

Second Draft

Government of Nepal
Ministry of Education

Strategies for Capacity Development

Volume II
GUIDELINES

Kaisar Mahal, Kathmandu

June 2010

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INTRODUCTION

The Ministry of Education (MOE) has committed to developing and implementing a plan for Capacity Development (CD) as a means of achieving and sustaining the quality education improvements outlined in the SSR Plan (2009-15). This Planning Guide for Capacity Development has been developed to incorporate this component into the MOE's Improvement Plans at each level. The language and examples in the guide are focused on the District and School levels, as they are the MOE Units best positioned and most able to make a substantial difference in school quality and student learning and achievement, if they have the necessary capacity to do so. Furthermore, the guide is written to be used by all MOE Units, as the Stages and Steps that are included are based on the SSRP/Capacity Development Framework, a review of MOE planning documents and the literature on CD planning, multiple consultations with the MOE Management Group, and field consultations and testing with DEOs, school leaders and teachers, and SMCs.

This Guide includes tools and templates to support the process of planning for CD. It is presented in a step-wise format, so that following each of the steps in the Five Stages, and using the provided templates for each Stage, will result in a CD component that will support the achievement of the results in your improvement plan.

As this Guide is written in support of MOE improvement plans, e.g., District Education Plans (DEPs) or School Improvement Plans (SIPs), the process is designed to be fully consistent with existing MOE planning instructions and processes. Capacity Development planning can be done during preparation of DEPs or SIPs, or other MOE plans, or as an addendum to existing plans. As part of the regular planning cycle, Capacity Development planning will be on the same cycle of five-year plans with annual updates and implementation plans.

As mentioned above, the Guide provides a step-wise process with a series of work templates. However, it is intended that this be more flexible than prescriptive, given the participatory nature of the process. While the process may be flexible, it should be remembered that at each stage of the process, the CD Plan and DEP/SIP (or other plan) should be aligned with the SSRP vision, goals, strategies and intended results

The Guide is presented with five (5) Stages for the preparation of the CD component of the Improvement Plan. **Stage 1** provides guidelines for preparations and set-up for the

CD planning activity. **Stage 2** provides guidelines for visioning a productive future and for conducting a SWOT (strengths-weaknesses-opportunities-threats) analysis as a basis for formulating your CD plan. Stages 1 and 2 are consistent with DEP and SIP planning. If you have not done these or updated these recently, please use these stages to prepare for the CD planning presented in **Stage 3**.

If your organization is developing its five-year improvement plan or annual implementation plan, then please review Stages 1 and 2 for their applicability to your planning process, and move directly on to Stage 3 to begin formulating your CD plan. **Stage 4** will provide guidelines for developing a simple, user-friendly monitoring and evaluation (M&E) framework for your CD plan. Finally, **Stage 5** will provide suggested arrangements for implementing your CD plan.

STAGE 1

Preparation for the CD Process

Setting the stage for participatory dialogue around a CD strategy¹

The start of the improvement planning process begins with the formation of a team that involves decision makers and key stakeholders who can establish a vision, conduct analysis of relevant data and internal and external factors, and formulate the necessary objectives and activities to achieve highly valued results for their organization. An inclusive, consultative approach to improvement planning builds long-term commitment and consistent ownership over the plan, its implementation, and the achievement of the expected results.

At this stage, guidelines will be provided for the following six steps to mobilize and start the planning process:

1. Identifying Key Stakeholders
2. Establishing the Improvement/CD Planning Committee
3. Structuring the Planning Process
4. Developing Terms of Reference
5. Acquiring Funding and Resources, and
6. Preparing a Work Plan.

Step 1: Identifying Key Stakeholders

Political support and goodwill are crucial to the ultimate success of the improvement/CD plan. Establishing the need for improving and developing educational services, and communicating this to political leaders and senior decision makers is a critical first step in the improvement/CD planning and CD process.

Step 2: Establishing the Improvement/CD Planning Committee

An Improvement/CD Planning Committee should be formed to coordinate and guide the overall improvement and CD planning process for the various entities contributing to the School Sector. The Planning Committee, created to guide, facilitate, and conduct improvement and CD planning, should be comprised of members who have the position, experience and authority to create a quality improvement/CD plan. The composition of the planning committee is prescribed for each organizational unit. For example, the Planning Committee created to develop an SIP - and the CD component – should be comprised (at a minimum) with the following members:

¹ The steps and information provided in Stage I of this guide are taken from *Guidelines for Capacity Development in the Education Sector within the Education For All - Fast Track Initiative Framework*, with some editing for this particular audience and purpose.

Step 3: Structuring the Planning Process

Once the Steering Committee has been formed, it will be necessary to structure the overall planning process. The Planning Committee may designate a Work Team and outline the process, organize the necessary planning tools and formats, and set a schedule for the planning process.

The planning process will be participatory which involves a series of discussions and informed consultations. This is often best achieved through a structured workshop program, designed to ensure that key stakeholders drive the improvement/CD planning process, have sufficient time to reach consensus and feel ownership of its outcomes. Group discussions, use of flash cards to facilitate discussion, and plenary (full group) sessions for building consensus are proven to be useful to generate ideas needed to develop the improvement and CD plans (Please see Appendix 1 Template for the initial preparation considerations for the Planning activity).

Step 4: Developing Terms of Reference

Terms of Reference (TOR) need to be developed for the improvement/CD plan Work Team. A sub-group of the Planning Committee can be charged with preparing this document. The TOR should be an action-oriented document, clearly identifying the objectives, scope and requirements of the improvement/CD planning process, and the responsibilities of the Work Team and participating stakeholders.

Step 5: Acquiring Funding and Resources

The improvement/CD planning process can be funded from internal sources, as it is primarily comprised of individuals' time. Assistance from the MOE can be expected for orientation and training to conduct the improvement/CD planning process. External funding may be required for technical assistance if a professional facilitator is to be brought in from an NGO or University.

Step 6: Preparing a Work Plan

The final stage of the mobilization process is to develop a Work Plan based on the requirements of the Planning Process and TOR. The Work Plan should set out the specific actions required along a timeline, including the schedule for participatory workshops and other key decision making milestones. The work-plan may need to be adapted during the planning process to reflect experience in the process and emerging priorities.

Template 1 (Appendix 1) includes a set of questions that can help you to think through and plan your preparations for the improvement/CD planning.

Box 1: Setting the stage - testing the Steps and tools in Dadeldhura

The MOE-based team discussed and agreed upon the process to be followed in the field. The expected output to be produced in each of the processes was also agreed upon by the team. Process guidelines and required templates were prepared and presented to the MOE steering committee for consensus and approval.

The MOE-based team met the DEO in Daduldhura for consultation about the improvement/CD planning process and the testing of the process with local educators. Two schools were identified for testing and Head Teachers, Teachers, parents, SMC/PTA and community members took part in the exercise. Schools in two other districts also were consulted about the process and tolls. These field experiences were captured and are reflected in this guide.

STAGE 2: The Improvement/CD Planning Process

What is Improvement/CD Planning?

Improvement planning is the process used by community groups, government departments, and other organizations to develop a blueprint for action and change within their community, department, and organization. Capacity Development (CD) Planning is the process used by these groups to ensure that they have the core capacities needed at several levels to effectively implement the activities in their improvement plan. These levels where capacities are needed are within the organization, with the participating individuals of that organization, the institution that the organization is affiliated with, and within its environment.

For an education organization, improvement/CD planning allows individuals and stakeholders to participate in a process to develop strategies to enhance or improve their school or organizational performance. It also provides them with an opportunity to identify issues and actions affecting the performance of their organization, such as their school. Regardless of the type of organization, an improvement/CD plan must be based on a shared vision for the school, a realistic assessment of internal and external dynamics and resources, including all stakeholders, and the setting and agreements of objective and priority results.

Box 2: Benefits of Improvement/CD Planning

Strategic planning serves a variety of purposes in an educational organization, including:

1. Involving stakeholders so that everyone is engaged in the planning exercise,
2. Formulating a shared vision and mission of the organization,
3. Establishing realistic goals and objectives consistent with the vision & mission,
4. Identifying strategies to be carried out in a defined time frame within the organization's capacity for implementation,
5. Communicating those goals and objectives to the organization's constituents
6. Developing a sense of ownership of the plan,
7. Ensuring the most effective use is made of the organization's resources,
8. Providing a base from which progress can be measured,
9. Bringing together everyone's efforts and commitment to change and build consensus about where an organization is going, and
10. Aligning the organization's strategic plan with the National SSRP.

Please see Appendix: Template 2 for the definitions of the terminologies

Reminder: We will frequently use the phrase, "Improvement/CD Planning", to show that the processes for improvement planning also support CD planning. Ideally, they should be done as part of the same process but we acknowledge that many education organizations already have developed their improvement plans and will focus now on their CD plans. Even so, we recommend that you follow these Stages and steps and revisit your Improvement Plan to ensure you are satisfied with it, before committing time and energy in determining what capacities you want to focus on for development, to ensure you are getting the most value out of your CD efforts to achieve your priority results.

In this stage we will introduce 6 steps of the Improvement/CD Planning Process:

1. Create shared vision for improvement
2. Document desired change and improvement
3. Assess the current status by scanning internal and external environment
4. Conduct SWOT Analysis
5. Identify areas of concern that require improvement
6. Formulate goals, strategies and corresponding objectives to address the areas of concern

Box 3: School Improvement Plan (SIP) as a Strategic Plan for the School

What is School Improvement and who needs to do it?

School Improvement is a continuous process that schools use to ensure that all students have an equal opportunity to achieve at high levels. All schools, in collaboration with families, students, and communities, can create better environments, conditions and services for student learning. Continuous improvement of public schools is essential to providing increased quality and student performance. Innovative, exemplary, and evidence-based programs, coupled with staff development, focused and aligned resources, and public participation in planning and implementation are critical for improving schools.

All schools are required to prepare a Five-Year School Improvement Plan (SIP) and Annual Implementation Plan (AIP). This process, required by the Department of Education (DOE), shall include active participation and meaningful input by building a team of staff, students, parents, and community members. The planning process described in this guide can help to meet this requirement.

Will this process work if we need more than one plan?

This framework and process can be adapted to planning and capacity development for any educational organization, department or unit. This process has been tested in schools and districts and in consultation with the MOE CD Management Group to ensure that each entity within the Ministry of Education can apply this process for developing an improvement plan, including a Capacity Development component.

Will this process help to sustain organizational changes?

Often SIPs have centered on infrastructure or innovations, such as new programs or changes in schedules. These types of changes, called “first” order changes, may be positive but do not necessarily, by themselves, make sustained change to student achievement. “Second” order changes are those that alter the school culture or the ways people work together. This process encourages second order change through activities that help staff to reflect on their values, beliefs, and practices and to gain focus and ownership that lead to lasting benefits for students.

How do principals and school improvement teams use this guide?

This guide provides an explanation of the five (5) stages of school improvement planning connected with capacity development and recommends activities within each stage. This can be a cyclical, fluid process, going back and forth between stages, if that better suits your circumstances and purpose.

Steps in the Improvement/CD Planning Process

Step 1 - Development of Mission, Values, and Vision statements

The first step in the improvement/CD planning process is development of strategic vision statement. The vision statement describes what stakeholders value most about children's education and what they want the educational entity (organization) to look like in five years' time. They also will include the results the educational entity will be expected to achieve and the characteristics the educational entity will need to possess in order to achieve those results. The strategic vision statements provide direction and inspiration to organizational members and management for goal setting and improvement planning.

A *vision* is a description, in words, that conjures up a similar image for each member of the group of the destination of the group's work together. Care should be taken that the vision statement should be compelling and inspiring and motivate people to work together toward shared success. It is a succinct way to describe the ideal result for the collective efforts of the individuals that make up the organization. One accepted organizational principle is that a group of individuals will never be greater than the vision that guides them; thus, the development of a vision statement requires that participants and stakeholders think boldly and set high goals.

At the outset of the visioning process, make sure that the participating individuals, including participating stakeholders, understand that the vision and resulting education improvement/CD plans must be aligned with the Nation's overall vision and improvement/CD plan. Also, make it clear that the school improvement program is not separate and apart from the district's overall goals, but rather an integral and supportive driver of the School Sector Reform Plan and its overall improvement/CD plan and goals.

Involving stakeholders in the visioning and planning process can produce valuable assets. It makes the most of their collective knowledge, values, needs, and imaginations to create the best possible outcome: a shared authorship of the vision which will translate into a sense of ownership and commitment to seeing the vision realized; and, assuming the group represents diverse interests, broader support among the community at large.

Although the words "mission" and "vision" are sometimes used interchangeably, they are distinct in an important way: "mission" describes "fundamental purpose"; "vision" conveys a sense of "future direction." Please refer to Template 2 in the Appendices for clarification on these planning terms.

The visioning exercise follows three distinct process steps. First, the *mission* is considered and clarified among the participants. The mission describes what we do, with/for whom we do it, why we do it, and our special competencies. The mission describes our general purpose, "why we exist" as an organization. Here are some questions that can aid in the review of an already-existing mission statement:

1. Is the mission statement clear and on target in today's operating environment?
2. Do you have any specific questions or concerns with respect to the mission statement?
3. Does the mission statement duplicate the mission of any other school or other entity? If so, what should we do about it?
4. Considering the answers to these questions, how, if at all, should the mission statement be changed?

The second step is to articulate our collective and shared *values, beliefs and guiding principles* concerning the children's right to education, expected changes in adults' and students' behaviors that are consistent with our mission. The third step then focuses on generating a *vision statement* in response to how stakeholders visualize their organization/school in a changed state, five years from now. To complete this step, the planning team, in consultation with the stakeholders, will formulate the vision statement that conveys the overall purpose and future of the organization.

Qualities of a Good Vision Statement include:

1. Presents where we want to go,
2. Easy to read and understand,
3. Captures the desired spirit of an organization,
4. Compact -- can be used to guide decision-making,
5. Gets people's attention, and;
6. Describes a preferred and meaningful future state.

Visioning process in Brief

SN	Things to do	Expected output
1	Make sure that participants and stakeholders understand that the vision and improvement/CD planning for school improvement must be consistent with the SSTP	– Mission Statement of the school
2	Share SSRP vision for next five years	– Core conceptions of the school
3	Use <i>Templates 3, 4 & 5 in the Appendices</i> for developing effective Mission, Values and Vision Statements for your School or Organization.	– Value statements – Guiding Principles – Vision statement for school's future

Box 4: Experience from Dadeldhura

We asked team members to state what they value about school and a child's schooling and how they would like to see the school operating in the next five years. A brain storming session was carried out to bring stakeholders together and to work through the following questions together:

- *What do all children deserve to get from school?*
- *What do we believe are some important reasons for school improvement?*
- *What are the desired behaviors and attitudes we expect of adults who live by the core convictions as discussed above?*
- *What are our expectations of HT and teachers?*
- *What do we expect from SMC/PTA?*
- *What do we value about parents and what do we expect from them?*
- *What are the desired student behaviors and attitudes in the school and community where the adults live by their core convictions?*
- *What knowledge, skills and attitudinal changes do we want to see in students?*
- *What behavioral changes do we want to see in our children/students?*
- *What do we hope to achieve through our school improvement plan within the next five years?*
- *What are mostly valued areas to be achieved in next five years?*
- *What should be the achievement target(s) of the SIP?*

The facilitator should inspire the team to consider the following questions and generate the vision for the next five years. The facilitator will state "It is five years from today's date and you have created and implemented your school improvement programs. Now it is your job as a team to describe it as if you were able to see it around you." (The facilitator may use flash cards allowing every individual in the team to envision the future. The generated statements were displayed, organized, and refined from the group discussion. The end product appears in Box 5 below.

Example: Visioning Output from Dadeldhura

Box 5: Visioning- experience from Dadeldhura: Ghatal Higher Secondary School in the year 2015

By the year 2015, quality teaching and learning will be going on in every classroom. All classrooms will support genuine learning and will, therefore, be sufficiently equipped according to a widely agreed upon minimum standards of provision. Pupil-class ratios will not be higher than 35:1. Repetition and dropout rates will be minimal largely because of the quality teaching and learning going on in every classroom. The classroom will have a well-trained and highly motivated teacher, an academic well-versed in the subject(s) s/he teaches; who is also a professional educationist skilled in a number of modern pedagogical techniques that foster inquiry, interaction, and problem solving among all students regardless of their learning styles. Teachers will assess their students on a continuous basis, helping them to reflect on what they did right, what they did wrong, and how they could best learn from their mistakes. Teachers will organize remedial classes for slow learners and low achievers to help them to catch up with other students. The development needs of such a professional will be met on a regular basis through access to needs-based professional development programs.

The SMC will have the capability of managing resources and maintaining transparency, activating support networks, enrich learning and physical environments meeting the minimum enabling conditions. Parents and the community will have a strong sense of ownership of the school; they will actively involve and support the school improvement activities.

If a mission statement and vision statement already exist for your organization, the focus of this step is on reviewing them in light of the emerging vision statement and, if necessary, revising the focus and language. For the development of consolidated mission and vision statement, *please see Appendix: Template 5.*

Step 2 – Understanding the SSRP Context and alignment of vision and achievement targets

In this step, it is necessary to analyze available organizational information to set a performance baseline and to identify the specific challenges; analyze the organizational and institutional context; identify the SSRP objectives, targets and strategies that relate to your organization; and review ongoing or planned public sector reforms and their potential implications on your organizational mission and vision.

This step is required to align SSRP vision and achievement targets with those of your school or other institutions under the MOE. Make any necessary adjustments in your vision and achievement targets after this review.

Process in brief: Aligning SSRP achievement targets with school or organization's targets

SN	Things to do	Expected output
1	Review SSRP document	<ul style="list-style-type: none"> – School's or organization's vision in line with SSRP vision, – School's or organization's achievement targets in line with SSRP targets, – Statements of desired changes in the school/organization
2	Check SSRP vision and goal statements	
3	Identify achievement targets related to the school or organization	
4	Make adjustments in newly developed vision and achievement targets (Results)	
5	Write down desired changes with respect to the newly adjusted vision	

Box 6: Aligning with the SSRP - experience from Baijanath Secondary School, Dadeldhura

After completing the visioning process by the stakeholders in Baijanath Secondary school, the facilitator shared the SSRP vision and achievement indicators with the group. The facilitator asked how the SSRP vision and school vision can be aligned. The participants, after some discussion, assigned a small team of four comprised of the Head teacher, two teachers and one PTA member to focus on the alignment of the school's vision and achievement targets. The small team took the SSRP vision and achievement targets in reference and made necessary adjustments to their own. The adjusted vision and achievement targets were presented to the bigger group for their review and approval.

Step 3 - Understanding the internal and external environment of the organization: conducting a SWOT Analysis

The next step in information gathering and analysis is conducting an internal/external assessment, called a SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis. The purpose of the internal assessment is to identify and analyze the internal structure, processes and operations of the educational entity and based on this assessment, to pinpoint strengths and weaknesses. Internal areas examined include personnel, organizational processes, work culture, practices, funding, physical facilities, equipment, use of technology, location, financial condition, management practices, governance, programs, products and services, stakeholders' satisfaction and other relevant areas. This information will help the Planning Team understand the entire process, practices, and capabilities of the organization. This assessment is performed by organizing a stakeholders' meeting whereby information is generated through discussions, using flash cards, and/or group work.

Similarly, the facilitator should lead the group to scan the external environment influencing the school/organization. The external environment that influences the school may not be under the control of the school, such as the political, social and economic context along with emerging trends in education that affect the organization/school. The external situation affecting your organization should be

considered in terms of which opportunities and threats can most affect your organizational performance.

Process in brief: Scanning of the internal and external environment

SN	Things to do	Expected output
1	<p>Analyze internal environment of the organization</p> <ul style="list-style-type: none"> • Review of purpose and goals; • Review of the existing plan; • Review of the existing capacity and resources; • Review of the work system and work practices, and relationships; • Assessment of existing performance level • Identify strengths of the organization • Identify weaknesses of the organization <p><i>Please use Template 6 in the Appendices</i></p>	<ul style="list-style-type: none"> • Understanding of the internal and external situation of the organization. • Identification of issues associated with individual capacities/motivation of the members. • Analysis of organizational processes. • Understanding of the socio-cultural issues of the organization • SWOT analysis product
2	<p>Analyze external environment</p> <ul style="list-style-type: none"> • Review of national policies on education; • Demand for services in the area and the existence of competitors; • Review of the constituency influencing the performance of the organization (the socio-cultural, economic and political situation) • Identify opportunities in your environment • Identify threats in your environment <p><i>Please use Template 7 in the Appendices</i></p>	

Box 7: SWOT Analysis: tips from the field experience

First consider desired changes from alignment with the SSRP. Conduct SWOT analysis using flashcards if the stakeholders' group is small. If stakeholders' group is large, divide the group and ask them to identify strengths and weaknesses based on the information generated from scanning the internal environment. The opportunities and threats are generated through group discussion based on the information generated through scanning the external environment. If group discussion is used for the SWOT analysis, a plenary session can be organized to build consensus.

In Dadeldhura, since the stakeholders' group was small, the flashcard approach was used to generate Strengths, Weaknesses, Opportunities and Threats. The facilitators initiated an open discussion to assess the internal and external environments of the organization/school. The facilitator then utilized flashcards to document strengths and weaknesses and organized them on the wall to guide the discussion. The participants discussed each of the cards generated, made necessary changes and adjustments, and then finalized the SWOT statements. A small group was engaged to complete the SWOT analysis formats as given in Templates 6 and 7.

Step 4 - Identification of Issues and Challenges: Areas of concern

The fourth step in the planning process is identification of critical strategic issues, choices and challenges facing the organization or entity. Critical issues are fundamental policy or program concerns that define the most important situations and choices an educational entity faces now and in the future with respect to the accomplishment of SSRP and organizational results. Critical issues can reflect long-standing problems in the organization, the clients/community served or recent events that are anticipated to have a significant impact on the entity and clients it serves. Critical issues can also reflect major shifts in thinking that challenge the ability to conduct “business as usual.” The selection of issues is important because it determines a range of decisions the organization or entity can consider in the future and lead toward the desired direction of change and improvement.

In some instances, the educational entity (organization) is already aware of the critical issues that the improvement/CD planning process must help it address. In other situations, the participants in the planning process may have identified new critical issues as they work through their assessments, such as the SWOT.

Please use Template 9 in the Appendix for this step.

SN	Things to do	Expected output
1	Refer desired changes from Stage 2/Step 2	Generation of list of areas of concern/issues Prioritized areas of concerns/issues Selection of most critical areas of concerns/issues
2	Review SWOT analysis	
3	Identify areas of concern	
4	Prioritize areas of concern	
5	Identify issues to be addressed to achieve the vision of the organization and bring about the desired changes	

Box 8: Identification of areas of concerns and prioritization: experience from the field

The stakeholders group in Baijanath Secondary School participated in a discussion to analyze the existing situation of the school. The facilitator inspired the group to speak up about the strengths and weaknesses, which included four strengths: (a) good relation between the HT and teachers, (b) regular classes, (c) environmentally fresh and peaceful location, and (d) school in close proximity to attending students; and four weaknesses: (a) no proper toilet facility for boys and girls, (b) inadequate furniture for students, (c) inadequate classroom space for students, and (d) no library, science laboratory and computer lab in the school.

From these weak areas, the stakeholders came up with following concern: "How can we improve the physical environment conducive to student learning?"

The concern or issue stated above was transformed into a strategic goal: ***Improve physical environment conducive to student learning.***

Step 5 - Development of Strategic Goals and Corresponding Objectives

The fifth step in the planning process is development of *strategic goal statements* consistent with the vision statements. Strategic goals are broad statements of what the educational entity hopes to achieve in the next 3 to 5 years. *Goals* focus on outcomes or results and are qualitative in nature. Often goal statements are generated from some of the critical issue statements developed earlier in the planning process.

Here are some examples of goals for School Improvement:

- Expand and diversify revenue base in order to support anticipated growth
- Improve overall teaching learning processes and practices
- Ensure all school age children are enrolled in school.

After developing strategic goals, the planning team will develop strategic *objectives* for each of the goals. Strategic objectives are statements about the major approach or method for attaining goals and resolving specific issues. Ideas for strategic objects emerge from the earlier internal, external assessments -- especially the strengths and weaknesses identified in the internal assessment as well as the opportunities and threats identified during the external assessments.

A strategy is judged potentially effective if it does one or more of the following to achieve the goal and objectives:

- Takes advantage of environmental opportunities
- Defends against environmental threats
- Leverages organizational competencies
- Corrects organizational shortcomings
- Offers some basis for future competitive advantage and organizational efficiency.

Here are examples of strategies for a sample goal: *Expand and diversify revenue base in order to support anticipated growth.*

1. Generate revenue from special events
2. Increase funding from public sources
3. Expand individual giving from major donors.

S.N.	Things to do	Expected output
1	Prioritize goals and objectives	List of prioritized goals and objectives List of potential strategies, List of prioritized strategies List of selected strategies
2	Generate possible strategies to address areas of concern/issues	
3	Prioritize possible strategies to address each of the areas of concern/issues	
4	Select most essential and urgent strategies	
5	Finalize the list of strategies to address areas of concern/issues	

Step 6 - Development of Annual Operational Objectives

The sixth step in making the improvement plan specific and operational is the development of annual objectives. The purpose of this step is to formulate *operational objectives* consistent with the goals and strategic objectives of the improvement/CD plan. Operational objectives should be specific, concrete, measurable statements of what will be done to achieve a goal generally within a one-year time frame. Objectives include answers to the following questions: Who will accomplish what, by when, and how will we measure the outcomes or results of the activity.

Strictly speaking, annual operational objectives are not part of an improvement/CD plan of an organization. Operational objectives are the core of the educational entity's/organization's Annual Implementation Plan that is based on the 5-Year improvement/CD plan itself. The planning process will also address the costs associated with implementing objectives. This information will be utilized in the development of budgets.

Here are some examples of operational objectives for a sample goal and strategic objective:

- **The sample goal is:** Expand and diversify the revenue base in order to support anticipated growth.
- **The sample strategic objective:** Generate revenue from special events.
- **A sample operational objective:** The School Management Committee will establish a Fund Development Committee consisting of at least 7 members consisting of SMC, PTA, HT, and teacher representatives and provide training in

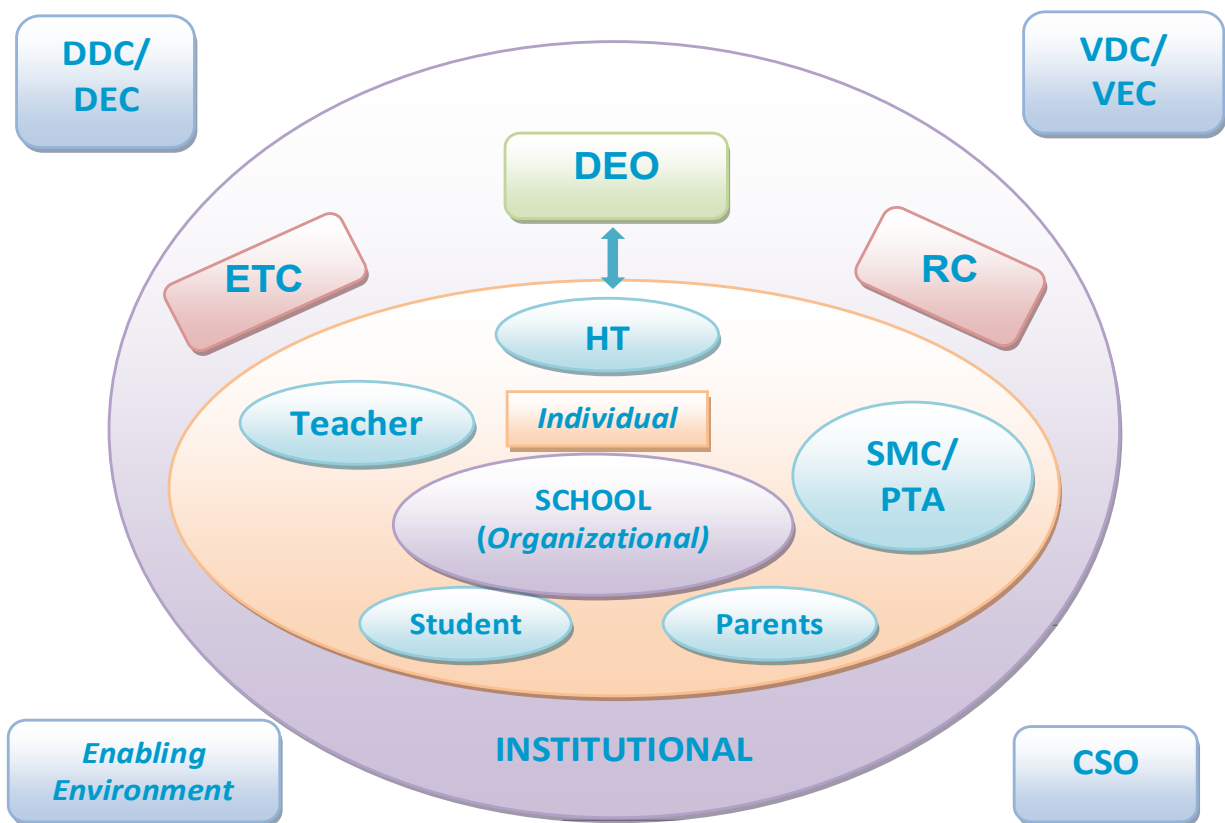
- special events fund raising by July of year 1 of the improvement/CD plan.
- **Another sample operational objective:** The Fund Development Committee will generate at least NRS150, 000 from no more than 3 special events by July of year 2 of the improvement/CD plan.

These six steps conclude the strategic planning process and we are now prepared to develop a Capacity Development (CD) Component to include in your Improvement Plan.

STAGE 3

Capacity Development Planning

In this stage, we will introduce six (6) Steps to formulate a Capacity Development (CD) Plan that will be based on your current organizational improvement plan or can be developed as part of your new improvement plan. The CD Plan will provide the path and document the means to build on your current *organizational* and *individual* capacities with enabling activities and actions that you have identified, using strategies to access support, and it will include supplemental capacities in your *institution* and *enabling environment* – or at least mitigating constraints that may exist there - to develop the core capacities you've identified that you need to achieve your priority results. These “levels”, *individual*, *organizational*, *institutional*, and the *enabling environment* are illustrated below from the perspective of the school as the organization.

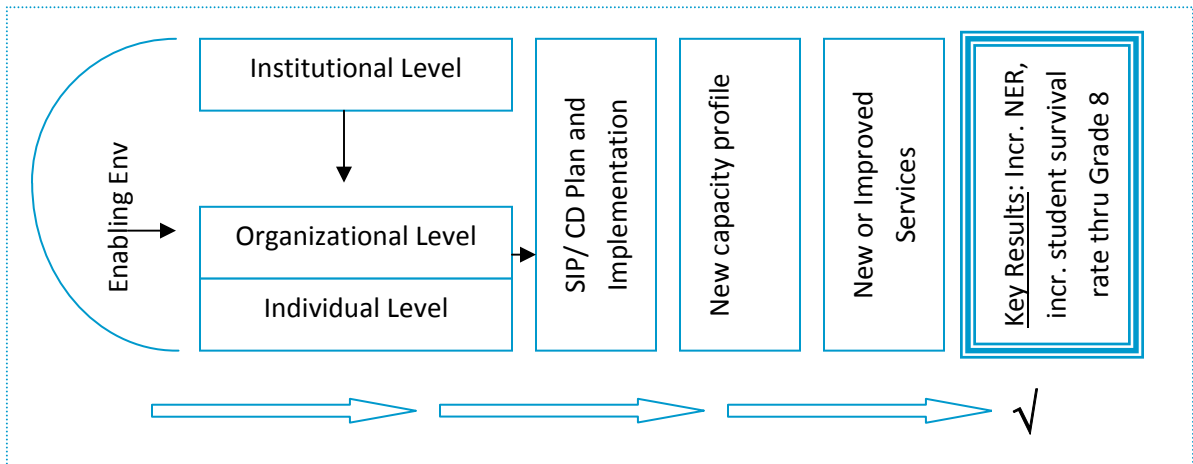


Each of the CD Planning Steps includes examples and has a template in the Annexes to use with your own organization to formulate a CD Plan that reflects your own needs and priorities and that you can use to implement your own organizational improvement plan, such as the SIP or DEP. The six CD planning steps are:

1. Identify the priority results in your organizational improvement plan (such as the SIP/DEP) to be supported by the CD component
2. Identify the services or activities that will contribute most directly to achieving the priority results
3. Identify the core capacities considered most essential to deliver the necessary services and activities to achieve the priority results
4. Complete a Capacity Needs Assessment
5. Create a Blueprint for the Capacity Development (CD) Plan, and
6. Create a Capacity Development (CD) Plan for your organization.

The resulting plan will provide the path and document the means to achieve your priority results, as illustrated in the Figure below.

Figure 2: CD Planning for Results



Step 1: Identify the priority results in your organizational improvement plan (SIP/DEP) to be supported by the CD Plan.

Based on the education improvement plan confirmed or developed in Stage II, the CD Planning Team will identify key results to be given priority for support. It is expected that priority results will be consistent with SSRP results expected of that organizational unit (e.g., School, District). Inputs from the stakeholders' group is essential while identifying key and priority results. For example, a DEP priority result for a DEO could be “Achieving NER of 85% in basic education.” An example of an SIP priority result for a basic education school could be increasing the survival rate through Grade 8 by 10%.

The list of priority results on which to focus Capacity Development efforts must be a realistic and manageable set. Education planning is an annual exercise and capacity development is an ongoing process. With each year's CD effort focused on priority results, rather than all key results, there is a greater likelihood of actually achieving a more finite set of results. Once the capacity for achieving those results are in place, they can be built upon next year as new results are given priority for capacity development and achievement.

Also consider giving attention to key results that you currently do not have the capacity to achieve. Since you currently have the capacity to achieve some of the improvement plan results in your DEP or SIP, you are likely to achieve them. Instead, try focusing on results that are of priority to you but exceed your current capacity. Focusing your CD plan on those results will help build the capacity of your organization and individual members to perform at higher levels and achieve new things.

Reminder: When selecting priority results, select a set of results (i) that are consistent with SSRP results for your organizational unit and (ii) that can realistically be achieved if the capacity to achieve them can be developed within five years and begun within three years. A list of SSRP expected results are included as Appendix 11.

Step 2: Identify the enabling services or activities that will contribute most directly to achieving the priority results.

In order to achieve the results that have been given priority for the coming year, you must determine what services or activities will enable you to achieve them. The CD Planning Team should review SSRP expectations in identifying or confirming effective services and activities for each priority result. Using the example from Step 1, a DEP/CD enabling activity for a priority result might look like this:

“Achieving NER of 85% in basic education”: Train SMCs on tracking and supporting student enrolment and on effective community communication, including (1) reviewing enrolment and attendance records with the Head Teacher to identify those students at risk of dropping out; (2) communicating with parents of at-risk students to support them in school; and (3) communicating with youth not in school to enroll or re-enroll.

SIP/CD enabling activities for a priority result might look like this:

“Increasing the survival rate through Grade 8 by 10%”: (1) Use Continuous Assessment in all classes, (2) Provide remedial instructional program for at risk students, (3) Continue scholarship program for OVCs and those most needy.

Reminder: The selection of Enabling Services or Activities should be those that most directly contribute to achieving the result and that you can commit to undertaking in the coming year. For example, CAS, supplemental instruction, and scholarships contribute directly to the student survival rate – building a memorial statue does not.

Step 3: Identify the core capacities most essential to delivering the necessary services and activities to achieve the priority results.

The CD Planning Team will discuss and identify the core capacities to successfully implement the services and activities to accomplish the desired results of the improvement plan. The identified capacities will be prioritized in order to select those that form the core for effective implementation of those services and activities.

Please see Appendix 12 for an inventory of illustrative core capacities for schools, DEOs, the DOE and the MOE.

Continuing our DEP and SIP examples, the District CD Planning Team determined that they need three (3) core capacities to deliver training to SMCs that will lead to improving the NER.

Result: Achieving NER of 85% in basic education	
DEO service/activity	DEO Core Capacities
1. Train SMCs on tracking and supporting student enrolment and attendance and on effective community communication.	<u>Technical Reference</u> : A training curriculum on orienting SMCs on the need to motivate community members to support their children’s school enrolment and attendance, and delivering the skills to review the school register and communicate effectively with parents and out-of-school youth.
	<u>Personnel</u> : Sufficient staff at the DEO (supervisors) who are trained as trainers and trained to deliver the content of this SMC training.
	<u>Financial Resources</u> : Sufficient funds to conduct the SMC trainings.

The CD Planning Team at the School focused on the capacities needed to conduct Continuous Assessment (CA) in all grades (validly and reliably), provide remedial instructional program for at risk students, and continue the scholarship program for OVCs and those most needy. The CD Planning Team then determined that they need three sets of capacities to effectively implement these activities and services:

Result: Increasing the survival rate through Grade 8 by 10%	
School service/activity	School Core Capacities
1. CAS	1a. <u>Technical Reference</u> : A guide for conducting CA in the classroom 1b. <u>Teachers</u> : Expertise on CA
2. Remedial instruction	2a. <u>Technical Reference</u> : A guide for designing and delivering effective remedial instruction 2b. <u>Teachers</u> : Expertise in remedial instruction
3. Scholarship program	3a. <u>Planning</u> : A plan for identifying, supporting and tracking OVCs and at risk children for school enrolment and attendance 3b. <u>Financial Resources</u> : A realistic plan for financing the scholarships

Reminder: When identifying the capacities that are essential to delivering the services or activities, select those that are most critical (essential) to getting them done. This may not include all desirable capacities. The reason for focusing on the most critical or essential is that this plan needs to be implemented in the coming year and an unrealistic wish list of all desirable capacities is more likely to be distracting and discouraging than helpful.

For example, some might say that teachers should be trained in statistical theory in order to understand the foundations of Continuous Assessment (CA) and how the measurement of student learning is to be done. That might be necessary for the person designing CAS but teachers need to know how to use the methods in CA, how to interpret the results, and how to modify instruction as a result. More training than that may be appreciated by the teacher but will provide more information than needed for CAS at the expense of other things the teacher could be doing with that time.

Step 4 – Complete a Capacity Needs Assessment, focusing on the core organizational and individual capacities considered most essential to achieve the priority results – as well as the relevant capacities at the institutional level and in the enabling environment needed for support – compared with currently existing capacities.

For each set of Priority Result/Enabling Services or Activities, compare the *current* capacities in your organization - and the individuals who work in the organization – to the Core Capacities that you identified as essential to getting the job done. Then identify those capacities needed from the institutional level (for schools, that would include the DEO, Resource Center, and ETC. Finally, consider the capacities that are needed for support from the Enabling Environment (such as the VDC/VEC, CSOs, or the DDC/DEC for schools).

Identification of organizational and individual capacities – both current and needed core capacities – are the starting point for this step since these are most under the control of the organization. As we consider the capacities needed from the institution, e.g., MOE Units, we can influence those through consultation and request. Needed capacities in the enabling environment can be accessed through request or advocacy. Environmental capacities are least under the control of the organization but may be very important nonetheless.

Reminder: Capacities in the institution and enabling environment might be services, activities, or actions needed – or they could be changes in, or the elimination of negative factors that are inhibiting or constraining the organization from improving. For example, there could be policies or regulations that interfere with efficient school functioning (at the institutional level) or political influence over hiring qualified personnel (enabling environment).

In the school example, illustrated below, the Capacity Needs Assessment revealed that for implementation of the CAS, at the organizational level, there were adequate structures, resources and leadership/management to adopt and use the new assessment system. What are lacking, and need development, are the processes and practices to use it. At the individual level, some teachers have the necessary qualifications to teach and test at their level and some don't; but none (in this example) have the technical background or training as yet to use the CAS. And most are still skeptical about using the CAS.

At the institution level, there are policies and technical models available to support CAS in the school, but no program as yet to orient and train teachers on it. In the enabling environment, there is support from the community for CAS, as it has been understood to support a supplemental instructional program for the students.

In this example, the capacity profile for the supplemental instructional program is similar except that a CSO is offering training to help the teachers implement the program. Capacity for the scholarship program appears to be well established.

Result 1: Increased survival rate through grade 8.

Services/Activities needed: (1) CAS, (2) Supplemental Instructional Program, (3) Scholarship Program

Adequacy to deliver services:	CAS		Suppl. Instr. Program		Scholarship Program	
	Adequate	Needs Development	Adequate	Needs Development	Adequate	Needs Development
Organizational						
structures	√		√		√	
processes and practices		√		√	√	
resources	√		√		√	
leadership/management	√		√		√	
Individual						
qualification	√	√	√	√	√	
technical knowledge/skills		√		√	√	
motivation		√	√		√	
Institutional						
policies	√		√			
programs		√		√		

regulations						
coordination/communication						
technical models/references	√			√	√	
Enabling Environment						
Community support	√		√		√	
CSO support				√		
Economic situation						√

The results of the Capacity Needs Assessment provide the foundation for developing the Capacity Development Plan.

Step 5 – Create a Blueprint for the Capacity Development (CD) Plan.

The Capacity Needs Assessment just completed in Step 4 is the foundation for the CD Plan and specifies the priorities for CD. In this step, we will operationalize these specifications with more descriptive detail, so that we know more precisely what we’re seeking from the CD Plan.

Following our school example, focusing on Continuous Assessment, “operationalizing” the specifications could look like this:

Key Result Area 1: Increasing the survival rate through Grade 8 by 10%			
Enabling Activity 1: Effectively implement a Continuous Assessment System (CAS)			
Desired Capacity	Existing Capacity	CD Needs	Priority #
<ul style="list-style-type: none"> CAS effectively implemented <ul style="list-style-type: none"> Oriented on CAS Analysis and use of portfolio Key role of CAS in teaching–learning activities Teachers use CAS manual directives Discuss the monthly achievement of students in the teacher staff meetings Interactions with weak students to meet the learning requirements Parents are informed of 	<ul style="list-style-type: none"> Conventional assessment system in place Examination records are kept in a proper manner Student progress report cards are not given to parents Reluctance in adopting CAS Teachers are not convinced with liberal promotion policy 	<ul style="list-style-type: none"> Time and materials made available to teachers to use CAS Conceptual clarity on CAS among stakeholders Further clarity on formative and summative evaluations among head teacher and teachers Head teacher and teachers increased competencies on CAS application Use of teachers' manual developed for CAS program Professional support to 	1 1 2 1 1

the progress of their children (with progress reports)		head teachers and teachers for the application of CAS	
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Step 6 - Building your organization’s Capacity Development (CD) Plan.

By reaching Step 6, you have developed a blueprint for your CD Plan. The blueprint is based on identification of priority improvement plan (DEP/SIP) results, the enabling services or activities that will contribute most directly to achieving those results, the core capacities considered most essential to deliver the services and activities that are expected to achieve the priority results, a needs assessment comparing your current capacities to the ones you need, and a description of what those needed capacities actually are (the blueprint). Now it is time to build a plan to develop those capacities to achieve your priorities, using the following building blocks.

- a. Specify needed actions and activities. In this step, we will start by the listing the capacity development needs you just developed and then specify more precisely what activities or actions are needed to develop each capacity that you identified. For example, we said that in order to effectively implement a Continuous Assessment System (CAS) in the school, one of the needed capacities is to make “time and materials available to teachers in order to actually use the CAS.” Teachers are often assigned tasks but not the time and materials to do them effectively. In this case, CAS will not be done well unless teachers are given the space and support to actually do the detailed work that is required of CAS. The Headteacher will need to ensure that teachers’ schedules include sufficient time for CAS work and post the new schedules. Appropriate materials also need to be provided to teachers, such as posters, markers, paper, and pens.

Another example is that Head teacher and teachers need to increase their competencies on CAS applications. This will require a training workshop and a reference manual that they can take back to the school to implement and conduct CAS correctly. So, the CD Plan begins to look like this:

Key Result Area 1: Increasing the survival rate through Grade 8 by 10%		
1. Effectively implement a Continuous Assessment System (CAS)		
S No	CD Needs	CD Activities or Actions
1.1	Time and materials available to teachers	Adjust the teachers’ daily schedules and post the new schedules.
		Provide posters, markers, paper and pens to teachers

1.2	Head teacher and teachers need to increase their competencies on CAS applications	HT and Teachers participate in a CAS training workshop and take away a reference manual for later use.
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- b. Identify the “location or source” of each action or activity. Each action or activity will be located at - or sourced from - individual, organizational, institutional levels or the enabling environment. These need to be specified for each action or activity in order to activate them. In this example, the Head-teacher can adjust the teacher’s daily schedules and provide the materials that are needed; and the Resource Center can provide the CAS training workshop and reference manuals.

There will be some challenge in getting accurate information on where these capacities (resources) are available and verifying whether they are accessible. First, check to see if they are locally available, since those capacities and resources will be more readily accessible to your organization. Also check with NGOs/INGOs operating in your locality to see what they are providing and if your organization can be eligible to participate. Check with the DEO and then with the MOE if you are not satisfied with what you have found to support your CD Plan thus far. This is a significant investigative sequence that will take some time, communication, research, and documentation – but it will pay off if you can get the resources and support you need to build the capacities of your organization and the individuals serving in it, and achieve your priority results.

Key Result Area 1: Increasing the survival rate through Grade 8 by 10%			
1. Effectively implement a Continuous Assessment System (CAS)			
S No	CD Needs	CD Activities or Actions	Location or Source
1.1	Time and materials available to teachers	Adjust the teachers’ daily schedules and post the new schedules.	School: Head-teacher
		Provide posters, markers, paper and pens to teachers	School: Head-teacher
1.2	Head teacher and teachers need to increase their competencies on CAS applications	HT and Teachers participate in a CAS training workshop and take away a reference manual for later use.	Resource Center (RC)

- c. Cost the CD actions and activities. The estimated cost of the actions or activities must be included in order to know the resource requirements for implementation. This includes activities that have no cost, can be self financed, are already funded, or that require additional funding.

Some activities will have **no cost**, like the Head-teacher adjusting the schedule to include time for CAS. Peer teaching and coaching within the unit, such a senior teachers mentoring junior teachers, are also examples of enabling activities that may have no cost.

Self finance refers to using resources already available to the organizational unit. For example, the Head teacher may be able to provide the posters, markers, paper and pens out of the school operating budget. **Already funded activities** refers to programs and activities that have a funded mandate to serve that organizational unit, such as the RC providing the training and reference materials on CAS.

Finally, **additional or external funding** may be needed for some innovation or new improvement area that fall outside of the ability of the organization or institution to finance. In these cases, it may be necessary to solicit or access support from sources in the enabling environment, such as the VEC, MOE, NGOs, or private or external donors. Many CD activities will include a combination of sources for full funding.

Key Result Area 1: Increasing the survival rate through Grade 8 by 10%				
1. Effectively implement a Continuous Assessment System (CAS)				
S No	CD Needs	CD Activities or Actions	Location or Source	Resources/ Source
1.1	Time and materials available to teachers	Adjust the teachers' daily schedules and post the new schedules.	School: HeadTeacher	0
		Provide posters, markers, paper and pens to teachers	School: HeadTeacher	4,000
1.2	Head teacher and teachers need to increase their competencies on CAS applications	HT and Teachers participate in a CAS training workshop and take away a reference manual for later use.	Resource Center (RC)	RC Funded

- d. Scheduling: Add a Timeline. Scheduling the activities or actions should be done in consideration of the school calendar – when is if least disruptive to students and when can individuals be available to participate. Another factor is an activity likely to be available, such as an RC training. If the activity or action needs to be funded from the MOE or from outside sources, then time to request or advocate for that funding needs to be considered with scheduling the CD plan.

When scheduling trainings from the institution (e.g., RC) or enabling environment (e.g., NGO), make your request according to your school needs and schedule, remembering that you may have to adjust these according to programs and schedules already set to meet the majority of requests that may not match yours.

The “Timeline” is now added to our CD Plan outline below.

Key Result Area 1: Increasing the survival rate through Grade 8 by 10%					
1. Effectively implement a Continuous Assessment System (CAS)					
S No	CD Needs	CD Activities or Actions	Location or Source	Resources/ Source	Timeline
1.1	Time and materials available to teachers	Adjust the teachers’ daily schedules and post the new schedules.	School: HeadTeacher	0	April
		Provide posters, markers, paper and pens to teachers	School: HeadTeacher	4,000	April
1.2	Head teacher and teachers need to increase their competencies on CAS applications	HT and Teachers participates in a CAS training workshop and take away a reference manual for later use.	Resource Center (RC)	RC Funded	March

- e. Completing the Plan: Add the Strategy. Finally, to complete the CD plan, we need a strategy to make acquire the resources and ensure that the enabling activities and action happen. In the example we’ve been using, the HeadTeacher can take a decision with the SMC to adjust the teacher’s time and schedule to support their using CA and to provide the materials that are needed. To access the training on CAS, a request must be made prior to the time when the training is needed, in this case 2-3 months before the training. The request was made in time to schedule the training so that teachers could be ready to implement CAS at the beginning of the new school year.

Key Result Area 1: Increasing the survival rate through Grade 8 by 10%						
1. Effectively implement a Continuous Assessment System (CAS)						
S No	CD Needs	CD Activities or Actions	Location or Source	Resources/ Sources	Time-line	Strategy
1.1	Time and materials available to teachers	Adjust the teachers' daily schedules and post the new schedules.	School: HeadTeacher	0	Sept	School decision (HT/SMC)
		Provide posters, markers, paper and pens to teachers	School: HeadTeacher	4,000	Sept	School decision (HT/SMC)
1.2	Head teacher and teachers need to increase their competencies on CAS applications	HT and Teachers participates in a CAS training workshop and take away a reference manual for later use.	Resource Center (RC)	RC Funded	Jun-Jul	Request to RC to be made in Jan

Other examples of strategies for CD include requesting further training for SMCs and advocating for the political parties to not interfere with the hiring of teachers.

These building blocks will produce a CD Component that will support your organizational Improvement Plan. Template 13: Building a Capacity Development (CD) Plan, is included in the Appendices for your reference and use.

The next Stage is developing your M&E Plan for Improvement/CD Plan Implementation.

STAGE 4

Developing an action-oriented CD Monitoring and Evaluation Plan

A monitoring and evaluation (M&E) plan is a mirror which reflects all major activities of a program or project and helps to assess whether the activities are bringing value to the organization and helping it achieve its priority results. It focuses on what to monitor, how to monitor, when to monitor, how to evaluate (value) the activities (useful or not?), analysis of the data, and what actions need to be taken as a result

After developing the Improvement/CD plans, each organization should complete an M&E plan to determine if they are developing the capacities that they most need to achieve their priority results. Since each organization is monitoring and evaluating implementation of their own plans, the M&E plan should be as simple, transparent, and useable.

It is recommended that a subgroup of the organization's Planning Committee be tasked with the M&E for CD Plan implementation. For schools, the M&E working group should be comprised of the Head Teacher (or his/her designate), the SMC Chair (or his/her designate), one teacher, and a representative of the VEC. The Head Teacher and SMC Chair should ensure that the data are collected and reported each term, at a minimum. The M&E findings should be reported at an SMC meeting with the Head Teacher and Teachers present, to validate and analyze the findings and to strategize on next steps where challenges exist.

The following table provides an example of an M&E plan, using our ongoing school example. The results and capacities from the plan are listed in the first column. The monitoring dimension is the "achievement data" (where the core capacities developed?). The evaluation dimension are the "valuing data" (are the capacities achieved making a difference and likely to lead to the result?).

Basic M&E data are a foundation on which to plan adjustments or next steps in the plan and program. To facilitate using the M&E data on a regular basis, two additional columns have been built into the M&E design: one for analysis and one for planning. If the M&E activities are done on a termly basis, as recommended or even more frequently, then planning and changes do not have to wait for the next year. Holding all changes for annual planning will miss numerous opportunities to develop needed capacities and achieve results. With this design, analysis of the M&E data can be done in the same SMC meeting when the data are reported, as well as planning any necessary adjustments or remedial actions in the CD Plan.

Sample M&E design for a School CD Plan

Key Result Area: Increasing Survival Rate through Grade 8 by 10%

1. Effectively Implementing a Continuous Assessment System (CAS)

<i>From the CD Plan:</i>	<i>Monitoring Data:</i>		<i>Evaluation Data:</i>		<i>Analysis:</i>	<i>Planning:</i>
Result/Capacity Indicator	Achievement Data	Data source/frequency	Valuing Data	Data source/frequency	Result/Capacity achieved or cause(s) of not achievement	Strategy/schedule for implementing needed changes
Result: Grade 8 survival rate increased by 10%	Grade 8 enrolment/ completion rates	School records/ Annual	% change in grade 8 enrolment/ completion rates	School records/ Annual		
1. CAS Implementation	In use?					
CAS Capacities						
1.1a Time available to teachers for CAS	New schedule recorded or posted (Y/N); when?	HT and Teachers/ Termly	Is time for CAS used for CAS? Is it sufficient?	HT and Teachers/ Termly		
1.1b Materials available to teachers for CAS	Materials purchased and distributed (Y/N)? When?	HT and Teachers/ Termly	Are CAS materials used for CAS? Are they sufficient?	HT and Teachers/ Termly		
1.2 HT and teachers increased competencies on CAS	CAS training program completed	HT and Teachers/ Termly	All teachers attend? Skills being used?	HT and Teachers/ Termly		

An M&E template (14) is included in the Appendices.

STAGE 5

Capacity Development (CD) Arrangements

The CD Framework is neither a stand alone nor a parallel process. The framework is built to strengthen the use of SIPs by streamlining linkages with the SIPs, Village Education Plans (VEPs), District Education Plans (DEPs), and with the Annual Strategic Implementation Plan (ASIP). The framework utilizes existing processes and information that is required to developing SIPs, VEPs, DEPs and the ASIP/AWPB. The framework includes sets of field tested materials, tools and templates that are verified at school and community level by applying them into the regular school improvement plan (SIP) process. The tools and templates are harmonized with the SIP process, minimizing additional information needs and extra work to the planning teams at each organizational level.

The SSR Plan provides several key strategies to operationalize the capacity development plan:

Strategic Interventions

...With the approval of the CD framework and guidelines all MOE agencies will be provided with the necessary technical assistance to review, align and update their CD plans within this framework.

MOE will develop a broad framework for capacity development based on which concerned agencies will prepare annual implementation plan covering capacity needs at the implementation levels and is reflected in the ASIP.

The preparation and implementation of capacity development plans will be centrally coordinated and facilitated to ensure that processes and final plans meet minimum technical quality standards, to achieve alignment with overall MOE goals and to pursue synergies between different levels of the service delivery system.

All organizational units will be setup and made responsible for the preparation and implementation of CD plans based on the indicative plan stated below. The primary role of the MOE CD coordination mechanism will facilitate the preparation and updating of individual CD plans of the concerned agencies. All agencies will have access to the necessary technical expertise and financial resources for this purpose.

Source: SSR Plan, 2009-15 (MOE, 2009).

It is made explicit in the SSR Plan that this framework will serve as the reference document based on which individual institutions, within the MOE and at each levels from the center to the school level, will develop their specific capacity development (CD) component. As with the SSR Plan, capacity development will constitute a separate component in their annual strategic implementation plans such as SIP, VEP, DEP, ASIP, from school to the central level agencies, respectively. The capacity development component will follow the same time frames as with the planning and development work regularly carried out in schools, districts and at the central level.

SIP has been recognized as the strength in planning for development at the school level as it is widely understood and is recognized across all public schools. This process has been made mandatory and all public schools are required to prepare SIPs with five year and annual updates in the plan as needed.

However, there are two major areas in the current SIP process that need to be established prior to building further on this process:

- a) Establishing a clear relationship between SIP and school funding. This will require SIPs to be made more credible, realistic and implementable, and
- b) Evaluation of SIPs; within the existing system, evaluation of SIPs is almost impossible.

In order to strengthen the SIP process and to build its credibility as a basis for capacity development and school improvement, a mechanism is needed at the community level to evaluate the SIPs and to ensure funds as well as its implementation. As it is also suggested in the SSR Plan, the following strategies should be followed for effective implementation of CD components:

At the School-Community Level

- 1) Current RP and RC system could be effectively utilized for SIP planning including its CD component. However, they have been already overly tasked and any additional task would only make them more ineffective. For the effective planning and implementation of SIP, realignment of Resource Centers and a revisit to RP's job descriptions is a must. The most appropriate solution to this is to assign RPs as Education Desk Officers (EDO) at each local government bodies such as VDCs and municipalities. School supervisors and RPs can be effectively turned into Education Desk Officers by providing basic training in education planning, evaluation, and monitoring and supervision.
- 2) However, until such times when provision of EDOs are officially made, the current RPs and School Supervisors can be given the responsibility for providing training and orientation to SMCs and school teachers including the head-teacher. School supervisor and RPs will first receive their own training and orientation and consequently conduct the same for school members in their resource centers.
- 3) Strengthen and reform the Village Education Committee (VEC). Under the VEC a technical committee comprising RPs, HTs and experts should be formed. The committee will evaluate SIPs and recommend to VEC for its approval. Among other functions, the VEC shall have the final authority to evaluate and approve SIPs within their jurisdictions. This will require some training on planning and evaluation, and monitoring and supervision.
- 4) All funds going to the school must be based on clear and transparent criteria such as funds tied to top priority activities and should be released on the basis of approved SIPs.
- 5) The VEC including the technical committee shall be made responsible for monitoring, supervision and follow-up of implementation of SIPs in schools within their jurisdiction.
- 6) Develop capacity of the VEC and the technical committee in respect of the roles and functions mentioned above.

At the District Level

- 1) Strengthen and mobilize existing District Education Committee (DEC) for developing District Education Plan (DEPs) in which the capacity component should be incorporated.
- 2) Formation of a technical committee under the DEC which shall be chaired by the District Education Office should. The technical committee, among other things, will conduct the following:
 - a. Compilation and reflection of VEPs into the DEP
 - b. Assurance of funding in accordance with the DEP.
 - c. recommendation for timely release of funds to the schools on the basis of approved SIPs (through the VDC/ Municipality)
 - d. Periodic monitoring and supervision of SIP implementation in selected schools in the district.
 - e. Providing technical backstop, through the DEO, to VDCs/Municipalities for the effective implementation of the SIP in schools
- 3) Develop capacity of the DEC and the technical committee in respect of the functions mentioned above.

At the Central Level

- 1) Constitute a Steering Committee at the MOE consisting of members from each of the central level agencies such as DOE, NCED, CDC, NFEC, OCE, TSC, TRO, HSEB, and CTEVT. The steering committee is required to coordinate all capacity development activities across different agencies and throughout the country.
- 2) Establish a dedicated section, CD Coordination Section, under the Planning Division within the MOE. Since capacity development will be a regular as well as a massive function, a dedicated section on capacity development would be required within the MOE to look after the day to day business. As the CD component has been inbuilt within the planning process such as SIP, VEP, DEP, and ASIP, it is necessary that the section is created under the Planning Division in the MOE.
- 3) The Steering Committee will enforce effective implementation of the CD process including wider application of CD framework, recommend strategies and funding assurances for its implementation across all levels from school to the centre. Formation of a small technical committee comprising subject specialist, experts both internal and external to provide backstop support at the center as well as at the decentralized level.

Implementation Strategy

Each school will be responsible for preparing and implementing annual SIPs with clearly described and costed quality improvement actions aimed at ensuring that the school will meet basic minimum quality standards by 2015.

DEOs will be responsible for preparing district level results-based CD plans that may be included with DEPs. They will also be responsible for facilitating RCs support to schools with adequate finances and technical backstopping.

REDs will be responsible for monitoring early signs of impact of capacity development activities on learning achievements. This will be done on sample basis and in connection with their role in administering examinations. The work will include analyzing and reporting on trends in learning achievements and compare these with improvements in quality standards.

Central level agencies are responsible for preparing and implementing their own results-based CD plan and for monitoring and reporting of progress and improvements in performance.

The CD coordination mechanism in MOE will develop a framework and guidelines for the school-level and agency-wise and CD plans and for their implementation. This mechanism will facilitate the preparation and implementation of CD plans by providing agencies with access to technical expertise, knowledge networks and financial resources and through regular meetings to establish progress and identify opportunities for inter-agency cooperation that could improve cost-effectiveness. This mechanism will also work on developing appropriate channels for receiving feedback from the clients on the service delivery system. Finally, the CD coordination mechanism will be responsible for compiling, summarizing and preparing the MOE's annual capacity development report.

Source: SSR Plan, 2009-15 (MOE, 2009).

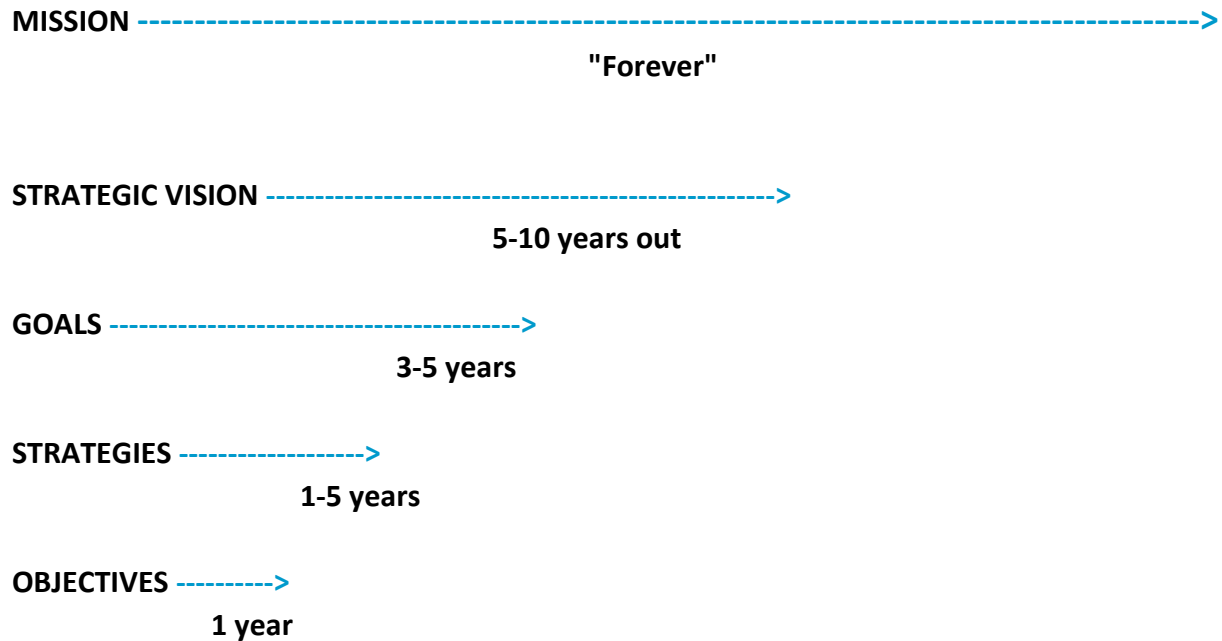
APPENDICES

Appendix 1: Improvement/CD Planning Preparation

These questions can help you to think through and plan your preparations for Improvement/CD planning:

1. How will the board and key staff be oriented to the process?
2. Is there organizational readiness for strategic planning and CD process?
3. How much commitment is there to the process?
4. What do you expect to accomplish?
5. How long will it take?
6. Who, beyond organization's staff, should be involved?
7. What do you do with managers and other key individuals who are not part of the formal strategic planning committee?
8. How will we encourage boldness, risk-taking and creativity on the part of planning participants?
9. Where should the planning process to be done?
10. Should a consultant be used for all or part of the process?
11. How the organizational plan is coordinated with the national plan (School Sector Reform Plan)?

Appendix 2: Planning Terminology



(Source.....)

MISSION: Broad description of what we do, with/for whom we do it, our distinctive competence, and WHY we do it.

STRATEGIC VISION: Describes what we want the organization to look like in ideal terms in the future - the results we will be achieving and characteristics the organization will need to possess in order to achieve those results. The strategic vision statement provides direction and inspiration for organizational goal setting.

GOALS: Broad statements of what the organization hopes to achieve in the next 3-5 years. Goals focus on outcomes or results and are qualitative in nature.

STRATEGIES: Statements of major approach or method (the means) for attaining broad goals and resolving specific issues.

OBJECTIVES: Specific, concrete, measurable statements of what will be done to achieve a goal generally within a one-year time frame.

Appendix 3: Review of Mission & Values Template

INSTRUCTIONS - As we begin the strategic planning process, we want to assess your current understanding of the mission and organizational values of your organization/school. Please take a few minutes to answer the following questions. Responses will be compiled for review as part of the planning process.

- 1. MISSION:** *The MISSION describes what we do, with/for whom we do it, WHY we do it, and our special competence. MISSION describes general purpose, "why we exist". AS YOU PRESENTLY UNDERSTAND IT, WHAT DO YOU SEE AS THE MISSION OF YOUR ORGANIZATION/SCHOOL?*

To have a non-discriminative school, using academic calendars and all students have equal opportunity to optimum achievement. A school that is appreciated and trusted by parents and community members, where the students are motivated to learn.

- 2. ORGANIZATIONAL VALUES:** *A VALUE is a standard, principle, or quality that is considered worthwhile in and of itself. We seek to express our values by what we do in everyday life. Core organizational values describe how an organization wants to act on a day-to-day basis. Some examples: "Teamwork", "Caring", "Quality service", "Innovation". LIST THE THREE MOST IMPORTANT ORGANIZATIONAL VALUES OF your school/organization (WHAT YOU THINK THE VALUES SHOULD BE):*

We believe...

1. In a school where the Code of conduct for all stakeholders is in place and enforced.
2. there will not be any form of discrimination present in our school
3. in a good communication between community and the school.

CRITICAL REVIEW OF THE MISSION

If a mission statement already exists, the focus of this step is on reviewing it in light of the emerging vision statement and if necessary revising the language. Here are some questions that can aid in the review of an already-existing mission statement:

1. Is the mission statement clear and on target in today's operating environment? Does it address the key following key points: Broad description of what we do/are; With/for whom we do it; Our distinctive competence; WHY we do it (Our ultimate end)
2. Do you have any specific questions or concerns with respect to the mission statement?
3. Does the mission statement duplicate the mission of any other organization? If so, what should we do about it?
4. Considering the answers to these questions, how, if at all, should the mission statement be changed?

DEVELOPING A STRATEGIC VISION

A vision is an image or description of the organization we aspire to become in the future. It answers the question *“If we could create the organization of our dreams and have the impact we most desire, what it would look like in the Year 2015?”*

The vision focuses on what we intend our school to BE – our hoped for destination, not what we will be DOING in the Year 2015. It should also indicate in what significant ways we will be different from what we are today.

Develop a list of core elements or components of a vision for the organization. *“If we could create the organization of our dreams and have the impact we most desire, what would it look like in the Year 2015?”* Use the two sets of questions below to stimulate your thinking.

- **Impact/Results:** What impact and results do we want to be achieving with our programs and activities in the Year 2015? How many and what kinds of people and groups will we be involving/serving and how? What impact will we have on the community? What will success look like for us?
- **Ideal Characteristics:** What will the organization need to look like in ideal terms to deliver the results and impact listed first? How will the organization act? What will its reputation be? Additional things to consider in listing elements of the vision statement: Organization size (revenues, facilities, paid staff, and volunteers); Nature and scope of programs and services; Member base; Market position/reputation; Use of technology; Management capabilities; Organizational structure.

(Now Dream! List the core vision elements that are most inspiring to you)

QUALITIES OF A GOOD VISION STATEMENT

- Presents where we want to go.
- Easy to read and understand.
- Captures the desired spirit of an organization.
- Dynamically incomplete so people can fill in the pieces.
- Compact -- can be used to guide decision-making.
- Gets people's attention.
- Describes a preferred and meaningful future state.
- Can be felt/experienced/gives people goose bumps when they hear it.
- Gives people a better understanding of how their individual purpose could be realized in the group.
- Provides a motivating force, even in hard times.
- Is perceived as achievable and at the same time is challenging and compelling, stretching us beyond what is comfortable.

NOTE: This information will be tested during the next field visit to see what should stay in the template and what should move to the guidelines.

Appendix 4: Vision Statement Entries Template

School's Name: Basu Dev Janata Secondary School, Kapilvastu
(Vision Statement: 'Our school will be a centre of excellence')

We believe all students deserve: (What all students should get from the school?)²

- ✓ To be enabled for high achievements through the provision of quality education and adequate materials (such as text books) up to SLC.
- ✓ A non discriminative-, child friendly- and interactive environment conducive to learning.
- ✓ A stable environment where ethics/ do's and don'ts are clearly defined
- ✓ A Sound physical environment, neat and clean class rooms with enough light, ventilation, child friendly furniture, potable water, play ground with compound.
- ✓ Personal attention and guidance in their overall development.
- ✓ The security of never receiving physical punishment in any way.
- ✓ Enough support so that they will not drop out and/ or repeat grades.
- ✓ No absenteeism amongst their teachers, including head teachers or other staff members.
- ✓ To be facilitated by the school, in order to reach their educational outcome goals fully.
- ✓ To be taught by qualified and competent staff.
- ✓ Good interaction and communication with fellow students, teachers, SMC members and parents/ community.
- ✓ To be in a school with community support and strong sense of ownership of the school.

We expect adults (Head Teacher, teacher, SMC /PTA and parents) to demonstrate and support the following behaviors:³

- ✓ Involvement of parents for school improvement
- ✓ Community generates resources for the school to perform optimally.
- ✓ Good communication and interaction between all the stakeholders for the betterment of the school.
- ✓ A strong enabling environment, supporting all actions for the children's learning.
- ✓ Frequent visit of parents to the school and showing interest in the children's learning achievements.

² Data combined from the SIP/ Basu Dev Janata Secondary school, Kapilvastu & the Capacity development framework combined progress report Kapilvastu & Dadeldhura 22-30 April 2010 (day 2)

³ Idem

In this environment where all adults are living by their core convictions, all students expected to (Desired Student behavior):⁴

- ✓ Attend school all the time.
- ✓ Use the school and its facilities to reach their educational outcome goals fully.
- ✓ Transfer their learning into development of the community.
- ✓ Support each other and not discriminate other students on any base.

As a result of these efforts, our school's student achievement standard is as follows:

Indicators of Educational Achievement		Vision target standard %
% of students who...	pass grade 5 examination	80
% of students who....	Pass grade 8 examination	72 ⁵
% of students who...	Annual improve their achievement score	5 (points)
% of students who...	Attend 190 out of the 220 school days per year (87%)	100
% of students who...	repeat grade 1	3

⁴ Idem

⁵ Since we did not collect this data during the field visit, this is an illustrative number.

Appendix 5: Visioning Template

Overview⁶

STUDENT CORE CONVICTIONS: Insert the Organizational values from template 4 if they relate to what students deserve and the student core convictions from template 5.	IDEAL ADULT BEHAVIORS AND ATTITUDES: Insert the Organizational values from template 4 if they relate to desired adult behaviors and attitudes and the desired adults behavior from template 5.
<ul style="list-style-type: none"> • Enabling them for high achievements through the provision of quality education and adequate materials (such as text books) up to SLC. • Non discriminative-, child friendly- and interactive environment conducive to learning. • A stable environment where ethics/ do's and don'ts are clearly defined • A Sound physical environment, neat and clean class rooms with enough light, ventilation, child friendly furniture, potable water, play ground with compound. • Personal attention and guidance in their overall development. • The security of never receiving physical punishment in any way. • Providing enough support so that no students will have to drop out and/ or repeat grades. • No absenteeism from teachers, including head teachers or other staff members. • The school should facilitate the students to reach their educational outcome goals fully. • Only qualified and competent staff will be working in the school. • Good interaction and communication between students, teachers, SMC members and parents/ community. • There is community support and strong sense of ownership of the school. 	<ul style="list-style-type: none"> • An increased involvement of parents for school improvement • Community generates resources for the school to perform optimal. • Good communication and interaction between all the stakeholders for the betterment of the school. • A strong enabling environment. • Frequent visit of parents to the school and showing interest in the children's learning achievements.

⁶ Data combined from the SIP/ Basu Dev Janata Secondary school, Kapilvastu & the Capacity development framework combined progress report Kapilvastu & Dadeldhura 22-30 April 2010 (day 2)

EXPECTED STUDENT BEHAVIORS AND ATTITUDES: Insert the Organizational values from template 4 if they relate to desired student behaviors and attitudes and the desired student behavior from template 5.	EXPECTED STUDENT ACHIEVEMENT DATA: Insert the data of the expected levels of student achievement in a school (in %) where the adults live by their core convictions that you have formulated in template 5.		
<ul style="list-style-type: none"> • Attend school all the time. • Transfer their learning into development of the community • Should use the school and its facilities to reach their educational outcome goals fully. • Should support each other and not discriminate other students on any base. 	Indicators of Educational Achievement		Vision target standard %
	% of students who...	pass grade 5 examination	80
	% of students who....	Pass grade 8 examination	72 ⁷
	% of students who...	Annual improve their achievement score	5 (points)
	% of students who...	Attend 190 out of the 220 school days per year (87%)	100
	% of students who...	repeat grade 1	3

⁷ Since we did not collect this data during the field visit, this is an illustrative number.

SAMPLE VISION STATEMENT: BASIC EDUCATION

We believe that all students deserve to be surrounded by adults who believe in them and have high expectations for their success at school. We believe that all students deserve to learn at a rigorous level and experience success at school. We believe all students deserve teachers who are good role models and who implement a variety of teaching strategies to ensure student success. We believe all students who need extra help and time to experience success deserve to be given extra time and help. We believe that every child deserves rich educational and career guidance in order to develop a positive self image, personal management, productive team building skills, and a positive outlook toward working.

All adults in our community are living by these core convictions daily and as a result, show the following attitudes and actions. All teachers, parents, and community members place a high value on education. They actively communicate these expectations to all students through several one-on-one discussions each year. To ensure that all students learn, adults provide a safe and caring environment. All teachers are excited about their jobs, are knowledgeable of current educational research and practices, and are prepared for every class. Teachers have omitted “watered down” content from their curriculum and instead, present content that is challenging accompanied by extra help and time for students who need extra support to experience success. Teachers use a variety of instructional and assessment methods to address many different learning styles. Teachers involve the students in research and problem solving activities in which they can apply newly learned content. Parents are actively involved with their children’s education. They not only do volunteer work at school, but they have daily discussions with their children using a weekly discussion guide prepared by their teachers to complement classroom learning. Community members are highly involved with the school. Several local businesses provide release time each week for employees to do tutoring and mentoring in the schools, and employees’ partner with each teacher to help the teacher create real-world applications for their academic content. Community support agencies also sponsor field trips to gain exposure of real work situation or gain learning experience from the field.

In this environment where all adults are living by their core convictions, students are wildly enthusiastic about coming to school and experience tremendous success. All students are highly engaged in their learning. Sometimes, students listen intently as the teacher explains new content. Other times, they actively work in small groups to solve real-world problems which require them to use the content they have learned. Students demonstrate mastery of content in a variety of manners including exhibitions and portfolios. Upper level students understand the transferability of self management skills shown at school to the work place. All students accept challenges, show motivation, and put forth an admirable effort into their education. All students display appropriate behavior and accept responsibility for their actions. All students demonstrate good citizenship and team-building skills.

As a result of these efforts, our school's student achievement data is as follows:

<u>Indicators of Educational Achievement</u>	<u>Vision Data</u>
% of students passing all grades	100 %
% of students at or above grade level - Languages	100 %
% of students at or above grade level - Science and Mathematics	100 %
% of school age children in school	100 %
% of annual average attendance rate	90%
% of students survive at grade 1 - 8 school education	95%
% of repeaters in grade 1	0%

SAMPLE VISION STATEMENT: SECONDARY SCHOOL

We believe that all students deserve to be surrounded by adults who believe students are capable of high achievement. We believe that every child deserves to be surrounded by a culture of high expectations and a rich array of options for the future. We believe that every child deserves sound guidance in order to define the pathways to the educational and career options he or she chooses. We believe that every child deserves a rigorous curriculum, individualized instruction, meaningful assessment, and extra help in a supportive learning environment to be able to realize his or her personal aspirations developed through the guidance process.

All adults in our community are living by these core convictions daily and as a result, show the following attitudes and actions: Each teacher, counselor, administrator, parent, and community member has high expectations of all students, and they work together to help all students reach those expectations. Teachers integrate curriculum between disciplines, and provide students with challenging work tasks that require students to research and apply learned knowledge and skills to solve real-world problems. School and community members are committed to helping all students achieve desired standard of learning. To reach all students, teachers vary their teaching methodologies to match students' learning styles. Teachers/School counselor provides sound guidance for students to help them develop their Personal Education Plan (PEP). The learning environment is not contained by the school's four walls. Students attend class on a regular basis at the community where community members help them learn real-world applications of academic content. Community members are integrally involved with the schools. They are active members of each school department and help teachers write local curriculum that is up-to-date and applicable in the local context. Community members provide work site opportunities for students to learn, often team-teaching with the teacher. Business members serve as mentors to students interested in their career cluster. Parents are also heavily involved with their son's or daughter's learning. All parents have discussions with their child on a regular basis and daily discussions with their son or daughter about school. Parents are supportive of their child's future plans and help the student (as needed) develop and implement the school improvement plan (SIP).

In this environment where all adults are living by their core convictions, all students have high expectations of themselves and are actively involved in their learning. Students accept ownership and responsibility for their education. Each student eagerly pursues academic and career education, and participates in integrated projects (some in the classroom, some at a in the community) in which they use learned knowledge and skills to solve challenging real-world problems. Students are well motivated with strong self-esteem, and approach learning with a clear sense of purpose. Students exhibit strong personal management, citizenship, and team-building skills. Each student possesses the self-knowledge, educational and career

awareness, and skills required to make sound educational and career decisions. All students have meaningful future plans with tentative career selections and corresponding course work selections.

As a result of these efforts, our school’s student achievement data is as follows:

Indicators of Educational Achievement	Description	Vision Data
Promotion rate	% of student promoted in end year examination	90%
Dropout rate	% of students leave secondary education before completion	< 5%
Repetition rate	% of student repeated the same grade in the next academic year	< 2%
Educational achievement	Average academic attainment in core subjects in secondary level	> 75%
SLC Pass percentage	% of student succeeding S.L.C.	> 90%

Appendix 6: Internal Strengths and Weaknesses (SWOT) Template

INSTRUCTIONS: As we begin our planning process, we also need to identify internal strengths and weaknesses of your organization, Inc. Think about the organizational structure, financial management, board and leadership development, facilities and equipment, use of technology, financial stability, office, special programs and services, public relations efforts, community image, etc. Then list the three strengths and three weaknesses you feel are most important to consider in planning for the future of the organization:

STRENGTHS (Internal)	HOW YOUR SCHOOL/ORGANIZATION COULD HARVEST THESE STRENGTHS?
Team spirit, and mutual understanding among SMC, HT and Teachers	High level of commitment High level of motivation More potential people that would like to join the team. Safe environment to enhance knowledge sharing and personal development
Only one community secondary school across the four VDCs	High enrollment rate due to no competing other community schools. Creating synergy since it's reach is across 4 VDCs Less chance of school drop out due to for example migration or alternatives.
WEAKNESSES (Internal)	HOW YOUR SCHOOL/ORGANIZATION COULD TACKLE THESE WEAKNESSES?
Lack of non discriminative-, child friendly- and interactive learning environment.	Enforce Code of Conduct for all stakeholders Develop child friendly learning materials and introduce child friendly teaching methods
Lack of science laboratory & Library	Mobilize local resources to establish science laboratory and library Providing additional training to staff to utilize these facilities.
Untrained teachers	Provide training to two teachers at the time Transfer of skills from trained teachers to the untrained teachers.
Lack of learning materials	Transferring the skill of developing learning materials from local resources.

PLEASE NOTE: Don't confuse "external opportunities and Threats" with "strengths and weaknesses". An Internal Strength or Weakness is something over which the organization and the people within have direct control (location, staff, hours, policies, procedures, etc.). If you can do something about it, it is an internal strength or weakness. If it is not something over which the organization and the people within have control -- if you can't do something about it -- it is an External Opportunity or Threat (population shifts, the economy, people's value system, competition, women returning to the work force, etc.).

Appendix 7: External Opportunities & Threats (SWOT) Template

INSTRUCTIONS: In the left column below, list the recent and future external trends and changes that you think will have the greatest impact on your organization/school over the next 5 years. In the right column, list possible organizational responses - what the organization could do over the next three to five years to take full advantage of the external changes and trends? Consider actions for programs/services, finances, organizational structure, etc.

Opportunities (External)	HOW YOUR SCHOOL/ORGANIZATION COULD UTILIZE THESE OPPORTUNITIES?
Teachers and students code of conduct are in place	Alignment with the internal code of conduct and disseminating this to all stakeholders. Foster a stable learning environment
Involvement of community people, NGO/CBO, VDC, mothers' group	Reducing teacher's absenteeism (non technical) supervision on the school performance Mobilization of community resources Good enabling environment Technical assistance from the involved groups
THREATS (External)	HOW YOUR SCHOOL/ORGANIZATION COULD RESPOND TO THESE THREATS?
Growing number of institutional schools ⁸	Improving quality of educational Increasing attractiveness of the curriculum- and extra curriculum activities Establishing a mutual understanding with the institutional schools based on working in the same field and region.

⁸ This Threat is linked with the weakness of having a lack of non discriminative-, child friendly- and interactive learning environment.

Appendix 8: SWOT + CD Analysis

Instruction: this template summarizes the listed strengths weaknesses, opportunities & threats from template 6 and 7, and identifies the level of capacity (individual, organizational, institutional and enabling environment)

Strengths	Individual or organizational level	Weaknesses	Individual or organizational level
Team spirit, and mutual understanding among SMC, HT and Teachers	Organizational	Lack of non discriminative-, child friendly- and interactive learning environment.	Organizational & individual
		Lack of science laboratory & Library.	Organizational
Only one community secondary school across the four VDCs	Organizational	Untrained teachers	Organizational & individual
		Lack of learning materials	Organizational & individual
Opportunities	Institutional- or Enabling level	Threats	Institutional- or Enabling level
Teachers and students code of conduct are in place	Institutional	Growing number of institutional schools	Enabling
Involvement of community people, NGO/CBO, VDC, mothers' group	Enabling		

Appendix 9: Strategic Brainstorming on Critical Issues Template

Purpose: Critical issues are fundamental policy or program concerns that define the most important situations and choices an organization faces now and in the future. Critical issues can reflect:

- * Long-standing problems in the organization, members served or recent events which are anticipated to have a significant impact on the organization and/or people served;
- * Impediments that must be overcome in order for the organization to meet its goals – i.e., problems to be solved; or,
- * Major shifts in thinking that can change the direction of an organization or the nature of its environment and challenge business as usual.

Generally these are issues that cannot be resolved through a “quick fix”. The selection of issues is important because it determines the range of decisions and strategies we will consider in the future.

Your Task:

List what you believe are the 1-5 most critical issues facing the organization/School over the next 3-5 years, using the weaknesses and threats from template 9 (SWOT/CD analysis) .

1. High drop out and repeat rates, due to lack of non discriminative-, interactive- and child friendly learning environment ⁹
2. Untrained- and temporary teachers
3. Lack of laboratory and library
4. Old building and lack of furniture
5. Lack of skills regarding development and usage of locally learning materials

⁹ This first point was taken from the Capacity development framework combined progress report Kapilvastu & Dadeldhura 22-30 April 2010 (day 2).

Appendix 10: School Improvement Matrices Template

Instruction: The goals should be answering the five critical issue questions, listed in template 10. Besides this, you can both list goals from the mission statement of template 3 (long term goals) or from the weaknesses and Threats that you compiled in template 8 (short term goals).

S. No.	Goal	Objectives ¹⁰	Expected Results ¹¹	Success Indicators ¹²
1	Non discriminative-, child friendly- and interactive environment conducive to learning. ¹³	<ul style="list-style-type: none"> All children receive equal opportunity to learn. All children have the same access to facilities and receive equal treatment within the school. Children are facilitated in their local language in the first part of their primary education. Local curricula are integrated in the curriculum. 	<ul style="list-style-type: none"> Improvement in social group categorized students' achievement. Decrease in rate of repeaters and dropouts from social groups. Teachers in the first four classes are bi lingual or multi lingual, as well as other communication with students in these classes. 	<ul style="list-style-type: none"> Non discriminative indicators: <ul style="list-style-type: none"> All the children are engaged in the lesson activities. All children understand the content of the educational material, which is presented to them. All children are addressed by the teachers in the same way.
		<ul style="list-style-type: none"> There is interactive knowledge sharing amongst teachers and students, as well as student to student 		<ul style="list-style-type: none"> Interactive environment indicators: <ul style="list-style-type: none"> The teacher supports the less able and challenges the more able with differentiated questioning / class work and support. Children are confident to ask and answer questions. The teacher uses a variety of activities some of which involve interaction & critical thinking or problem solving.
		<ul style="list-style-type: none"> There is an atmosphere of mutual care and respect 	<ul style="list-style-type: none"> The school becomes a safe place for learning and overall development, both in infrastructure and learning capability. 	<ul style="list-style-type: none"> Child friendly indicators: <ul style="list-style-type: none"> The teacher knows all the names and uses them regularly. Children are not afraid to make mistakes. The teacher does not threaten or use corporal punishment and frequently uses positive behavior management techniques such as change of task / diversion / songs. The teacher uses praise and encouragement effectively for behavior, effort and achievement The teacher regularly asks for individual children's opinions about what they have enjoyed, found easy or difficult and engages them in conversations about their individual experiences and 'non-school' lives. The teacher is approachable and responsive to all children's needs.

¹⁰ Objectives are illustrative to show the process in this template

¹¹ Expected results are illustrative to show the process in this template

¹² Taken from 'the barefoot guide; preparing for change, VSON 2009'

¹³ This goal statement was taken from the vision, goal statements can also be taken from the SWOT analysis.

Appendix 11: SSRP Expected Results

(Source: SSR Plan 2009-15)

Part 2: Component-wise log Frames starting from objectives over Key Results, Strategic Interventions and Component Total Budget

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Goal:</p> <ul style="list-style-type: none"> - To contribute to Nepal's socio-economic development through a continuous development of its human resources capacity. 	<ul style="list-style-type: none"> - Trends in average, median, maximum and minimum living standards. - Trends in productivity in economic sub-sectors - Trends in unemployment rates 	<ul style="list-style-type: none"> - Population Census - Sample surveys (NLSS, NDHS) - Special studies - Economic surveys 	
<p>SSR Purpose:</p> <ul style="list-style-type: none"> - To ensure that all citizens are functionally literate, numerate, and possess the basic life skills and knowledge required to enjoy a productive life. 	<ul style="list-style-type: none"> - Literacy and numeracy rates - Average years of education per citizen 	<ul style="list-style-type: none"> - Population Census - Sample surveys (NLSS, NDHS) - Special studies 	<ul style="list-style-type: none"> - Children and adults make use of what they have learned to improve their economic activity (productivity) and standards of living.

Objective 1: ECED

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 1: ECED</p> <ul style="list-style-type: none"> - To expand access to quality ECED services for children of four years of age to prepare them for basic education. 	<ul style="list-style-type: none"> - % of four years age population enrolled in ECED (EOP Target 87 %) - % of new entrants in grade one with at least one year ECED experience (EOP Target 64%) 	<ul style="list-style-type: none"> - EMIS Flash Report - Yearly Sample survey by MOE 	<ul style="list-style-type: none"> - ECED experience helps prepare children for Grade 1 and helps reduce drop-out and repetition rates
<p>Key Results:</p> <ul style="list-style-type: none"> - 87 % of children with four years of age attain the ECED program - Minimum standards for the ECED are met by all ECED centers. - 64% of children with ECED experience enter into grade one 	<ul style="list-style-type: none"> - % of age 4 population with access to ECED services - % of ECED centers services meeting MEC. - ECED norms and standards in place. 	<ul style="list-style-type: none"> - EMIS Flash Report - Status Report 	<ul style="list-style-type: none"> - ECED centers are perceived attractive and trust-worthy so that parents choose to send their 4-year children to ECED centers
<p>Strategic Interventions:</p> <ul style="list-style-type: none"> - Develop ECED operational guidelines - Initiate coordination arrangement among different ministries (MOE, MOLD, MOH, MOWCSW,) through the high level coordination committee at NPC - Facilitate the establishment of new functional ECED centers in un-served and under-served areas - Promote community-based ECED programs - Ensure government funding for four year children in ECED program - Employ mother tongue as a medium of interaction in ECED program - Use existing ECED guidelines for development of partnerships with non-government organizations, teacher unions, and civil society organizations, CBOs (e.g. Mothers' Group). - Develop and implement code of conduct for the protection of the integrity of all children, with particular focus on dalits, girls and marginalized populations. - Ensure state support for the social mobilization, establishment, operation and monitoring of ECED centers to disadvantaged areas and poverty pockets. 			<p>Component Input: USD: 62.87 million</p>

Objective 2: 2.1 Basic and Secondary Education

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 2: Basic and Secondary Education</p> <p>2.1 Basic Education</p> <ul style="list-style-type: none"> - To ensure equitable access and quality basic education for all children in age group 5-12 	<ul style="list-style-type: none"> - NIR and GIR (EOP Targets 94 % and 130% respectively) - GER (EOP 132 % for Basic education) - NER (EOP Targets 99 % for Primary and 85 % for Basic education) - Gr. 8 survival rate (EOP target 66%) - Number of schools meeting MECs - % of grades 3, 5 and 8 completers achieving minimum learning 	<ul style="list-style-type: none"> - EMIS Flash Report - Periodic Sample Surveys and Studies - District level examination at grade 8 and periodic achievement tests in grades 3, 5, and 8. 	<ul style="list-style-type: none"> - Children enrol in and complete basic education
<p>Key Results:</p> <ul style="list-style-type: none"> - Achieving 94% NIR at grade one and 66% survival rate at grade eight - Achieving NER for Primary 99% and Basic 85% - 19,500 new classrooms meeting minimum standards constructed, - 13,000 schools/classrooms rehabilitated meeting minimum standards, - 100 new schools meeting the requirements of students with disabilities established, - 500 VDCs/ Municipalities implement Compulsory Basic Education (CBE), - Needy students received scholarship - 175, 000 students with disabilities received scholarship - 300 schools equipped with library and laboratory facilities, - 7,000 schools' external environment improved to meet MECs, - 625 traditional schools upgraded to meet MECs, - 95 learning facilitation materials produced in different languages, - Multilingual Education implemented in 7,500 schools, - 1,500 Schools rewarded for improvement in performance, - 10,400 Basic Schools where SMCs hired Head teacher on a contractual basis, 	<ul style="list-style-type: none"> - Number of students received education through alternative provisions - Number of new classrooms constructed with MECs - Number of classrooms rehabilitated - Number of schools with library and laboratory facilities - Number of new schools opened for disabled students - Number of schools with external environments improved - Number of VDC/Municipality implementing CBE - Number of traditional schools upgraded - Number of learning materials in different languages developed - Number of schools implementing MLE - Number of schools receiving rewards for better performance - Number of curriculum, teachers' guides and textbooks digitized - Number of curriculum revised and updated - Number of textbooks revised and updated - Number of teacher guide developed, updated and distributed - No of local curriculum developed and implemented - Number of quality improvements models piloted 	<ul style="list-style-type: none"> - EMIS Flash Report - Report and periodic surveys - Annual Sample Surveys - DOE annual status report - MOE annual monitoring report 	<ul style="list-style-type: none"> - Schools are open and operate for a minimum of 220 days a year. - Development works is carried out smoothly throughout the plan period.

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<ul style="list-style-type: none"> - Multi-grade teaching implemented in 750 schools. - Each year about 150,000 student populations facilitated to receive basic education through alternative provisions, 	<ul style="list-style-type: none"> - CAS implemented in all schools - number of Head-teachers contracted - number of students received textbooks on time - Number of schools implementing Multi-grade teaching - Number of Dalit students receiving scholarships - Number of girls receiving scholarships - Number disabled students receiving scholarships - Number of student receiving scholarships 		
<p>Strategic Interventions</p> <ul style="list-style-type: none"> - Prepare a phased implementation plan to provide free and compulsory basic education by making necessary legislative provisions - Introduce incentive schemes to encourage local governments to adopt and declare basic education free and compulsory in their respective areas. - Extend alternative modes of education to cater to diverse learning needs. - Make provisions to strengthen and institutionalize traditional modes of education. - Adopt competency-based CAS from grade 1 to 7 to improve efficiency - Provide incentives to all dalit, 50% girls and other needy students to complete basic education. - Develop and implement provision of incentives to motivate schools to strive for better performance, - Apply affirmative actions to increase the number of teachers from disadvantaged groups, - Implement mandatory sanitary provisions for female teachers in school. - Develop minimum quality standards and norms, and ensure resource availability for schools to meet these standards - Develop and implement a code of conduct in schools to safeguard pro-poor, non-discriminatory, and non-punitive practices. - Encourage local government to introduce entitlement scheme. - Encourage correct-age children to enroll in school from the date of enactment of compulsory education law, - Develop and implement special provisions to cater to the needs of public school students in Karnali Zone, students from the Dalit communities and students with disabilities across the country, paying special attention to girls. - Facilitate timely preparation and implementation of SIPs and DEPs - Develop and facilitate the establishment of inclusive practices in schools - Develop a comprehensive policy on MLE 			<p>Component Input USD: 1992.41 million</p>

Objective 2??: 2.2 Secondary Education

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>2.2 Secondary Education</p> <ul style="list-style-type: none"> - To improve access, equity, and quality and relevance of secondary education 	<ul style="list-style-type: none"> - Number of schools meeting MECs - Transition rate from grades 8 to 9 (EOP target 80%) and 10 to 11 - NER (EOP target 27%) - GER (EOP target 66%) - Gender Parity Index (EOP target 0.96) - SLC and HSLC pass rates as percentage of initial enrolment and exam appearance (EOP targets 71% and 41% respectively) - % of learning achievement in core subjects (EOP 10% points over base level) 	<ul style="list-style-type: none"> - EMIS Flash Report - Periodic sample surveys and studies - EMIS Flash Report - OCE Reports 	<ul style="list-style-type: none"> - Students enrol in and complete secondary education
<p>Key Result:</p> <ul style="list-style-type: none"> - Each year 60,000 students received education in class 9 & 10 through alternative schooling provisions - 75,000 students from extreme poverty background provided scholarships to complete secondary education - 660,000 girls studying in grade 9-10 received annual scholarship - 75,000 students with disabilities received scholarship - 60 children of martyrs' family received scholarship - 375 Secondary Schools rewarded for improvement in performance - Curriculum, teachers' guides and textbooks digitized - Curriculum and textbooks revised and updated - Teachers' guide developed, updated and distributed - All Secondary level students received textbooks on time 	<ul style="list-style-type: none"> - No. of students received secondary education through alternative provisions - No. of schools rewarded for best performance (based on set criteria) - No. of curriculum, teachers' guides and textbooks digitized - No. of curriculum and textbooks revised and updated - No. of teachers' guide developed, updated and distributed - No. of students from poverty backgrounds receiving scholarships - % of students who have received textbook in time - No. of girls in grade 9 and 10 who have received scholarships - No. of disabled students receiving scholarships - No. of students receiving scholarships 	<ul style="list-style-type: none"> - A framework on Quality Standards in secondary schools. - DOE status report - EMIS Flash Report - Annual Report from the National Examination Board - Periodic assessment reports and surveys. - School evaluation report 	
<p>Strategic Interventions:</p> <ul style="list-style-type: none"> - Make provision of free secondary education gradually by 2012 - Introduce special incentive package to promote access, participation and completion of secondary education for the children from disadvantaged communities, 			<p>Component Input: USD: 483.79 million</p>

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<ul style="list-style-type: none"> - Promote partnership with private providers to safeguard access to secondary education - Expand alternative schooling programs to cater to the diverse needs with cost sharing basis - Introduce technical education and vocational training as a separate stream from grade 9 onwards - Provide remedial support to those students lagging behind in acquiring minimum learning achievements - Implement the affirmative actions focusing on disadvantaged groups, - Enact legislative provisions to safeguard equity in education, - Develop min. quality standards, Code of Conduct, and guidelines to help schools prepare and implement quality improvement plans to safeguard pro-poor, non-discriminatory, and non-punitive practices, - Introduce TEVT in secondary schools, including soft skills, for example, on a pilot basis and subsequent integration into school education - Implement comprehensive school mapping - Make teacher preparation course and refresher training mandatory, - Define and ensure minimum enabling conditions, - Provide SIP based funding to schools, - Make provision of a separate head-teachers' position in all secondary schools, - Constitute an NEB as a coordinating apex body, responsible for regulating and carrying out all public examinations, certification and accreditation functions for grades 8, 10 and 12, including TEVT certification - Facilitate the preparation and implementation of SIPs and DEPs focusing on secondary education - Strengthen decentralized school management to improve transparency and accountability - Establish provision for contract between SMCs and Head Teachers, and assist schools entering contracts. 			

Objective 3: Literacy and Life-long Learning (Continuing Education)

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 3: Literacy and Life-long Learning (Continuing Education)</p> <ul style="list-style-type: none"> - To enhance functional literacy and basic competencies among youths and adults. 	<ul style="list-style-type: none"> - No of graduates in literacy classes - % of population with functional literacy (EOP targets 85% for 6+ age group and 70% for 15+ age group) 	<ul style="list-style-type: none"> - CBS Report - Functional Literacy Surveys (sample based) 	<ul style="list-style-type: none"> - Beneficiaries capable of maintaining skills and use it for a more productive life
<p>Key Result 3:</p> <ul style="list-style-type: none"> - Literates and neo-literates empowered and have access to information and skills with ability to make rational choices contributing to improved livelihoods. - Enhanced system capacity and institutional learning. - 1,050 CLCs established and operational - About 700,000 youths and adults attain life skills through literacy and continuing education - Mother tongue literacy courses in local languages (through CDC experience and resourcing) introduced. 	<ul style="list-style-type: none"> - No. of CLCs operating - No of neo-adults completing post-literacy/ life-skills related continuing education 	<p>NFEC Report</p>	<ul style="list-style-type: none"> - CLCs become fully functional - Effective partnership with local agencies/ communities in place
<p>Strategic Interventions:</p> <ul style="list-style-type: none"> - Place emphasis on decentralization, empowerment and partnerships with private sector and I/NGO's to achieve goals of adult literacy and continuing education. - Incorporate literacy and life-long learning programs in existing DEPs and VEPs. - Respond to diversity needs of adults in regard to language, culture, life skills and income generating activities. - Develop and implement literacy programs through integrated approach comprising life skills and micro-credit schemes, targeting disadvantaged populations. - Provide lifelong learning opportunities through horizontal links with the formal systems and through locally managed CLC arrangement. - Implement Literacy and Lifelong Learning as a complementary to the National Literacy Campaign aimed at attaining the EFA and MDG goals on UPE/ literacy. - Render emphasis on targeted groups and areas including women, marginalized populations, dalits, endangered communities, internally displaced people, people with disability and people living with HIV/AIDs - Make CLCs functional and align with local institutions - Develop networking with multi-sectoral service agencies 			<p>Component Input: USD: 14.09 million</p>

Objective 4: Technical Education and Vocational Training (TEVT)

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 4: TEVT</p> <ul style="list-style-type: none"> - To equip secondary level students with TVET soft skills 	<ul style="list-style-type: none"> - No. of students completing TVET soft skills course - No of schools with TVET soft skills piloted 	<ul style="list-style-type: none"> - EMIS Flash Report - Special Studies 	<ul style="list-style-type: none"> - Students are interested in further developing TVET skills and knowledge to improve their employability
<p>Key Result 4:</p> <ul style="list-style-type: none"> - Basic life skills and vocational orientations integrated in grades 6 to 8 curricula. - Vocational curricula focusing on soft-skills developed for secondary education. - Different technical/vocational components, focusing on soft skills such as arts and crafts, computer skills and so forth, are piloted and tested in 100 public secondary schools for model building. 	<ul style="list-style-type: none"> - No. of secondary schools piloting integrated TV program/curricula - No. of schools offering specific vocational education - No. of students receiving basic vocational training - No. of teachers receiving short-term teacher training 	<ul style="list-style-type: none"> - DOE Status Report - EMIS Flash Report - CTEVT Status/Progress Reports - Records of DOE/CTEVT - Progress Report of NCED/TITI 	<ul style="list-style-type: none"> - Students' demand for the skills and knowledge on offering through the vocational stream and TEVT courses
<p>Strategic Interventions:</p> <ul style="list-style-type: none"> - Integrate vocational and technical education concepts in basic education curricula, beginning from grade six. - pilot the additional contents/trades for technical/vocational education and training in school education 			<p>Component Input:</p> <ul style="list-style-type: none"> - USD: 21.62 million

Objective 5: Teacher Professional Development (TPD)

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 5: Teacher Professional Development (TPD)</p> <ul style="list-style-type: none"> - To enhance teachers' qualifications and professional competencies to better facilitate students learning processes. 	<ul style="list-style-type: none"> - % of teachers with required qualification and training (EOP targets 88% and 93% for basic and secondary respectively) - % of teachers with required Certification (EOP targets 97% for both basic and secondary levels) 	<ul style="list-style-type: none"> - EMIS Flash Reports - NCED progress reports 	<ul style="list-style-type: none"> - Teachers motivated, able and willing to apply earned knowledge and skills in teaching situations.
<p>Key Result 5: Teacher Development</p> <ul style="list-style-type: none"> - 750 master trainers trained and capable of conducting refresher training for teachers - All teachers' professional skills and knowledge updated through Teacher Preparation Courses and refresher training. - 4,050 head teachers completed certification training course - Competencies of 7,000 DAG candidates improved 	<ul style="list-style-type: none"> - No. of trainers developed to conduct refresher training to teachers on different themes - % of teachers who are certified and meet minimum qualification requirements - % of teachers who have completed 1-year teacher preparation course and in-service training - % of HT who have completed management training 	<ul style="list-style-type: none"> - NCED Report - - TMIS Report - - EMIS Report - Study Report 	
<p>Strategic Interventions:</p> <p>Qualification upgrading program :</p> <ul style="list-style-type: none"> - Upgrading the minimum qualification to entry in to teaching service in basic education. - Provide opportunities to the working primary teachers to upgrade qualifications. - Backlog clearance of ongoing certification in-service training <p>L/RC-Based demand driven short training</p> <ul style="list-style-type: none"> - Develop and implement L/RC based demand driven short training including the provision for 'whole-school training' <p>HT certification training</p> <ul style="list-style-type: none"> - Develop and implement head-teacher certification training through NCED <p>Monitoring and post-training support to the teachers</p> <ul style="list-style-type: none"> - Implement the Teacher Support Mechanisms (TSM) developed under TEP - Strengthen school supervision and support system for teacher professional development. - Provide job induction training to novice teachers and officials, Develop the capacity of ETCs and LRCs 			<p>Component Input: USD: 10.55 million</p>

Objective 6: Capacity Development

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 6: Capacity Development</p> <ul style="list-style-type: none"> - To improve the performance of the MOE service delivery system and develop capacity to implement critical reforms. 	<ul style="list-style-type: none"> - Timely delivery of relevant quality services that are valued and used by clients - Physical and financial progress measured as % implementation of annual targets and budget - % of service delivery agencies that have developed and implemented CD plan to close performance gaps. - Number of low performing schools that have been supported with development and completion of quality improvement programs under SIP - Average number of days of Teacher attendance (EOP target 220 days) 	<ul style="list-style-type: none"> - Capacity Development Evaluation Report, addressing user satisfaction with services - ERO agency-wise performance assessment reports - EMIS Flash - Status Report 	<ul style="list-style-type: none"> - Improve performance and cost-efficiency will contribute to improved client satisfaction, reach and impact of educational services
<p>Key Result 6:</p> <ul style="list-style-type: none"> - Enabling institutional framework developed through enactment of necessary Acts, rules and regulations, and guidelines. - Organizational mandates, structures, and relationships aligned contributing to improved performance. - Individual competence and working conditions enhanced contributing to improved performance through training, orientation, awareness, research activities and incentives. 	<ul style="list-style-type: none"> - CD Plan completion report - Updated Organization Chart, mandate- and job descriptions in place - % of basic and secondary schools meeting MECs 	<ul style="list-style-type: none"> - 6.1: CD Plan completion report - 6.2: Updated Organization Chart, mandate- and job descriptions in place - 6.3: EMIS Flash Report 	<ul style="list-style-type: none"> - Improved capacity will result in improved service delivery and client satisfaction - Improved enabling conditions will lead to improvement in learning achievements.
<p>Strategic Interventions:</p> <ul style="list-style-type: none"> - Develop a broad framework for capacity development and is reflect in the ASIP. - Prepare and implement capacity development plans - Establish a coordination mechanism in MoE to facilitate CD plans - Develop legal frameworks, including acts, regulations and implementation guidelines - Review and update mandates and TORs at institutional- , organizational- , unit- and individual levels. - Identify capacity gaps at all service delivery levels, prepare and implement capacity development plans - Assist DEOs in identifying the 5 lowest performing schools in each district each year, and in facilitating the preparation and implementation of these schools' quality improvement plans for meeting MECs by 2015/16 			<p>Component Input: USD: 21.14 million</p>

Objective 7: Monitoring & Evaluation (ME)

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 7: Monitoring & Evaluation (ME)</p> <ul style="list-style-type: none"> - To monitor program inputs, processes, and outputs and evaluate the impact of program. 	<ul style="list-style-type: none"> - Timely Flash Reports, Status Reports, Financial Management and Implementation Progress Reports - Periodic Student Assessment Reports - Timely dissemination of EMIS and Student Assessment reports to wider stakeholders - Baseline, annual, mid-term, and EOP evaluation reports 	<ul style="list-style-type: none"> - Flash reports - EMIS reports - Students assessment reports - Aide Memoire - EOP evaluation reports - FMR 	<ul style="list-style-type: none"> - Improved planning, management, M&E will lead to improved relevance and effectiveness of MOE services and products
<p>Key results:</p> <ul style="list-style-type: none"> - Report on updating of M&E structures, roles and responsibilities - Monitoring and evaluation plan, based on revised M&E system - Number of evaluative reports produced - Accurate data produced in a consistent manner by all schools - DEPs prepared in 75 districts - 48 commissioned study reports prepared and disseminated - 4,000 VEPs prepared and implemented - Programs disseminated - All schools managed by communities - 30 vehicles procured and handed over to districts 	<ul style="list-style-type: none"> - Report on updating M&E system, structures, roles and responsibilities - M&E plan - No. of evaluation reports - % of schools included in the EMIS flash reports - % of districts completing DEPs - No. of commissioned reports completed - No. of VEPs prepared - No. of programs disseminated - % of schools managed by communities - No. of vehicles procured and handed over to districts 	<ul style="list-style-type: none"> - Copy of Report in M&E division - Copy of M&E plan in M&E Division - Copy of reports in M&E Division - EMIS Flash Report - DOE Trimester Report - Records of commissioned studies - NFEC records - M&E Report - EMIS Flash Report - Copies of entries in store register 	
<p>Strategic Interventions:</p> <ul style="list-style-type: none"> - Develop capacity for M&E system at all levels to ensure effective planning and programming - Develop partnerships and establish coordination mechanism with national and international research and other line agencies - Improve EMIS mainly at central, regional and district levels to improve service delivery - Design and conduct Client Satisfaction Surveys - Prepare and implement plan for updating of M&E structures, roles and responsibilities - Develop M&E indicators 			<p>Component Input: USD: 39.21million</p>

Objective 8: Aid Management

Intervention Logic	Verifiable Indicators	Source of Verification	Assumptions
<p>Objective 8: Aid Management</p> <ul style="list-style-type: none"> - To improve the efficiency and effectiveness of aid available for SSRP implementation 	<ul style="list-style-type: none"> - % of physical and financial progress - % of development partners and of aid flows that use GoN's public financial management system - % of aid provided on program-based approach, consistent with the SSRP 	<ul style="list-style-type: none"> - Aide Memoire - Status Reports - Progress Reports - FMR - Special studies 	
<ul style="list-style-type: none"> - Key results - Improved alignment of development assistance with national priorities reducing tied aid - Improved coordination of Donors Capacity Development Support - Increased use of GoN's public procurement and financial management system - Improved predictability of aid - Increased use of the Joint Financing Arrangement (JFA) modality and Code of Conduct, promoting common arrangements and procedure 			
<p>Strategic Intervention:</p> <ul style="list-style-type: none"> - Strengthen MoE's FACS and make it responsible as the point-of-entry for all foreign aid and DF/TA support made available by development partners, I/NGOs based on the Paris Declaration, Accra Agenda for Actions, JFA and the CoC - Constitute a Joint Steering Committee comprising of heads of the central level agencies and the donor contact point to improve the efficiency and effectiveness of direct funding and TA provisions. - Prepare a separate operational guideline for mobilizing TA/DF support - Monitor and review the current system of TA/DF implementation and produce progress reports 			<p>Component Input USD: 7.5 million</p>

Appendix 12: Inventory of illustrative core capacities for schools, DEOs, the DOE and the MOE

Examples of capacities are listed below at the four levels (individual, organizational, institutional, and enabling environment) that may be relevant to implement activities or services to achieve key results for your organization. Many organizations at your level will share the need to develop some of these capacities, and also may need to develop other core capacities. These are presented as examples, as a resource for discussion and decision on which core capacities are most needed for your organization, to achieve your priority results.

Examples from four perspectives - School, District Education Office (DOE), Department of Education (DOE), and MOE/Planning Division - are presented in the tables below to illustrate how core capacities can be identified for all organizational units and agencies of the Ministry of Education.

Examples of Core Capacities from the School Perspective

Individual Capacities (from the School Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ¹⁴
Individual	The will and ability to set objectives and achieve them using one's own knowledge and skills.	Knowledge, skills, values, attitude, health, awareness, etc.

School Level examples of Individual capacities:

Capacity Element	Individual	List of potential capacity
Knowledge	Teachers	<ul style="list-style-type: none"> Mastery of academic subjects Expertise with diverse populations and learning styles and methods Expertise in student centered active learning instructional methods Expertise in curriculum development Expertise in effective classroom management expertise in continuous assessment system (CAS) methods
	Head Teacher	<ul style="list-style-type: none"> Expertise in improvement planning Knowledge of principles of effective school management Knowledge of instructional leadership and support to teachers Mastery of financial regulations
	SMC	<ul style="list-style-type: none"> Understanding of SMC roles and responsibilities Knowledge of effective SMC operational management
	Parents	<ul style="list-style-type: none"> Understanding of education benefits Understanding of importance of regular attendance
	Students	<ul style="list-style-type: none"> Understanding of code of school rules, classrooms expectations, code of conduct

¹⁴ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

School Level examples of Individual capacities:		
Capacity Element	Individual	List of potential capacity
Skills	Teachers	<ul style="list-style-type: none"> • Skills in promoting active learning • Making and using instructional aides and supplemental materials • Use of continuous assessment provide remedial instruction
	Head Teachers	<ul style="list-style-type: none"> • Effective management of school operations and instructional hours • Use of data for planning and decision making • Developing/maintaining effective partnership with SMCs • Communication skills with parents and community leaders • Support to new- or weak teachers
	SMC	<ul style="list-style-type: none"> • Meets regularly and makes action-oriented decisions for school improvement • Organizes community support events and fund raising for school • Communicates with PTA and parents about school progress
	PTA	<ul style="list-style-type: none"> • Performing social audit of the school. • Monitoring school quality • Acting as a bridge between the community and the school.
	Parents	<ul style="list-style-type: none"> • Make individual contributions to school/classroom • Help students with homework
	Students	<ul style="list-style-type: none"> • Older students help with school maintenance • Identify and encourage out-of-school children to enroll and non-attending students to attend
Values	Teachers, HT, SMC, parents and students	<ul style="list-style-type: none"> • Voice importance of education and instructional quality • Voice importance of children's enrolment and regular attendance • Support team work and participatory work style.
Attitude	Teachers	<ul style="list-style-type: none"> • Arrive on time and are present in the classroom during the full teaching hours. • Give importance to all children in each class • Teach in a non-discriminative way. • Support other teachers • Serve as example in following professional ethics and Code of Conduct.
	Head Teacher	<ul style="list-style-type: none"> • Takes on responsibility for quality improvements in the school and classroom • Listens to parents' concerns • Manages an optimum utilization of resources. • Listens to teachers' concerns • Shows an open attitude towards constructive criticism. • Willing to adjust when new opportunities or challenges emerge • Creates a non discriminative teaching-learning environment in the school
	SMC	<ul style="list-style-type: none"> • Treats the school with respect but also expects quality from the school • Expects good performance and display of positive values and attitude from Head teacher and teachers • Act as promoter of the school on different occasions
	Parents	<ul style="list-style-type: none"> • Willing to support students and teachers with personal time and contributions

School Level examples of Individual capacities:

Capacity Element	Individual	List of potential capacity
		<ul style="list-style-type: none"> • Give school attendance priority over work chores during school hours
	Students	<ul style="list-style-type: none"> • Respect their teachers • Come each day • Arrive on time • Are willing to learn
	PTA	<ul style="list-style-type: none"> • Being visibly and actively engaged in school quality monitoring.
Health	Teachers, HT, SMC, parents and students	<ul style="list-style-type: none"> • Nutritious food and snacks at schools are available to all students to keep them healthy and alert • Health clinics for students and community members run at school on regular basis • HIV/AIDS prevention is practiced by teachers and parents • Physical education run at school on regular basis.
Awareness		<ul style="list-style-type: none"> • Teachers, HT, SMC, PTA and parents know the value of these competencies and how they contribute to school and children's success

Organizational Capacities (from the School Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based
Organization	Anything that will influence the organization's performance.	Human resources (capacities of individuals in organizations)
		Physical resources (facilities, equipment, materials, etc) and capital
		Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)
		Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.
		Leadership of managers

School Level examples of Organizational capacities:	
Capacity Element	List of potential capacities
Human resources (capacities of individuals in organizations)	<ul style="list-style-type: none"> • Number of skilled teachers is adequate for number of students • Teachers are assigned to grade or subject according to their qualifications • Head Teacher is selected on basis of competence over seniority • SMC Chair and members are elected according to serve the communities interests • SMC Chair and members have sufficient time and commitment to attend meetings and serve the school • PTA is composed in a transparent way • Non teaching staff are competent and qualified
Physical resources (facilities, equipment, materials, etc) and capital	<ul style="list-style-type: none"> • School should have: <ul style="list-style-type: none"> – clean, child friendly building, compound and playground – Number of separate boys' and girls' toilets, based on the student ratio (minimum of two separate toilets) – a clean water supply – one classroom per grade with adequate furniture in each – a library with appropriate books and resource materials for each level of students – a science lab for upper grades
Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)	<ul style="list-style-type: none"> • Annual plans and programs, developed on the basis of SIP, and SIP is devised annually and actually used at the school level to guide activities for school and educational improvement. • Head Teacher, SMC and PTA conduct regular monitoring reviews of the SIP and CD Plan and discuss with teachers, parents • Teachers provide instructional coaching to each other seek lessons learned from neighboring schools • Teachers/Head teacher produce media information about the school to inform and generate interest among the community • Library has reading materials appropriate (and available) for all grade levels • Exchange of best practices amongst public/ private schools
Organizational structure and management methods which affect the utilization of the resources	<ul style="list-style-type: none"> • Head Teacher encourages discussion among teachers on innovations, challenges, and sharing best practices • Senior teachers coach junior teachers on subject content, classroom

School Level examples of Organizational capacities:

Capacity Element	List of potential capacities
(human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.	management, and teaching skills <ul style="list-style-type: none"> • Head Teacher rewards and promotes teachers on the basis of performance, rather than for friendships or political affiliation • A code of conduct for teachers, students and SMC is established and communicated
Leadership of managers	<ul style="list-style-type: none"> • Communicates constructively with teachers , SMC members and parents • Engages SMC regularly and constructively • Builds a team among teachers, resolves conflict, and treats each fairly • Reminds all staff that student success is the job of all school staff, including the SMC and PTA • Leads SIP process and its implementation
Financial Management	<ul style="list-style-type: none"> • Financial Resources are allocated according to SIP and consensus need and result priority (including SMC's and teachers' views • Capacity Development funded as a regular part of the school budget • School finances and expenditures are managed well and status reported to SMC and parents • School Improvement Plan/CD activities should be classified as (a) no cost, (b) self financed from the school budget, (c) already funded, like an RC training activity, and (d) requiring supplemental external funding

Institutional Capacities (from the School Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based
Institution	The MOE policies, regulations, services of its associated Departments and Centers, financing, administrative, legal, and technological structures and requirements.	Formal institutional units (policies, decrees, membership rules, etc)
		Capacities of organizations and individuals under the institution that contribute to or impact your organization

School Level examples for the Institutional capacities:	
Capacity Elements	List of potential capacities
Formal institutional units (policies, decrees, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Authorization for decentralized funding of schools • Authorization to hire contract teachers annually with qualification waivers if necessary • Authorization to use school space during non-school hours for community purposes, e.g. health clinic • School finance formula that gives underserved schools a “poverty index” base funding in addition to per capita
Capacities of organizations and individuals under the institution that contribute to or impact your organization	<ul style="list-style-type: none"> • NCED full training to SMCs and PTAs on roles and responsibilities • RC training for Head teachers and teachers on CAS-based remedial instruction • Timely development of CRC and printing of textbooks

Enabling Environment Capacities (from the School Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based
Enabling Environment	The environment and conditions necessary for demonstrating capacity at the individual and organizational levels. It includes: systems and frameworks necessary, outside of the institution, for the formation/implementation of improvement policies and strategies beyond the organization and institution. It includes administrative, legal, technological, political, economic, social and cultural environments.	Formal institutions (laws, ordinances, membership rules, etc)
		Informal institutions (customs, cultures, norms, etc)
		Social capital, social infrastructure, etc.
		Capacities of individuals and organizations under the environment

School Level examples of the Enabling Environment capacities:	
Capacity elements	List of potential capacities
Formal institutions (laws, ordinances, membership rules, etc)	<ul style="list-style-type: none"> Laws governing fees that can be charged for school activities Private schools' programs competing for public school students Paved road access to the school from the catchment area
Informal institutions (customs, cultures, norms, etc)	<ul style="list-style-type: none"> Potential pulling factors of child labor should be discouraged. Takes pride in sending more girls to school Delaying early marriage to allow girls to complete school
Social capital, social infrastructure, etc.	<ul style="list-style-type: none"> Availability of jobs or income opportunity for school completers Recruitment into harmful labor or practices, e.g., child labor, sex trade, armed conflict
Capacities of individuals and organizations under the environment	<ul style="list-style-type: none"> Timely and sufficient supply of textbooks Availability of literate and committed community members to serve as SMC members Availability of SLC graduates in the community who can be hired as teachers VDC/VEC is active and supports school and school-going children NGOs/CBOs mobilize parents and children to enroll and attend regularly

Examples of Core Capacities from the DEO Perspective

Individual Capacities (from the DEO Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ¹⁵
Individual	The will and ability to set objectives and achieve them using one's own knowledge and skills.	Knowledge, skills, value, attitude, health, awareness, etc.

DEO examples of Individual capacities:		
Capacity elements	Individual	List of potential capacities
Knowledge	DEO	<ul style="list-style-type: none"> • Knowledge of SSRP • Knowledge of MOE policies, rules and regulations • Expertise of Planning, communication and reporting • Knowledge of DDC/DEC, VDC/VEC, SMC/PTA roles and capacities
	Supervisors	<ul style="list-style-type: none"> • Expertise in school improvement planning • Knowledge of principles of effective school management • Knowledge of instructional leadership and support to teachers • Mastery of academic subjects • Expertise with diverse populations and learning styles and methods • Expertise in student centered active learning instructional methods • Expertise in curriculum development • Expertise in effective classroom management expertise in continuous assessment system (CAS) methods
	Resource Persons	<ul style="list-style-type: none"> • Expertise in adult learning/effective training techniques • Expertise (from TOT) in MOE/education innovations • Expertise in planning for demand based training for teachers
Skills	DEO	<ul style="list-style-type: none"> • Effective oversight of schools' improvement plan, funding and operations • Use of data for planning and decision making • Developing/maintaining effective partnership with DDC/DEC, VDC/VEC • Communication skills with school, VDC, DDC and MOE • Support to new or weak School Leaders
	Supervisors	<ul style="list-style-type: none"> • Skills in promoting teacher professional development • Promoting models, examples of instructional aides and supplemental materials • Promoting and supporting continuous assessment • Providing guidance and support for remedial instruction • Identifying strong teachers for peer coaching for new or weak teachers
	Resource Persons	<ul style="list-style-type: none"> • Communicates with teachers, SMC/PTA, supervisors and DEO about professional development/training needs • Schedules trainings according to school/staff schedules • Identifies resource persons locally available for challenging subjects • Has mastery of curriculum, child friendly classroom development and

¹⁵ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

DEO examples of Individual capacities:		
Capacity elements	Individual	List of potential capacities
		<ul style="list-style-type: none"> management skills, compilation of Flash reporting system, and CAS Has skills in providing training and refresher training on these subjects
Values	DEOs, Supervisors, Resource Officers, Others,...	<ul style="list-style-type: none"> Gives importance to the school improvement plan, VEP and DEP. Respects Head Teachers' requests for assistance and support Equal treatment to schools under equal conditions. Appreciates and encourages affirmative measures for deprived communities and population segments
Attitude	DEO	<ul style="list-style-type: none"> Takes on responsibility for facilitating quality improvements in schools Listens to DDC, VDCs' concerns Listens to SMC/PTA and Head teachers' concerns Willing to adjust when new opportunities or challenges emerge. Pursues an optimum utilization of resources
	Supervisors	<ul style="list-style-type: none"> Listens to teachers' concerns Makes regular visits to schools to <u>support</u> teachers Shares new provisions with schools, communities and resource persons
	Resource persons	<ul style="list-style-type: none"> Treats the school calendar and staff schedules with respect Is available on regular basis for consultation Informs schools and communities regarding developments in education
Health	DEOs, Supervisors, Resource Officers, Others,	<ul style="list-style-type: none"> Solicits and organizes NGOs, Nepal RCS, others to provide school feeding programs, and school health clinics Supports health information campaigns in schools
Awareness	DEOs, Supervisors, Resource Officers, Others,	<ul style="list-style-type: none"> Stays current on MOE initiatives, innovations, and best practices Promotes information exchange and dissemination for all schools and communities on educational improvements and MOE initiatives

Organizational Capacities (from the DEO Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ¹⁶
Organization	Anything that will influence the organization's performance.	Human resources (capacities of individuals in organizations)
		Physical resources (facilities, equipment, materials, etc) and capital
		Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)
		Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.
		Leadership of managers

¹⁶ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

DEO examples of Organizational capacities:	
Capacity Elements	List of potential capacities
Human resources (capacities of individuals in organizations)	<ul style="list-style-type: none"> • Number of persons in key positions who have been given training by MOE/NCED relevant to the position they hold • DEO staff are assigned duties consistent with their job descriptions • DEO staff are regularly present at the office or on approved duties on behalf of the DEO or schools
Physical resources (facilities, equipment, materials, etc) and capital	<ul style="list-style-type: none"> • DEO Office has physical space/rooms for officers to conduct business • DEO Office has regular communication/IT connectivity • Vehicles/motorcycles are sufficient and available for appropriate transportation to support schools
Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)	<ul style="list-style-type: none"> • DEP is conducted annually and actually used at the District level to guide support and supervision activities for school and educational improvement • Inspectors conduct regular school monitoring and support reviews of schools' SIP and CD Implementation • DEO staff produce media information about school improvement to inform and generate interest among parents and children • DEO regularly and effectively disseminates information from the MOE to schools in a timely manner
Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.	<ul style="list-style-type: none"> • DEO encourages discussion among Officers and Head teachers on innovations, challenges, and sharing best practices • DEO staff give priority support to schools that are weaker or that have greater challenges • DEO staff identify stronger schools/teachers to partner with weaker schools/teachers for peer coaching
Leadership of managers	<ul style="list-style-type: none"> • Communicates constructively with DEC, Head teachers.MOE • Engages DEC regularly and constructively • Builds a team among DEP Officers, Head teachers resolves conflict, and treats each fairly • Reminds all staff that school and student success is the job of all DEO staff • Leads DEP process and its implementation.
Financial Management	<ul style="list-style-type: none"> • Financial Resources are allocated according to DEP priority duties/results • Capacity Development should be funded as a regular part of the District budget • DEP/CD activities should be classified as (a) no cost, (b) self financed from the school budget, (c) already funded, like an RC training activity, and (d) requiring supplemental external funding.

Institutional Capacities (from the DEO Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ¹⁷
Institution	The MOE policies, regulations, services of its associated Departments and Centers, financing, administrative, legal, and technological structures and requirements.	<p>Formal institutional units (policies, decrees, membership rules, etc)</p> <p>Capacities of organizations and individuals under the institution that contribute to or impact your organization</p>

DEO examples for the Institutional capacities:	
Capacity Elements	List of potential capacities
Formal institutional units (policies, decrees, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Authorization for decentralized funding of schools • Authorization to sanction Head teachers for malfeasance or non-performance such as chronic absenteeism • DEOs consulted by MOE/DOE on school teacher needs/allocations • School finance formula that gives underserved schools a “poverty index” base funding in addition to per capita
Capacities of organizations and individuals under the institution that contribute to or impact your organization	<p>Include examples here from Dr. Tanka’s descriptions of contributing organizations, e.g.,</p> <ul style="list-style-type: none"> • Identification of needs for MOE to establish secondary schools to serve basic education completers in their geographic area • NCED full training to DEOs on effective supervision/instructional supervision • NCED TOT to RPs on priority topics each year • MOE training to DEO staff on EMIS data management and use for planning and monitoring

¹⁷ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out “environment” into two categories, “institution” and “environment”.

Enabling Environment Capacities (from the DEO Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ¹⁸
Enabling Environment	The environment and conditions necessary for demonstrating capacity at the individual and organizational levels. It includes: systems and frameworks necessary, outside of the institution, for the formation/ implementation of improvement policies and strategies beyond the organization and institution. It includes administrative, legal, technological, political, economic, social and cultural environments.	Formal institutions (laws, ordinances, membership rules, etc)
		Informal institutions (customs, cultures, norms, etc)
		Social capital, social infrastructure, etc.
		Capacities of individuals and organizations under the environment

DEO examples of the Enabling Environment capacities:	
Capacity Elements	List of potential capacity types
Formal institutions (laws, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Cost-effectiveness of private schools' programs is transparently communicated to parents (e.g., value of public schools is well understood) • DDCs funding for infrastructure development in areas of need
Informal institutions (customs, cultures, norms, etc)	<ul style="list-style-type: none"> • Potential pulling factors of child labor should be discouraged. • Cooperate in campaigns for inclusive education (of minorities, girls, etc.)
Social capital, social infrastructure, etc.	<ul style="list-style-type: none"> • Disseminate information on availability of jobs or income opportunity for school completers • Cooperate with Government and (I)NGOs against recruitment into harmful labor or practices, e.g., child labor, sex trade, armed conflict
Capacities of individuals and organizations under the environment	<ul style="list-style-type: none"> • Identification and partnering with INGOs and NGOs to address education, health and social needs of students and parents • Availability of SLC graduates in the community who can be hires as teachers • DEC is active and supports schools and school-aged children

¹⁸ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

Examples of Core Capacities from the DOE Perspective

Individual Capacities (from the DOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ¹⁹
Individual	The will and ability to set objectives and achieve them using one's own knowledge and skills.	Knowledge, skills, value, attitude, health, awareness, etc.

DOE examples of Individual capacities ²⁰ :		
Capacity elements	Individuals	List of potential capacity types
Knowledge	All divisions	<ul style="list-style-type: none"> • Thorough understanding of the SSRP and current DEPs • Preparation of, and provide guidelines for preparing annual programs and budget of the DoE and offices under the DoE • Thorough understanding of current legal, HR and accounting rules and regulations
Skills	Administrative division	<ul style="list-style-type: none"> • Keeping a current roster of the staff in the DEO, REDs and DOEs • Manage store and make sure that property is well safe and organized • Provide authorization for spending of budget allocated to the districts, and maintain accounting • Coordinate internal and external audit of the districts and keep records of irregularities • Plan the physical infrastructure improvements of DEPs • Make educational materials available to the DEOs and schools • Assist DEO in the development of appropriate educational materials • Plan and distribute adequate supply of textbooks on schedule • Maintain updated record of status on human resources, job descriptions and classification of work of the Ministry and institutions under it • Identify regional, national and international level trainings, workshops, seminars, studies, study visits, etc. needs for capacity building of the staff of the Ministry and institutions under it, and nominate appropriate participants (according to CD plan) and make necessary arrangements for them • Carry out necessary activities on appointment, recruitment, promotion, departmental action, transfer, resignation and retirement of the staff of the Ministry and institutions under it • Initiate actions to create necessary posts and posting of the staff of the Ministry and institutions under it • Select and recommend staff for incentives and reward • Initiate actions for the internal promotion of the staff of the Ministry and institutions under it • Maintain and update foreign scholarship records of the staff of the Ministry and institutions under it

¹⁹ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

²⁰ Taken from: **Educational information at a glimpse Government of Nepal, Ministry of Education, Monitoring, Evaluation and Supervision Division, Nepal, 2009**

DOE examples of Individual capacities²⁰:

Capacity elements	Individuals	List of potential capacity types
		<ul style="list-style-type: none"> • Maintain and update work description, work division and human resource related records of all staff working in the Ministry and all officer staff in the Ministry and other institutions under it • Administer educational services and groups and sub-groups under it • Initiate necessary actions to request the Foreign Aid Coordination Section to arrange the possible foreign aid and availability of them for need identified training, workshop, seminar, study and study visits, etc. • Function as Central Administrative Agency to the staff of Ministry and its institutions • Accomplish defined and instructed tasks mentioned in the Citizen Charter • Prepare regular budget for the Ministry and offices under it • Prepare budget and provide authorization for spending budget allocated to offices under Ministry • Perform activities related to demand, release and transfer to regular and development budget • Maintain central and operational level account and prepare the report and integrated central annual financial report • Advise and support the Ministry and institutions under it on financial matters • Prepare payroll and distribute salary and other benefits to the staff of the Ministry with the help of Personal Administration Section • Develop legal rules and regulations related to subject areas of the Ministry • Perform necessary actions on legal cases of the Ministry • Advise and provide legal aid and counseling to the divisions and Sections of the Ministry • Make necessary arrangements to publish educational rules, regulations and information in the Nepal Gazette • Manage public relationship, inquiry, letter keeping and forwarding system • Disseminate unspecified letters to related sections and Divisions of the Ministry • Mobilize and manage MOE assistants, communication, infrastructure and utilities • Procure and distribute office materials to the Divisions and Sections of the Ministry as per the need • Maintain an updated records of donations of fixed assets received by the educational institutions
	<p>Planning and Monitoring Division</p>	<ul style="list-style-type: none"> • Prepare and submit the program and budget to the MoE, prepare the departmental plan for the development of education and ensure co-ordination among different sections of the DoE for the preparation of annual work plan • Coordinate for the implementation of approved programs • Monitor all activities implemented by different Sections under the Department based on the information collected through Program Management Information System (PMIS) • Analyze the outcomes of educational programs based on the information generated through EMIS • Recommend visa for the foreign expatriates working in the programs related to the activities of the Department in the government and non-government

DOE examples of Individual capacities²⁰:

Capacity elements	Individuals	List of potential capacity types
		<p>offices</p> <ul style="list-style-type: none"> • Carry out school mapping activities in the country <p>Prepare and implement research plans related to the work areas of the Department and disseminate findings</p> <ul style="list-style-type: none"> • Assess and evaluate the effectiveness of different educational programs • Conduct pilot testing and evaluation of innovative activities in close co-operation with various sections • Document the research studies and publications carried out in the field of education • Collect, compile, analyse and publish school level educational statistics each year • Develop school level data specifications • Establish and develop linkages of data activities with other activities of the Department, such as planning, programming and monitoring, etc. • Formulate monitoring plan and action plan • Prepare periodic progress reports • Prepare quarterly financial monitoring report and forward to the donor agencies • Collect required data for the purpose of economic survey in prescribed format and forward to the Ministry of Finance • Develop monitoring forms, disseminate, use and encourage other agencies to use it and
	Educational Management Division	<ul style="list-style-type: none"> • Formulate policies, rules and regulations relating to the Basic and Primary Education • Prepare criteria for the approval of schools • Prepare norms for allocating teacher quotas for schools • Monitor teachers' selection, promotion and evaluation • Develop policies and criteria for providing grants to Primary schools • Develop and implement programs related to the Compulsory Primary Education (CPE) • Make necessary arrangements for strengthening of the educational supervision system • Arrange for undertaking studies for the effectiveness of Basic and Primary Education and provide recommendations for improvements • Implement programs of community awareness • Maintain an updated record of the teachers, monitors and systematize the teacher posts made available for the districts and take actions in case of irregularities • Distribute available teacher posts to the districts and take further actions for required teacher posts • Prepare and submit annual budget to the Ministry related to the teachers' salary and other grants to the school • Initiate works related to the volunteers in the school • Monitor the teaching learning and other management related activities in the school • Monitor educational problems and suggest improvement measures and implement policies and rules and regulations. • Develop policies and programs on women's education and other target groups

DOE examples of Individual capacities²⁰:

Capacity elements	Individuals	List of potential capacity types
		<ul style="list-style-type: none"> • Coordinate and monitor different programs implemented in order to increase women's participation in education • Develop and implement norms and criteria to increase the numbers of women teachers • Develop programs for enhancing community participation in education and implement through district, resource centre, Village Development Committee (VDC), and NGOs • Work as the contact office for the Ministry of Women and Social Welfare, Ministry of Health and Population and the Ministry of Local Development in matters related to Women's Education • Allocate, distribute and monitor girls' scholarships. • Develop and implement policies, annual and periodic plans and programs and budget on Special Education • Establish coordination with the government and national and international non-government agencies in matters related to Special Education • Monitor and supervise the schools having Special Education programs and support with materials, training, and grants-in-aid
Values	All DOE divisions	<ul style="list-style-type: none"> • Formulate policies and plans that directly support quality education • Have a gender sensitive and inclusive approach throughout all planning and implementation activities • Demonstrate priority importance for school improvement planning (SIP), VEPs, DEPs and ASIP/AWPBs • Respect and respond to DEOs' requests for assistance and support
Attitude	All DOE divisions	<ul style="list-style-type: none"> • Release necessary funds from approved budget for the programs in good time. • Maintain the records properly of the funds of grants and loan from the international donors. • Pursues an optimum utilization of resources to directly support school quality and student achievement
Health	All DOE divisions	<ul style="list-style-type: none"> • Support national health campaigns • Solicit support for school feeding programs
Awareness	All DOE divisions	<ul style="list-style-type: none"> • Stay current on MOE initiatives, innovations, and best practices • Promote information exchange and dissemination for all schools and communities on educational improvements and MOE initiatives

Organizational Capacities (from the DOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²¹
Organization	Anything that will influence the organization's performance.	Human resources (capacities of individuals in organizations)
		Physical resources (facilities, equipment, materials, etc) and capital
		Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)
		Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.
		Leadership of managers

DOE examples of Organizational capacities:	
Capacity elements	List of potential capacities
Human resources (capacities of individuals in organizations)	<ul style="list-style-type: none"> • Prepare institutional capacity development plan and submit the same to the MOE • Mobilize staff to implement and support programs organized by the MOE and its related organizations at the regional and district levels.
Physical resources (facilities, equipment, materials, etc) and capital	<ul style="list-style-type: none"> • Provide funding and technical assistance for the implementation of new classrooms, libraries and laboratories and the construction of special schools • Operationalize the SSRP through the ASIP process • Provide grants to schools • Provide scholarships for poor, Dalits, girls, disabled children, children from minority groups, tribal children and children of martyrs • DOE has physical space/rooms for its divisions to conduct business • DOE has regular communication/IT connectivity • Vehicles/motorcycles are sufficient and available for appropriate priority transportation
Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)	<ul style="list-style-type: none"> • Develop program implementation guidelines for the implementation of the SSR plan • Conduct a baseline study and establishment of a database that is linked with the DOE Flash system • Prepare plans, budget and programs related to Basic and Secondary Education, based on the existing policies and regulations and submit it to the MOE • Implement Basic and Secondary Education programs in consonance with the policies and regulations formulated by the MOE • Establish and manage RCs at the district levels • Phased implementation of the MLE framework in the education system • Facilitate District, regional and national level final examinations
Organizational structure and	<ul style="list-style-type: none"> • Oversee, supervise and monitor the activities relating to Basic and Secondary

²¹ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

DOE examples of Organizational capacities:

Capacity elements	List of potential capacities
management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.	Education and submit progress reports to the MoE and other concerned agencies <ul style="list-style-type: none"> • Coordinate program implementation of the DoE with programs of other CLAs • Refine and use developed norms for school accreditation • Develop policy guidelines for head teacher recruitment and provide these to the SMCs • Identify schools suitable for multi grade teaching and develop guidelines for multi grade class management • Develop in cooperation with the MOE the unit/team level responsibility mechanism • Implement in cooperation with the MOE the SSRP M&E plan
Leadership of managers	<ul style="list-style-type: none"> • Head of DOE should work closely and in cooperation with MOE/CLAs
Financial Management	<ul style="list-style-type: none"> • Carry out financial audit of the expenditure made under different program heads as well as arrange for timely reimbursement. • Provide guidelines to submit the SOEs to the DOE

Institutional Capacities (from the DOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²²
Institution	The MOE policies, regulations, services of its associated Departments and Centers, financing, administrative, legal, and technological structures and requirements.	Formal institutional units (policies, decrees, membership rules, etc)
		Capacities of organizations and individuals under the institution that contribute to or impact your organization

DOE examples for the Institutional capacities:	
Capacity elements	List of potential capacity types
Formal institutional units (policies, decrees, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Authorization for decentralized funding of schools • Authorization to sanction DEO for malfeasance or non-performance such as chronic absenteeism • DEOs consulted by MOE/DOE on student-teacher ratio and physical infrastructure needs/allocations • School finance formula that gives underserved schools a “poverty index” base funding in addition to per capita • Mandate and guidance contained in the Constitution, Education Act and policies of other ministries and cabinet • Cooperation with Central Level Agencies (CLAs): <ul style="list-style-type: none"> ○ Department of Education (DoE) ○ National Centre for Educational Development (NCED) ○ Curriculum Development Centre (CDC) ○ Office of the Controller of Examination (OCE) ○ Non-formal Education Centre (NFEC) ○ School Teachers' Record Office (TRO) ○ Teachers Service Commission (TSC) • Cooperation with MOE
Capacities of organizations and individuals under the institution that contribute to or impact your organization	<ul style="list-style-type: none"> • Identification of needs for MOE to establish secondary schools to serve basic education completers in their geographic area • DOE, in cooperation with NCED provides full training to DEOs on effective supervision/instructional supervision • DOE, in cooperation with NCED provides TOT to RPs on priority topics each year • MOE training to DEO staff on EMIS data management and use for planning and monitoring

²² The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out “environment” into two categories, “institution” and “environment”.

Enabling Environment Capacities (from the DOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²³
Enabling Environment	The environment and conditions necessary for demonstrating capacity at the individual and organizational levels. It includes: systems and frameworks necessary, outside of the institution, for the formation/ implementation of improvement policies and strategies beyond the organization and institution. It includes administrative, legal, technological, political, economic, social and cultural environments.	Formal institutions (laws, ordinances, membership rules, etc)
		Informal institutions (customs, cultures, norms, etc)
		Social capital, social infrastructure, etc.
		Capacities of individuals and organizations under the environment

DOE examples of the Enabling Environment capacities:	
Capacity elements	List of potential capacity types
Formal institutions (laws, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Education Budget, allocated by the GoN for infrastructure development in areas of need • Cost-effectiveness of private schools' programs clearly articulated to public vis-a-vis value of government provided education
Informal institutions (customs, cultures, norms, etc)	<ul style="list-style-type: none"> • Potential child labor pushing/ pulling factors across the nation should be discouraged. • Cooperate in campaigns for inclusive education (minorities, girls, etc.)
Social capital, social infrastructure, etc.	<ul style="list-style-type: none"> • Disseminate information on availability of jobs or income opportunity for school completers • Cooperate with MOE and I/NGOs against recruitment into harmful labor or practices, e.g., child labor, sex trade, armed conflict
Capacities of individuals and organizations under the environment	<ul style="list-style-type: none"> • Identification and partnering with INGOs and NGOs to address education, health and social needs of students and parents • Availability of SLC graduates in the community who can be hired as teachers • MOE supports the implementation of the SSRP on a legislative level

²³ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

Examples of Core Capacities from the MOE Perspective
Individual Capacities (from the MOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²⁴
Individual	The will and ability to set objectives and achieve them using one's own knowledge and skills.	Knowledge, skills, value, attitude, health, awareness, etc.

MOE examples of Individual capacities:		
Capacity elements	Individual	List of potential capacity types
Knowledge	All Divisions	<ul style="list-style-type: none"> • Thorough understanding of the SSRP and current ASIP/AWPBs • Preparation of, and provide guidelines for preparing annual programs and budget of the MOE and offices under the MOE • Thorough understanding of current legal, HR and accounting rules and regulations
Skills	Administration Division, Higher Education and Educational Management Division, Planning division, Monitoring, Evaluation and Supervision Division & Education Review Division	<ul style="list-style-type: none"> • Maintain updated record of status on human resources, job description and classification of work of the Ministry and institutions under it • Identify national and international level trainings, workshops, seminars, studies, study visits, etc. needs for capacity building of the staff of the Ministry and institutions under it, nominate appropriate participants and make necessary arrangements for it • Carry out necessary activities in time on appointment, recruitment, promotion, departmental action, transfer, resignation and retirement of the staff of the Ministry and institutions under it • Initiate actions to create necessary positions and placement of the staff of the Ministry and institutions under it • Select and recommend staff for incentives and reward as per objective criteria • Maintain and update foreign scholarship plans and records of the staff of the Ministry and institutions under it • Function as Central Administrative Agency to the staff of Ministry and its institutions, • Accomplish defined and instructed tasks mentioned in the Citizen Charter • Prepare budget and provide authorization for spending budget allocated to offices under Ministry • Perform activities related to demand, release and transfer to regular and development budget • Maintain central and operational level accounts and prepare the report and integrated central annual financial report • Perform auditing and initiate actions on clearance of financial irregularities • Prepare payroll and distribute salary and other benefits to the staff of the Ministry with the help of Personal Administration Section, • Advise and provide legal aid and counseling to the divisions and Sections of the Ministry, if needed • Make necessary arrangements to publish educational rules, regulations and information in the Nepal Gazette,

²⁴ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

MOE examples of Individual capacities:

Capacity elements	Individual	List of potential capacity types
		<ul style="list-style-type: none"> • Manage public relationship, inquiry, letter keeping and forwarding system • Disseminate unspecified letters to related sections and Divisions of the Ministry • Mobilize and manage staff assistants, infrastructure, communication and utilities in the Ministry • Procure and distribute office materials to the Divisions and Sections of the Ministry as per the need • Distribute office materials to different Sections of the Ministry • Perform necessary activities related to store management • Maintain an updated records of donations of fixed assets received by the educational institutions • Perform activities related to the property transfer of educational institutes to other and auction of the property of educational institutes. • Maintain records and use assets of Ministry properly and its institutions overall the country
		<ul style="list-style-type: none"> • Develop and implement policies, rules and directives regarding primary and secondary education • Formulate policy to determine and allocate teacher quota for community schools • Formulate and implement policy regarding the establishment and approval of community school • Develop and manage policies and plans regarding the institutional school and perform their management • Evaluate different aspects of institutional schools and provide assistance or feedback • Perform activities related to volunteers • Facilitate the process for granting visa to foreign students and teachers • Formulate policies regarding different aspects of teacher administration and management • Work as the contact section on the matters related to Secondary School Education, • Accomplish defined and instructed tasks mentioned in the Citizen Charter. • Formulate policies, rules and regulations on scholarship and implement accordingly • Formulate questions, conduct exams and select candidates • Select and recommend candidates for foreign scholarships available to the Ministry and maintain an updated record of this • Prepare an updated record of persons going abroad (and returning) for study or training • Demand and collect foreign scholarship as per the requirement of the Ministry • Recommend for foreign exchange facilities and provide No Objection Letter to the students going abroad for study in self-finance and keep their subject-wise record • Accomplish defined and instructed tasks mentioned in the Citizen Charter.
		<ul style="list-style-type: none"> • Study, compare and analyse education policies and programs for implementation • Analyse short-term and long-term education plans implemented under

MOE examples of Individual capacities:

Capacity elements	Individual	List of potential capacity types
		<p>Ministry and its agencies</p> <ul style="list-style-type: none"> • Conduct policy level study and research of education policies and programs • Carry out study and analyse on relation of educational plans, programs and strategies with existing Educational Acts and Regulations and recommend it • Analyse national level exam results and provide analysis • Provide suggestions of educational research and its findings for policy making level • Prepare short- and long-term plan for education development • Prepare annual education development programs • Coordinate district level development programs • Prepare budget structure for proposed plans and programs • Collect proposals of annual plans and programs from offices under the Ministry, finalize and send them to the National Planning Commission to include in the National Plan • Coordinate different donor aided projects and programs under the Ministry • Perform activities related to agreements on foreign aid related with the Ministry • Establish coordination among donor agencies working in the education sector of Nepal • Mobilize external resources by establishing coordination between the national resource and foreign aid • Arrange foreign aid for human resource development programs requested from Personal Administration and Human Resource Development Section • Establish assistances and relationships among other Ministries, Commissions, Secretariats and Donor Agencies for foreign aids • Identify possible and necessary foreign assistances for development and expansion of education • Arrange and invite donors in coordination of Ministry of Finance for Appraisal Mission • Mobilize foreign resources according to the agreements • Develop and implement policies, rules and regulations for the development of libraries under the Ministry • Work as a liaison office between GoN and libraries in terms of all the development activities of the libraries • Improve service level by evaluating all the libraries and public libraries of the country and encourage them by recommending for the awards - 'person of the year' and 'library of the year' <ul style="list-style-type: none"> • Prepare monitoring action plan and evaluation baseline after approval of annual program • Monitor and evaluate the implementation of annual plans and programs and provide feedback • Prepare monthly quarterly and annual progress reports and forward them to Prime Minister and Council of Ministers' Office • Forward progress and problem identified report developed by Ministry Level Development Problem Resolve Committee to National Planning Commission • Provide support in developing policies related to research, information technology and Educational Management Information System (EMIS) • Assist in developing education polices through development, collection and

MOE examples of Individual capacities:

Capacity elements	Individual	List of potential capacity types
		<p>analysis of education information</p> <ul style="list-style-type: none"> • Implement various activities in order to strengthen research and EMIS and assist other related agencies by establishing coordination among them • Develop and update website of the Ministry • Keep records of educational information and research and disseminate findings • Coordinate with agencies under the Ministry and other related agencies for uniformity in definition, coding and other activities related to EMIS • Assist in clarifying the ways for educational improvements through the use of research and EMIS • Coordinate in Information and Communication Technology (ICT) related activities with all the CLAs and other concerned education related institutions. • Collect and keep the education related statistics including the data of students and teachers of all the educational institutions systematically and mapping of district-wise schools
Values		<ul style="list-style-type: none"> • Formulate policies with respect to development, production, distribution and proper utilization of educational materials required for quality education • Include a gender sensitive and inclusive approach throughout all planning and implementation activities • Demonstrate importance to bottom up approach to planning, such as, School Improvement Planning (SIP), VEPs and DEPs. • Respect teachers professional organizations' requests for assistance and support • Respect and support a performance culture within the MOE • Respect and support the Paris declaration and Accra Agenda for Action
Attitude	All divisions	<ul style="list-style-type: none"> • Enforce the 'one door only' policy for DPs re:MOE contact and communication • Pursue harmonization amongst DPs • Pursue an optimum utilization of resources for school quality and student achievement • Demonstrate a continuous readiness to listen the problems and advice of sub-national entities and stakeholders.
Health	All Divisions	<ul style="list-style-type: none"> • Supports population education and Nutrition programs. • Cooperation with MOH for the School Health Nutrition Program.
Awareness	All Divisions	<ul style="list-style-type: none"> • Stay current on educational policies, initiatives, innovations, and best practices • Promote information exchange and dissemination for all schools and communities on educational improvements and MOE initiatives

Organizational Capacities (from the MOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²⁵
Organization	Anything that will influence the organization's performance.	Human resources (capacities of individuals in organizations)
		Physical resources (facilities, equipment, materials, etc) and capital
		Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)
		Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.
		Leadership of managers Well conceived career development plan and performance management system.

MOE examples of Organizational capacities:	
capacity elements	List of potential capacity types
Human resources (capacities of individuals in organizations)	<ul style="list-style-type: none"> • Prepare and implement an institutional capacity development plan • Mobilize staff to implement and support programs organized by the MOE and its related organizations at the regional and district levels
Physical resources (facilities, equipment, materials, etc) and capital	<ul style="list-style-type: none"> • Scholarships awarded through open competition, granting approval for studies and research to students going abroad and coming to Nepal from other countries. • Janak Educational Materials Centre maintains production capacity • Establishment of a Joint Direct Funding Steering Committee and a Direct Funding Secretariat • MOE has physical space/rooms for its divisions to conduct business. • MOE has regular communication/IT connectivity • Vehicles/motorcycles are sufficient and available for appropriate transportation.
Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.)	<ul style="list-style-type: none"> • Development of frameworks that include education act, regulations and implementation guidelines • Educational policies, plans, formulation of programs, implementation, evaluations • Technical and Vocational as well as moral and physical education programs • Implementation of officer and teacher training and educational human resource development • Educational survey, statistics and research • Library and reading rooms • Program of national and international training, seminars, workshops, conferences on education • Coordination with national and international institutions • Bi-lateral and multi-lateral educational agreements • Regular and periodic monitoring and evaluation of education programs implemented by government and non-government organizations

²⁵ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out "environment" into two categories, "institution" and "environment".

MOE examples of Organizational capacities:

capacity elements	List of potential capacity types
<p>Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc.</p>	<ul style="list-style-type: none"> • Appointment, transfer, promotion and defining minimum academic qualifications for recruitment and promotion, capacity building of the organization, and departmental actions against the staff • Develop and update mandates and TORs at organizational and unit level • Develop in corporation with the DOE unit/team level responsibility mechanisms • Prepare in corporation with the DOE the SSRP M&E plan • Develop in corporation with DPs a JFA and code of conduct for the SSRP implementation • Develop formal systems and procedures for agency requests for TA and for procurement, placement, support to- and assessment of performance of TA • Conduct Joint Annual Consultations and review meetings
<p>Leadership of managers</p>	<ul style="list-style-type: none"> • Clear policy mapping and policy for MOE Units • Demonstrated support for staff performance and improvement
<p>Financial Management</p>	<ul style="list-style-type: none"> • Coordination and close cooperation with MOF and FCGO • Maintaining a digital database of district financial records and fund flow mechanism

Institutional Capacities (from the MOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²⁶
Institution	The MOE policies, regulations, services of its associated Departments and Centers, financing, administrative, legal, and technological structures and requirements.	Formal institutional units (policies, decrees, membership rules, etc).
		Capacities of organizations and individuals under the institution that contribute to or impact your organization

MOE examples for the Institutional capacities:	
Capacity elements	List of potential capacity types
Formal institutional units (policies, decrees, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Authorization for decentralized funding of schools • Authorization to sanction DOE for malfeasance or non-performance • DOE with consultation of MOE on student-teacher ratio and physical infrastructure needs/allocations • School finance formula that gives underserved schools a “poverty index” base funding in addition to per capita • Mandate and guidance contained in the Constitution, Education Act and policies of other ministries and cabinet
Capacities of organizations and individuals under the institution that contribute to or impact your organization	<ul style="list-style-type: none"> • Identification of needs for MOE to establish secondary schools to serve basic education completers in their geographic area • MOE develops CD plan • Cooperation with MOF, MOLD, AGO, FCGO

²⁶ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out “environment” into two categories, “institution” and “environment”.

Enabling Environment Capacities (from the MOE Perspective)

Level of Capacity	Definition of Capacity	Elements on which the capacity is based ²⁷
Enabling Environment	The environment and conditions necessary for demonstrating capacity at the individual and organizational levels. It includes: systems and frameworks necessary, outside of the institution, for the formation/ implementation of improvement policies and strategies beyond the organization and institution. It includes administrative, legal, technological, political, economic, social and cultural environments.	Formal institutions (laws, ordinances, membership rules, etc)
		Informal institutions (customs, cultures, norms, etc)
		Social capital, social infrastructure, etc.
		Capacities of individuals and organizations under the environment

MOE examples of the Enabling Environment capacities:	
Capacity elements	List of potential capacity types
Formal institutions (laws, ordinances, membership rules, etc)	<ul style="list-style-type: none"> • Education Budget, allocated by the GoN for infrastructure development in areas of need • National policy reviews conducted and results used for policies and plans that support school quality and student achievement • International cooperation is priorities and coordinated to support school quality and student achievement
Informal institutions (customs, cultures, norms, etc)	<ul style="list-style-type: none"> • Potential pushing/ pulling factors across the nation of child labor is actively discouraged • Commitment and cooperation in the Education for All campaign • Political stability in areas of Nepal • Global economic crisis
Social capital, social infrastructure, etc.	<ul style="list-style-type: none"> • Disseminate information on availability of jobs or income opportunity for school completers • Cooperate with Government and (I)NGOs against recruitment into harmful labor or practices, e.g., child labor, sex trade, armed conflict • The positive and negative effects of international labor migration
Capacities of individuals and organizations under the environment	<ul style="list-style-type: none"> • Identification and partnering with INGOs and NGOs to address education, health and social needs of students and parents • Identification and securing effective relations with potential DPs, INGOs and NGOs • GoN supports the implementation of the SSRP on a legislative level

²⁷ The framework and first row information for each table (level, definition, and elements) were taken from *UNESCO IICBA CAPACITY BUILDING FRAMEWORK (2005)*, with some minor edits, including breaking out “environment” into two categories, “institution” and “environment”.

Appendix 13: Building a Capacity Development (CD) Plan Template

1. List your priority results
2. Specify needed actions and activities to achieve each result
3. Identify the “location or source” of each action or activity
4. Cost the CD actions and activities
5. Scheduling: Add a Timeline
6. Completing the Plan: Add the Strategy

Reminder 1: When **selecting priority results**, select a set of results (i) that are consistent with SSRP results for your organizational unit and (ii) that can realistically be achieved if the capacity to achieve them can be developed within five years and begun within three years. A list of SSRP expected results are included in Appendix X.

Reminder 2: The selection of **Enabling Services or Activities** should be those that most directly contribute to achieving the result and that you can commit to undertaking in the coming year. For example, CAS, supplemental instruction, and scholarships contribute directly to the student survival rate – building a memorial statue does not.

Reminder 3: When identifying the **capacities** that are essential to delivering the services or activities, select those that are most critical (essential) to getting them done. This may not include all desirable capacities. The reason for focusing on the most critical or essential is that this plan needs to be implemented in the coming year and an unrealistic wish list of all desirable capacities is more likely to be distracting and discouraging than helpful.

Remember: **Capacities in the institution and enabling environment** might be services, activities, or actions needed – or they could be changes in, or the elimination of negative factors that are inhibiting or constraining the organization from improving. For example, there could be policies or regulations that interfere with efficient school functioning (at the institutional level) or political influence over hiring qualified personnel (enabling environment).

S No	CD Needs	CD Activities or Actions	Location or Source	Resources/ Sources	Time-line	Strategy
Key Result Area 1:						
1. Essential Service or Activity:						
1.1						
1.2						
1.3						
1.4						

S No	CD Needs	CD Activities or Actions	Location or Source	Resources/ Sources	Time-line	Strategy
Key Result Area 2:						
1. Essential Service or Activity:						
1.1						
1.2						
1.3						
1.4						

S No	CD Needs	CD Activities or Actions	Location or Source	Resources/ Sources	Time-line	Strategy
Key Result Area 3:						
1. Essential Service or Activity:						
1.1						
1.2						
1.3						
1.4						

Appendix 14: Sample M&E design for a School CD Plan Template

The results and capacities from the CD plan are listed in the first column. The monitoring dimension is the “achievement data” (were the core capacities developed?). The evaluation dimension are the “valuing data” (are the capacities achieved making a difference and likely to lead to the result?). After the data are collected and entered on a termly and annual basis, the Head teacher and SMC Chair should convene a meeting to analyze the results (achieved or not achieved?) and to strategize and plan for the next cycle of Capacity Development.

Key Result Area:						
1. Essential Service						
<i>From the CD Plan:</i>	<i>Monitoring Data:</i>		<i>Evaluation Data:</i>		<i>Analysis:</i>	<i>Planning:</i>
Result/Capacity Indicator	Achievement Data	Data source/frequency	Valuing Data	Data source/frequency	Result/Capacity achieved or cause(s) of not achievement	Strategy/schedule for implementing needed changes
Result:						
1. Essential Service:						
Needed Core Capacities:						
1.1						
1.2						
1.3						
Result:						
2. Essential Service:						
Needed Core Capacities:						
2.1						
2.2						
2.3						
Result:						
3. Essential Service:						
Needed Core Capacities:						
3.1						
3.2						
3.3						