORGANIZATION OF PLAN PREPARATION

Because of the short time available (the EFA plan must be ready as early as possible in 2002), and also in order to ensure coherence between the different components of the EFA plan (i.e. a specific plan for each target group), plan preparation requires rigorous organization.

A choice has to be made between different organizational approaches. For example, the following may appear to be feasible, particularly in view of the short time available to complete national EFA plans:

(i) plan preparation for the four target groups carried out by one planning group, composed of technical experts from different fields (planning, teacher training, curriculum development, language teaching, finance, management, non-formal education, preschool education, adult education, formal basic education); or

(ii) plan preparation entrusted to different groups (one for each of the four target groups, which could form sub-groups for specific areas such as curriculum, teacher training, finance, quality, etc.) which would be coordinated by a technical steering group which, in turn, reports to the National EFA Committee and works under its guidance.

The choice depends on the availability of national experts and on how the preparation of the plan is organized by the Government: as a professional, technical process, or as a participatory, consultative process, or a combination of both.

2.9 HARMONIZING THE EFA PLAN WITH OVERALL EDUCATION SECTOR DEVELOPMENT PLANS

EFA programmes are only a part of all education activities undertaken by the education system. They are, in fact, a sub-sector of the education sector, along with the sub-sectors of (upper) secondary education, vocational education, and higher education. The EFA sub-sector is funded from the same sources as the other sub-sectors and it draws on the same kind of resources (e.g. teachers, administration services, research and development services, such as curriculum and textbook development, etc.). It is competing for limited resources with the other sub-sectors. Therefore, the EFA plan has to be drawn up within reasonable resource limits, respecting a balance within the overall education sector. This balance is a political decision, taken at the level of the Minister of Education, who decides in close consultation with the Minister of Planning and the Minister of Finance. Unless these Ministers agree, the EFA plan cannot be implemented.

Harmonizing the EFA plan with the development plans of the other education sub-sectors is a consideration that pervades and underlies the entire planning Phase 2, i.e. the phase that charts the future (see Section 1.2.4 and Figure 4). In each of the Plan Preparation Steps the planners must take into account the fact that other sub-sectors will also want the resources that EFA is counting on.

The planners can do this in several ways: (i) by checking, at each plan preparation step, with the policy level of the Ministry of Education, as well as with the Ministry of Planning and the Ministry of Finance, whether the order of magnitude of resources, particularly financial resources, which they have in mind stands a reasonable chance of being accepted; or (ii) by closely associating the policy level of the Ministry of Education as well as the Ministry of Planning and the Ministry of Finance in the plan preparation work, for example by including them in working groups.

The plan preparation steps which are crucial for gauging the future resource situation (see Section 1.4) are Step-2 (assessment of the resources required), Step-3 (assessment of the likely availability of resources and identification of resource gaps) and Step-4 (identification of measures to close the resource gaps, including, among others, obtaining additional resources). Underlying these steps is a continuous, iterative process of putting forward programme proposals and related resource requirements and of revising them in the light of considerations and facts brought forward by the providers of resources (i.e. Ministry of Planning and the Ministry of Finance).

2.10 THE STRUCTURE OF THE EFA PLAN

There is no standard structure for an EFA plan. The EFA plan document should be organized in a way that shows, for each of the four EFA target groups and for the corresponding sub-sectors, the situation analysis, the goals, the programmes, the activities and targets, the resource requirements and the terms of implementation management. The programmes could be presented in three broad groups which reflect the principle policy thrust: (i) access, (ii) quality and relevance, (iii) management. The plan must also show what is foreseen for specific target groups (girls, ethnic minorities, etc.) and situations (poverty, gender inequality, etc.).

FIGURE 6: EXAMPLE OF A TYPICAL STRUCTURE OF A NATIONAL EFA PLAN DOCUMENT

[The square brackets contain indications of the principal points of content]

INTRODUCTION *[description of process and organization of plan preparation]***EXECUTIVE SUMMARY****PART - 1 THE CONTEXT FOR EFA****Section 1 - Social and economic context**

[national social and economic achievements (status of the economy, labour market social conditions, see Section 6.3.1); major objectives for the future; both with reference to the role and contribution of human resources, particularly formal education and non-formal education; the role, contribution and impact of international/donor funded programmes and of donor-government cooperation]

Section 2 - Analytical description of the education sector

[achievements; issues; government policies for the future]

PART - 2 THE EFA PLAN FOR THE PERIOD 2002 - 2015**Chapter 1 - The present EFA situation****Section 1- Description and situation analysis**

[of components, structure, organization, population groups served, access, quality, relevance, costs and financing, management, planning, impact]

Section 2- Issues**Chapter 2 - EFA development until 2015****Section 1 - The national EFA goals and objectives**

[the Dakar goals in the national context; additional national goals and objectives; target groups; principles underlying the EFA Plan, concerning e.g. priorities between the target groups, harmonization and compatibility between the EFA sub-sector and the other sub-sectors of the education system]

Section 2 - EFA programmes and targets for the development of early childhood care and preschool education**2.1 Access****2.2 Quality****2.3 Management**

[each sub-section contains: situation analysis, issues, programmes, targets, costs, available resources, resource gaps, funding indications, implementation management]

Section 3 - EFA programmes and targets for the development of formal basic education

3.1 Access

3.2 Quality and relevance

3.3 Management

[each sub-section contains: situation analysis, issues, programmes, targets, costs, available resources, resource gaps, funding indications, implementation management]

Section 4 - EFA programmes and targets for out-of-school children and youth

4.1 Access

4.2 Quality and relevance

4.3 Management

[each sub-section contains: situation analysis, issues, programmes, targets, costs, available resources, resource gaps, funding indications, implementation management]

Section 5 - EFA programmes and targets for adults below literacy level

5.1 Access

5.2 Quality and relevance

5.3 Management

[each sub-section contains: situation analysis, issues, programmes, targets, costs, available resources, resource gaps, funding indications, implementation management]

Chapter 3 - The consolidated EFA plan for the period 2002-2015

Section 1 - Summary of goals and objectives

Section 2 - Summary of programmes and targets

[tabular presentation containing: objectives, programmes, targets, costs, financing, implementation management]

ANNEXES:

Annex 1: The Dakar Framework for Action

Annex 2: Statistics for the base period and projections

Annex 3: List of implementation monitoring indicators

3. EFA PLANNING FOR FORMAL BASIC EDUCATION

(Planning for EFA Target-Group 2)

3.1 THE IMPORTANCE OF TARGET-GROUP 2

EFA target-group 2 comprises the children in formal basic education¹. For EFA purposes, this comprises in most countries primary education, and in some countries also lower secondary education. This group is composed of two sub-groups: Subgroup 2.1 is pupils who, at the beginning of the plan period, are already enrolled in school. Subgroup 2.2 includes children who are expected to enter grade-1 (i.e. primary education) and the first grade of lower secondary education (corresponding in most countries to grade-7) in the course of the plan period, and children over age who could still enter the formal school system.

In most countries of the region, the gross enrolment rates are between 60% and 90% for primary education, which means that target-group 2 is the largest EFA target group concerning school age children. It comprises the majority of children in disadvantaged learning situations on which the Dakar Framework for Action places particular emphasis (girls, children in difficult circumstances and those belonging to ethnic minorities). The formal basic education sub-sector is also the largest EFA sub-sector in terms of resource allocation and resource utilization. Moreover, this sub-sector and this target group (rather than the other EFA target groups) is considered to be the essential, indispensable and non-substitutable basis for human resource development and, thus, for economic and social development. The main emphasis of EFA efforts in terms of resources will therefore be focused on the three EFA goals which refer to formal basic education. Consequently, planning of formal basic education development will have to be the central concern of EFA planning and national EFA plans.

¹ The explicit goal of Dakar concerns children, whether in school or outside school, in the primary school age range: "ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete free and compulsory primary education of good quality". But Dakar also speaks of extending education opportunities to young people and adults through both formal and non-formal modes. Many countries have made, or are getting ready to make, nine years of schooling compulsory, which is considered in those countries as formal basic education corresponding to primary and lower secondary levels. The Planning Guide uses the notion of basic formal education in this sense. Users of the Guide may adapt it to specific country contexts.

EFA goals concerning formal basic education

- Goal (ii):** *ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete free and compulsory primary education of good quality;*
- Goal (v):** *eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality;*
- Goal (vi):** *improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills.*

3.2 POLICY THRUST AND STRUCTURE OF EFA SUB-PLAN FOR FORMAL BASIC EDUCATION

In almost all countries of the region the thrust which governs education policy, and orients action in the formal basic education sub-sector, comprises three aspects, that should be highlighted in the sub-plan for formal basic education:

- (i) reaching or maintaining **access** to education for all children of school age,
- (ii) enhancing **quality and relevance** of education, and
- (iii) ensuring efficient **management** of resource utilization and efficient functioning of the school system.

The EFA plan and preparation process (data collection and analysis, programme formulation, target setting) may be organized around these aspects. The technical features (data collection, analysis, dialogue) of planning for these three aspects are very much the same. Therefore, the plan preparation tasks can be carried out at the same time. However, a choice has to be made between two organizational approaches: (i) all plan preparation tasks carried out by one group, composed of technical experts from different fields (planning, teacher training, curriculum development, finance, management, etc.); or (ii) the tasks entrusted to different groups (one for each of the major aspects such as teacher training, curriculum, etc., or one for each of the three aspects of access, quality and relevance, management) which would be coordinated by a steering group. The choice depends to a large extent on the availability of national experts and on how the plan is prepared by the Government: as a professional, technical process, or as a participatory process, or a combination of both.

3.3 PLAN PREPARATION PHASES AND STEPS

For each of these three aspects planning can proceed along the phases and steps listed in Section I above, as follows:

Planning Phase-1: undertake a situation analysis of the formal basic education sub-sector, i.e.
(i) find the facts and analyse how the sub-sector functions at present;
(ii) identify the issues;

Planning Phase-2: draw up the EFA plan for formal basic education, i.e.:

Plan Preparation Step-1:

- Step 1.1 identify the goals and objectives decided by the government,
- Step 1.2 formulate possible solutions to the issues identified in Phase-1 and possible ways of responding to the policy goals, in the form of outline programmes;
- Step 1.3 set preliminary targets for each programme and outline the activities needed to reach the targets;

Plan Preparation Step-2:

assess the resources required to undertake the activities needed to reach the targets;

Very few of the EFA goals, objectives, desired programmes and targets will succeed unless the necessary funding can be secured and unless the necessary non-financial resources are available (teachers, classrooms, textbooks). To facilitate the task of assessing the EFA resource requirements, a technical tool is included in **Annex 3** of this Planning Guide, the EFA Analysis and Projection Model of UNESCO PROAP. It is a user friendly, PC-based model, that helps planners in deciding which types and amounts of resources are required to reach the EFA targets. To adequately assess the resource implications of any major plan the use of such a tool is necessary.

Plan Preparation Step-3:

- Step 3.1 estimate the likely availability of funds (share of education in government budget; distribution of these funds within the education sector, between the different sub-sectors; cost-sharing possibilities);
- Step 3.2 estimate the likely availability of non-financial inputs (such as teachers, premises, textbooks, which depends on the capacity to produce these inputs, as well as on funding);
- Step 3.3 assess the organizational and management capacity likely to be available to ensure the normal functioning of the education system and to carry out reform and development activities; and
- Step 3.4 identify likely resource gaps;

Plan Preparation Step-4:

- Step 4.1 identify measures to close the resource gap including, for example, depending on the circumstances in each country:
(a) reducing the costs of the education system by improving the cost-efficiency of resource utilization (which includes changing of targets and of technical coefficients which determine the way in which the sector functions); (b) mobilizing additional resources (including cost sharing); (c) encouraging the creation of private education institutions; (d) lobbying by the education authorities for a higher share of the national budget for the education sector;
- Step 4.2 revise the proposed programmes and activities; and

Step 4.3 set the definite EFA targets and priorities for the development of the formal basic education sub-sector.

Plan Preparation Step-5:

formulate the plan (which includes deciding on definite strategic objectives, implementation programmes, targets, activities, priorities, resources needed, financing, implementation scheduling).

Planning Phase-3: Action planning

Plan Preparation Step-6:

draw up implementation action plans

In order to increase (a) the chances of obtaining consensus among the principal stakeholders concerning the objectives and targets proposed in the plan, and (b) the chances of obtaining the required funding for plan implementation, the EFA plan could include more or less detailed action programmes (also called action plans). In this way, the plan is shown to be responding effectively and in practical ways to the principle concerns and expectations of the stakeholders and society at large. But, it also makes the plan preparation process more complicated and considerably longer (by at least six to eight months). In this case, preparing implementation action plans becomes Plan Preparation Step-6 in the EFA planning process.

3.4 PLANNING FOR EQUITABLE ACCESS TO FORMAL BASIC EDUCATION

In the EFA context, the term "access" to formal basic education means both: entering school in grade-1 (primary) and remaining enrolled throughout the complete primary school cycle. For those countries which include lower secondary in basic education EFA goals, it means entering lower secondary school in the first grade of the cycle (corresponding to grade-7 in many countries) and remaining enrolled throughout the complete lower secondary education cycle.

Planning Phase-1:

Undertake a situation analysis of the sub-sector for the country as a whole, and for each region (province, district, etc.), and by comparing regions and specific population groups (minority groups, gender groups, etc.), comprising the following:

- (i) find the facts and analyse how the sub-sector functions at present, using absolute figures as well as relative figures (ratios, rates), by gender (M/F), for the school-year 1999/2000 and 2000/2001, concerning the following (this list is not exhaustive; it must be completed in accordance with specific country situations):

Data

- intake into grade-1
- new entrants to grade-1 with preschool experience
- internal efficiency of the primary cycle (promotion, repetition, dropout; retention rate; survival rate; average number of pupil-years per graduate)
- total enrolment in primary
- gross and net enrolment rate in primary
- examination results at the end of primary
- intake into grade-7 (first grade of lower secondary cycle)
- internal efficiency of the lower secondary cycle
- total enrolment in lower secondary
- gross and net enrolment rate in lower secondary
- examination results at the end of lower secondary
- health and nutrition status
- teachers
- pupil/class ratios
- pupil/teacher ratios
- actual average weekly pupil-class periods (as opposed to the number foreseen in the curriculum)
- annual output of the teacher training system
- schools/classrooms/special rooms (libraries, laboratories)
-
- expenditure (see Section 5 below on Cost and Financing Considerations)
-
- regional disparities
- disparities concerning specific population groups
-

In addition, qualitative information is collected and presented in the form of a descriptive analysis.

Descriptive analysis

- curriculum (contents, core subjects, extra-curricular activities)
- teaching methods (language of instruction, pupil-centred, multi-grade)
- learning materials situation (type, availability, quality, distribution)
- teacher situation (profile, qualifications, distribution, absenteeism)
- nature of the learning environment, in terms of friendliness, protection and safety, healthiness, etc.
-
-

(ii) identify the issues and the causes for the present unsatisfactory functioning of the sub-sector.

Typical access-issues to be found in many countries and their principal causes include, for example, (this is only a typical working table; it needs to be completed by each country in order to suit the specific country situation):

The causes for these access issues have to be identified and analysed in as much detail as possible, making full use of the available, reliable information. The more insight gained into the causes and more fully they are understood, the more realistic and effective the working solutions can be.

Issues	Causes
<ul style="list-style-type: none"> • low intake rate in grade-1 (primary) • low intake rate in grade-7 (lower secondary) 	<ul style="list-style-type: none"> • lack of schools (classrooms) • lack of teachers (not enough posts; no interest to serve in difficult areas) • lack of interest by parents to send their children to school • too high direct schooling costs to parents • gender bias, usually against girls • poor health and nutrition status of children • lack of birth registration • ...(etc.).....
<ul style="list-style-type: none"> • low internal efficiency <ul style="list-style-type: none"> - high repetition rate - high dropout rate <p style="text-align: right;">} low retention rates</p>	<ul style="list-style-type: none"> • inadequate teacher capacity (lack of trained and experienced teachers; in particular in modern teaching methods, and in applying the reformed curriculum, textbooks, unfamiliar with the home language of pupils) • inadequate teaching-learning conditions (high pupil-class and pupil-teacher ratios) • low number of effective school periods (double shift; lack of teachers, absenteeism) • inadequate teaching methods • inadequate curriculum • inadequate learning materials (textbooks) • language of instruction (not being the mother tongue) • pupils attending school not regularly • system and procedure to measure pupil performance • examination system (criteria, procedure) • poor health and malnutrition • unfriendly, unsafe, unhealthy school environment • ...(etc.).....
<ul style="list-style-type: none"> • gender inequality (- at intake; - in the course of the education cycle) 	<ul style="list-style-type: none"> • cultural, religious, social customs • poverty • unsuitable pedagogy, learning materials, physical school facilities • ...(etc.).....

An analysis is undertaken in order to design solutions, and programmes to carry them out, during the EFA plan period. Therefore, it will be useful to prepare special analysis papers focusing on specific groups or regions which are significantly underprovided with basic education and for which special programmes will have to be designed and included in the EFA plan.

Planning Phase-2:

Charting the future development of formal basic education

Plan Preparation Step-1: identify possible responses to issues and policy goals

- Step 1.1 identify the goals and objectives decided by the government;
- Step 1.2 formulate possible solutions to the issues identified in Phase-1 and possible ways of responding to the policy goals, in the form of outline programmes;
- Step 1.3 set preliminary targets for each programme and outline the activities needed to reach the targets;

Step 1.1 identify the goals and objectives Typical goals and objectives concerning access include (this is only a typical working table; it needs to be completed by each country in order to suit the specific country situation):

EFA Goals (Dakar Plan of Action)	Objectives
<ul style="list-style-type: none"> • ensuring that by 2015 all children enter and complete free and compulsory primary education [goal (ii)] and • ensuring that the learning needs of all young people are met through equitable access to appropriate learning and life-skills programmes [goal (iii)] 	<ul style="list-style-type: none"> • carry out special programmes aimed at identifying children not in school and getting them into school thereby providing primary education to educationally underprovided population groups and regions • carry out special programmes to significantly increase internal efficiency • carry out special, intensive teacher pre-service training programmes in order to rapidly increase the number of teachers • take appropriate measures to ensure adequate levels of government funding for primary education • ...(etc.).....
<ul style="list-style-type: none"> • eliminating gender disparity in primary and secondary education by 2005 [goal (v)] 	<ul style="list-style-type: none"> • carry out special programmes to incite parents to send their daughters to school • review the curriculum, textbooks, physical school facilities to adapt them to the special cultural, religious and social aspirations and needs of girls and eliminate the gender bias •(etc.).....
Additional national goals	Objectives
<ul style="list-style-type: none"> • increase access to free lower secondary education (3-year cycle) 	<ul style="list-style-type: none"> • carry out special programmes for teacher training, school construction and provision of teaching-learning materials • ...(etc.).....
<ul style="list-style-type: none"> •(etc.)..... 	<ul style="list-style-type: none"> • ...(etc.).....

Step 1.2 formulate possible solutions to the issues identified in Phase-1 and possible ways of responding to the policy goals, in the form of outline programmes; and

Step 1.3 set preliminary targets for each programme and outline the activities needed to reach the targets.

Typical programmes and targets concerning access to formal basic education include (this is only a typical working table; it needs to be completed by each country in order to suit the specific country situation):

Programmes	Targets
<ul style="list-style-type: none"> • carry out school construction programmes • carry out special programmes to significantly increase internal efficiency: <ul style="list-style-type: none"> (i) reduce dropout and repeating by: <ul style="list-style-type: none"> (a) improving the learning environment in the school, (b) providing remedial courses for slow learners, (c) conducting an awareness campaign aimed at parents, (d) reviewing pedagogical methods and curriculum to make them more suitable to the learning ability of the majority of pupils; (ii) reduce the high incidence of repeating the final grade by: <ul style="list-style-type: none"> (a) revising the test and examination criteria and procedures, (b) retraining all final-grade teachers, (iii).....(etc.)..... 	<ul style="list-style-type: none"> • construct the number of schools needed in order to increase the intake ratio in grade-1 (primary education) every year by x%, to attain 100% by 2010; • construct the number of classrooms needed to accommodate the increase in total enrolment in primary education resulting from the increase in the intake ratio and the improvement of internal efficiency; • reduce pupil-teacher ratio to 30 for Grades 1 to 3 and to 35 for Grades 4 to 6 by 2009/10; • equip each school with IT access to Internet and train two teachers per school in the use of IT; • organize remedial courses in all primary schools by 2010 (train two teachers in each school); • organize meetings every year with local community leaders and parents in all school districts with more than 10% dropout in the primary cycle; • carry out curriculum review by the end of school year 2004/05; revise curriculum in 2005/06; introduce revised curriculum in 2006/07-2007/08 (train each year 50% of the teachers in the new curriculum); • carry out review of testing and examination criteria and procedures by 2003; test new system in 2004/05; introduce revised system in 2005/06; • carry out a review of the health and nutrition status of children in primary school; •(etc.).....
<ul style="list-style-type: none"> • carry out special, intensive teacher pre-service training programmes in order to rapidly increase the number of teachers 	<ul style="list-style-type: none"> • increase the output capacity of teacher training institutions to match the enrolment increase as well as the targeted reduction of the pupil-teacher ratio
<ul style="list-style-type: none"> •(etc.)..... 	<ul style="list-style-type: none"> •(etc.).....

Plan Preparation Step-2: assess the resources required to undertake the activities needed to reach the targets.

Whatever the EFA goals, objectives, desired programmes and targets, very few of them will succeed (i) unless the necessary funding is available, and (ii) unless the necessary non-financial inputs are available (such as teachers, classrooms, textbooks, etc.).

To facilitate the task of assessing the EFA resource requirements, a technical tool is included in this Planning Guide in **Annex 3, EFA-Planning-Model of UNESCO-PROAP**. It is a very user friendly PC-based model, using Excel. It provides answers to a number of essential planning questions. It provides clear insights into which resources are required, and how much of each resource are required, to implement the EFA policy.

A typical working table which summarizes the projections and assessments made with the help of the EFA-Planning-Model could look as follows (it needs to be completed by each country in order to suit the specific country situation):

Programmes	Targets	Type of Resource Needed	Resource requirements (annual)
(i) reduce dropout and repeating in primary education: (a) improve the learning environment in the school	<ul style="list-style-type: none"> reduce pupil-teacher ratio to 30 for Grades 1 to 3 and to 35 for Grades 4 to 6 by 2009/10; equip each school with IT access to Internet and train two teachers per school in the use of IT; 	<ul style="list-style-type: none"> teachers recurrent budget investment budget recurrent budget 	[information produced by the EFA Analysis and Projection Model]
(b) provide remedial courses for slow learners	<ul style="list-style-type: none"> organize remedial courses in all primary schools by 2010 (train two teachers in each school); 	<ul style="list-style-type: none"> trainers recurrent budget 	
(c) conduct awareness campaign aimed at parents	<ul style="list-style-type: none"> organize meetings every year with local community leaders and parents in all school districts with more than 10% dropout in the primary cycle; 	<ul style="list-style-type: none"> recurrent budget 	
(d) review teaching methodologies and curriculum to make them more suitable to the learning ability of the majority of pupils	<ul style="list-style-type: none"> carry out curriculum review by the end of school year 2004/05; revise curriculum in 2005/06; introduce revised curriculum in 2006/07-2007/08 (train each year 50% of the teachers in the new curriculum); carry out review of testing and examination criteria and procedures by 2003; test new system in 2004/05; introduce revised system in 2005/06; 	<ul style="list-style-type: none"> curriculum experts trainers recurrent budget recurrent budget trainers 	
.....(etc.)	<ul style="list-style-type: none">(etc.) 	<ul style="list-style-type: none">(etc.)(etc.).....

Plan Preparation Step-3: assess the feasibility and affordability

- Step 3.1 estimate the likely availability of funds (share of education in government budget; distribution of these funds within the education sector, between the different sub-sectors; cost-sharing possibilities);
- Step 3.2 estimate the likely availability of non-financial inputs (teachers, premises, textbooks, which depend on the physical capacity to produce these inputs, as well as on funding);
- Step 3.3 assess the organizational and management capacity likely to be available to ensure the normal functioning of the education system and to carry out reform and development activities; and
- Step 3.4 identify likely resource gaps;

Typically, **Step 3.1** and **Step 3.2** comprise the following information (this working table is only an example; it needs to be completed by each country in order to suit the specific country situation)

Type of Resource Needed	Source Providing the Resource	Likely Available Amount	
		2003-2007	2008-2015
teachers: (i) newly trained (ii) in-service trained	<ul style="list-style-type: none"> teacher training institutions central government budget local government budgets community contributions(etc.)..... 		
other personnel	<ul style="list-style-type: none"> central government budget local government budgets community contributions(etc.)..... 		
physical facilities <ul style="list-style-type: none"> classrooms laboratories libraries 	<ul style="list-style-type: none"> central government budget local government budgets community contributions(etc.)..... 		
<ul style="list-style-type: none"> teaching and learning materials 	<ul style="list-style-type: none"> national production companies central government budget local government budgets community contributions(etc.)..... 		
<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 		

With the help of the computerized EFA-Planning-Model it is relatively simple to project the likely availability of the quantifiable inputs into formal basic education. In its base-year lines the model contains a complete picture of the present capacity of providing the principal resources (teachers, classrooms, textbooks, budgets, etc.). The ongoing and pipeline programmes which will increase that capacity are also known. Indications concerning future financial resources from public sources can be provided by the Ministry of Finance and the Ministry of Planning.

A summary table of the assessment of likely available resources could look as follows:

Resource	present production capacity	ongoing & pipeline capacity increase	total resources likely available
	(annual or for sub-periods within the EFA plan period)		
• teachers			
• textbooks			
• classrooms			
•			
• recurrent budget			
• investment budget			
•			

Step 3.3 assess the organizational and management capacity likely to be available to ensure the normal functioning of the education system and to carry out reform and development activities.

This assessment ought to be undertaken through a management audit. However, very few countries have carried out such functional analysis; and time, as well as professional expertise, is too limited to allow this audit to be undertaken for the EFA plan. But, in most countries, donors have carried out more or less detailed and comprehensive assessments of the management capacity of the education sector. This information must be used, together with national informed judgment, to assess the capacity to manage the EFA development programmes foreseen for the formal basic education sub-sector. Therefore, this Planning Guide is not suggesting any specific approach.

Step 3.4 identify likely resource gaps.

Quantifiable resource gaps can be assessed by comparing the resource needs (as projected under Step-3.1 and Step-3.2, with the help of the EFA-Planning-Model) with the likely available resources (as estimated under Step 3.3; also with the help of the EFA-Planning-Model).

Type of Resource	required resources	likely available resources	resource gap
	(annual or for sub-periods within the EFA plan period)		
• teachers			
• textbooks			
• classrooms			
•			
• recurrent budget			
• investment budget			
•			

Plan Preparation Step-4: design alternative strategies

- Step 4.1 identify measures to close the resource gap, for example:
- (a) reduce the costs of the education system by improving the cost-efficiency of resource utilization (which includes changing of targets and of technical coefficients which determine the way in which the sector functions);
 - (b) mobilize additional resources (including cost sharing at lower secondary level);
 - (c) encourage the creation of private education institutions;
 - (d) lobby, by the education authorities, for a higher share of the national budget for programmes aimed at increasing access to formal basic education.
- Step 4.2 revise the proposed programmes and activities; and
- Step 4.3 set the definite EFA targets and priorities for the access aspects of development of the formal basic education sub-sector.

Plan Preparation **Step-4** is usually the most sensitive part of the planning process. It is during this step that the interests of the different major stakeholders have to be merged into one coherent and feasible concept and strategy. Stakeholders include, among others, parents, teachers, local authorities, NGOs, trade unions, the business community, mass organizations (in certain countries), the scientific community, cultural and religious associations. A number of difficult choices have to be made and priorities have to be set. Of all plan preparation steps, it is this step which requires active and responsible participation of all major stakeholders. If such participation cannot be obtained, the EFA plan is not based on the consensus which is vital for its effective implementation. Similarly, even if all major stakeholders participate, plan implementation is unlikely to be effective if agreement is not reached on the principle objectives, programmes and targets, and on the pattern and criteria of allocation of financial resources. This step must be organized in the form of an informed dialogue, which, to a large extent is of the nature of a negotiation. The stakeholders conduct this dialogue, under the guidance of the Government (Ministry of Education, Ministry of Planning, Ministry of Finance), which acts as arbiter. The planners (i.e. the technical group in charge of preparing the plan) provide the technical and professional information which informs the dialogue and without which it cannot result in a feasible plan nor in sustainable plan implementation.

A large part of the dialogue consists in discussing the trade-offs of alternative options, and changing objectives, programmes and targets in an attempt to keep them as close as possible to the original wishes whilst, at the same time, scaling them to make them fit into the resource frame, particularly that of the financial resources.

The EFA Planning Model for Formal Basic Education (see Annex 3) contained in this Planning Guide has proven to be a useful tool in this process. It is simple to handle, yet sophisticated in its structure and flexible in the way it functions, enabling it to be an effective and efficient dialogue tool, capable of assessing (in a matter of a few minutes) the resource implications and, thus, the feasibility and affordability of the different changes of objectives, programmes and targets considered during the dialogue process. In fact, it seems difficult to conduct a sensible dialogue without using such analysis and projection tool.

Among the difficult choices which have to be made during the dialogue in Plan Preparation Step-4 are:

- Striking a balance between, on the one hand, providing access to the greatest possible number of school age children, which might leave too few resources for quality improvement, and, on the other hand, limiting access and using the resources instead for quality improvement; i.e. avoiding end up with a basic education system with heterogeneous

quality with some pupils gaining access to quality learning while the majority are relegated to inferior and inadequate learning possibilities. The dialogue must result in an agreement on how best to do both, within the given resource framework and social and political priorities.

- Striking a balance between, on the one hand, assigning priority to providing full and good quality education to all educationally underserved groups that may imply accepting slower modernization of education in other regions and for other population groups, and, on the other hand, modernizing education in economically promising regions, leaving sparsely populated and economically less important regions for later that may imply certain other risks (e.g. environmental damage, migration).
- Striking a balance between, on the one hand, centrally controlled management of the sub-sector, which stifles local initiatives and participation and prevents basic education from being flexible and adaptable to rapidly changing local social and economic requirements, and, on the other hand, quick decentralization of management, leaving to the central level authorities roles of policy setting, planning, quality control, with the risk that local education authorities are not yet well prepared to take on new roles and responsibilities.

Finding the most appropriate balance involves making decisions on trade-offs and priorities. Those trade-offs are discussed and negotiated during the policy process of setting objectives and targets, a process which involves all major stakeholders. If this balancing act is to result in feasible and affordable programmes with social impact than it has to be conducted as a technically and professionally well informed dialogue among stakeholders.

Plan Preparation Step-5: formulate the plan.

When the dialogue is completed, the plan preparation team can proceed to formulate the definite EFA plan for formal basic education. This includes definite strategic objectives, implementation programmes, targets, activities, priorities and resources needed. It also includes a reasonable financing framework, and indications of plan implementation management.

3.5 PLANNING FOR QUALITY AND RELEVANCE OF FORMAL BASIC EDUCATION

The term "quality of basic education" refers to learning processes and environments, to learning outcomes, to what pupils effectively learn (in terms of both knowledge, values, attitudes, know-how and life skills), as compared to (a) what the curriculum and the test and examination criteria and standards define as learning achievement and (b) what pupils in other, more advanced education systems, effectively learn.

The term "relevance" refers to how useful the learning outcomes are for (a) pursuing formal education, (b) taking up vocational training, (c) entering the job market, or (d) pursuing other activities, outside the labour market (in the family; in self-employment).

Both, quality and relevance are closely related. Education which is relevant as defined here, is also of good quality. However, not all high-quality education is automatically also of relevance to the pupils future. The pupil may have attained academically high quality learning results which may turn out to be of little relevance to his/her future working life. Merging quality and relevance into one coherent concept is difficult, particularly at the secondary level, since secondary school leavers have a range of different life situations to be prepared for.

The process of planning for quality and relevance is the same as for planning for access to formal basic education. It follows the same steps. The difference lies in areas of attention and in emphasis on a greater number of non-quantitative aspects.

Planning Phase-1:

Undertake a situation analysis of the sub-sector for the country as a whole, and for each region (province, district, etc.), and by comparing regions and specific population groups (minority groups, gender groups, etc.) comprising the following, in addition to the information to be collected for the "access" part (see above Section 3.4):

- (i) find the facts and analyse how the sub-sector functions at present with respect to quality and relevance:
 - learning achievements (at the end of primary; at the end of lower secondary)
 - learning materials (per pupil)
 - home languages and language of instruction
 - teaching materials (per school)
 - teachers (by qualification)
 - teaching-learning process
 - health and nutrition status and learning readiness of pupils
 - learning environment (both physical and psycho-social)
 - curriculum (aims, pedagogical approaches,)
 - transition (number of pupils) to
 - next higher education level,
 - vocational training,
 - labour market (gainful employment),
 - self employment.
 - support services for schools and teachers (resource centres, pedagogical advisory services, in-service training)
 - school equipment (libraries, labs, water supply, latrines)
 - etc.....
- (ii) identify the issues and the causes for the present unsatisfactory quality and relevance of formal basic education.

Typical issues concerning quality and relevance and their principle causes include, for example (this is only a typical working table; it needs to be completed by each country in order to suit the specific country situation):

Issues	causes
<ul style="list-style-type: none"> • low learning achievements 	<ul style="list-style-type: none"> • inadequate teacher capacity (lack of trained and experienced teachers; in particular in modern teaching method, and in applying the new, reformed curriculum and textbooks) • inadequate teaching-learning conditions (high pupil-class and pupil-teacher ratios) • low number of effective school periods (double shift; lack of teachers, absenteeism) • inadequate pedagogical methods • inadequate curriculum • inadequate learning materials (textbooks) • language of instruction (not being the mother tongue) • poor health and nutritional status of children • lack of ECCD opportunities •
<ul style="list-style-type: none"> • gender inequality (- at intake; - in the course of the education cycle) 	<ul style="list-style-type: none"> • cultural, religious, social customs • unsuitable pedagogy, learning materials, physical school facilities •
<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> •
<ul style="list-style-type: none"> • inadequate learning outcomes: <ul style="list-style-type: none"> - for further education - for vocational training - for the job market - for self employment 	<ul style="list-style-type: none"> • inadequate curriculum, pedagogical methods, learning materials, organization of the learning process, performance testing and examinations, not preparing the pupil adequately for continuing education or to enter working life

Planning Phase-2:

Charting the future development of formal basic education

Plan Preparation Step-1: identify possible responses to issues and policy goals

- Step 1.1 identify the goals and objectives decided by the government;
- Step 1.2 formulate possible solutions to the issues identified in Phase-1 and possible ways of responding to the policy goals, in the form of outline programmes;
- Step 1.3 set preliminary targets for each programme and outline the activities needed to reach the targets;

Step 1.1 identify the goals and objectives concerning quality and relevance of formal basic education

Typical goals and objectives concerning quality and relevance include, for example, (this is only a typical working table; it needs to be completed by each country in order to suit the specific country situation):

EFA Goals (Dakar Plan of Action)	Objectives
<ul style="list-style-type: none"> ensuring that by 2015 all children enter and complete free and compulsory primary education of good quality [goal (ii)] 	<ul style="list-style-type: none"> carry out special programmes aimed at improving the quality of primary education carry out special programmes to increase promotion from grade to grade and transfer from primary to lower secondary education carry out special, intensive teacher in-service training programmes strengthen support services to schools and teachers (set up resource centres and pedagogical advisory services) review and revise curriculum and textbooks
<ul style="list-style-type: none"> ensuring that the learning needs of all young people are met through equitable access to appropriate learning and life-skills programmes [goal (iii)] 	<ul style="list-style-type: none"> review curriculum, textbooks, physical school facilities to adapt them to the learning needs in view of further education, vocational training, entry into the labour market, self-employment
<ul style="list-style-type: none"> improving all aspects of quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills [goal (vi)] 	<ul style="list-style-type: none"> introduce continuous assessment of learning achievement carry out a research programme and revise the relationship between school exams and leaving certificates, and formal basic education requirements by the labour market, and actual labour market practice
Additional national goals	Objectives
<ul style="list-style-type: none"> increase the quality of education services to socially underprivileged population groups 	<ul style="list-style-type: none"> carry out special programmes adapted to the social, cultural, ethnic particularities of selected population groups in selected regions
<ul style="list-style-type: none"> 	<ul style="list-style-type: none">

Step 1.2 formulate possible solutions to the issues identified in Phase-1 and possible ways of responding to the policy goals, in the form of outline programmes; and

Step 1.3 set preliminary targets for each programme and outline the activities needed to reach the targets.

Typical programmes and targets concerning quality and relevance of formal basic education include, for example, (this is only a typical working table; it needs to be completed by each country in order to suit the specific country situation):

Programmes	Targets
<ul style="list-style-type: none"> • special programmes aimed at improving the quality of primary education: <ul style="list-style-type: none"> (i) set up a quality monitoring system, (ii) introduce incentives for schools to strive for quality • special, intensive teacher in-service training programmes • programmes to strengthen support services to schools and teachers (set up resource centres and pedagogical advisory services) • programmes to ensure that essential learning needs of formal basic education leavers are met by <ul style="list-style-type: none"> (i) reviewing and revising curriculum and textbooks (ii) adapting the examination and certification system to labour market needs • 	<ul style="list-style-type: none"> • set up a quality control service at central (Ministry of Education) level (by 2004) and in each provincial education office (by 2010) • design (by 2003) and apply (as of 2004) a system of rewards (financial, career, material) for schools and teachers aimed at emphasizing improvement of school based management and enhancing school self-improvement • design in-service training programme, specifically for each region, and train trainers (by 2005) • carry out in-service training of three weeks for 20% of all teachers every year (as of 2006) • set up one resource centre in each district by 2010 • create a pedagogical advisory service (team; IT equipment) in each province by 2008, and for groups of five districts by 2013 • carry out curriculum review by the end of school year 2004/05; revise curriculum in 2005/06; introduce revised curriculum in 2006/07-2007/08 (train each year 50% of the teachers in the new curriculum); • carry out review of testing and examination criteria and procedures by 2003; test new system in 2004/05; introduce revised system in 2005/06; • carry out a research programme (by 2004) and revise rules, regulations, legal texts concerning the relationship between school exams and leaving, and formal basic education requirements of the labour market, taking into account actual hiring practice in the different economic sectors •

The other plan preparation steps of Plan Preparation Phase-2 of planning for quality and relevance in formal basic education are the same as for "access", i.e.

Plan Preparation Step-2: assessment of the resources required to undertake the activities needed to reach the targets; which can be carried out with the help of the EFA-Planning-Model described in Annex 3.

Plan Preparation Step-3: assessment of feasibility and affordability

Step 3.1 estimate the likely availability of funds (share of education in government budget; distribution of these funds within the education sector, between the different sub-sectors; cost-sharing possibilities);

Step 3.2 estimate the likely availability of non-financial inputs (such as teachers, premises, textbooks, which depend on the capacity to produce these inputs, as well as on funding);

- Step 3.3 assess the organizational and management capacity likely to be available to ensure the normal functioning of the education system and to carry out reform and development activities; and
- Step 3.4 identify likely resource gaps.

For these steps the same type of working tables can be used as in the planning part on "access" (see Section 3.4).

Plan Preparation Step-4: design alternative strategies

- Step 4.1 identify measures to close the resource gap, for example:
- (a) reduce the costs of the education system by improving the cost-efficiency of resource utilization (which includes changing of targets and of technical coefficients which determine the way in which the sector functions);
 - (b) mobilize additional resources (including cost sharing);
 - (c) encourage the creation of private education institutions;
 - (d) lobby, by the education authorities, for a higher share of the national budget for activities aimed at quality improvement and strengthening of the relevance of formal basic education;
- Step 4.2 revise the proposed programmes and activities; and
- Step 4.3 set the definite EFA targets and priorities for the development of the quality and relevance aspects of formal basic education.

Plan Preparation Step-5: formulate the part of the plan relating to quality and relevance of formal basic education (which includes deciding on definite strategic objectives, implementation programmes, targets, activities, priorities, resources needed, financing, and implementation scheduling).

3.6 PLANNING FOR EFFICIENT MANAGEMENT OF FORMAL BASIC EDUCATION

Management of formal basic education includes both, management of pedagogical services and resource management.

Management of pedagogical services refers to:

- management of teacher training (pre-service training, in-service training),
- pedagogical support to schools and teachers (resource centres, advisory services),
- planning and management of curriculum development,
- development, production and distribution of teaching and learning materials,
- examination systems,
-(etc.).....

Resource management refers to:

- personnel management (teachers, other personnel, carrier systems, salary scales, etc.),
- management of physical resources (construction, provision, maintenance, repair of buildings and equipment),
- financial management (budgeting, fund raising, expenditure control),
- policy and planning (policy setting, long term, medium term, short term planning)
- monitoring (of policy and plan implementation; of quality, relevance, results and impact; of cost-efficient utilization of resources)
- information management (EMIS),
- research and development,

- management structure and process (decentralization; stakeholder participation; management of participation of international technical assistance and funding partners),
-(etc.).....

The process of planning for efficient management is the same as for planning for access to formal basic education. It follows the same steps. The main difference is the largely non-quantitative nature of the management aspects.

Planning Phase-1: situation analysis consists in collecting and synthesizing assessments and evaluations of the management aspects already undertaken, often as part of donor funded activities.

Planning Phase-2: charting the future consists in designing programmes and measures for reform and development of management which are required to provide the legal, administrative, pedagogical, financial, and personnel support for implementing the EFA plan.

4. EFA PLANNING FOR:

- Children in ECCD and Preschool (EFA target-group 1),
- Out-of-school children and youth (EFA target-group 3)
- Adults below literacy level (EFA target-group 4)

4.1 THE EFA GOALS

ECCD and non-formal and continuing education¹ are an integral part of the enlarged vision of Education for All. The Dakar Framework for Action sets the following goals:

Dakar Framework for Action Goal	Target-group concerned		
	Group 1	Group 3	Group 4
goal (i) expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children	X		
goal (iii) ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes		X	X
goal (iv) achieving a 50 per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults			X
goal (vi) improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills	X	X	X

¹ In the following pages the term Non-Formal Education (NFE) will be used to refer to a range of different programmes outside formal basic education, including: programmes for out-of-school children and youth in the age range 6 to 15, literacy programmes for adults, skills-training programmes and other continuing education programmes for youth and adults delivered through non-formal channels.

4.2 THE ROLE OF GOVERNMENT

Overall, the government has a smaller direct role in providing these three target groups with education (except for those children of school age who have never been to school or have dropped out²). In most countries, the government is not obliged, neither by constitution nor an education law, to provide these target groups with free education. The government is, however, obliged (by constitution, law, or policy commitment such as an education sector master plan or the Dakar Framework for Action) to take every possible measure to help provide educational services to these groups.

Such measures include the creation of the regulatory framework (policy, laws, rules, regulations) needed to encourage and facilitate NFE activities by other bodies, primarily civil society (NGOs, foundations, voluntary, not-for-profit organizations and associations), employers and local communities. They include, in particular, rules concerning licensing, accreditation and operation of NFE activities, granting financial and material incentives (e.g. fiscal incentives, land owner advantages, construction permits, import licenses and customs exemption, etc), assisting with curriculum development and training of instructors, ensuring recognition of certificates and equivalency of non-formal and continuing education programmes with formal education validation. The government may also act as partner to non-public NFE service providers by participating in joint NFE activities. The government's role includes also the setting of standards for quality and relevance (content, examinations and controlling their application) to ensure high learning achievement and nation-wide coherence of the education system.

EFA activities for target groups 1, 3 and 4 are carried out by a wide range of government units, in addition to the Ministry of Education (see Figure 5 in Section 2.3). One of the very purposes of drawing up a national EFA plan is to integrate all EFA activities into a coherent concept and implementation framework. This will achieve better cost-efficiency, and greater impact on social and economic development than would be possible if they continued to be designed and carried out separately³.

Such coherent framework assigns clear roles to ECCD and NFE programmes. It sets priorities in terms of timing, specific populations groups, and allocation of public resources. The EFA plan must guide the activities of all actors, public and non-public alike. All EFA actors ought to conform their initiatives to the types of programmes and the priorities agreed in the ECCD and NFE parts of the EFA plan. This will make it possible for the government to ensure that many non-public actors adhere and conform to this framework.

² Following the Dakar Declaration Governments are obliged to provide them free, compulsory primary education of good quality through special efforts to enrol them in or return them to school or through alternative primary education programmes of equivalent quality.

³ Many countries have set up special government units for non-formal adult education (a department in the Ministry of Education, or an adult education council, or other high-level institutional infrastructure) ensuring that the public sector certifies, organizes and provides continuity of adult education (adult literacy and numeracy). A major lesson learnt over the years is that any type of provision for out-of-school children and youth or adults with basic literacy and numeracy learning needs should provide some equivalency with formal education. Recognition of certificates and equivalency ensure motivation, credibility with both learners and possible employers and, above all, the quality of the non-formal and continuing education service.

ECCD (target group-1) is at an earlier stage of public awareness and consensus on the most suitable forms in different national contexts. Nonetheless, the same concern ought to be given to public certification of service providers, and an even greater level of attention to sanitary and health conditions, than is already the case with adult NFE activities.

4.3 THE PLAN PREPARATION PROCESS FOR EFA TARGET-GROUPS 1, 3 AND 4

The plan preparation process for these target groups is almost the same as for formal basic education (EFA target-group 2). The planning process outlined in Section III as well as most of the cost and financing considerations in Section V apply here.

However, there are differences in the nature of the target groups, type of educational activities, service providers and funding modalities that entail a different emphasis and degree of detail of the respective plans⁴.

For example, the differences from planning for formal basic education relate to:

- the wide range of educational needs, in particular, of target groups 3 and 4;
- the non-compulsory nature of education activities for these groups, and the usually large variety of existing activities aimed at reintegrating children into formal primary education and non-formal types of activities for youth and adults;
- the diversity of education service providers and financing sources, including government agencies and non-government organizations;
- the degree of community participation in the financing and provision of services;
- the importance of NGOs in the provision of educational services;
- the difficulty of bringing together, consulting and coordinating the variety of stakeholders, many of whom have no institutionalized way of working; this calls for more participatory approaches in planning and management; and
- NFE is dynamic in the sense that programmes, courses and contents can be adapted more easily to changing needs than in the formal system.

4.4 PLAN PREPARATION PHASES AND STEPS

Planning for target groups 1, 3 and 4 proceeds according to the same plan preparation phases and steps as for formal basic education. However, there are differences in coverage and emphasis.

Planning phase-1:

Situation analysis

It focuses on identifying the target groups in terms of both their geographical location and their specific economic, social, cultural, linguistic, educational and individual conditions (such as gender or disability), highlighting the reasons for their exclusion from educational activities.

Planning Phase-1 has an additional step: the identification of EFA related activities undertaken by ministries and government bodies other than the Ministry of Education, that are involved in the provision, financing or management of basic education.

⁴ See also the guide by: APPEAL, Manual for Planning and Management of Literacy and Continuing Education (AMPM), UNESCO PROAP, Bangkok (1994). The guide comprises four volumes covering the policy framework (Vol. I), planning (Vol. II), management (Vol. III) and monitoring and evaluation (Vol. IV) of literacy and continuing education.

Typical information required includes, for example, the following. This information can be collected using a working table such as the one presented below that needs to be completed by each country in order to suit the specific country situation:

Government unit	Type of EFA programme
Ministry of Labour: <ul style="list-style-type: none"> • Department for Non-formal Training 	<ul style="list-style-type: none"> • name:..... • objectives:..... • target group:..... • field of education and training:..... • annual capacity (number of trainees):..... • length of courses:..... • admission criteria:..... • achievement criteria:..... • type of certificate issued:..... • programme set up in 19.....; at the initiative of:..... • courses (curriculum) designed by:..... • supervised by:..... • quality control by and how:..... • owner of premises:..... • funding sources (name and share):..... • expenditure per trainee (recurrent, capital):..... • partners (name and kind of contribution): <ul style="list-style-type: none"> - finance:..... - trainers, teachers:..... - physical facilities:..... - equipment:..... •(etc.).....
Ministry of Agriculture: <ul style="list-style-type: none"> • Department for Rural Development 	<ul style="list-style-type: none"> • •(etc.).....
<ul style="list-style-type: none"> •(etc.)..... 	

Planning Phase-2:

Charting the future development

Plan Preparation Step-1: identification of possible responses to issues and goals, focuses on programmes for specific population groups and specific regions, taking into account the likely availability and active support (financial and in kind) of partners such as parents, community organizations and NGOs.

Plan Preparation Step-2: assessment of the resources required to carry out the programmes and reach the targets;

Plan Preparation Step-3: assessment of feasibility and affordability; and

Plan Preparation Step-4: designing of strategies, distinguishing between public and non-public sources of financing and service provision, and setting of final targets.

Because of the non-compulsory nature of education activities for the EFA target-groups 1 and 4, and due to the heavy dependence on voluntary support it is quite difficult to foresee the likely availability of resources, particularly of financial resources⁵. Therefore, it is advisable to prepare the education programmes for these target groups in a modular form. This will permit both, proper professional design of typical programmes, and an extension of their application to a larger number of persons when and as funding becomes available.

4.5 TARGET SETTING

When it comes to setting targets and priorities for resource allocation, the government has little choice: it must first serve the formal basic education subsector, at least its primary education component for which is committed by constitution or education law (or by the Dakar Framework for Action) to provide free formal education to all children of primary school age (or to all primary education pupils).

The fact that ECCD and preschool activities as well as NFE activities for out-of-school children and youth and adults are to a very large extent a matter of non-public initiatives and carried out by non-public organizations, makes the setting of realistic targets for ECCD and NFE particularly difficult. The targets set in the EFA plan are not legally or constitutionally binding for non-governmental (non-public, voluntary, private) organizations that are free to decide whether or not to allocate financial or other resources so that the EFA plan targets may be attained. The non-public actors follow their own agenda, act once they have been able to mobilize resources and when they feel that conditions (i.e. the regulatory framework set by government) are adequate and propitious for their initiatives. Typically, ECCD and NFE activities are financed by the government only to the extent to which resources become available, i.e. have not been committed to formal basic education. Moreover, ECCD and NFE are competing for these resources with other education subsectors such as upper secondary, vocational and higher education.

Therefore, government planning for ECCD and NFE is more of a programmatic, indicative nature, setting out overall goals and objectives, and assessing overall resource implications. The aim is to provide a coherent framework within which the many non-governmental ECCD and NFE actors will be able to deploy their activities, rather than a detailed plan. The chapters of the national EFA plan concerning ECCD and NFE indicate overall orders of magnitude and directions along which the Government will attempt to rally all actors, in particular non-governmental actors.

The purpose of planning for ECCD and NFE is not the same as the purpose of planning for formal basic education. While government planning for formal basic education (in countries where financing and service provision is mostly public) aims at guiding government decisions on resource allocations, government planning for NFE and ECCD aims at setting a coherent framework to orient and integrate activities undertaken by a wide range of public and non-public funding bodies and service providers.

This means that official Government EFA planning need not go through the trouble of formulating technically very detailed plans for ECCD and NFE. Instead of precise planning targets, the formulation of broad quantitative and qualitative national objectives and of broad programmes for ECCD and NFE development may suffice.

⁵ For example, in countries in Southeast Asia the non-formal education budget covering essentially activities for out-of-school youth and adults varies from 0.2 to 1.5 % of the public education budget.

The particular nature of ECCD and NFE makes it essential to organize the planning process in a participatory way, associating the large range of non-governmental funding bodies and service providers, to define jointly and create commitment towards the national objectives and priorities for ECCD and NFE.

Annex 3 of the Guide contains a PC-based EFA Analysis and Projection Model including a model for pre-school and a model for out-of-school children and youth programmes.

Both models permit to:

- make projections of the future size of the target populations, i.e. the number of children in preschool-age and the number of out-of-school children and youth in the basic education age range,
- define feasible and affordable targets, by assessing the costs and future expenditure needed of typical ECCD (pre-school) and NFE (out-of-school children and youth) programmes,
- design alternative strategies and set priorities for government support, and
- provide orientation for non-government actors (NGOs, communities, business companies, etc.) in their efforts to organize preschool and out-of-school-youth NFE activities.

The models for pre-school and out-of-school children and youth handle a number of broad aspects (size of target group, costs of typical programmes, personnel and material resources required) which can be used to develop a credible indicative planning framework into which the activities of a variety of non-governmental funding bodies and service providers for ECCD and NFE may fit.

It provides in an easily accessible form essential quantitative information required for a realistic policy and planning dialogue among EFA actors.

5. COST AND FINANCING CONSIDERATIONS

5.1 THE MEANING OF "COST" FOR PURPOSES OF PLANNING

The term "cost" has different meanings, depending on the context and the purpose for which it is used. In governmental education plans, such as EFA plans and plans for the development of basic education, the term "costs" designates the monetary value of all inputs required for the functioning of the education sector, as foreseen in the plan, and which must be provided for by the education authorities.

In the Basic Education sector the educational institutions (schools) are, as a rule, operated by government bodies (usually at community and district level). But there are also cases where basic education schools are operated by non-government, i.e. private bodies (in the legal form of associations, foundations, etc.). The costs for running the schools are paid out of the budgets of these bodies.

The costs of managing the sector, i.e. of all activities above the individual educational institutions, which include administration and pedagogical support, are usually borne by government units at higher levels (district, province, ministries).

Government education plans contain only direct costs: i.e. the costs of goods and services required for the functioning of the educational institutions and for sector management, which are purchased with funds from the budgets of the authorities which operate the institutions. They include, for example, textbooks, other teaching and learning materials, premises, laboratory, library equipment, and salaries. It may happen that during plan implementation some items for which costs have been included in the plan will be provided in kind (e.g. services and materials for school construction provided without payment by members of the community). This reduces the funding needs, but it does not reduce costs, which must therefore be included in the plan.

Government education plans do not include indirect costs of education in the cost estimates and projections. Indirect costs are not paid from the budget of the institutions (or ministries), and therefore the plan makes no provision for their funding. Indirect costs include two types of costs: (i) the monetary costs (i.e. expenditure) to parents for sending their children to school, including costs of clothing, food, transport, stationery, insurance, fees, user charges, etc.; and (ii) costs to the families in the form of income foregone, because children attend school instead of earning revenue or helping their family to earn its living; and costs in the form of tax income foregone for the state because persons attend school instead of earning taxable revenue.

Assessing the indirect costs of education is nevertheless important for the formulation of the plan, since indirect costs are a decisive factor in determining the demand of families for education and in influencing the government's budget allocation pattern. Assessing indirect costs is therefore part

of the sector analysis stage of planning, when information is gathered and analyzed for informed target setting for the plan.

Costs of plan implementation which are financed from public sector budgets are called the public costs of education. Private costs of education have two components: (i) the costs of plan implementation that are not financed from public budgets, and (ii) the direct costs to parents of sending their children to school.

5.2 DIFFERENT CATEGORIES OF COSTS

The two standardized categories of costs are capital costs and recurrent costs (or capital expenditure and recurrent expenditure). By law, they are standard in national accounts, national budgets, business accounting, and generally in accounting of all kinds of activities. They are also standard practice for estimating costs, preparing budgets and controlling expenditure of the education sector. Usually, annual education sector budgets (and thus, annual plans) must be broken down by capital and recurrent expenditure. The costs of plans and budgets presented in the form of programmes must also be broken into capital and recurrent items, in addition to being presented in programme form.

Capital costs include items which occur only once, or from time to time, but not regularly every year, and not continuously; such as, infrastructure (construction) and expenditure the benefit of which lasts over a number of years (investments).

Recurrent costs include all items which occur regularly and continuously every year, which are used (consumed) the same year, and which cannot be used again next year. However, the distinction between recurrent and capital costs in education is not always clear-cut. For example, the production and distribution of textbooks is sometimes accounted as capital cost, and sometimes as recurrent cost. For the costing of the plan it is important to be consistent.

Long-term and medium-term education plans are structured in the form of programmes, i.e. in groups of measures and activities corresponding directly to the same objective(s). A programme usually comprises both capital and recurrent costs. There are different types of programmes. One type follows the structure of the education sector, designing programmes by sub-sector; i.e. a development programme for the preschool education subsector, another programme for the primary sub-sector, etc.. Another type of programme is oriented towards major functions, with a programme for quality improvement (which includes components such as teacher training, curriculum development, equipment, etc.), or a programme for access to education (which includes components such as school construction, school feeding, incentives for teachers, etc.). Programme components can also be treated as programmes (e.g. teacher training, with the components of pre-service training and in-service training).

For each programme, the costs have to be estimated for the plan period and for each budget year covered by the plan. In other words, the approach is that of programme planning and budgeting.

An approach which has proven to be practical in costing a plan consists in grouping the planned activities into three functional programme categories:

Cost category-1: Costs related to access to education (expanding access, in countries where the net enrolment rate is below 100%; and maintaining access in countries where universal enrollment is already attained);

Cost category-2: Costs related to quality and relevance of education; and

Cost category-3: Costs related to management of the education system.

These three functional categories of costs can be applied to any sub-sector or the education sector as a whole. They can also be applied for certain large components, e.g. teacher training, curriculum development, and decentralization.

Within these categories it is useful for purposes of analysis and projections to group the costs according to whether they are directly related, and therefore significantly sensitive to changes in the number of pupils, or teachers, or schools; or whether they are relatively insensitive.

The principle cost components of each of these three cost categories include:

Cost Category-1: Costs related to **access** to education (expanding enrolment capacity)

Cost items	Educational components directly impacting on, or generating costs		
	Pupils	Teachers	Schools
Capital costs:			
(i) Construction of classrooms and other school premises (including acquisition of land)	X		
(ii) Expansion and/or upgrading of existing schools	X		
(iii) Provision of furniture and equipment in connection with items (i) and (ii)	X		
(iv) Replacement of obsolete facilities, equipment, furniture	X		
(v) Transport equipment	X		
(vi)(etc.).....			
Recurrent costs:			
(i) Salaries and related items of remuneration of teachers and other school personnel		X	
(ii) Rent for buildings	X		
(iii) Teacher in-service training		X	
(iv) Printing and distribution of textbooks, teachers guides	X	X	
(v) Non-renewable teaching and learning aids	X	X	X
(vi) Consumables for the running of the schools (utilities, telecom, stationery)			X
(vii) Regular building and equipment maintenance and minor repair			X
(viii) Insurance			X
(ix) Scholarships, subsidies to pupils or their families	X		
(x) Social items (school feeding, health programmes, etc.)	X		
(xi) Special programmes for out-of-school children and youths and underserved groups and regions	X		
(xii)(etc.).....			

Cost Category-2: Costs related to **quality and relevance** of education

Cost items	directly related to changes in the number of		
	Pupils	Teachers	Schools
Cost items			
(i) Construction of school laboratories, libraries, resource centres, research and development institutes, etc.	X		
(ii) Construction of in-service teacher training facilities		X	
(iii) Provision of furniture and equipment in connection with items (i) and (ii)	X		
(iv) Provision of IT-equipment for schools.	X		X
(v)(etc.).....			
Recurrent costs:			
(i) Curriculum development activities		X	
(ii) Teacher in-service training activities		X	
(iii) Supervisory and support activities (inspection, pedagogical advisory services to schools, IT-support)			X
(iv) Repair and maintenance of equipment			X
(v) Non-renewable teaching and learning aids specifically related to quality improvement activities	X	X	X
(vi) Research, studies			X
(vii) Specific programmes for underserved groups or regions	X		
(viii).....(etc.).....			

Cost Category-3: Costs related to **management** of the education system

These are the costs of administrative services which serve the entire education sector, or regions, etc.. They are not directly related to the number of pupils, teachers and schools. For example: the same number of Ministry staff can manage a range of several thousand teachers. These costs include staff and operations of the ministry, education offices in provinces, districts, etc.; of research institutions; of resource centers; etc..

Capital costs include:

- (i) Construction (including acquisition of land, furniture, equipment).
- (ii) Transportation equipment (vehicles).
- (iii) Replacement of obsolete furniture, office equipment, and transportation equipment.
- (iv) Other capital items.

Recurrent costs include:

- (i) Salaries and related items.
- (ii) Rental of office space and equipment

- (iii) Utilities (electricity, heating, water), telecommunication, postal services and other ordinary services.
- (iv) Maintenance and operation of transportation equipment.
- (v) Staff training.
- (vi) Regular building and equipment maintenance and minor repair.
- (vii) Insurance.
- (viii) Uniforms.
- (ix) Other consumables and services.

The list of cost items for these three cost categories is not exhaustive. It has to be adapted to specific country situations.

5.3 COST PROJECTIONS AND CONSIDERATIONS OF FINANCING THE PLAN

For each cost category and each programme cost projections must be made for each plan-year and the entire plan period.

There is no standardised way of making cost projections. A number of alternative approaches exist. An approach which has proven to be reliable and relatively simple consists of the following principal steps:

Projection Step-1: determining the costs prevailing in the base year (the year preceding the first plan-year), by using standard unit costs, i.e. figures of average costs issued by the Ministry of Finance or the Government unit responsible for budget preparation. If such standard costs are not available, unit costs may be estimated based on the data contained in the most recent expenditure records for the relevant cost item. The use of standard unit costs makes cost estimates uniform, facilitates computations, ensures comparability, and allows checking and validating the estimates by different experts.

Projection Step-2: projection of the development of each cost creating component of the plan, i.e. of the components of the education system. The principal components include: pupil enrolment, teachers, physical facilities, teaching/learning materials, activities aimed at ensuring quality and relevance of education, sector management. Each component may be broken down into a number of sub-components, for each of which projections are made. This Guide contains in **Annex 3** a technical tool, the EFA Analysis and Projection Model, to facilitate the task of making EFA plan projections.

Projection Step-3: assessment of the resource implications of each of the projected components. For example: a projected enrolment increase implies an increase in the number of teachers, which in turn requires an increase of the total salary costs to be financed. Or, the introduction of a new curriculum implies special teacher training activities and special pedagogical support services, which in turn requires special funding. For the purpose of preparing the EFA plan, assessments of resource implications can be made by using the EFA Analysis and Projection Model presented in **Annex 3**.

Projection Step-4: projection of the likely availability of funds. This takes into account (i) the share of the government budget likely to be allocated to the education sector, and (ii) the likely allocation of these funds within the education sector, i.e. between the different sub-sectors. The projections also assess the extent to which cost sharing is likely to yield funds for education. Making projections of financial resources likely to be available for the education sector is a complex task which should be undertaken by the Ministry of Planning and the Ministry of Finance. Making

projections for allocations within the sector is the task of the Ministry of Education, together with other education authorities at the provincial and district levels, and together with expertise from the Ministry of Planning and the Ministry of Finance. If resource allocation decisions are to attain the intended results they must be based on thorough insight into the functioning of the education sector.

Projection Step-5: comparison of required resources with likely available resources. If there are resource gaps, three types of measures may be considered to close the gaps.

- *First:* the cost components must be reviewed in order to identify possibilities of reducing the costs by improving the cost-efficiency of the resource utilisation. This includes changing targets (e.g. lowering the enrolment rate to be reached at the end of the plan period), and changing technical coefficients which determine the way in which the sector functions (e.g. increasing the pupil-teacher ratio). Cost reductions can be identified with the help of the EFA Analysis and Projection Model presented in Annex 3.
- *Second:* possibilities of increasing the funds must be explored. This includes more cost-sharing (e.g. by increasing user charges at secondary level, lowering subsidies to the provision of learning materials, etc.), and encouraging the creation of private education institutions, thereby reducing the financial burden on the government budget. Cost-sharing effects can also be simulated with the help of the EFA Analysis and Projection Model used for identifying possibilities of cost reductions. The sector analysis undertaken at the start of the planning process has already produced information and insights that provide clues for possible cost reductions.
- *Third:* the education authorities must lobby at appropriate government levels and negotiate a higher share of the national budget for the education sector.

5.4 THE PROBLEM OF INFLATION

All cost projections of the plan are expressed in actual prices of the base year, i.e. the year that precedes the first plan year. The figures for the first plan year are projections. The plan never includes projections of inflation. In other words, costs and finance projections are in real terms, not in current prices.

The unit costs used for making cost projections are based on, and expressed in, base year prices. However, the value of certain unit costs does, in fact, increase during the plan period. This is typically the case of salaries, which increase every year, as a result of promotions and increments foreseen in the salary scale.

Adjustments for inflation will be made when annual budgets are prepared during the plan period. There are two ways of expressing these adjustments: (i) every year, the costs of the remaining plan period will be revised (upward) to take into account price increases that have occurred in the previous year, or (ii) the plan figures will not change; instead, the annual budget will take into account the price increases which have occurred since the beginning of the plan (the base year prices being set at the index 100).

5.5 FINANCING PLAN

The education plan is not credible unless it shows how the required expenditure can be financed. This can best be done by including at least outline financing plans for the programmes in the plan.

A typical working table which summarizes the financial resource requirements and shows the funding sources could look as follows (it needs to be completed by each country in order to suit the specific country situation):

Planned Programme	Resource requirements (for annual or for pluriannual periods)		Funding source			
	recurrent	capital	national sources		international sources	
			central gvt.	local	loans	grants
Programme-1:						
• component-1.1						
• component-1.2						
• ...(etc.).....						
Programme-2:						
• component-2.1						
• component-2.2						
• ...(etc.).....						
.....(etc.).....						

5.6 FINANCIAL RESOURCE REQUIREMENTS OF THE EDUCATION SECTOR IN RELATION TO THE MACRO-ECONOMIC FRAMEWORK

The programmes of the education plan are part of the overall national development efforts. For allocation of financial resources, they compete with all the other sectors such as health, agriculture, transport, etc.. The resources needed by the education sector (including the resources for EFA plan implementation) will have to be considered along with claims of other sectors of the economy, as expressed in the plans of other ministries and in the national development plan. In preparing the education sector plan, planners have to be careful to propose programmes set within reasonable limits of resource requirements if they are to stand a chance of being implemented. One way of making planning assumptions on resource ceilings for the education sector is to assume that the minimum ceiling in the future is the present share of the education sector in the national budget. However, in a situation where the education policy goals for the plan period imply an increase of the education sector share, planners must seek to convince the providers of resources to change the resource allocation pattern in favour of education.

It is essential that reliable indications of likely available resource levels are at the disposal of the plan preparation team early in the plan preparation process. The planning team needs indications concerning the share of the sector budget in the total government budget, and/or growth rates of the share, or of major cost items (such as salaries, materials, etc.). Indications of likely resource levels have to be provided by the Ministry of Planning and the Ministry of Finance.

In most countries it is difficult for the Education Minister to obtain, early in the planning process, reliable indications on levels of resource availability, because Planning and Finance Ministries are waiting to first see the education plan. But without at least some preliminary indications of resource levels, the education plan cannot be drawn up. This difficulty can be overcome through a continuous, iterative process of putting forward, by the education planners, preliminary programme proposals and related resource requirements, and of revising them in the light of arguments, considerations and facts brought forward by the providers of resources (i.e. Ministry of Planning and the Ministry of Finance). A good way of conducting such an iterative process is to closely associate the Ministries of Planning and Finance to the education plan preparation work from the very beginning, and to create and maintain close and continuous dialogue. In this way, there is a good chance that the decision levels in the Planning and Finance Ministries will gain sufficient insight into the functioning of the education sector, and a better understanding of the programmes included in the education plan as well as of the reasonableness of the resource requirements of the education sector.

6. ANALYSIS AND PROJECTION DATA FOR EFA PLANNING

6.1 THE IMPORTANCE OF RELIABLE DATA FOR EFA PLANNING

For the EFA plan to be realistic it needs to be based on quality data and robust research results. Assumptions cannot be relied upon and are bound to lead to costly errors, both in terms of policy and finance. Therefore, carrying out analysis and making projections are essential work methods. The quality, relevance and usefulness of the projection results depend to a considerable extent on the quality of the data available, particularly the data for the base period, i.e. the year(s) preceding the first projection year, which is the starting level for the projections and against which progress and future changes are measured.

6.2 SOURCES OF INFORMATION

Information needs for sector analyses and projections are extensive. Sources and types of information are numerous and vary widely in accuracy, coverage and consistency. Often, lack of time, funding and expertise makes it difficult to conduct fact finding surveys and studies. For EFA planning, maximum use must be made of already available data. Most countries have a large range of usable data available.

All major education service providers are potential sources for data and other internal information relevant to analysis and projections. They include Ministries of Education (departments of statistics and planning, and EMIS units), and financing or general education and affiliated bodies (e.g. in some countries the Teacher Service Commission). Relevant information can also be found outside the Ministry of Education, for instance at the Ministries of Finance and Labour, the National Statistics Office, organizations of private education service providers (e.g. private universities), industry and employer organizations, and in some countries party and mass organizations holding responsibilities for education administration. Different types of information are used and produced by education service providers at various administrative levels, such as schools and sub-national offices (e.g. district or provincial education offices, Office of the Governor, the provincial treasury, local party committees).

Easily available basic EFA data concern pupils, teachers and schools. They are produced by statistical units of the Education Ministry, local education offices, the EMIS unit, the National Statistical Office and the Planning Ministry. Some analytical data, such as indicators, are available in the EMIS unit. Analytical data, and also other relevant information on specific EFA target groups and regions (such as girls, out-of-school youth, poverty groups, minorities, economically disadvantaged, etc.) are contained in studies and reports by external partners (donors, technical assistance partners, NGOs). External partners have also carried out much fact finding and analysis work on the functioning of the formal education system. Unfortunately, much of this information may not be easily accessible; some external partners consider it to be restricted, thereby depriving

the national education authorities of essential sector management information. For purposes of EFA plan preparation, the national EFA coordinating unit must call on all external partners to fully cooperate and share with the EFA planning team all the data and other information which they have collected and analysed.

6.3 TYPES OF INFORMATION

6.3.1. EXTERNAL INFORMATION

Information for sector analysis and for projections can be classified as external or internal to the education system. External information concerns the environment of the education sector, which influences the structure, organization and performance of the sector. External information is usually produced by institutions and organizations outside the education sector (e.g. Ministry of Finance, Labour, Civil Service Commission, Statistics Office holding census population data, employer organizations, etc.).

Typically, **external information** includes the following items:

Area of EFA environment	Type of external information
demography and geography	<ul style="list-style-type: none"> • total population and growth rate • population by age and sex • population by religion • urban/rural area population • migration of population groups • provincial and district population • ethnic minority population • topography, climate •(etc.).....
economy	<ul style="list-style-type: none"> • Gross Domestic Product (GDP), in constant and current prices; per capita; by economic sector; growth rate • inflation rate (CPI, consumer price index) • personal expenditure by income level and area • national budget (central and local government levels; by Ministry) • government expenditure by sector • external assistance (projects by sector/province) •(etc.).....
labour market	<ul style="list-style-type: none"> • active population by age/sex/province • employed and unemployed by age/sex/economic sector/occupation/educational attainment/rural-urban • wage levels by occupation and educational attainment • child labour •(etc.).....
social conditions	<ul style="list-style-type: none"> • poverty indicators • health indicators (life expectancy, etc.) • access to safe water and sanitation • living conditions of women and children • nutrition indicators by age/sex/area • disabled persons by age/sex/disability/province • displaced persons by age/sex/area •(etc.).....

6.3.2 INTERNAL INFORMATION

Internal information concerns the education system itself. It includes statistics on enrolments, teachers, infrastructure, teaching and learning materials, and equipment, budgets and expenditures.

The list presented below contains examples of internal information required for a situation analysis (see Section 1.3):

EFA target-group	basic data needed
Children in ECCD and preschool	(all pupil data by gender) <ul style="list-style-type: none"> • a range of data specifically applicable to children in the ECCD age range • population in preschool age: <ul style="list-style-type: none"> - by single year of age - by region (geographical location) - by social status of family (poverty groups) - by ethnic group • enrolment (by same aspects) • number of preschools • expenditure (total/per child) • financing (amount, source) • pedagogical personnel •(etc.).....

EFA target-group	basic data needed
<p>Formal basic education</p>	<p>(all pupil data by gender)</p> <ul style="list-style-type: none"> • intake into grade-1 • health and nutrition status and readiness of children entering grade 1 (e.g. percentage of malnourished children and children with developmental delays) • health and nutrition status of children in schools (e.g. percentage malnourished and with developmental delays) • new entrants to grade-1 with preschool experience • internal efficiency of the primary cycle (promotion, repetition, dropout; retention rate; survival rate; average number of pupil-years per graduate) • total enrolment in primary • gross and net enrolment rate in primary • examination results at the end of primary • intake into grade-7 (first grade of lower secondary cycle) • internal efficiency of the lower secondary cycle • total enrolment in lower secondary • gross and net enrolment rate in lower secondary • examination results at the end of lower secondary • teachers (by qualification/age) • pupil/class ratios • pupil/teacher ratios • actual average weekly pupil-class periods (as opposed to the number foreseen in the curriculum) • annual output of the teacher training system • schools (buildings/physical condition/special rooms/adequate water supply/clean latrines for girls and boys) • expenditure (per pupil/total/primary/lower secondary /by category) • budget •(etc.).....

EFA target-group	basic data needed
Out-of-school youth	(all pupil data by gender) <ul style="list-style-type: none"> • number (in primary and in lower secondary age range) <ul style="list-style-type: none"> - by region - by rural/urban • enrolment in education activities (by region/gender/type of educational activity) • health and nutrition status of youth enrolled in education activities • pedagogical personnel <ul style="list-style-type: none"> - by training • expenditure (total/per pupil) • funding (source/items) •(etc.).....
Adults below literacy level	(by gender) <ul style="list-style-type: none"> • number <ul style="list-style-type: none"> - by region - by social status - by age (5-year groups) • enrolment in educational activities by region/type of activity • pedagogical personnel <ul style="list-style-type: none"> - by training • expenditure (total/per pupil) • funding (total/source) •(etc.).....

Some of the data in this list are also required to operate the EFA Analysis and Projection Model contained in **Annex 3**. The list of base data required for the simulation model can be obtained directly from the model. They are available in almost all countries, but may have to be compiled from different sources, checked for validity and edited before being used in the model. The quality of the results from the projections depends on the completeness and quality of the base year data inputted into the model.

6.4 EFA ANALYSIS ASPECTS AND INDICATORS FOR WHICH DATA ARE REQUIRED

Each aspect of analysis has its corresponding indicators that are computed according to certain techniques, as indicated in the chart below.

The most common analysis aspects, and the corresponding indicators for formal basic (i.e. primary and lower secondary) education include, for example:

Aspects of analysis	Indicators	Sources of Information	Techniques used
<p>access (national/provincial and by level)</p>	<ul style="list-style-type: none"> Admission rates, enrolment rates and transition rates, applied to the school population (by level/grade) compared to the whole population (by age). Example: gross enrolment rate for primary school level in province A. Attendance rates, as assessed through household surveys 	<ul style="list-style-type: none"> EMIS; Statistical yearbook; School census; Specific education surveys; 	<ul style="list-style-type: none"> Admission rate: number of new entrants by grade (and age)/Population by (same) admission age. Transition rate: number of a new pupils in level/pupils completing final year or level/cycle and continuing to the next cycle.
<p>equity (national/provincial, by level, gender, income group etc.)</p>	<ul style="list-style-type: none"> Admission, enrolment, transition and drop-out/repetition rates; test scores; and school inputs/facilities, by group, level and area. Example: enrolment rate of Primary School girls in province A vs. Primary School enrolment rate in the same province. 	<ul style="list-style-type: none"> EMIS; Statistical yearbook; School census; Surveys done by UNESCO, UN agencies and NGOs. 	<ul style="list-style-type: none"> Same rates as other indicators, but applied to a disadvantaged group (hill tribe pupils, female secondary students, poor rural college students, etc.) compared to national or provincial average.
<p>quality (national/provincial and by level)</p>	<ul style="list-style-type: none"> Test scores of students; cost per pupil; teachers qualifications, textbooks Ratios of pupils to teachers and classrooms Example: Student test scores for admission to secondary education for year X Quality of teaching-learning process Adequacy of teaching content 	<ul style="list-style-type: none"> EMIS; Statistical yearbook; School census; examination test scores and analysis; MoE Personnel Data Base; textbook distribution centres Evaluation/observation of classroom practice 	<ul style="list-style-type: none"> Comparisons of test scores by level with inputs: cost per pupil; teacher qualifications; trend analysis over time. Pupil/teacher ratio: number of pupils/ number of teachers Pupil/classroom ratio: number of pupils/ number of classroom.

Aspects of analysis	Indicators	Sources of Information	Techniques used
relevance of curriculum (national/provincial, by level and institution), particularly at secondary level	<ul style="list-style-type: none"> Graduate tracer studies (usually for higher or technical education); Admission of university graduates to graduate studies abroad; Labour market feed-back on job opportunities of graduates by field. 	<ul style="list-style-type: none"> Tracer studies by private post-secondary institution; employment surveys by national agencies or international agencies; curriculum studies; census rates of employment / unemployment by educational attainment. 	<ul style="list-style-type: none"> Employment/ Unemployment rate: number of employed/unemployed in class after X year/number in class. Census employment/ Unemployment rates: number of employed/unemployed degree holders/number of holders in labour force
internal efficiency (national/provincial and by level)	<ul style="list-style-type: none"> Promotion, repetition, drop-out rates and cohort survival rates, by school, area, level, sex. Pupil/teacher and pupil/classroom ratios; Completion and graduation rates. <p>Example: More pupils complete primary school in province A, as a percent of grade 1 enrolment, than in province B.</p>	<ul style="list-style-type: none"> EMIS; Statistical Yearbook; School census; Specific education surveys. 	<ul style="list-style-type: none"> Promotion rate: number of pupils promoted/ number of pupils in the grade; Repetition rate: number of repeaters in grade/ number of students in grade; Drop-out rate: number of pupils leaving before completing grade/ number of enrolment in grade; Graduation rate: number of pupils graduated/number of pupils in final grade.
external efficiency (national/provincial, by level and institution)	<ul style="list-style-type: none"> Rates of return to education, by grades, levels, fields. <p>Example: Average wage of high school graduate is 50% higher than primary school graduate.</p>	<ul style="list-style-type: none"> Academic institution or international agency study on educational rates of return in country A and other countries. 	<ul style="list-style-type: none"> Rates of return analysis to various levels of education in country A and other countries.
cost and financing (national/provincial, by level and institution)	<ul style="list-style-type: none"> Average cost per pupil and per graduate; cost of educational inputs; expenditure allocation by level and area; education budgets; Public versus private costs. 	<ul style="list-style-type: none"> EMIS; Statistical Yearbook; Government Budget (Ministry of Finance); Education Sector Budget (MoE); Economic Accounts; Development Co-operation Review; etc. 	<ul style="list-style-type: none"> Cost per pupil/graduate = total cost (by level, school)/number of pupils or graduates; Education expenditure as % of GDP or budget = Total education expenditure/GDP or government budget etc.

6.5 CORE EFA INDICATORS

To facilitate the work of planners and evaluators, an inter-agency Global Technical Advisory Group of the International Consultative Forum on EFA developed, in 1998, a set of 18 Core EFA Indicators. Each country is encouraged to develop such indicators to facilitate the monitoring and planning of educational development.

Core EFA Indicators

Enrolment Indicators

1. Gross enrolment in Early Childhood Development Programmes
The total number of pupils enrolled in Early Childhood Development Programmes, irrespective of age, expressed as a percentage of the total population of 3 to 5 years of age.
2. Percentage of new entrants in grade 1 who have attended some form of organized early childhood programme.
3. Apparent (Gross) Intake Rate (AIR)
Total number of new entrants in primary grade 1, irrespective of age, as a percentage of the population of official entry age.
4. Net Intake Rate (NIR)
New entrants in primary grade 1 who are of the official school-entrance age as a percentage of the total population of official entry age.
5. Gross Enrolment Ratio (GER)
The total number of pupils enrolled in primary education, regardless of age, as a percentage of the total population of primary school age.
6. Net Enrolment Ratio (NER)
The number of pupils of the official primary school age enrolled in primary education, as a percentage of the total population of primary school age.

Expenditures Indicators

7. Current public expenditure in primary education:
 - as a percentage of GNP; and
 - per pupil, as a percentage of GNP per capita.
8. Public expenditure on primary education as a percentage of Total Public Education Expenditure on education.

Teacher Indicators

9. Percentage of schoolteachers having the required academic qualifications.
10. Percentage of basic education teachers who are certified to teach according to national standards.

Efficiency Indicators

11. Pupils Teacher Ratio - the number of pupils for one teacher.
12. Repetition rates by grade - the number of repeaters as a percentage of the total number of students enrolled in the same grade.
13. Survival rate to grade 5-the percentage of a pupil cohort actually reaching grade 5
14. Coefficient of efficiency - the ideal number of pupil years needed for a pupil cohort to complete the primary cycle expressed as a percentage of the actual number of pupil school/years.

Learning Achievement and Outcomes Indicators

15. Percentage of children having reached at least grade 4 of primary schooling who master a set of nationally defined basic learning competencies.
16. Literacy rate of 15 to 24 years old - the number of people aged 15-24 who are literate as a percentage of the total population of the same age group.

Adult Literacy Indicators

17. Adult literacy rate - percentage of the population over 15 years of age that is literate.
18. Literacy Gender Parity Index - ratio of female to male literacy rates.

These indicators constitute the minimum of standardized information that should be available in each country for EFA monitoring and planning purposes. The EFA Analysis and Projection Model in **Annex 3** furnishes 12 of these indicators.

6.6 MONITORING OF EFA PLAN IMPLEMENTATION

The implementation of the EFA Plan has to be monitored in regard to two major concerns: (1) progress in the implementation of the programmes (i.e. programme activities) foreseen by the plan with respect to time schedules, volume of resource inputs, costs, and funding; and (2) results and impacts achieved. Monitoring information will be fed back into (1) the management process of plan implementation, and (2) the policy review process. Monitoring information for the policy review process may lead to a revision of plan targets which have proven to be unrealistic, i.e. not feasible or affordable.

Monitoring requires clearly spelled out quantitative targets set in the EFA Plan document against which implementation progress (or the lack of it) can be measured and assessed. Monitoring indicators are selected during Planning Phases 2 and 3. The selection of relevant indicators, in particular, indicators to measure progress towards achieving qualitative targets, is not a simple task. Qualitative targets are often assessed using so-called proxy measures. These are quantitative measures or indicators used to express qualitative changes; for example, the availability of textbooks in the classroom (type/number of books per pupil) is sometimes used as an indicator (proxy) to express the quality of teaching and learning.

For purposes of monitoring, the progress towards meeting the programme targets will be grouped into input-targets (or input-indicators) and output-targets (or output indicators). For example:

input target	input indicator	output target	output indicator
x number of newly trained teachers to be recruited annually	actual number of teachers recruited every year	increase of retention rate in primary education by x%, by 2010	actual retention rate attained in 2010
increase of share of EFA budget in total education sector budget to x% by 2008	actual share of EFA in total education sector budget in 2008	reduction of the number of out-of-school youth in primary school age by 50% by 2012	actual number of out-of-school youth in 2012 as % of out-of-school youth in the base year

Monitoring involves the preparation of a monitoring plan, which could be included as an annex to the EFA Plan. The monitoring plan may cover at least the following elements: (i) a list of indicators, one indicator or more for each target; (ii) a decision on the sources of information for each indicator; (iii) a time schedule which may not be the same for each target; and (iv) the organization of the monitoring process. In particular, it allocates responsibilities for the collection, analysis of information, and reporting of results and conclusions.

In conceiving a monitoring plan, it is important to strike a good balance between the need for continuous assessment and adaptation of the EFA Plan during implementation, on the one hand, and the resources required for monitoring (time, personnel, financial resources), on the other hand, which can be quite substantial.

ANNEX 1

THE DAKAR FRAMEWORK FOR ACTION EDUCATION FOR ALL: MEETING OUR COLLECTIVE COMMITMENTS

ADOPTED BY THE WORLD EDUCATION FORUM
DAKAR, SENEGAL
26-28 APRIL 2000

1. Meeting in Dakar, Senegal, in April 2000, we, the participants in the World Education Forum, commit ourselves to the achievement of education for all (EFA) goals and targets for every citizen and for every society.
2. The Dakar Framework is a collective commitment to action. Governments have an obligation to ensure that EFA goals and targets are reached and sustained. This is a responsibility that will be met most effectively through broad-based partnerships within countries, supported by cooperation with regional and international agencies and institutions.
3. We re-affirm the vision of the World Declaration on Education for All (Jomtien 1990), supported by the Universal Declaration of Human Rights and the Convention on the Rights of the Child, that all children, young people and adults have the human right to benefit from an education that will meet their basic learning needs in the best and fullest sense of the term, an education that includes learning to know, to do, to live together and to be. It is an education geared to tapping each individual's talents and potential, and developing learners' personalities, so that they can improve their lives and transform their societies.
4. We welcome the commitments made by the international community to basic education throughout the 1990s, notably at the World Summit for Children (1990), the United Nations Conference on Environment and Development (1992), the World Conference on Human Rights (1993), the World Conference on Special Needs Education: Access and Quality (1994), the International Conference on Population and Development (1994), the World Summit for Social Development (1995), the Fourth World Conference on Women (1995), the Mid-Term Meeting of the International Consultative Forum on Education for All (1996), the Fifth International Conference on Adult Education (1997), and the International Conference on Child Labour (1997). The challenge now is to deliver on these commitments.

5. The EFA 2000 Assessment demonstrates that there has been significant progress in many countries. But it is unacceptable in the year 2000 that more than 113 million children have no access to primary education, 880 million adults are illiterate, gender discrimination continues to permeate education systems, and the quality of learning and the acquisition of human values and skills fall far short of the aspirations and needs of individuals and societies. Youth and adults are denied access to the skills and knowledge necessary for gainful employment and full participation in their societies. Without accelerated progress towards education for all, national and internationally agreed targets for poverty reduction will be missed, and inequalities between countries and within societies will widen.
6. Education is a fundamental human right. It is the key to sustainable development and peace and stability within and among countries, and thus an indispensable means for effective participation in the societies and economies of the twenty-first century, which are affected by rapid globalization. Achieving EFA goals should be postponed no longer. The basic learning needs of all can and must be met as a matter of urgency.
7. We hereby collectively commit ourselves to the attainment of the following goals:
 - (i) expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children;
 - (ii) ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete, free and compulsory primary education of good quality;
 - (iii) ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes;
 - (iv) achieving a 50 per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults;
 - (v) eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality; and
 - (vi) improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills.
8. To achieve these goals, we the governments, organizations, agencies, groups and associations represented at the World Education Forum pledge ourselves to:
 - (i) mobilize strong national and international political commitment for education for all, develop national action plans and enhance significantly investment in basic education;
 - (ii) promote EFA policies within a sustainable and well-integrated sector framework clearly linked to poverty elimination and development strategies;
 - (iii) ensure the engagement and participation of civil society in the formulation, implementation and monitoring of strategies for educational development;
 - (iv) develop responsive, participatory and accountable systems of educational governance and management;
 - (v) meet the needs of education systems affected by conflict, national calamities and instability and conduct educational programmes in ways that promote mutual understanding, peace and tolerance, and that help to prevent violence and conflict;
 - (vi) implement integrated strategies for gender equality in education which recognize the need for changes in attitudes, values and practices;
 - (vii) implement as a matter of urgency education programmes and actions to combat the HIV/AIDS pandemic;

- (viii) create safe, healthy, inclusive and equitably resourced educational environments conducive to excellence in learning with clearly defined levels of achievement for all;
 - (ix) enhance the status, morale and professionalism of teachers;
 - (x) harness new information and communication technologies to help achieve EFA goals;
 - (xi) systematically monitor progress towards EFA goals and strategies at the national, regional and international levels; and
 - (xii) build on existing mechanisms to accelerate progress towards education for all.
9. Drawing on the evidence accumulated during the national and regional EFA assessments, and building on existing national sector strategies, all States will be requested to develop or strengthen existing national plans of action by 2002 at the latest. These plans should be integrated into a wider poverty reduction and development framework, and should be developed through more transparent and democratic processes, involving stakeholders, especially peoples' representatives, community leaders, parents, learners, non-governmental organizations (NGOs) and civil society. The plans will address problems associated with the chronic under-financing of basic education by establishing budget priorities that reflect a commitment to achieving EFA goals and targets at the earliest possible date, and no later than 2015. They will also set out clear strategies for overcoming the special problems facing those currently excluded from educational opportunities, with a clear commitment to girls' education and gender equity. The plans will give substance and form to the goals and strategies set out in this Framework, and to the commitments made during a succession of international conferences in the 1990s. Regional activities to support national strategies will be based on strengthened regional and subregional organizations, networks and initiatives.
10. Political will and stronger national leadership are needed for the effective and successful implementation of national plans in each of the countries concerned. However, political will must be underpinned by resources. The international community acknowledges that many countries currently lack the resources to achieve education for all within an acceptable time-frame. New financial resources, preferably in the form of grants and concessional assistance, must therefore be mobilized by bilateral and multilateral funding agencies, including the World Bank and regional development banks, and the private sector. We affirm that no countries seriously committed to education for all will be thwarted in their achievement of this goal by a lack of resources.
11. The international community will deliver on this collective commitment by launching with immediate effect a global initiative aimed at developing the strategies and mobilizing the resources needed to provide effective support to national efforts. Options to be considered under this initiative will include:
- (i) increasing external finance for education, in particular basic education;
 - (ii) ensuring greater predictability in the flow of external assistance;
 - (iii) facilitating more effective donor coordination;
 - (iv) strengthening sector-wide approaches;
 - (v) providing earlier, more extensive and broader debt relief and/or debt cancellation for poverty reduction, with a strong commitment to basic education; and
 - (vi) undertaking more effective and regular monitoring of progress towards EFA goals and targets, including periodic assessments.

12. There is already evidence from many countries of what can be achieved through strong national strategies supported by effective development cooperation. Progress under these strategies could - and must - be accelerated through increased international support. At the same time, countries with less developed strategies - including countries in transition, countries affected by conflict, and post-crisis countries - must be given the support they need to achieve more rapid progress towards education for all.
13. We will strengthen accountable international and regional mechanisms to give clear expression to these commitments and to ensure that the Dakar Framework for Action is on the agenda of every international and regional organization, every national legislature and every local decision-making forum.
14. The EFA 2000 Assessment highlights that the challenge of education for all is greatest in sub-Saharan Africa, in South Asia, and in the least developed countries. Accordingly, while no country in need should be denied international assistance, priority should be given to these regions and countries. Countries in conflict or undergoing reconstruction should also be given special attention in building up their education systems to meet the needs of all learners.
15. Implementation of the preceding goals and strategies will require national, regional and international mechanisms to be galvanized immediately. To be most effective these mechanisms will be participatory and, wherever possible, build on what already exists. They will include representatives of all stakeholders and partners and they will operate in transparent and accountable ways. They will respond comprehensively to the word and spirit of the Jomtien Declaration and this Dakar Framework for Action. The functions of these mechanisms will include, to varying degrees, advocacy, resource mobilization, monitoring, and EFA knowledge generation and sharing.
16. The heart of EFA activity lies at the country level. National EFA Forums will be strengthened or established to support the achievement of EFA. All relevant ministries and national civil society organizations will be systematically represented in these Forums. They should be transparent and democratic and should constitute a framework for implementation at subnational levels. Countries will prepare comprehensive National EFA Plans by 2002 at the latest. For those countries with significant challenges, such as complex crises or natural disasters, special technical support will be provided by the international community. Each National EFA Plan will:
 - (i) be developed by government leadership in direct and systematic consultation with national civil society;
 - (ii) attract co-ordinated support of all development partners;
 - (iii) specify reforms addressing the six EFA goals;
 - (iv) establish a sustainable financial framework;
 - (v) be time-bound and action-oriented;
 - (vi) include mid-term performance indicators; and
 - (vii) achieve a synergy of all human development efforts, through its inclusion within the national development planning framework and process.
17. Where these processes and a credible plan are in place, partner members of the international community undertake to work in a consistent, co-ordinated and coherent manner. Each partner will contribute according to its comparative advantage in support of the National EFA Plans to ensure that resource gaps are filled.

18. Regional activities to support national efforts will be based on existing regional and subregional organizations, networks and initiatives, augmented where necessary. Regions and subregions will decide on a lead EFA network that will become the Regional or Subregional Forum with an explicit EFA mandate. Systematic involvement of, and co-ordination with, all relevant civil society and other regional and subregional organizations are essential. These Regional and Subregional EFA Forums will be linked organically with, and be accountable to, National EFA Forums. Their functions will be: co-ordination with all relevant networks; setting and monitoring regional/subregional targets; advocacy; policy dialogue; the promotion of partnerships and technical cooperation; the sharing of best practices and lessons learned; monitoring and reporting for accountability; and promoting resource mobilization. Regional and international support will be available to strengthen Regional and Subregional Forums and relevant EFA capacities, especially within Africa and South Asia.
19. UNESCO will continue its mandated role in co-ordinating EFA partners and maintaining their collaborative momentum. In line with this, UNESCO's Director-General will convene annually a high-level, small and flexible group. It will serve as a lever for political commitment and technical and financial resource mobilization. Informed by a monitoring report from the UNESCO International Institute for Educational Planning (IIEP), the UNESCO International Bureau of Education (IBE), the UNESCO Institute for Education (UIE) and, in particular, the UNESCO Institute for Statistics, and inputs from Regional and Subregional EFA Forums, it will also be an opportunity to hold the global community to account for commitments made in Dakar. It will be composed of highest-level leaders from governments and civil society of developing and developed countries, and from development agencies.
20. UNESCO will serve as the Secretariat. It will refocus its education programme in order to place the outcomes and priorities of Dakar at the heart of its work. This will involve working groups on each of the six goals adopted at Dakar. This Secretariat will work closely with other organizations and may include staff seconded from them.
21. Achieving Education for All will require additional financial support by countries and increased development assistance and debt relief for education by bilateral and multilateral donors, estimated to cost in the order of \$8 billion a year. It is therefore essential that new, concrete financial commitments be made by national governments and also by bilateral and multilateral donors including the World Bank and the regional development banks, by civil society and by foundations.

ASIA AND PACIFIC REGIONAL FRAMEWORK FOR ACTION EDUCATION FOR ALL: GUIDING PRINCIPLES, SPECIFIC GOALS AND TARGETS FOR 2015¹

ADOPTED BY THE ASIA-PACIFIC CONFERENCE ON EFA
2000 ASSESSMENT
BANGKOK, THAILAND
17-20 JANUARY 2000

INTRODUCTION

During the Asia-Pacific Conference on EFA 2000 Assessment, 17 to 20 January 2000, the Regional Drafting Committee produced the Draft Outline of the Asia and Pacific Regional Framework for Action: Education for All. The Draft Outline document drew on the following information:

- the Draft Dakar Framework for Action, Preliminary Discussion Document (5 November 1999);
- the Asia-Pacific Region Draft Synthesis Report;
- the four Sub-Regional Draft Synthesis Reports; and
- points raised during the Plenary sessions on 17 and 20 January and the Sub-Regional Meetings on 18 and 19 January 2000.

On the final day of the Conference, all delegates received a copy of the Draft Outline of the Asia and Pacific Regional Framework for Action: Education for All and were asked to make further suggestions and comments. In subsequent weeks, the Regional Technical Advisory Group's Secretariat received forty-three submissions from Education Ministries, United Nations Agencies and non-governmental organizations throughout the region. All of the submissions were considered when constructing this document; many suggestions have been simply incorporated into the Draft Outline, while other comments have been listed in the Appendix, Asia and Pacific Regional Framework for Action - Additional Concerns.

I. PREAMBLE

Education is a fundamental human right of all people - of value in and of itself, for improving the quality of life, and as an essential part of social and human development. The provision of basic education, whether it be formally or non-formally delivered, is a core responsibility of the state with

¹ Some delegates suggested that 10 years may be a better time frame for assessment, rather than the 15 years suggested in the Draft Dakar Framework for Action.

active and genuine collaboration of parents, communities, and civil society. All people, especially those most disadvantaged and excluded², must be guaranteed access to a basic education of decent quality.

II. THE GAINS

- Increase in primary school enrolment
- Expansion of early childhood care and education programmes
- Higher priority given to quality
- Increase in functional adult literacy
- Improvement in educational management information systems
- Increase in national budgets for basic education
- Effective use of existing resources
- Increase in 'international' assistance to basic education
- Increase in the number of legislative measures, campaigns, projects and reforms in basic education
- More innovative initiatives in basic education
- More partnership between the private sector and civil society

III. THE CHALLENGES³

- Growing disparities within countries, particularly a persistent urban/rural gap
- Persistent gender gap against girls, especially in South Asia
- Relative lack of emphasis on alternative, non-formal approaches to basic education and lack of interest in workplace education⁴
- While much emphasis is placed on getting children into school, not enough attention is paid to the retention rate nor to the completion of schooling
- Urban bias of early childhood programmes
- Continuing shortfalls in national education budgets, especially for countries in economic crisis and in transition, and in relation to school-age population growth
- Continuing shortfalls in international resources for basic education
- Weakness in identifying, refining, and expanding best practices in basic education
- Difficulty in re-casting curricula to address the new risks and challenges facing youth in the region
- Inability to implement the required management reforms for the education systems of countries in transition
- Lack of broad participation of communities and local leadership in management and delivery of education
- Lack of reliable data and statistics
- Increasing the visibility of people with disabilities and other disadvantaged groups
- Disruption or cessation of basic education provisions, facilities and support as a result of national or sub-national armed conflict or emergency
- Lack of capacity to assess educational problems and contributing factors
- Limited testing, assessment and evaluation processes for learning often isolated from previous learning experiences
- The (still) large number of illiterates in the region and the challenge of delivering meaningful and relevant literacy programmes to people living in different social, economic and political circumstances
- Inadequate means of assessing learning performance and achievement
- Disparities between big countries and small island states

² For the purpose of this document, excluded groups include the poor, ethnic minority groups, remote populations, the displaced, people affected by civil unrest or emergency, child workers and people with disabilities, whether they be physical, intellectual or emotional.

³ The point was raised that the challenges be ordered according to importance, though of course this is entirely subjective.

⁴ Some delegates suggested that this sentence be rephrased in a more positive way, expanded on (see Appendix, par. III) and be included as a Strategic Objective, rather than as a challenge.

IV. REGIONAL OBJECTIVES AND STRATEGIES

A. Goals

1. Early Childhood Care and Education (ECCE)⁵

At all stages of life, children should be provided with quality, comprehensive, integrated care and education. Child-centred, family-focused, community-based, holistic care and education of pre-school children is essential for securing the well-being and rights of all children, and should be supported by national policies and sufficient funds. This should be the result of synergistic partnership among families, communities, civil society, NGOs and the government.

ECCE programmes, whether they be family or community based, or linked to schools or learning centres, must focus on caring for and educating the whole child, from birth to school entry. These programmes must promote the child's optimum physical, psycho-social, emotional, cognitive and linguistic development in ways that are culturally and socially relevant.

Investments in capacity-building to improve the quality of care and education through the diverse programme options and services for young children and families are critical. Improved data-gathering and analysis of both programme access and quality indicators, regular monitoring of programme implementation and regulatory frameworks linked to both local and national systems are essential.

ECCE programmes should remain flexible and adaptable to the needs of pre-school children and not become mere extensions of formal school systems. In addition, they should be developmentally appropriate and responsive to the needs and interests of children, and should be firmly anchored on the family and community as the child's primary caring and learning environment.

2. Universal basic education

All must have the opportunity to receive a basic education of good quality that focuses on the 'whole' person, including health, nutrition and cognitive and psycho-social development⁶. In order for this to happen, education systems must be able to adapt to the individual needs of child, youth and adult learners, by incorporating formal and non-formal approaches and programmes within an integrated and inclusive system of basic education.

A strong and serious commitment must be made to include the excluded. Clearer analyses must be made of reasons for exclusion, including issues such as language of instruction, and there must be more innovative approaches made to address these reasons.

Greater, more explicit focus and commitment must be given to the identification of unreached children who are not in school and to the promotion of innovative and varied approaches by government and NGOs to meet their diverse educational needs.

⁵ Some participants mentioned that Early Childhood Care and Development was a more appropriate term.

⁶ A point of contention was whether a 'good' education could be quantified and how many years constituted a 'good' education. Bangladesh suggested that good quality should include at least eight years of education, whereas the Maldives wants ten. Other countries, for example the Lao People's Democratic Republic, did not agree to this and felt it should be left to the country to decide what constituted a 'good' education. It really depended on country specific goals and the level of development in the country.

There is a need to improve demand as well as increase supply through the closer collaboration and genuine involvement of parents, communities and the private sector in education.

There is also a need to mitigate the direct and indirect costs of basic education, especially for the disadvantaged. In order to achieve universal basic education, systems must become more internally and externally efficient, and focus more sharply on retaining children in school.

3. Basic learning and skills programmes⁷

There have been impressive gains in children's, youth and adult literacy in the region, especially for girls and women. These, nonetheless, remain fragile and need constant reinforcement and recommitment.

Conflict, violence, social injustice and other risks affect the lives of people in almost every country in the region. Basic education must focus increasingly on developing skills and capacities for life and work in a rapidly changing world. Values and cultural identity and their preservation must continue to find a prominent place in all learning programmes and teaching practices.

So, too, basic literacy and numeracy skills must be developed in the context of relevant life skills - whether these be work-related or address any of the risks increasingly confronting children, youth and adults. Such programmes should adopt participatory, age-appropriate, culturally sensitive and integrated approaches to peace education and conflict resolution, gender relations, sexual and reproductive health, and HIV/AIDS education.

There is also a need to integrate functional education into equivalency programmes to provide opportunities for out-of-school youth and adults to gain access to relevant and meaningful learning programmes leading to educational certification.

4. Learning achievement⁸

Improvement in the quality of education is critical to economic and social development, and is therefore a national imperative. Approaches to improving the quality of education require adoption of curriculum content and processes that are learner centred, recognize the diversity of learning needs and stages of cognitive, social and emotional development, and develop knowledge, skills, and attitudes required for independent learning and problem-solving. Improving the quality of education also requires access to appropriate learning resources. Assessment strategies at all levels should reflect such changing emphases, especially the focus on learning how to learn, and include appropriately diverse, continuous and responsive assessment strategies. Training of teachers and educational managers is required to support curriculum reforms and should include modalities which strengthen teacher monitoring and support mechanisms which ensure continuity of reform.

⁷ Other titles - 'Linking Literacy and Skills Programmes' and 'Adult Literacy and Skills Programmes' - were suggested.

⁸ Other titles - 'Quality of Learning' or 'Learning Achievement and Quality of Education' - were proposed.

5. Education of women and girls and the elimination of gender disparities

It is essential to eliminate systemic gender disparities, where they persist, amongst girls and boys throughout the education system - in enrolment, achievement and completion; in teacher training and career development; in curriculum, and learning practices and learning processes. This requires better appreciation of the role of education as an instrument of women's equality and empowerment.

Furthermore, specific measures should be taken to ensure the inclusion of women and girls with disabilities in all educational processes.

Where possible, also, specific programmes, both formal and non-formal in approach, should be developed to target the increased enrolment, retention and completion of education by girls and women.

6. Literacy and continuing education⁹

Via the support of literacy campaigns, the goal of universal literacy should be aspired to in the next decade.

7. Life skills and values: education for peace and global understanding¹⁰

The education system should strive to address issues of peace, order and socio-political cohesion. Whether school-based or delivered non-formally, basic learning tools should increase the capacities of learners to deal with issues of day-to-day survival, to resolve community conflict and to enjoy human, political and civil rights to a greater extent.

B. Strategic objectives

1. Investment and resource mobilization

Lack of resources is often a matter of political will, both within national governments and among international funding agencies. Both must continue to increase the absolute and relative size of their budgets devoted to basic education (without sacrificing needed resources for higher levels of education) and to push for more rapid debt relief and new funding mechanisms to complement existing resources directed towards education and health, if necessary through the transfer of budget allocation from the defense sector. Money saved through increased efficiency must continue to be reinvested in education systems and not subtracted from the overall allocation for education.

Special attention and support should be given to the most-excluded and least-accessible people in each country, and those suffering the consequences of armed conflict, civil dislocation and natural disasters. The needs of these people should be continually reassessed and the necessary actions defined and taken.

⁹ This additional goal was suggested.

¹⁰ This additional goal was suggested.

In addition, education policy-making must assume a more central position in public policy dialogue and decision-making. There must be greater recognition of the inter-connectedness of public policy issues so that the effects of actions taken in one sector on other sectors are clearly understood. This implies a need for more integrated processes and governmental mechanisms for public policy-planning and a balancing of the influence of Treasury and Finance ministries with the advice of Ministries of Education, Health, Social Welfare, Labour and Regional Development.

2. New opportunities for civil society

The need to broaden the way education is conceptualized, implemented and evaluated requires the greater involvement of NGOs, the media, the private sector and other civil society stakeholders - including families and children - at all levels and all stages of education programme development.

To reach EFA goals, we must ensure that genuine decision-making responsibilities are shared among all elements of society. The strong trend toward decentralization has important implications in terms of the provision of adequate support from the centre and the transfer of both responsibility and decision-making authority to all levels in the administrative hierarchy. The latter requires both a more localized EMIS and stronger management training at lower levels of the system.

More effective collaboration and equal partnership between governments and NGOs must be encouraged. A commitment has already been made between NGOs and governments in the region to create new opportunities for genuine engagement and dialogue, bringing to the partnership strength in innovation, participatory processes, critical analysis, social mobilization, and school-community partnerships - but not at the risk of 'user pay' scenarios, polarized education systems and the increased exclusion of disadvantaged children.

3. Education and poverty elimination

Attempts must be made to ensure stronger linkages between education policies and programmes, poverty alleviation strategies and public policy-making. A strong focus must be placed on more and better education for excluded groups, culturally appropriate and cognitively stimulating early-childhood care, and education for girls and women, as well as education for life skills and employment.

In addition, the EFA process at all levels must be made barrier-free in attitudinal, informational and physical terms so that people with disabilities and socially disadvantaged groups can participate meaningfully in EFA activities.

Decentralized micro-planning and delivery with people's participation may be utilized on a wider scale for provision of basic education to unserved and underserved populations. NGOs working for the underprivileged should receive support and assistance on a sustainable basis.

4. Equitable harnessing of new technologies

The information and telecommunication technologies of the twenty-first century offer new ways of managing the educational processes as well as delivering particular programmes. The ability to access and analyse data and information about formal and non-formal education, and about the community context in which education takes place, encourages better decision-making at local levels. At other levels, policy decisions about technology can be taken to enhance equity and reduce disparities between groups within society at large.

Such technologies can also help to deliver learning programmes at adult and professional levels, such as teacher education through distance education. Further study may be required to see where such technologies are cost-effective in serving the learning needs of children, youth and adults more widely.

In many parts of the region, learning is increasingly taking place in an informal, media-based context. This wealth of information resources must be accessible by all, and the growing disparity between rich and poor, and the urban/rural divide in terms of access to technology must be taken into account when policies about technology are formulated. In addition, these information resources must be accessible in an equitable and structured way to ensure overall improvement in learning achievement. Information resources should in particular be accessible to people with sensory impairments and in a format that permits ready assimilation of content. Further, the deployment of technology in basic education should be done in a culturally sensitive manner.

Governments must promote popular access to relevant media and technology systems, and incorporate media and technology as both a learning tool and as an interface for the expansion of information dissemination critical to better management.

5. Enabling teachers and learning facilitators

Public perceptions of teachers and teaching must be enhanced; incentives to identify, attract and retain good teachers must be provided; for example, policies should be in place to protect teachers' salaries, rights and welfare. In addition, strong and ongoing teacher, supervisor and manager support and professional development services, at the level of the school and classroom, must be introduced. Teachers themselves must be more genuinely involved in decisions that affect their work. Adequate time and investment must be given to re-train the existing teacher workforce and to reform pre- and in-service training.

The role of teachers and learning is changing in the new decade and is crucial in the fulfilment of the goals of Education for All. New contexts - including new challenges - in which teachers and their learners operate must be clearly understood. Above all, teachers must be able to make learning environments more inclusive and welcoming to children - healthier, more effective and more nurturing.

Adequate learning materials, textbooks, teaching aids and supplemental readers are critical to educating all children. They should reflect learning outcomes and the time available for instruction in the classroom. Values and subject content should be gender-fair and reflective of acceptance of diversity and cultural differences. Policy should foster the development and adaptation of learning experiences and materials to ensure social and cultural relevance for learners.

6. Education management reform¹¹

Increased emphasis on decentralization of education management should be accompanied by the development of enhanced and comprehensive EMISs that provide timely, relevant, accurate and valid information for local decision-making. Locally relevant indicators compatible with national standards and curriculum frameworks, and that cover quantitative and qualitative aspects of learning, must be developed and monitored. The accountability of the school system to learners themselves, to parents and to communities should be emphasized.

¹¹ It was suggested that Strategic Objective 6 be expanded to cover not only EMIS, but also other aspects of education management, for example, reforms in general systems of management and institutional management and delivery systems.

Effective decentralization also requires extensive training of school leaders and local managers, both at the institutional level and in district and provincial offices. Decentralization of authority and responsibility that is supported by improved EMISs and management training will lead to greater accountability and transparency in the allocation and utilization of resources. At the central level, enhancement of EMISs will increase the capacity of policy-makers to model the effects of proposed policy reforms as a basis for policy dialogue aimed at identifying optimal linkages between resource inputs and education outputs.

In addition, mechanisms must be put in place to ensure that managers and policy-makers have access to the latest information and research in the field of education.

7. Integration of development activities

Partnership between government, non-government and donors/non-government organizations should encompass policy planning, implementation, monitoring and evaluation.

8. Exchange of information, experience and innovations

With the increasing availability of communication technologies in the region, governments and all stakeholders must promote an equitable exchange of information and experiences about educational innovations that have been, and continue to be, successfully developed by countries and communities in the region. This exchange should cover a wide range of educational dimensions: policy reform, planning and management, resource mobilization, curriculum, teacher training, measurement and evaluation, community participation and linkages between education and poverty alleviation. As a means of exchanging information and experiences, subregional resource centres could be set up in each country.

Appendix

Asia and Pacific Regional Framework for Action: Additional concerns

- I. Comments were received about the language of the Draft Framework for Action. These comments highlighted the need for stronger and more action-oriented language. Feedback received on the Draft Framework for Action pointed out that it failed to offer mechanisms for translating the vision into reality, it did not outline the new commitments from the partner agencies UNICEF, UNDP, UNFPA, UNESCO and the World Bank, and nor did it propose new directions for the future. Some went further, urging that a statement, acknowledging that some of the commitments and promises made at Jomtien were not achieved, be added to the Dakar Framework for Action.
- II. Continuing education for lifelong learning was highlighted by a number of participants, notably APPEAL, as being an important goal if a society is to truly become a learning society. After the completion of basic literacy, it was recommended that post-literacy and continuing education be provided in order to sustain and expand literacy skills.
- III. Emphasis must be placed on continuing education for the newly literate and on including in this continuing education the means of achieving scientific and technological literacy.
- IV. Scientific and technological illiteracy was highlighted as a concern in the region, as well as the need for adequate teacher training in science and technology.

- V. Non-formal education should be developed in quality, comparable with the formal education sector, leading to the establishment of an equivalency programme. Furthermore, non-formal education should be given institutional shape.
- VI. Much debate was centred on the meaning and concept of 'quality education'. A suggestion was made that the EFA Forum promote measures and indicators of quality that are common to both formal and non-formal modalities of learning, focusing on competencies, aptitudes and functionality of the things learners learn and how they can apply them to their day-to-day existence.
- VII. Although many argued for basic education to cater to the needs of disabled people, the fact remains that data on the educational experiences of disabled people remain difficult to access. One way of rectifying this situation could be to include the issue of disability as an indicator in all future country assessments.
- VIII. Children's participation in the Education for All process should be encouraged, considering that childhood is the time when most people begin formal basic education.
- IX. Care must be taken, however, not to place too much emphasis on child learners at the expense of adult learners. Learning is a lifelong process, and the language of the Dakar Framework for Action must be inclusive of all learners, whether young or old. Likewise, care should be exercised with official EFA documents, pronouncements and pictures, so as not to convey the false impression that EFA is only about children.
- X. Attention must be given to the learning needs of adolescents.
- XI. The Dakar Declaration must state in very clear terms whether secondary education will form part of basic education that should be universalized.
- XII. Aside from the concern for access of those not in school, a concern for quality, relevance and content of basic education for those already in school was also expressed. It was felt that a fundamental re-examination of the curriculum and content of all forms of basic education was called for to meet the leaning needs of a more complex and interconnected society in the future.
- XIII. The structural reform of a country's basic education system could be viewed as an economic and effective way of meeting that country's EFA objectives. Consideration of structural reform is particularly pertinent in those countries where the projected rate of growth of the school-age population over the next ten years far exceeds any reasonable expectation concerning the rate of growth of public expenditure on basic education. Many countries would, understandably, be reluctant to attempt to meet the implied funding gap over the next decade by taking up further education loans from either the World Bank or the Asian Development Bank because of the additional burden it placed on their capacity to service such foreign debt.

ANNEX 2

GLOSSARY OF PRINCIPAL TERMS
USED IN PLANNING OF BASIC
EDUCATION DEVELOPMENT

Note: There is a standardized terminology of education, the ISCED (see below). But there is no standardized international terminology for educational planning. However, certain technical terms are commonly used internationally and also, to a large extent, nationally. This Glossary attempts to list some of the frequently used terms and explains them in a way which renders them usable for national EFA planning purposes. UNESCO-PROAP welcomes any suggestions readers of this Guide and this Glossary may wish to make in order to complete it and improve it for future use.

Access to Education

the extent to which children of school age are able to enrol in a formal education course (in a school). The term 'access' means: (1) access to the first grade of an education cycle (or sub-sector); this is measured by the (gross and net) intake rate. The term 'access' is sometimes used to describe: (2) access to the entire education cycle, i.e. the possibility for a pupil to remain in school throughout the entire cycle; this is measured by the (net and gross) enrolment ratio. In its second meaning it is synonymous with the term 'participation'.

**Adult Education
(or Continuing
Education or Adult
Basic Education)**

educational activities, whether formal, non-formal or informal, targeted at adults (i.e. persons above the age of 15, or regarded as adults by the society or country to which they belong), and aimed at prolonging or substituting initial education and training (i.e. formal education and training provided in educational institutions such as schools, colleges, universities and apprenticeship schemes), in order to improve technical or professional qualifications, knowledge and skills, with the purpose a) to complete a given level of formal education, and/or b) to acquire knowledge and skills in a new field, and c) to refresh or update knowledge in a particular field (see also NFE below).

Note: Adult basic education is a synonym for adult literacy and numeracy. The term does not necessarily cover equivalency for the first cycle of formal schooling.

Apparent Intake Rate

see Gross Intake Rate (below).

APPEAL

Asia-Pacific Programme of Education for All is a regional co-operative programme established by UNESCO in 1987. Its programmes focus on the eradication of illiteracy, universalization of primary education, and expanding the provision of continuing education.
(<http://www.unescobkk.org/education/appeal/index.htm>)

Base Year	the year for which the statistical data are considered to be the base or the starting point for the projections. This is usually the year preceding the first Plan year.
Basic Education	<p>In a growing number of countries, Basic Education is considered the complete cycle of 9-years of formal education, starting with grade-1 and ending with grade-9. In some countries Basic Education comprises two stages, primary and lower secondary education. In other countries Basic Education is one single, continuous cycle of nine years. In a small number of high-income countries basic education comprises more than nine years.</p> <p><i><u>Note:</u> The World Declaration on Education for All (Jomtien, Thailand, 1990) uses a wider definition: education intended to meet basic learning needs in general. This comprises the whole range of educational activities which take place in different settings and which aim to meet basic learning needs. It comprises both formal schooling (primary and sometimes lower secondary) as well as a wide variety of non-formal and informal public and private educational activities offered to meet basic learning needs of groups of people of all ages.</i></p> <p><i><u>Note:</u> The Dakar Framework for Action identifies four EFA target-groups: children in ECCD and preschool, children in the age range of formal basic education (i.e. primary and lower secondary education), out-of-school children and youth in the basic education age range, and illiterate adults (see also EFA below).</i></p>
Basic Learning Needs	designates both essential learning tools (such as literacy, oral expression, numeracy) and basic learning content (such as knowledge, skills, values, and attitudes) required by human beings in order to survive, develop capacities, to live and work in dignity, to participate in development, to improve the quality of life, to make informed decisions, and to continue learning.
Basic Level education	learning programmes for youth and adults who : (1) have never been to school or who have dropped out of school before acquiring literacy skills; and (2) are unable to read and write simple texts without the help of another person.
Bilingual Education	the use of more than one language of instruction either to convey all or part of the curriculum. Second language instruction usually refers to foreign language or non-mother language teaching and learning. In bilingual programmes, it may be introduced after the first year of formal schooling.
Class Hours	number of periods per week which the pupil (or the teacher) spends in school, in accordance with the curriculum; planning uses pupil-class hours and teacher-class hours.

Coefficient of (Internal) Efficiency	a measure of the internal efficiency of an education system obtained by dividing the ideal number of pupil-years required for a pupil cohort to complete a level or cycle of education (e.g. the primary level) by the estimated total number of pupil-years actually spent by the same pupil cohort. The reciprocal of the coefficient of efficiency is the input-output ratio.
Cohort	see Pupil Cohort (below).
Community Based Organization (CBO)	organizations actively involving a large range of members of the community in social and economic development activities at the community or grassroots level.
Community Learning Centre (CLC)	local institutions outside the formal education system for villagers or urban communities, usually set up and managed by the local population, to provide various learning opportunities for community development and improvement of quality of life.
Continuing Education (CE)	educational activities which take place after the completion of basic education, to meet the vocational and general educational needs of adults. The terms " continuing education ," " further education ," " life-long education " and " adult education " are often used as synonyms.
Costs/Expenditure	<p>the monetary value of all inputs into the education process; comprising capital costs and recurrent costs. Usually, in planning, the term "cost" is used to designate "expenditure"; both terms are used as synonyms.</p> <p>Capital costs, capital expenditure (or investment costs, investment expenditure) include all durable inputs, such as construction, major repair, and major equipment.</p> <p>Recurrent costs, recurrent expenditure include all other inputs, such as personnel costs (i.e. salaries and related costs) and non-personnel costs (such as supplies, utilities, operating costs, teaching and learning materials, laboratory materials, maintenance and small repair).</p> <p>Direct costs (expenditure) are those costs (expenditure) which are directly related to a given educational activity or programme (e.g. teacher salaries, and class room construction).</p> <p>Indirect costs (expenditure), also called "related expenditure", are the costs which occur outside a given educational activity or programme but which are caused by it, which are related to it (e.g. the costs of hiring replacement teachers needed to allow permanently employed teachers to take in-service training courses).</p>

Opportunity costs of education are the revenues which a person foregoes by pursuing an educational activity, or the tax revenue which the government foregoes because taxpayers pursue education activities, instead of earning taxable revenue. Usually opportunity costs are assessed for (often research) analysis purposes in connection with resource allocation considerations; but they are rarely used for education planning.

Marginal costs are the increment in total costs which results from an increase of the cost-generating item by one unit. Marginal costs are rarely used in education planning.

Social costs are the costs borne by the society as a whole, comprising total public education expenditure (from public budgets) and total private education expenditure (from private households, private companies, foundations, etc.).

Cycle	number of grades (school years) of a given level of education (e.g. a primary education cycle of 6 years).
Disadvantaged Groups	people who, for one reason or another, do not benefit to the same degree as the majority of other people in their country from (social) services provided by the government.
Drop-out Rate	is the percentage of pupils who drop out from a given grade or cycle or level of education in a given school-year.
Early Childhood Development (ECD)	programmes that offer a structured and purposeful set of learning activities either in a formal institution (pre-school) or as part of a non-formal childcare programme. ECD programmes generally focus on children from three years of age to primary school entrance age, and include organized learning activities that constitute not less than 30% of the overall programme of care.
ECCD	Early Childhood Care and Development (see Early Childhood Development above).
ECCE	Early Childhood Care and Education (see Early Childhood Development above).
ECE	Early Childhood Education (see Early Childhood Development above).
Education for All (EFA)	<p>provision of basic education in the sense of the expanded vision proclaimed in the World Declaration on Education for All, adopted by the World Conference on Education for All: Meeting Basic Learning Needs (Jomtien, Thailand, 5-9 March 1990), which was particularly the rights-based approach to education supported by the Universal Declaration of Human Rights (1948). The expanded vision encompasses:</p> <ul style="list-style-type: none"> • Universalizing access and promoting equality; • Focussing on learning; • Broadening the means and scope of basic education; • Enhancing the environment for learning; and • Strengthening partnerships.

The participants in the World Education Forum (Dakar, Senegal, 26-28 April 2000) re-affirmed this vision and the Dakar Framework for Action puts particular emphasis on areas of concern identified there, such as HIV/AIDS, early childhood education, school health, education of girls and women, adult literacy, and education in situation of crisis and emergency which could compromise the attainment of the goals of Education for All.

Education System	the network of institutions and programmes through which education of all types and all levels is provided.
Educational Institution	an institution which has as its sole or main purpose the provision of educational and training activities. Non-public (i.e. non-government) educational institutions are normally accredited or registered by a public authority.
Educational Management Information System (EMIS)	a formal, institutionalized system of collection, storage, processing, and analysis of quantitative information concerning a wide range of aspects of the functioning of the education system. A typical EMIS provides educational managers, at central, provincial, district and other relevant levels, with reliable and timely information. EMIS is a major data and information source for education planning and monitoring of plan implementation, as well as for budget preparation and expenditure control. EMIS is institutionalized, being a permanent function of sector management. It is a network of data collection, storage and analysis units which are situated at all levels of sector management (all the way from school, via local levels, to the Ministry). EMIS includes sub-systems, such as school mapping and Geographic Information System (GIS).
Educational Personnel	a broad term covering three categories of personnel: (i) <i>teaching staff</i> are those persons who engage directly in teaching; (ii) <i>other pedagogical personnel directly related to the teaching-learning process</i> , including headmasters, administrators in schools, supervisors, counsellors, school health personnel, librarians, staff of pedagogical research and development institutes, etc.; and (iii) <i>administrative personnel</i> , such as educational administrators at local, regional and central levels, and support personnel (clerical personnel, building operations and maintenance staff, security personnel, transportation workers, catering staff, etc.).
Equity	designates the extent of disparities in the educational system between, e.g., gender, social groups, family income-level, ethnic groups, urban/rural groups, etc.. The smaller the disparities the higher is the degree of equity.
Equivalency Programmes	programmes designed as alternative education programmes equivalent to formal education or recognized non-formal education programmes.

Evaluation	appraisal, or assessment, of a project, plan or programme against its objectives and targets; it may cover aspects such as pupil learning achievements, social impact or cost-effectiveness of the project, plan or programme.
Expenditure	see Cost (above).
External Efficiency	the usefulness of education (content, quality, learning achievement, skills acquired) to (1) the future of the pupils with respect to (i) pursuing formal education at higher levels; (ii) undergoing professional, vocational training; (iii) entering the labour market; and (iv) making a living in the non-formal sectors of the economy; and (2) the manpower needs of the economy.
Functional Literacy	the ability to use literacy skills for specific purposes in the community or at the workplace. The term has been associated with work-related literacy skills since the early 1970s through the UNESCO/UNDP Experimental World Literacy Programme. In 1978, the UNESCO Revised Recommendation Concerning the International Standardization of Educational Statistics used the term more broadly to refer to effective functioning in the group or community and to continue to use reading, writing and calculation for individual and community development.
Geographic Information System (GIS)	a combination of maps with tables and reports. GIS can answer location, condition, trends (what has changed over time), patterns, and models (simulation). In the context of education, it is a system of data providing detailed information on each school (pupils, staff, physical conditions, socio-economic and demographic environment, topographical information, etc). GIS is part of a school mapping system and a useful tool to present EMIS geographically.
(Planning) Goals	<p>Goals (often also called policy goals, or overall policy goals) are the ultimate socio-economic aspirations of a programme expressed in broad terms (including, the provision of free enrolment in primary education for all, better quality education, inclusion of marginalized groups of children, and a reduction of the drop-out rate, etc.).</p> <p>They describe broad, overall achievements to be attained over a long period (ten years or more) through strategic plans (also called implementation strategies). They are part of the policy setting process.</p>
Grade	a stage of an education cycle; as a rule, one school year.
Graduate	a pupil who successfully, and in a formal way, through an examination, (sanctioned through a certificate, diploma, etc.) completes a level of education.
Grants	funds provided by a donor (government or private) without a commitment by the recipient to reimburse the funds or to pay interest (see also Loans, below).

Gross Enrolment Ratio (GER)	the total number of pupils enrolled in a given level of education (e.g. primary education), irrespective of age, expressed as a percentage of the total population of the corresponding (e.g. primary) school age-range.
Gross Intake Rate	the number of new entrants in the first grade of a given level of education, regardless of age, expressed as a percentage of the population of official school-entrance age.
Human Development Index (HDI)	measures the average achievements in a country in three basic dimensions of human development: longevity, knowledge and standard of living. HDI is a composite index, containing three variables: life expectancy, educational attainment (adult literacy and combined primary, secondary and tertiary enrolment), and real GDP per capita.
Illiteracy Rate	estimated number of illiterate adults expressed as a percentage of the total adult population (15 years and above). Different definitions of literacy yield different results in terms of illiteracy rate.
Infant Mortality Rate	probability of dying between birth and exactly one year of age expressed per 1,000 live births.
Information and Communication Technology (ICT)	the hardware and software that enable society to create, collect, consolidate and communicate information in multimedia formats and for various purposes.
Information Technology (IT)	computers in schools.
Input-output Ratio	the reciprocal of the coefficient of efficiency (see Coefficient of Efficiency above).
Intake	see Gross Intake Rate and Net Intake Rate.
Internal Efficiency	indicates the degree of efficiency of the flow of pupils through the cycle. It is expressed in a number of ways: <ul style="list-style-type: none">• promotion rates, repetition rates, drop-out rates;• coefficient of internal efficiency (see above); and• retention rate: the percentage of a pupil cohort still enrolled in the last year of the cycle.
International Standard Classification of Education (ISCED)	designed by UNESCO in the early 1970's, first implemented in the mid-1970s as ISCED-76. It was revised in 1996/97. The presently applied classification is ISCED-97. Its purpose is to provide an integrated and consistent statistical framework for the collection and reporting of internationally comparable education statistics. The ISCED-97 is also the world-wide applied framework for statistical data concerning Basic Education and EFA. ISCED Level 0: Pre-Primary Education. ISCED Level 1: Primary Education. ISCED Level 2: Lower Secondary Education.

Language of Instruction	the language(s) used to convey the school or non-formal education curriculum. Some countries use a single official language. Others provide transition bilingual education instruction so that children use their mother tongues in the first one to three year of schooling and then are taught in the official language, a language of wider communication.
Language Policy	the official set of decisions regarding the use of language in the public domain (courts, schools, health services, etc.).
Learning Centres	locally organized educational institutions outside the formal education system for villages or urban areas, usually set up and managed by local people to provide various learning opportunities for community development and improvement of quality of life.
Life Expectancy at Birth	the average number of years a new-born child is likely to live if prevailing patterns of mortality at the time of its birth were to stay the same throughout its life.
Literacy	the ability to read and write with understanding a simple statement related to one's daily life. It involves a continuum of reading and writing skills, and often also includes basic arithmetic skills (<i>numeracy</i>). Basic literacy is also sometimes defined as equivalent to five years of formal schooling in some countries. A person over 15 years of age who can both read and write, with understanding, a short simple statement about everyday life, is considered literate according to the 1978 UNESCO Revised Recommendation Concerning the International Standardization of Educational Statistics.
Literacy Gender Parity Index (LGPI)	the ratio of the female to the male adult literacy rates which measures progress towards gender equity in literacy and the level of learning opportunities available for women in relation to those available to men. It serves also as a significant indicator of the empowerment of women in society. LGPI = FLIT (female adult literacy rate) / MLIT (male adult literacy rate).
Literacy Programmes	programmes intended to impart literacy and numeracy skills to youth and adults.
Literacy Rate	estimated number of literate adults expressed as a percentage of the total adult population (15 years and above). Different definitions and tests of literacy yield different and non-comparable results.
Loans	funds provided by government, banks, and other donors, which involve a commitment from the recipient to repay the principal and pay interest (see also Grants, above).

Management	the manner in which the education system is administered; in particular, the way (process, procedures, rules, regulations, etc. and the way in which they are applied) which determines the functioning of the education system and all of its component parts and activities. The notion of sector management includes three areas: (i) policy management (policy setting, planning, policy implementation, and allocation of resources), (ii) administrative management (the utilization of financial, human and physical resources), and (iii) pedagogical management (the use of teachers, organization of the teaching-learning process, and learning achievement).
Monitoring	the process and mechanism of overseeing and controlling the implementation of a plan, a programme, or a budget in order to assess its efficiency and its effectiveness.
Mother-Tongue	the language(s) spoken in the home environment as a first language. Also known as community language.
Neo-Literate	Individuals who have completed a literacy training programme recently and have demonstrated the ability to continue to learn on their own using the skills and knowledge they have attained without the direct guidance of a teacher.
Net Enrolment Ratio (NER)	the number of pupils of the official school-age enrolled in school expressed as a percentage of the total population of the same age group.
Net Intake Rate (NIR)	the number of pupils entering the first grade of a cycle at the official school-entrance age expressed as a percentage of the total population of school-entrance age.
New Entrant	a pupil who enters the cycle (e.g. primary education, or lower secondary education) for the first time.
NFPE	Non-formal Primary Education
Non-formal Education (NFE)	organized learning activities catering to persons not enrolled in formal education. Depending on country contexts, NFE covers educational activities aimed at imparting adult literacy, basic education for out-of-school children, life-skills, work-skills, and general culture. Non-formal education programmes do not necessarily follow the structure of the formal system, may be of varying duration, and may or may not confer certification of the learning achieved (see also Adult Education above).
Non-Governmental Organization (NGO)	typically a non-profit organization which carries out activities of social (educational, etc.) and economic development for specific target groups. The organization can be local, national, or international in scope. It relies mainly on donations or contributions (grants and aids) for its operation. It has the legal form of an officially registered association.

(Plan) Objectives	Objectives (or strategic objectives) are the results expected to be reached through the implementation of the medium term plan (the implementation strategy). The results are intended to contribute to the attainment of the long-term policy goals. Formulating objectives is also part of the policy setting process.
Official Language(s)	the languages used by law in the public domain.
Out-of-school Children (youth)	children of school-age who are not enrolled in school because (i) they have never enrolled, or (ii) once enrolled, they have dropped out.
Plan	<p>is the result of a planning process. The plan describes in detail the intended way to pursue the achievement of the goals/objectives/targets. The plan is specific in terms of what to attain, by when, and in what way, the resource inputs required, and the sources foreseen to provide the required inputs (physical inputs, financial inputs, human resources), sources foreseen to provide the required inputs, and ways to manage plan implementation.</p> <p>There are different types of plans, depending on the time period covered and the degree of detail they contain. <u>Long-term plans</u> usually span ten years or more and contain overall, general goals and objectives. <u>Medium term plans</u>, usually covering three to ten years, formulate implementation strategies by setting measurable objectives and targets, setting priorities and outlining implementation modalities. <u>Short term plans</u>, usually for one to three years, are linked to the public budget cycle; they spell out detailed action programmes (including detailed financing plans).</p>
Planning	<p>the process through which the plan is prepared. The planning process consists of a sequence of phases, including:</p> <ul style="list-style-type: none"> (i) finding the facts, i.e. finding out how the sector functions today, by undertaking a sector analysis (also called sector review, sector survey) or more limited situation analysis; (ii) mapping the future, i.e. setting policy goals, formulating strategic objectives and targets, assessing resource requirements and resource availability, setting priorities, and designing implementation strategies; and (iii) drawing up of outline implementation plans. Designing detailed implementation plans is normally not part of the plan preparation; instead it is the first step of plan implementation once the plan has been adopted and has become government policy. <p>The planning process is also a policy setting process. The planning process involves a review of existing policies, as part of the overall assessment of the status and functioning of the educational system, that may lead to an adaption of existing policies, or formulation of new policies.</p>
Policy	a decision or a group of decisions that set out overall directives for guiding subsequent decisions and actions.
Policy Setting	the process which consists of preparing policies and policy decisions. The policy setting process comprises sector analysis, identification of issues, formulation of responses to the issues and feasibility assessment. Policy setting and the planning process are interlinked.

Post-Literacy Programmes	aimed at maintaining and enhancing basic literacy levels, giving individuals sufficient general basic work oriented skills to function effectively at home, at work, and in the day-to-day civic life. (non-formal and formal) education activities aimed at children of preschool age. Depending on the country, preschool includes one or more of the following:
Preschool Education	ECCD-activities, kindergarten, preparation for entrance to primary education.
Private Educational Institutions	educational institutions and activities carried out by a private body, such as a non-governmental organization or association, a religious body, a special interest group, a foundation, a business enterprise, etc., on a profit or non-profit basis. Private educational institutions may receive public funding. They are registered and licensed by a government authority. Their programmes and their educational performance are controlled by the government. They are an integral part of the education system.
Programme	a coherent framework of action to achieve certain global (larger) objectives comprising separate sets of activities which are oriented towards the attainment of specific (smaller) objectives.
Promotion Rate	the percentage of pupils of a given grade promoted to the next grade in the following school year.
Pupil Cohort	a group of pupils who enter the first grade of an education cycle in a given school year and who move through the cycle experiencing promotion, repetition, drop-out, and at the end of the cycle, completion.
Pupil/Teacher Ratio (PTR)	the average number of pupils per teacher, in a grade or cycle or level of education.
Pupil-year	the pupil-year represents a convenient non-monetary way of measuring educational inputs (teachers, school buildings, classrooms, equipment, etc.). 'One pupil-year' stands for all the resources spent to keep one pupil in school for one year. 'Two pupil years' stands for all the resources spent to keep one pupil in school for two years, or, alternatively, to keep two pupils in school for one year, and so on.
Repetition Rate	the percentage of pupils in a given grade who remain enrolled in the same grade in the following school year.
Retention Rate	see Internal Efficiency (above).

School-age Population	number of children in the officially defined school age-group, whether enrolled in school or not.
Sector-wide Approach (SWAp)	term used for an emerging approach at country level to coordinate sector development activities among external sector partners (donors and technical assistance agencies) and between the external partners and national sector stakeholders, principally the government. A SWAp has the following characteristics: (i) common goals and a common policy framework established by the national stakeholders, in close collaboration with external sector partners, under government leadership; (ii) a sector development and investment programme prepared jointly by all partners; (iii) pooling of resources to attain the common goals, ideally through so-called basket funding; (iv) monitoring of implementation and evaluation through broad sector development indicators agreed upon by all partners; and (v) cooperation procedures formalized among national and external partners in the process of SWAp preparation. The 1990s saw the preparation of SWAps for education in several countries; but there is no experience with implementing SWAp to date.
Stakeholders	all groups (government bodies, parent associations, teacher associations, trade unions, employers associations, external donors, etc.) having a direct and major role in the functioning of the education system and in deciding on its future development.
Survival Rate	the percentage of a pupil cohort eventually reaching the end of the cycle, independent of the number of years spent in school.
Targets	designate the specific, measurable results to be achieved by the implementation of programmes carried out in order to attain the objectives (see also Goals and Objectives above).
Universal Primary Education (UPE)	100% net enrolment ratio; i.e. enrolment of 100% of the children in the primary-school age group.
WCEFA	World Conference on Education for All (Jomtien, Thailand, March 1990).



The Dakar Framework for Action, adopted at the World Education Forum (Dakar, Senegal, 26-28 April 2000) calls upon Governments to ensure that Education for All (EFA) goals and targets are achieved by 2015 with support from partners within countries and the international community.

If EFA goals are to be attained, they must first be translated into realistic and feasible national EFA plans providing an overall framework to steer long-term education development processes.

This *EFA Planning Guide* is designed as a working tool for educational planners, statisticians and members of national EFA task forces in charge of preparing the EFA plan 2002-2015. The wider purpose of the *Guide* is to provide practical, 'how to' advice to educational practitioners working at sub-national levels who have planning functions or, amongst other assignments, carry out planning tasks in their everyday work.

The *EFA Planning Guide* includes a computerized *EFA Analysis and Projection Model* on CD-ROM, developed by UNESCO PROAP, to assist educational practitioners in assessing the resource requirements of EFA plans, explore the feasibility of alternative strategies and decide on national EFA plan priorities and targets.

For information or to order copies of this *Guide*, please contact:

Planning and Sector Analysis Unit (PSA)
UNESCO Principal Regional Office for Asia and the Pacific
P.O. Box 967, Prakanong Post Office
Bangkok 10110, Thailand
Tel: (66 2) 391-0577, 391-0703
Fax: (66 2) 391-0866
E-mail: psa@unesco-proap.org