Workshop: Enhancing transparency and accountability in the education sector in Nepal

(Nagarkot, Nepal: 23-25 November 2010)
An advanced training workshop on “Enhancing transparency and accountability in the education sector in Nepal” was held from 23 to 25 November 2010 in Nagarkot, Nepal. It was organised by AusAID and DFID, within the framework of cooperating arrangements between the Anti-Corruption Resource Centre (U4) and the International Institute for Educational Planning (IIEP-UNESCO).

The major aims of this workshop were: to share understanding amongst education stakeholders of the areas of weak governance in education affecting transparency and accountability in the education sector in Nepal; to enhance knowledge on best practices in education governance from Nepal and other countries and their applicability to Nepal; and to agree among education stakeholders on necessary next steps to initiate and maintain a meaningful dialogue to enhance transparency and accountability and strengthen education governance in Nepal.

This report includes the various materials that were prepared and used for the Workshop, in particular: the plenary presentation outlines, as well as group work exercises. The appendix contains the list of participants.
U4 training workshop:
Enhancing transparency and accountability in the education sector in Nepal
Kathmandu, 23-25 November 2010

AGENDA

Objectives for the workshop:

- A shared understanding amongst education stakeholders of the areas of weak governance in education affecting transparency and accountability in the education sector in Nepal.

- Enhanced knowledge on best practices in education governance from Nepal and other countries and their applicability to Nepal.

- Agreement among education stakeholders on necessary next steps to initiate and maintain a meaningful dialogue to enhance transparency and accountability and strengthen education governance in Nepal.

Monday 22 November

14.45 onwards: Congregate at pick-up points (points and time to be advised)

16.00-17.30  Travel to Nagarkot

18.30-21.00  Participants registration, collection of workshop folder and welcome dinner

Tuesday 23 November

a.m.  The challenge of integrity in the education sector

08.30-08.45  Opening remarks by host agencies and Ministry of Education

08.45-09:45  Introduction to the course, by Ms Alessandra Fontana (U4)

09:45-11:00  Transparency and accountability in the education sector: an overview, by Mr Jacques Hallak and Ms Muriel Poisson (IIEP)

11.00-11.30  Tea break

11.30-12.30  Addressing issues of transparency and accountability in the Nepalese education sector: an overview of the problems and what is in place to address them, by Prof Dr. Bidya Nath Koirala, TU

12.30-13.30  Lunch
p.m.  Education funding in a context of decentralization

13.30-14.45 Education funding in Nepal: a fiduciary assessment, by Mr Hari Lamsal, Ministry of Education

14.45-16.00 Formula funding: potentials and risks for integrity, an international perspective, by Mr Jacques Hallak and Ms Muriel Poisson

16.00-16.30 Tea break

16.30-17.30 Group work 1:
- Mapping opportunities for malpractices in education in Nepal
- Financial flows in the education sector in Nepal
- Challenges and strategies to promote integrity in education in Nepal

Day 1 expected output: Mapping-out malpractices in the Nepalese education sector: issues of terminology and definitions and understanding funding flows

Wednesday 24 November

08.30-08.40 Review of main points from Day 1

a.m.  Methodological tools

08.40-10.00 Methodological tools to monitor integrity: public expenditure tracking surveys (PETS) and quantitative service delivery surveys (QSDS), by Mr Jacques Hallak and Ms Muriel Poisson

10.00-10.30 Tea break

10.30-11.30 Group work 2:
- Objectives and issues for a PETS in Nepal
- Objectives and issues for a QSDS in Nepal
- Using external audit results to improve transparency in education in Nepal

11.30-12.30 Assessment and audit mechanisms in the education sector in Nepal, by Mr Ghanshyam Upadhyay, Office of the Auditor General

12.30-14.00 Lunch

p.m.  Improving teacher management

14.00-14.30 Introductory remarks: The management of teachers in a context of decentralization in Nepal, by Mr Dilli Ram Rimal, Department of Education
14.30-15.30 *Strategies to improve transparency in teacher management*, by Mr Jacques Hallak and Ms Muriel Poisson

15.30-16.00 Tea break

16.00-17.30 Panel: *Academic integrity and teacher codes of conduct*, by Mr Jacques Hallak, Ms Muriel Poisson and Mr Keshav Prasad Bhattarai, Teachers’ Union of Nepal

**Day 2 expected output:** Overview of tools and strategies that can help promoting transparency and accountability

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**Thursday 25 November**

**a.m.** *Access to information*

08.30-08.40 Review of main points from Day 2

08.40-09.45 *Making decentralization effective: focus on score cards and the right to access information*, by Mr Jacques Hallak and Ms Muriel Poisson

09.45-10.45 *The right to access information in Nepal: progress and challenges ahead*, by Mr Babu Ram Aryal, Press office of the President

10.45-11.15 Tea break

11.15-12.30 *Group work 3:*
- Scope and coverage of an education score card in Nepal
- Open budget monitoring in Nepal
- Local control mechanisms in Nepal

12.30-14.00 Lunch

**p.m.** *Building an integrated approach*

14.00-15.00 *Building an accountability framework*, by Mr Jacques Hallak and Ms Muriel Poisson

15.00-15.30 Tea break

15.30-16.30 Panel: *All for integrity*, by Mr Purushottam Subedi, Education Journalists’ Group; donor representative; Chaired by Dr Lava Deo Awasthi, Director General, Department of Education

16.30-16.45 Conclusion of the course & distribution of certificates
16.45-17.30  Final reception

17.30  Departure from Nagarkot back to Kathmandu

Day 3 expected output: Introduction to a comprehensive approach to improve integrity
Enhancing transparency and accountability in the education sector in Nepal

U4 Workshop
Nagarkot, Nepal

23/11/2010

U4 Anti-Corruption Resource Centre
How do we work at U4?

Promoting an informed approach on issues of transparency and accountability to bilateral development agencies

Research
Theme pages

Training
Online and in country

Helpdesk
Exclusive upon request of partner agencies

Enhancing transparency and accountability in the education sector in Nepal

- Content of the folder
- Agenda
- Short introduction of participants
Objectives of this session

- Consequences of malpractice and lack of accountability
- Accountability vs corruption?
- Main drivers of lack of accountability
- Mainstreaming work on accountability in sectors

Aim to develop a shared understanding of the issues

Programmes funded by development aid

Photos: World Bank
It costs lives!

School after earthquake in Sichuan, China, 2008

Hotel after earthquake, in Pisco, Peru, 2007

Source: www.bbc.co.uk

Consequences of malpractice and lack of accountability

- Economic
- Social
- Political
- Institutional
- Environmental
- For national security

A large obstacle to development
Corruption vs Accountability

Definitions
- Abuse of public office for private gain
- Abuse of entrusted power for private gain
- Accountability

Tipology

Accountability

"relationship between bearer of a right and the agent responsible for fulfilling/respecting that right"

1. Transparency
2. Answerability
3. Controlability

Goetz and Jenkins (2005), Reinventing Accountability;
Lawson and Rakner, (2005), Understanding Patterns of Accountability in Tanzania
**Tipology**

- **Petty (administrative) corruption**
  - Lower ranking civil servants
  - Smaller bribes
  - Higher frequency/high social impact

- **Political (grand) corruption**
  - Higher ranking civil servants/elected officials
  - Larger amounts/other manifestations (fraud/nepotism)
  - High economical impact for the state

- **Systemic corruption**
  - Political and economic elites
  - Large amounts and influence of power
  - Distortion of state policies and structures
  - High economic and political impact

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**Causes**

- Political Explanations
- Economic Explanations
- Social, cultural, individual explanations

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**Causes or Consequences?**
### What is mainstreaming?

Process of implicitly or explicitly incorporating concerns about corruption risks and efforts to tackle them into sectors and cross-cutting activities.

**Donor perspective:**
- Traditional efforts too broad
- Shared responsibilities (not only AC commissions)
- Better understanding of specificities of power relations established in sector
- Commitment to aid effectiveness

**Partner country perspective:**
- CSOs involvement in this area
- Govt efforts to provide better service (ie. In reaction to developments in the sector)

### Main elements of mainstreaming

- **Analysis** (surveys and other research)
- **Setting Priorities** (MOET Action Plan)
- **Setting the Measures** (easurable indicators and responsibilities)
- **Implementation** (resources and capacity building)
- **Monitoring** (internal CSOs)
Introduction

- **Brazil**: teachers pay bribes to be recruited
- **Ghana**: illegal school fees and ghost personnel
- **Nepal**: collusion by contractor associations in bidding
- **France**: violation of tendering processes
- **Italy**: selling exam questions in advance
- **Pakistan**: fictitious schools, teachers, pupils
- **USA**: many bogus e-mail colleges
- **Vietnam**: bribery for school entry and for marks
Integrity and GDP per capita

Outline of the presentation

I. Definitions
II. Conceptual framework
III. Mapping of risks in education
I. Definitions

1. Definition of transparency

The extent to which stakeholders can understand on which basis educational resources are allocated and used

- Visibility
- Predictability
- Clarity ('understandability')
2. Accountability models

- **Bureaucratic/administrative:** compliance with statutes and regulations
- **Professional:** adherence to professional standards and norms
- **Performance-based:** monitoring of student learning
- **Market:** regulating quality assurance of institutions

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**Transparency, accountability, integrity**

- Integrity
- Transparency
- Corruption risks
- Accountability
3. Factors contributing to distorted behaviors

Internal factors
- Non-transparent norms
- Opacity of procedures
- Monopoly and discretionary power
- No independent system of quality assurance
- Low salaries and lack of incentives
- No professional norms
- Low management capacity
- Lack of absorption capacity
- Weak accounting/monitoring systems
- Lack of supervision/control
- Poor public information

External factors
- Absence of political will
- Political/economic/social structures in place
- Decline of ethical values (corruption as the norm)
- Low salaries in the public sector
- No ethical codes
- Fungibility of budgets
- Lack of external audit
- Poor judiciary
- Strong competition for jobs
- Education as a ‘gatekeeper’ to jobs (importance of credentials)
- No right to information

Risk of distorted behaviours

Debate on monopoly and discretionary power!

In rural areas of Nepal, there may be cases of monopoly and discretionary power:
- a single company for building schools,
- one secondary school for a large catchment area, etc.

What malpractices can this generate?
II. Conceptual framework

1. Scope: need for a systemic approach

Focus on institutions, procedures, mechanisms and not on individuals
2. A useful distinction

- The education sector is both a subject and an object of corruption
- It is instrumental in the design of strategies to reduce corruption in all sectors (both economic and social)*
- It offers a broad variety of opportunities for corrupt practices in the use of resources allocated to the sector

Education against corruption  
Education free of corruption

3. Mapping decisions and related activities

- Planning decisions
  - Policy nature
  - Broad scope
  - LT effects
- Operational decisions
  - Limited scope
  - Daily decisions
  - ST effects
- Management decisions
  - Annual scope
  - ST/MT effects
  - Recurrent budget
- Distorted practices

Debate on textbooks!

The textbook chain includes design, production and distribution. What are the major risks of distortion involved at each of these steps in Nepal?

III. Typology of risks in education
1. Selected areas of planning/management

- Finance
- Allocation of specific allowances
- Construction, maintenance and school repairs
- Equipment, furniture and materials
- Teacher management
- Teacher behavior
- Transition of pupil/student cohorts
- Institution accreditation
- Information systems

2. Finance

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<tr>
<th>Areas</th>
<th>Distorted practices</th>
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<tbody>
<tr>
<td>Finance</td>
<td>• Opacity of flows</td>
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<td>• Transgressing rules and procedures / bypassing criteria</td>
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<td>• Inflation of costs and activities</td>
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<td>• Embezzlement</td>
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<tr>
<td>Allocation of specific allowances*</td>
<td>• Favoritism/nepotism</td>
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<td>(fellowships, subsidies, etc.)</td>
<td>• Bribes</td>
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<td>• Bypassing criteria</td>
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<td>• Discrimination (political, social, ethnic, etc.)</td>
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<td>• Illegal fees</td>
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* Misconducts in finance

- **Bangladesh**: Illegal fees in eight districts amount to about BDT 20 million
- **United Kingdom**: Embezzlement of school budget by a head teacher amounted to £500,000 in one LEA in 2003
- Indonesia: Payment of ‘taxes’ to local officials in order to obtain the allowance or the scholarships granted
- **Vietnam**: In Vo Gap upper secondary school, out of 24 income sources, 9 were illegal (Vietnam Net, Oct. 06)

3. Construction, maintenance and repair

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<th>Areas</th>
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<td>Construction, maintenance and school repair</td>
<td>• Fraud in public tendering</td>
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<td>• Collusion among suppliers</td>
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<td>• Manipulation of data</td>
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<td>• Bypass of school mapping</td>
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<td>• Ghost deliveries</td>
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<tr>
<td>Distribution of equipment, furniture and materials</td>
<td>• Fraud in public tendering (payoffs, gifts, favoritism)</td>
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<td>(including transport, board, textbooks, canteens and school meals)</td>
<td>• Collusion among suppliers</td>
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<td>• Siphoning of school supplies</td>
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<td>• Purchase of unnecessary equipment</td>
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<td>• Manipulation of data</td>
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## Gaps in procurement in five DDCs

*(Kathmandu, Bhaktapur, Lalitpur, Morang, Banke)*

### 1. Planning and Needs Assessment
- None of the six districts had a procurement plan.
- No regular procurement meetings were held.
- The procurement unit was not institutionalized.

### 2. Product design, document preparation and procedure design
- Procurement process was not well documented.
- Procurement process was not discussed with other units in the DDC.
- Product design was all but one designed at the last minute and when needed.

### 3. Tender Process
- There were disputes between deadlines for estimation and opening of bids in all six districts.
- None of the five districts had any idea about handling complaints.
- The ratio of tender forms sold and forms submitted and validated (the ratio on average was 50 to 3).

### 4. Contract Implementation
- UGOs complained about the lack of monitoring.
- Realization of contractors’ performance was not well documented.
- Contractors did not receive timely disbursements.

### 5. Final Accounting and audit
- None of the six districts had done any follow-up on indications of corruption.
- There were not proper mechanisms in place for the User to report to complaints about corruption issues.
- All six districts lacked sufficient muscle power to conduct audits.

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### 4. Teacher management and behaviour

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<th>Distorted practices</th>
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| Teacher appointment, transfer*, promotion, training | • Fraud in appointment/deployment/promotion  
• Discrimination (political, social, ethnic)  
• Falsification of credentials/use of fake diplomas  
• Bypassing criteria  
• Pay delay, sometimes with deductions |
| Teacher behaviour (professional misconduct) | • Ghost teachers  
• Absenteeism  
• Illegal fees  
• Favoritism/nepotism/acceptance of gifts  
• Discrimination (political, social, ethnic)  
• Private tutoring  
• Sexual harassment or exploitation  
• Bribes or favors during inspector visits |
*Teacher exchanges in Colombia*

- High demand for transfers to Bogota and other cities
- Transfer process susceptible to corruption
- Private agreement between teachers involving payment
- Especially Bogota teachers about to retire: incentives to exchange and get advantageous deals


Irregularities in allocating quotas for adult literacy through unofficial schools for 13 months amounted to Rs 26000 in the Dhanusa district in Nepal (Investigation Committee, 2009)

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5. Transition of pupil/student cohort

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| Transition of pupil/student cohorts (academic fraud, examinations and diplomas, access to universities) | • Selling of information  
• Examination fraud (impersonation, cheating, favoritism, gifts)  
• Bribes (for high marks, grades, selection to specialized programs, diplomas, admission to universities)  
• Diploma mills and false credentials  
• Fraudulent research, plagiarism |

The Commission for Investigation on Abuse of Authority says it suspects that 10 percent of 140,000 Nepalese schoolteachers are using diplomas purchased from India (CHE, 2003)
### 6. Institution accreditation

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<td>Institution and program accreditation (distance delivery systems, transborder education, etc.)</td>
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### 7. Information systems

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<td>• Irregularity in producing and publishing information</td>
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<td>• Payment for information that should be provided free</td>
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Hallak & Poisson © IIEP-UNESCO
In summary...

### Areas of planning/management

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<th>Major opportunities for distorted practices</th>
<th>Impact on education</th>
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### Conclusion: impact of distorted practices on EFA achievement

#### Reduction of the resources available:
- Reduction of the sums available for education
- Ghost teachers and absenteeism as limiting factors
- Fewer items available due to distortion of procurement rules

#### Major obstacle for improving quality:
- Total number of teaching hours reduced significantly
- Lack of consistency between textbooks and curricula
- Textbooks not available in the classroom, of poor quality, etc.

#### Reinforcement of inequalities:
- Less resources available in priority areas
- School meals free for the rich, not available for the poor
- Unjustified credentials available to students who can pay
Addressing the issues of Accountability and Transparency in education: There are ways out with us

Prof. Bidya Nath Koirala, Ph. D.

Internationally portrayed scenario

- In Transparency International's report, 2010 Nepal scored 2.2/10 in its governance accountability and transparency. This means the country has massive corruption even at the government level.
- In UNGEL and ASPBAE report, 2010 Nepal has obtained okay status in CPI (corruption performance indicator) and civil society participation; poor in protection of the rights of the teachers; and partial in gender parity. The country has secured 30 marks for TA with grade D.
- The same study found there are financial corruption, inaccessibility of information to the stakeholders, inability to implement the teachers' code of conduct, and continuation of the irregular fees culture, collected by some teachers.

National scenario portrayed in the newspapers and magazines

- Ghost schools (schools that only exist on paper)
- Schoolteachers use "worker/labor teachers"
- Teachers' absenteeism (attendance is less than necessary to teach the mandatory number of hours)
- Teachers, Head teachers, and SMC members misuse students' scholarship fund
- Head teachers do not make public the earnings of the school. Even the social auditing system has been merely a ritual
- Parents are not getting adequate information about school budget
- Quality education became a cry in wilderness. It has been worse in southern part of the country called Terai.
- Cheating in exam has been a common practice. Because of this practice the school/college/university systems have been producing low quality graduates

Government's provision for transparency

- Constitution of Nepal has given the right to information for all
- Department of Education has also implemented the constitutional provision by making compulsory provision of Citizen Charter (Nepal government information walls painted in all the offices these days, Nagarik Badapatra in Nepali) in each District Education Office
- It is mandatory that each school should do social auditing and financial auditing. The first should be done before the community members and second is to be done by the Department of Education and Attorney Generals' Office.

Government's provision for accountability
Department of Education introduced community managed school policy to ensure local accountability. But the Teachers' Union is not accepting this policy. It provided teacher training to all teachers in a hope that they will be accountable for quality education. It also plans to provide demand-based teacher training. But the results have not been that optimistic so far.

My experience in the field related to teachers' accountability

- There are number of accountable teachers, SMC members, and Head teachers. But they are yet to be identified and networked. So far the teachers are networked under political line, subject specific line but not with their performance line. Here I see the problem associated with the monitoring system. I want to propose a self reported monitoring system where the teachers will report the good and creative things that they do. Under the system a logbook will be developed in each local government. The logbook will be analyzed by the local elites and the best teachers will be awarded at the local level. They will be recommended for the district/provincial/national/international award.
- Teachers in one or in other ways have been ‘particized’ in Nepal. I personally don’t want to call it politicized. For me if they were politicized, then we would have a wonderful education system because all political parties talk about quality education but their cadres do not pay attention to it. Because of this ‘particization’ they are not reported impartially. Let's help teachers to implement their political parties' education policy: this demands discussion with different political parties from the local to the national level.
- Department of education claims that 98% teachers have been trained. But a recent study (Subedi et.al, 2010) claims that these trainings are not yielding much. In other words training has not translated in good teaching practices at classroom level. I propose different types of training modalities such as (a) school based/whole school teacher training program (b) collaborative research-based teacher training (c) introduction of "open type" training program in which teachers will identify different options, become innovative, and reflective (d) introduction of the policy that trainers will not be allowed to train teachers without observing their teaching styles, class size, classroom situation, teaching culture, availability of the educational materials and students' learning culture (e) exposing the teachers to use indigenous materials for teaching such as Damaru and Tharu artifacts for teaching math and science (f) teaching through student/teacher research (f) training of teachers through research publications from the local government to the international levels.
- Save the Children 2010 study on quality education under its SZOP (school as zone of peace project) in Angola, South Sudan, Afghanistan, and Nepal. I was leading the Nepali team. My experience tells that empowered students are the best persons to make teachers accountable. They should prepare teachers and students’ code of conduct. With the help of these codes students will ask teachers whether they are on time? This simple question is enough to reduce absenteeism.
- Student absenteeism (because of their domestic chores, because they cannot pay fees, cannot do homework etc.) is also a problem. This problem can be addressed through the publication and dissemination of school materials on audio, video,
print, online, and DVD. This can be done in collaboration with media and businesspersons.

- Cheating has been the next problem associated with quality education. Changing the exam system and question-setting approaches can solve this problem.

**My experience in the field related to transparency**

- Some of the District Education Offices have been publishing the list of the budget items and the allocated budget of each individual school. Others are in a position to provide such records if someone wants to get it. But this again cannot be the material for public consumption. I propose to paint villages’ walls with the financial records at the local government level. Such paintings will be done on the walls of private houses, bid boulders, and public houses. There, people will get information on the amount of scholarship, per child funding scheme, and the likes that the government provides.

- Apart from the financial transparency there are other types of transparencies needed: they include decisions made by the School Management Committees, Teachers, and others. For this, school can prepare Citizen Charters (as mentioned before) as well.

- Ministry of Education's policies on Education For All, girls' education, Dalits' education, disabled persons' education, and other provisions should be made public through these Citizen Charter type of board in public places of each local government.

**Finally, problem lies in our attitude, culture, and the ‘particization’ practices. Let us find the answer in the same locations.**
FUNDING EDUCATION IN NEPAL

HARI PRASAD LAMSAL
MINISTRY OF EDUCATION

NEPAL: LAND OF DIVERSITIES

- Diversity in terms of:
  - Language,
  - Ethnicity,
  - Religion,
  - Living standard,
  - Educational status,
  - Geography

- Diversities in Nepal correlate with inter-regional, inter-ecological and inter-districts variations, high in some cases

Diversities – impact on funding
Disparities – need more funding to address the vertical and horizontal equity
**AGREED PRINCIPLES**

- Education in Nepal is considered as:
  - A Human right/fundamental right – Constitutional provision
  - A public good – free basic education, secondary education gradually free (Constitution, Global commitment)
  - An economic investment – employment generation, poverty reduction
  - A means of human development – means to develop country (Periodic Plan – PRSP)
  - Concerns of quantity, quality, efficiency, effectiveness and equity – education development

Addressing such principles – certainly require more funding to education

---

**DEVELOPMENT OF EDUCATION IN NEPAL**

- Before 1951 - controlled by the state, limited opportunity to limited groups
- 1951 to 1990 – period of gradual development
- From 1990 onward – taking as an movement, political commitment
  - Increase in national commitment – policies, resources, implementation arrangements
  - Rapid growth in primary education
    - Enrolments, Gross/net enrolment ratios, gender parity
    - Transition rates to secondary education
  - Growth in Secondary Education

However, efficiency in terms of dropout rates, out of school children, and illiterates remain major concerns

Budget constraints
### Resource Requirement and Availability

More resources required to address:

- Diversities existed in the country – diverse needs
- Disparities – inert regional, ecological and groups
- Growth of primary education, secondary/higher education and tertiary education, vocational and non-formal education
- Need of new technologies and practices
- Competition among public and private sectors
- National and international commitment – MDGs, EFA

**Resource availability**

In line with the need resources are not increased, even limited;

- the fiscal capacity of the governments (projected growth rates are lower than the experienced growth rate),
- economic capacity of households and remittance,
- internal market – weak, private sectors – under developed
- Trade, FDI, and foreign aid,
- Global financial crisis

---

### Proper Utilization of Resources Allocated in Education:

**Systemic Issues**
PROGRAM AND BUDGETING PREPARATION PROCESS

Flow of Authorities (Spending Order)

Bottom up process, involvement of several institutions – high operating costs, proper utilization of resources (high risks), requires strong monitoring, several joints – high chances of leakages
PROPER UTILIZATION OF RESOURCES ALLOCATED IN EDUCATION:
ALLOCATION CRITERIA (CONCERN OF EQUITY – BOTH HORIZONTAL AND VERTICAL AND ADEQUACY)

TRANSPARENCY: RESOURCE ALLOCATION

1. Student: textbooks, scholarships, PCF (non-salary recurrent costs and salary cost), exam strengthening continuous assessment system,
2. Teacher: salary, post service benefits, provident funds,
3. ECD: management cost, material cost,
4. School: management cost,
5. Resource Centre: management and operation cost
6. VDC/Municipality: matching grants, literacy related activities
7. District: management costs, operation cost, number of personnel, equipments, vehicles, located areas
8. Region: management and operation costs, number of personnel, equipments, vehicles, located areas
9. Ministry of Education, Department of Education and other central level expending units: management and operation costs, number of personnel, equipments, vehicles, located areas
PROPER UTILIZATION OF RESOURCES ALLOCATED IN EDUCATION:
USES TO PRODUCE RESULTS (CONCERN OF EFFICIENCY)

CONCERNS ON THE UTILIZATION OF PUBLIC RESOURCES
- Guidelines for the use of funds
- Capacities of the users, specially school management committee at the school level
- Excessive authority to school management – block grants (only limited conditions for the use of grants)
- Record keeping system, weak mechanism to control SMC’s role
- MIS system - data verification, update, positive reinforcement to the users
- Internal and external control mechanism - support from higher authorities, public disclosure, quality of audit
- Monitoring – input, process, results
- Accountability – reward and punishment
CONCLUSION

- Several layers of authorities to release fund to schools
  - seems inefficient in terms of time and process,
  - control becoming weaker if the distance between spending unit and control authorities widen
  - No local control in the use of public resources
- More concerns on
  - Curative rather than preventive
  - Focusing on complex rules and guidelines rather than simplifying them through capacity development
  - Process focused rather than result
  - Completion of works rather than ensuring accountability mechanism
- Ethical concerns

THANK YOU
FORMULA FUNDING: POTENTIAL AND RISKS FOR INTEGRITY
An international perspective

Jacques Hallak & Muriel Poisson

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Improving governance!

- **Getting closer to the users:** improving efficiency, relevance, transparency and accountability
  - Deconcentration
  - Decentralisation
  - Devolution to schools and universities

- **No simple model:** combination of centralisation, deconcentration, decentralisation and institutional management
Local financial autonomy

The basic purpose of Formula Funding is to provide all schools with an equitable sum of money which they can decide to spend on the particular needs and priorities of their school.

This is ‘Local Financial Autonomy’.

- At every stage in the process of transferring resources from central government to the pupil in the classroom, there is transparency and accountability.
- A system of checks and balances throughout the process should ensure that precious resources are used wisely, effectively and with integrity.

Outline of the presentation

I. Formula funding: an introduction
II. Opportunities for corrupt practices in educational financing
III. Multi-dimension strategy for improving transparency and accountability
1. Formula funding: an introduction

“An agreed set of criteria for allocating resources to schools, impartially applied to each school”.

Use of formula funding:
- **Rather simple**: deployment of teachers linked to class size
- **Rather sophisticated** (e.g., UK): number of pupils (75%), students’ additional needs (5%), physical conditions (20%), extra allowances/learning difficulties, using as a proxy Free School Meal (% FSM)
2. Main components of the formula

- Rule-based grant
- Equalization grant addressing the needs of under-privileged groups
  - *Equity concerns*
- Discretionary grant to promote government priorities
  - *Relevance and quality concerns*

Formula funding in Victoria, Australia

- **Core**: 80% of the budget
  - Salaries of personnel, didactic materials, operation and maintenance
  - Different coefficients for primary and secondary
- **Needs based**: disadvantaged and special learning needs
  - Handicapped children, rural/remote schools
- **Priority programs**: 16 special needs
3. “Money follows the student”

- Mechanisms to distribute funds among spending units
  - Traditionally, norms for inputs
  - Now “money follows the student” (based on capitation, unit cost or average cost)
- The money should go to a jurisdiction small enough to be politically accountable and large enough to create possibilities for shifting resources among schools
- Assigning competences regarding different educational levels to different administrative levels (e.g. Poland) reduces flexibility

Formula funding in Romania

- Prior to 1990, supply-side system: funds allocated on the basis of the number of teaching positions, square feet of building space and other planning norms
- After 1990, demand-side financing: funds allocated on the basis of unit cost per student in various fields of study (higher education)
- Studies of unit costs conducted by the National Higher Education Financing Council (NHEFC), to provide the empirical basis for the FF
- Complementary funding allocated on a competitive basis (peer-reviewed competition)

*Source: World Bank, 2005*
4. Formula funding and transparency

- Consistently applied formula determines what each school is allocated: this is known by the school and can be made publicly available.
- More transparency and accountability.
- At the same time, it can increase the possibility of fraud as many more people have direct access to funds.

This depends obviously on ‘how FF operates in practice’.

II. Opportunities for corrupt practices
1. Allocation of funds

- Non-transparent criteria used for selecting eligible schools or pupils (favoritism, nepotism, politicization of the process, etc.)
- Overstatement of eligible schools or students by head teachers or local education officers in order to attract more resources*
- Non-eligible schools or pupils manipulating data in order to be entitled to receive the funds*
- Non-eligible schools or pupils ‘convincing’ education officers that they are eligible (bribes)

* Distortion of the formula

<table>
<thead>
<tr>
<th>Type of formula</th>
<th>Pervasive effects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allocations according to size of schools</td>
<td>Inflation of enrolment figures</td>
</tr>
<tr>
<td>Utility costs funded according to past expenditures</td>
<td>No incentive for more efficient use of energy, water and telephones</td>
</tr>
<tr>
<td>Indicators of students’ leaning needs</td>
<td>Incentive for principals to encourage low scores</td>
</tr>
<tr>
<td>Data for calculating extra funding collected from the school (socioeconomic background, poverty, ethnicity, language)</td>
<td>Principals tempted to falsify statistical returns</td>
</tr>
</tbody>
</table>
Debate on the accuracy of school enrolment figures!

Is there evidence of inaccuracies in enrolment figures in Nepal? Do they have any impact on resource allocation?

2. Distribution of funds

- Payment of ‘facilitation fees’ by schools to obtain approval for withdrawing funds from school bank accounts
- Payment of ‘taxes’ to local officials in order to obtain the allowance or the scholarships granted
- Payment of ‘taxes’ by teachers to local officials or head teachers in order to obtain their salary
- Reduction of disbursements by local officials or procurement of fewer non-wage items for schools
- Withholding of scholarships by school officials, either to fund the school or for private use
- Embezzlement of funds by educational officers at different levels of the administrative hierarchy
**Indonesia: distorted allocation for rehabilitation**

List of the schools not responding to the allocation criteria:

<table>
<thead>
<tr>
<th>No</th>
<th>Name of The School</th>
<th>Type of irregularities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>SDN Langensari III</td>
<td>Still in good condition, in 2002 got support from local government budget</td>
</tr>
<tr>
<td>2</td>
<td>SDN Radangga III</td>
<td>In 2002 got support from OECF, The Headmaster is one of public officer in Cianas Pendidikan.</td>
</tr>
<tr>
<td>3</td>
<td>SLTP II Malambong</td>
<td>In 2002 got support from APBD Rp. 150 million, still in good condition as well</td>
</tr>
<tr>
<td>4</td>
<td>SLTPN V Taropang</td>
<td>Still in good condition</td>
</tr>
<tr>
<td>5</td>
<td>MI Alhidayah</td>
<td>Still in good condition, The owner is The Chairman of The Awakening Party in Umbang Sub District</td>
</tr>
<tr>
<td>6</td>
<td>MI Pusulkan</td>
<td>The owner is Abdulrahman, B.Ag. Vice Chairman of Commission E (Commission for Education), Giri Local Parliament (UFRD II)</td>
</tr>
<tr>
<td>7</td>
<td>SDN Pekantung</td>
<td>Still in good condition, has got support from local government budget previously.</td>
</tr>
<tr>
<td>8</td>
<td>SDN Taropang</td>
<td>The physical condition is quite good.</td>
</tr>
<tr>
<td>9</td>
<td>SDN Pasirili</td>
<td>Still in good condition, in 2002 got the rehabilitation fund Rp. 115 million.</td>
</tr>
<tr>
<td>10</td>
<td>SDN Sariwaktu II</td>
<td>The condition is quite good and got the rehabilitation fund at 2002.</td>
</tr>
</tbody>
</table>

30% of the total funds lost?

---

**3. Use of funds**

- Use of educational funds for purposes other than education (public or private)
- Use of part of operational funds to cover administrative costs
- Irregular book-keeping practices and falsified orders and receipts to cover up irregular payments
- Irregular payments made to officials, members of school committees, etc.
- Grant funds used for inappropriate goods
- Use of educational funds to finance political parties or electoral campaigns
III. Multi-dimension strategy for improving transparency and accountability

1. Checking data accuracy

<table>
<thead>
<tr>
<th>Type of formula</th>
<th>Pervasive effects</th>
<th>Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Allocations according to size of schools</td>
<td>• Inflation of enrolment figures</td>
<td>• To collect data on enrolment externally</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• To check for accuracy externally</td>
</tr>
<tr>
<td>• Utility costs funded according to past expenditures</td>
<td>• No incentive for more efficient use of energy, water and telephones</td>
<td>• To include variables that predict the amount that the school must spend but cannot itself affect (e.g. size and condition of buildings and climatic variations)</td>
</tr>
<tr>
<td>• Indicators of students' learning needs</td>
<td>• Incentive to principals to encourage low scores</td>
<td>• Not to use tests administered by the school itself</td>
</tr>
<tr>
<td>• Data for calculating extra funding collected from the school</td>
<td>• Principals tempted to falsify statistical returns</td>
<td>• To check for accuracy externally</td>
</tr>
</tbody>
</table>
Data checking in Victoria and England

In Australia:
- Data collected at state level from schools four times a year; it has the most rigorous external check

In England:
- Data collected from schools by the annual census; forms completed by IT management systems and submitted electronically to the ministry (limited misreporting)
- Example of misreporting: Free School Meals (visit of LEA auditors and inspectors)
- If FF is not to be corrupted, strong data verification procedures and sanctions for deliberate misreporting must be in place

2. Enforcing financial regulations

- Opening bank accounts
- Ensuring compliance of timely transfer of funds by the Ministry of Financing
- Routine follow-up of flows of funds (PETS)
- Adoption of financial regulations*
- Common financial management systems and capacity-building at school level
* Financial regulations in the UK

- A clear manual of financial regulations at school level e.g.
  - the tendering process for ordering goods
  - separation of ordering and receiving goods
  - more than one signature on cheques or credit notes
  - inventories of equipment including write-offs
  - handling of cash within school to be minimized and checked
- Training in financial management for Heads and governors
- With 150 LEAs, this is not the case: each school must buy its training and support
- Consistent Financial Reporting i.e. all schools should use the same coding for items of income and expenditure

3. Promoting control at local and school level

- Advantages of financial local autonomy:
  - Gives heads, teachers, parents and pupils a greater say in how the school is organized and how learning happens
  - Encourages better use of money because the school community has the ‘ownership’ of its resources
  - Makes everybody more accountable for their performance and for the use of precious resources
- This requires a fair representation of stakeholders at local and school level*
Debate on stakeholders’ participation in VDC councils in Nepal

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Total no.</th>
<th>Average per VDC</th>
</tr>
</thead>
<tbody>
<tr>
<td>VDC and DDC level officials**</td>
<td>2,022</td>
<td>10</td>
</tr>
<tr>
<td>Local politicians</td>
<td>1,543</td>
<td>8</td>
</tr>
<tr>
<td>Community organization members</td>
<td>914</td>
<td>5</td>
</tr>
<tr>
<td>Local NGOs</td>
<td>921</td>
<td>5</td>
</tr>
<tr>
<td>Social leaders</td>
<td>4,563</td>
<td>23</td>
</tr>
<tr>
<td>Disadvantaged groups</td>
<td>3,487</td>
<td>17</td>
</tr>
<tr>
<td>The general public</td>
<td>4,336</td>
<td>21</td>
</tr>
<tr>
<td>Total</td>
<td>17,784</td>
<td>88</td>
</tr>
</tbody>
</table>

Source: VDC secretary survey, 2008

Capacities for participation vary among stakeholders. What are the implications for local control?

---

4. Internal and external audits

- Budget scrutiny insufficient to prevent fraud/incompetence in the management of school finances and to ensure accountability
- Independent reviews conducted by registered private accounting firms
- Are financial reports or financial regulations fully complied with?
- Reports submitted to the various stakeholders at various levels with sanctions for misconducts and irregularities
  - Intervention of relevant public authorities (removal from school positions)
  - Intervention of the police (embezzlement of funds)
Conclusion

- Timely information about actual spending should be provided by public accounting systems
- Public access to the formula used as well as information dissemination about fund allocation and disbursement is a powerful tool of change
- Crucial role to be played by the “social control” exerted by communities and citizens
METHODOLOGICAL TOOLS TO MONITOR INTEGRITY PRACTICES

Public expenditure tracking surveys and quantitative service delivery surveys

Jacques Hallak & Muriel Poisson

Monitoring corrupt practices

Combining different approaches:

- **Objective**: public expenditure tracking surveys (PETS) and quantitative service delivery surveys (QSDS)
- **Subjective**: perception of service delivery (report cards)
Fact finding versus perception

I. Fact finding
Objective data (MoE/Institutions)
- PETS, QSDS, audits

II. ‘Perception’
Subjective data (Teachers/Student)
- Participatory assessment, score cards, focus groups

• Organizational (management, central & local level)
• Human resources (‘ghost’ teachers, absenteeism, recruitment)
• Financing (financial statements of an activity/entidy, budget, fund raising)
• Procurement (tendering)

Outline of the presentation

I. PETS and QSDS: definitions
II. Methodological steps involved
III. Major findings: illustrative examples
1. Definition of Public Expenditure Tracking Surveys (PETS)

- To locate and measure leakages and identify causes to propose remedies
- Initiated in Uganda in 1996
- Since then, several dozens of PETS implemented worldwide: Cambodia, Ghana, Kenya, Mongolia, Namibia, Papua New Guinea, Peru, Tanzania, Zambia, etc.
2. Definition of Quantitative Service Delivery Surveys (QSDS)

- To examine the efficiency of public spending in education; e.g. availability of textbooks per pupil in the classroom
- To analyze the various dimensions of service delivery on the frontline (schools); e.g. number of teaching hours per week
- Implemented in Bangladesh, Ecuador, India, Indonesia, Peru, etc., often in combination with a PETS

Objectives of the 2003 initial PETS in Nepal

- Evaluating the existing procedure applied in the release of grant in aid budget in order to determine whether the budget allocated reached the service delivery point (school level) or not
- Determining the outcome which resulted from investments made by governments in the schools

Source: PETS 2003, MOF
II. Methodological steps involved

1. Objectives and aims

- **Agree on purpose and objectives through consultation of stakeholders:**
  - Ministries: education, finance, planning, etc.
  - Donors
  - Civil society: PTA, teachers’ unions, etc.

- **Identify:**
  - Key questions and tentative answers*
  - Resource flow and rules for allocation
  - Roles of public and private schools

- **Take into account:**
  - Data availability
  - Local capacity to carry out the survey
* Question and tentative answers: PETS Zambia

- **Question**: Why does school enrolment decrease, especially in poor communities, despite increased government funding?
- **Tentative answers**: 
  - Discretionary funds (major part of government allocations) do not reach all schools
  - Rule-based funds reach all schools
  - Due to bargaining power, schools with wealthy parents get more discretionary funds per pupil

---

2. Questionnaires (units of analysis)

<table>
<thead>
<tr>
<th>PETS</th>
<th>QSDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>• MOE</td>
<td>• Schools</td>
</tr>
<tr>
<td>• Regions/provinces</td>
<td>• Classroom</td>
</tr>
<tr>
<td>• Districts</td>
<td>• Households</td>
</tr>
<tr>
<td>• Schools*</td>
<td></td>
</tr>
<tr>
<td>• Households</td>
<td></td>
</tr>
<tr>
<td>• Audit of flow of funds</td>
<td>• Observation of service delivery</td>
</tr>
<tr>
<td>(external entity)</td>
<td>(external entity)</td>
</tr>
</tbody>
</table>

---
### 3. Sampling design

- Sample survey methodology
- Data collected on a sample of schools
- Sample representative of all schools in the country
- Avoid biased sample (with unusual schools)
- To design a representative sample, use the stratification method
  - Cost consideration
  - Helpful in documenting questions raised

#### Sampling criteria used in Nepal (2003)
- 13 zones, 18 districts, city/village, equal number of primary and secondary schools

#### Purposive sampling method
- 2 to 4 schools per districts
4. Implementation of PETS and QSDS

- Checking of available data: school list complete? Reliable?
- Tests on a pilot sampling: time to administer, translate, produce
- Recruitment of a multidisciplinary team: training of enumerators, supervisors
- Survey implementation: data collection, management, analysis and synthesis, writing of the final report

5. Data management

- Preparation of a data user guide
- Data collection (official letters, guidelines and manuals, daily routine)
- Data entry and cleaning (quality control)
- To organize training on field testing and data entry (http://www.census.gov/ipc/www/cpro)
6. Training and planning

- Assess the capability of each staff
- Go through pilot work done and discuss with each individual/pair
- Test all aspects of the survey: duration, staff, sampling, supervision, communication
- Organize one day review training and identify changes to be made to questionnaire
- Prepare detailed implementation manual
- Establish cost of work: staff, transport, communication, data analysis, etc.

Debate on who can do it?

- Roles of MOE officials and of entities in charge of data collection
- Universities, research centres?
- National institute of statistics?
- NGOs?
- Local or international consultants?
- Capacity-building objectives?
- Who does the analysis?
III. Major findings: illustrative examples

1. Analysis

- Renew contacts as soon as analysis begins, with Government and other stakeholders to:
  - help to build government ownership of the study
  - increase chances that recommendations following the analysis will suit government’s goals

- For managers and policymakers, two complementary tasks:
  - analysis of leakage: locating and measuring (PETS)
  - analysis of outputs and efficiency of service delivery (QSDS)
  - analysis of causes to propose remedies

- For researchers, other tasks:
  - equity analysis
  - econometric studies, etc.
### 2. PETS: leakage of non-wage funds

<table>
<thead>
<tr>
<th>Country</th>
<th>Year</th>
<th>Fund</th>
<th>Sample</th>
<th>Leakage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ghana</td>
<td>1998</td>
<td>Non-wage</td>
<td>126</td>
<td>49 %</td>
</tr>
<tr>
<td>Peru</td>
<td>2001</td>
<td>Utilities</td>
<td>100</td>
<td>30 %</td>
</tr>
<tr>
<td>Tanzania</td>
<td>1998</td>
<td>Non-wage</td>
<td>45</td>
<td>57 %</td>
</tr>
<tr>
<td>Uganda</td>
<td>1995</td>
<td>Capit g rt</td>
<td>250</td>
<td>87 %</td>
</tr>
<tr>
<td>Vietnam</td>
<td>2005/6</td>
<td>Unspecified exp.</td>
<td>4 prov.</td>
<td>13-19%</td>
</tr>
<tr>
<td>Zambia</td>
<td>2001</td>
<td>Fixed g rt</td>
<td>182</td>
<td>10 %</td>
</tr>
<tr>
<td>Zambia</td>
<td>2001</td>
<td>Discr. g rt</td>
<td>182</td>
<td>76 %</td>
</tr>
</tbody>
</table>

Source: World Bank

### 2. PETS: leakage and enrolment

Meaning of leakage?

In countries with autonomy at regional/sub-regional and school level, meaning of a rate below/above 100%, taking into account:

• the fungibility of budgets
• conflict resolution between elected representatives and CSOs on resource allocation?
3. QSDS: efficiency of teacher supply

PNG 2002: decrease of the real teacher supply

- Registered teachers: 100%
- Minus "ghost teachers": 85%
- Minus absent teachers: 72%
- Minus schools closed "due to lack of teachers": 68%

Hallak & Poisson © IIEP-UNESCO

3. QSDS: correlation of teacher absenteeism in 5 countries*

<table>
<thead>
<tr>
<th>Category</th>
<th>Nber of countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>Corr. + 2</td>
</tr>
<tr>
<td>Education level</td>
<td>Corr. + 2</td>
</tr>
<tr>
<td>School director</td>
<td>Corr. + 2</td>
</tr>
<tr>
<td>Control and discipline</td>
<td></td>
</tr>
<tr>
<td>Supervision</td>
<td>Corr. + 0</td>
</tr>
<tr>
<td>Working conditions</td>
<td></td>
</tr>
<tr>
<td>Infrastructure quality</td>
<td>Corr. + 1</td>
</tr>
<tr>
<td>Isolation</td>
<td>Corr. + 1</td>
</tr>
<tr>
<td>Multigrade classes</td>
<td>Corr. + 1</td>
</tr>
<tr>
<td>Intrinsic motivation</td>
<td></td>
</tr>
<tr>
<td>Local recruitment</td>
<td>Corr. + 0</td>
</tr>
<tr>
<td>Tenure</td>
<td>Corr. + 0</td>
</tr>
<tr>
<td>Continuous training</td>
<td>Corr. + 1</td>
</tr>
<tr>
<td>Contractual status</td>
<td></td>
</tr>
<tr>
<td>Teacher contract</td>
<td>Corr. + 2 (sur 4)</td>
</tr>
</tbody>
</table>

* Bangladesh, Ecuador, India, Indonesia, Peru

Hallak & Poisson © IIEP-UNESCO
Conclusion

To get a reliable diagnosis of supply:

- Need to integrate PETS:
  - in the overall administrative process
  - in the public communication policy
- Need to combine different types of surveys:
  - PETS
  - QSDS
  - report cards
  - perception surveys
  - others
- Need to combine the results of various surveys (households, tests, etc.)
Welcome All of you in the Workshop

Assessment and Audit Mechanism in the Sector of Education in Nepal

Ghana Shyam Upadhyay
OAG/N
Nov. 24, 2010

About OAG/N

• Supreme Audit Institution (SAI) of Nepal.
• Conducts the Public Sector Audit.
• Interim Constitution, 2007 and Audit Act 1991 mandate the AG to carry out the Audit. (i.e. financial and performance)
• AG submits Annual Report to the President.
• Public Account Committee (PAC), a very effective committee under the Parliament review the report, hold discussion there on.
AG's Other Functions

- AG is consulted by SOE's management prior to appoint an auditor.
- Approves the Accounting Format.
- Attests the project account specially the foreign assistance involved.
- Issues the directives to auditors as well as auditees.
- Provides the suggestions to the government in relation to financial matter.

OAG/N's Objective in Education Sector

- To communicate audit policy and program for timely audit completion.
- To enhance relationship with chief executives and financial chief of MOE, DOE, DEOs, Boards, Committees and other stakeholders of education.
- To obtain suggestions to improve Audit Quality in Completion of Audit.
Strategic Plan (2010-2012)

- Provide timely and quality audit services.
- Improve communication of audit result and relationship with all stakeholders (National and externals)

OAG/N Audit Program 2010/11 (2067/68)

- To circulate the annual audit work plan to ministry level (July-August 2010).
- To formulate the macro level annual audit plan (August 2010).
- To prepare the risk based entity plan and program and complete the audit at the end Dec. 2010. (2067 Poush at district level)
- To prepare risk based entity plan program and complete the audit at the mid of Jan. 2011 in DOE and MOE.
- To submit annual preliminary reports after the exist conference to the audited entities.
- To submit final audit report after getting their response.
Audit Mechanism in the Education Sector

• Review of the past audit reports.
• Review of the internal control system.
• Review of the internal audit report.
• Review of the social and financial audit reports of community managed schools and other autonomous of educations (i.e. boards etc.)
• Review of the concern educational act, rule, directives and other audit mandate standards, guides, etc.
• Comparison of the goal and achievement of the programs.
• Review of the accounts and other concern documents.
• Adopting the risk based audit plan and program.

Major Issues

• Delay in the submission of accounts.
• Over payment to the teacher in schools.
• Non submission of the completion report of physical construction.
• Transfer of conditional grants to district education trust.
• Maladjustment of P.C.F. grants.
• Text Books distribution.
• Scholarship distribution.
AOG/N Contribution in Establishing the Good Governance

- Raising the level of effectiveness in performance of public entities. (i.e. making the annual submission of social and financial audit of C.M.S.M.C.)
- Encouraging to establish very effective and strong board at DEOs, DOE & MOE to maintain financial discipline.
- Providing practical suggestions in order to correct the weakness existed in financial and administrative procedures.

To Establish Strong Financial Operation System

- Suggesting strong internal control system in audited entities.
- Detecting the cases fraud and corruption.
- Raising awareness against wrong doers.
Expectation from Audit Entities

• Updating of accounting and financial records side by side the training program.
• Timely reconciliation, consolidation and finalization of the records.
• Timely preparation of financial statements including the progress reports.
• Make every branches responsible for transparency and accountability.

OAG Performance

• Carry out the audit at field level up to the DEOs deputing the audit team annually according to AWP.
• Follow-up audit of previous year simultaneously.
• Final audit report on project account submission after the response of audit entities in the quires of audit.
OAG/N Challenges

- Inadequate qualified and competent work force.
- Not properly updated audit tools, guidance, manuals, standards, code of ethics in.
- OAG/N is headed by acting AG since January 2007.
- 4 Acting AG were already retired.
- Insufficient plan to strengthen the human resources and research works.
- No timely hearing/discussion on annual report in PAC.
- In sufficient resources appropriation.
Teacher management: present practice and legal provision

Teacher management in periodic plan

- Tenth plan- decentralization in teacher management
- TYIP approach paper- school based management (SMC is responsible)
  - Teacher selection
  - recruitment
  - Transfer
LSGA, 2055

VDC and Municipality can

- establish pre-primary schools with own source, and supervise and manage the schools,

- assist in providing primary level education in mother tongue,

- develop programs on adult education and

- make arrangements for providing scholarships to oppressed ethnic communities.

Teacher management in SSRP

- The SMC will continue to have a significant role in teacher management as per the existing act and regulations,

- SMC gives the policy directions to school regarding local curriculum, school calendar, quality and performance target for school, for head teacher and for individual teacher.
Ministry of Education

To prepare teacher development and management related policy,
- teacher qualification, teacher training.
- Quota distribution policy, student teacher ratio, teacher recruitment, posting, permanence, redeployment policy formation, retirement, resignation and other policy.
- Finalized the facilities and other terms and conditions,
- Teacher lenience, insurance, provident fund, pension and other grant.

To approve the teaching cadres capacity building plan and programs.

Prepare the Act and regulations.

- Policy formulation on community involvement, teacher governance, public private partnerships.

- Allocation and coordination of fund for teacher support,

District Education Office

- Temporary teacher recruitment arrangement
- Performance appraisal
- Approve the head teacher appointment and teacher transfer recommended by school management committee.
- Provide the salary and other facilities,
- Facilitate for providing training, use of teaching aides, classroom instructions, and other management issues.
- Prepare teacher record,
- Teacher redeployment
- Prepare the teacher salary report,
- Monitoring and Supervision
Teacher professional organization

• District education committee member, district non-formal education committee member

• Participated other teacher support program, social dialogue committee,

• Supporting role for different teacher management issue,

• Observing the different educational program.

Roles and responsibilities of SMC

<table>
<thead>
<tr>
<th>Key areas</th>
<th>Sub areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial management</td>
<td>Fund raising</td>
</tr>
<tr>
<td></td>
<td>Budgeting</td>
</tr>
<tr>
<td></td>
<td>Accounting system</td>
</tr>
<tr>
<td>Planning and programming</td>
<td>SIP preparation</td>
</tr>
<tr>
<td></td>
<td>Annual plan preparation</td>
</tr>
<tr>
<td></td>
<td>Academic plan preparation</td>
</tr>
<tr>
<td>Teacher management</td>
<td>Teacher selection and recruitment</td>
</tr>
<tr>
<td></td>
<td>Teacher selection for training</td>
</tr>
<tr>
<td></td>
<td>Teacher record keeping</td>
</tr>
<tr>
<td></td>
<td>Preparing code of conduct for teacher</td>
</tr>
</tbody>
</table>
# Roles and responsibilities of SMC

<table>
<thead>
<tr>
<th>Key areas</th>
<th>Sub areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervision and monitoring</td>
<td>Supervision of classroom activities</td>
</tr>
<tr>
<td></td>
<td>Teacher regularity</td>
</tr>
<tr>
<td></td>
<td>Monitoring for quality education</td>
</tr>
<tr>
<td>Document preparation</td>
<td>Annual report writing</td>
</tr>
<tr>
<td></td>
<td>Proposal writing</td>
</tr>
<tr>
<td></td>
<td>Progress report writing</td>
</tr>
<tr>
<td>Student management</td>
<td>Preparing code of conduct for student</td>
</tr>
<tr>
<td></td>
<td>Harmonious relationship</td>
</tr>
<tr>
<td></td>
<td>Mobilizing students for school improvement</td>
</tr>
</tbody>
</table>

## Roles and responsibilities of SMC

<table>
<thead>
<tr>
<th>Key areas</th>
<th>Sub areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public relation</td>
<td>Awareness raising</td>
</tr>
<tr>
<td></td>
<td>Interpersonal relation with parents</td>
</tr>
<tr>
<td>Generic</td>
<td>Meeting conduction</td>
</tr>
<tr>
<td></td>
<td>Interview conduction</td>
</tr>
</tbody>
</table>
EMIS at a glance

<table>
<thead>
<tr>
<th>Level</th>
<th>School</th>
<th>Teacher</th>
<th>Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary (all types)</td>
<td>31,655</td>
<td>1,53,536</td>
<td>49,00,663</td>
</tr>
<tr>
<td>Primary (Community)</td>
<td>27028  (4627)</td>
<td>116471</td>
<td>4256010</td>
</tr>
<tr>
<td>Lower Secondary (all types)</td>
<td>11341</td>
<td>40259</td>
<td>1604422</td>
</tr>
<tr>
<td>Lower Secondary (Community)</td>
<td>8449 (2892)</td>
<td>27936</td>
<td>1366348</td>
</tr>
<tr>
<td>Secondary (all types)</td>
<td>6928</td>
<td>29109</td>
<td>790348</td>
</tr>
<tr>
<td>Secondary (Community)</td>
<td>4715   (2213)</td>
<td>18186</td>
<td>656424</td>
</tr>
</tbody>
</table>

Source: DoE

Community Managed Schools

<table>
<thead>
<tr>
<th>Types of School</th>
<th>Levels</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td>7483</td>
</tr>
<tr>
<td>Lower Secondary</td>
<td>2477</td>
</tr>
<tr>
<td>Secondary</td>
<td>1191</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>11151</strong></td>
</tr>
</tbody>
</table>

Source: DoE
Additional Roles of SMC of Com.Mgd. schools

- Teacher post creation on school’s resource
- Teacher permanency activities on approved posts as TSC guidelines
- Teacher Promotion as TSC guidelines
- Teacher reward

SSR context on Teacher Management

- Teacher’s qualification enhancement
- Teacher’s redeployment as Basic level (grade 1-8) and Secondary Level(9-12)
- Teachers career path ... as beginner, experienced, master and expert categorization rather than class
- Teacher Professional Development ... as backlog clearance and Refresher training
- Separate Head Teacher provision for each level
Thank You
Introduction

- Largest group of public servants and their salary is the largest component of education costs (50-90%)
- Impact of mismanagement and distorted behavior is proportionately high
- Highest incidence on education quality as they have an ethical responsibility: Corrupt teacher behavior gives negative signals to students

<table>
<thead>
<tr>
<th>Country</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kenya</td>
<td>95.8%</td>
</tr>
<tr>
<td>Honduras</td>
<td>88.0%</td>
</tr>
<tr>
<td>Ghana</td>
<td>82.3%</td>
</tr>
<tr>
<td>Bolivia</td>
<td>80.6%</td>
</tr>
<tr>
<td>Bangladesh</td>
<td>75.0%</td>
</tr>
<tr>
<td>Yemen</td>
<td>73.0%</td>
</tr>
<tr>
<td>Uzbekistan</td>
<td>73.0%</td>
</tr>
<tr>
<td>Sierra Leone</td>
<td>72.0%</td>
</tr>
<tr>
<td>Senegal</td>
<td>63.4%</td>
</tr>
<tr>
<td>Nepal</td>
<td>59.0%</td>
</tr>
<tr>
<td>Vietnam</td>
<td>55.0%</td>
</tr>
<tr>
<td>Moldova</td>
<td>32.2%</td>
</tr>
</tbody>
</table>

Source: WDR, 2004
Scope of teacher management

For each category of teachers:
- Recruitment
- Level and payment of salaries
- Promotion
- Deployment and transfer

Overall policy:
- Pre-service and in-service training
- Harmonization of status within budgetary constraints

Outline of the presentation

I. Risks of distorted practices
II. Transparency and accountability of management in centralized systems
III. Transparency and accountability of management in decentralized systems
1. Risks of distorted practices

1. Teacher appointment and deployment

- Favoritism and nepotism in recruitment:
  - Using subjective criteria (family, ethnical group, religion, member of a political party, union, etc.)
  - Bribery (as in Mexico)
  - Recruitment based on fake diplomas (e.g. Liberia)
Debate on teacher recruitment in Nepal!

In a hybrid setting (both centralized and decentralized) with four categories of teachers in primary schools (permanent, temporary, SIP and Rahat quota) and different salary levels, are there particular risks of distorted recruitment practices?

2. Teacher deployment

- Pressure on the administration to assign staff (nepotism, bribery, political pressure, fictitious health problems, fake medical certificates, etc.)
- Positions already filled declared vacant by head teachers to get more teachers
- Women faking marriage in order to get a transfer
- Misallocated teachers (teachers working at locations other than where posted)
- Teacher exchanges between regions based on private agreements
- Teachers seconded from teaching to administrative duries without official clearance*
- Illegal replacement of teachers
**A survey on staff management in France**

- About 1,000 posted teachers unavailable
- About 2,500 substitute teachers in excess of needs
- A large number of teachers unemployed
- Nonetheless, recruitment of temporary teachers (2004 > 15,000 temporary teachers over and above substitute teachers)
- This results of both bad management and abuses

*Source: Report of the Cour des comptes, 2004*

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### 3. Teacher remuneration

- Incorrect or double salary payments
- Teachers having to pay back part of their salaries to the person in charge of giving it to them (Brazil, Cambodia)
- Ghost teachers on the rosters and payroll*
- Forging of documents and bribing of officials to secure larger retirement cheques and/or earlier retirement
- Embezzlement of pension funds by administrative staff
The case of ‘ghost teachers’

- Teachers listed on the payroll but who are now deceased or retired, or who no longer or never did exist
- Teachers who resigned, absconded, took leave without pay or on study leave without permission
- Others are deliberately created at the school or at higher level to increase the funding to a school or district

<table>
<thead>
<tr>
<th>Country</th>
<th>Ghost teachers (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Honduras 2000</td>
<td>5</td>
</tr>
<tr>
<td>Papua NG 2002</td>
<td>15</td>
</tr>
<tr>
<td>Sierra Leone</td>
<td>12 (est.)</td>
</tr>
<tr>
<td>Uganda 1993</td>
<td>20</td>
</tr>
</tbody>
</table>

Sources: World Bank 2001, 2004; Reinikka 2001; Sierra Leone: PRSP Review, 2004

Debate on salary flow in Nepal!

Does the complexity of the flow increase risks of malpractices in teacher payment?

Source: Norad, 2009
4. Use of awareness indicators *(red flags)*

<table>
<thead>
<tr>
<th>Area</th>
<th>‘Red flags’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diploma</td>
<td>• Degree from an unknown university</td>
</tr>
<tr>
<td></td>
<td>• Abnormal number of degrees/high level</td>
</tr>
<tr>
<td>Exams</td>
<td>• Teachers do no get paid for conducting exams</td>
</tr>
<tr>
<td></td>
<td>• Very high % of students pass the exams or obtain very good score levels</td>
</tr>
<tr>
<td>Salaries</td>
<td>• Low salaries, extravagant lifestyle of teachers</td>
</tr>
<tr>
<td>Teacher appointment / transfer</td>
<td>• Appointment of family/close friends</td>
</tr>
<tr>
<td></td>
<td>• Teachers close to the administration are getting the most attractive posts</td>
</tr>
<tr>
<td>‘Ghost teachers’</td>
<td>• Gap between payroll &amp; actual number of working teachers</td>
</tr>
</tbody>
</table>

II. Transparency and accountability in centralized systems
1. Cleaning the list of staff

- To organize a *nation-wide 'headcount' exercise*, during which teams physically verify that teachers listed on payroll sheets exist
- To check credentials and avoid the use of fake degrees*
- To use a *formal administrative act* to validate the final list of teachers eligible to receive salaries
- To conduct 'spot audits' throughout the year by a professionally reliable group from the central auditors or Ministry inspectorate (*Sierra Leone: audit of staff in 2003*)
- To identify cases of *double salaries, undeclared sick leave* (longer than the norm of three days)

* How to eliminate the use of fake diplomas?

- Verify the *validity of degrees* with the educational institutions listed as having granted them (accreditation, that the notes has not been changed etc.) when a new teacher is employed
- The original diploma should be presented whenever the head master/administration claim so
- Prevent such behaviour by informing staff about the consequences of using fake degrees (*sanctions* like a fine or even dismissal)
- Promotions or increase in salary should not be given before verification of qualifications
2. Setting clear criteria (in consultation with the unions)

- Hiring of teachers:
  - Adoption of one recruitment per year
  - Selection of common parameters (MEST, communities)
  - Vacant posts publicized
  - Outsourcing the selection process

- Transfer of teachers:
  - Decided by central office in consultation with LEAs
  - Transfer requests considered only at end of the school year except in cases of proved illnesses, court orders

- Absenteeism:
  - Monthly records of school employees’ daily attendance created by each school > LEA, MOE

3. Creating a computerized management system

- Detailed information on each teacher (teacher code, work history, changes affecting pay...)

- Update data bases:
  - Teachers receiving double salaries
  - Undeclared sick leave (more than 3 days)
  - Unjustified or excess payment of salaries

- Result: reduction in the time needed to deal with teachers requests (Bogota, Colombia)

<table>
<thead>
<tr>
<th>PROCEDURE</th>
<th>1998</th>
<th>2003</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leave</td>
<td>15 days</td>
<td>5 days</td>
</tr>
<tr>
<td>Retirement</td>
<td>20 days</td>
<td>3 days</td>
</tr>
<tr>
<td>Filling vacant posts</td>
<td>25 days</td>
<td>6 days</td>
</tr>
<tr>
<td>Assignments</td>
<td>20 days</td>
<td>6 days</td>
</tr>
<tr>
<td>Technical bonuses</td>
<td>45 days</td>
<td>15 days</td>
</tr>
<tr>
<td>Vacation</td>
<td>20 days</td>
<td>5 days</td>
</tr>
<tr>
<td>Disability</td>
<td>25 days</td>
<td>8 days</td>
</tr>
</tbody>
</table>
4. Setting-up control mechanisms

Once an anomaly is detected (e.g. teacher absenteeism*), the institutions in question (MOE, school, etc.) should:

- determine the status of each teacher (qualification, contract etc.)
- inform the entities responsible for carrying out disciplinary action
- review any potential need for revising the procedure

* How to reduce teacher absenteeism?

- Include area description in the publication of vacant posts
- Inform staff about the rules and procedures to follow in case of sick leave as well as the sanctions given
- Make clear that the rules are the same for everybody (rules stated in contract and ‘awareness’ meetings)
- Organize internal and external controls to make sure that the teacher is in the classroom
- Improve the infrastructure (covered classrooms, non-mud floors, teachers’ toilet, electricity, library)
- Build ownership: unions and PTAs
**How to improve teacher management?**

1. Updated database with occupied and vacant positions
2. Verification of location of teachers
3. Application of criteria (size of group, number of teachers per group)
4. Identification of surpluses and deficits of teachers in each school

- Transfers or new appointments
- Determining personnel for each school and specifying principal’s staff management responsibilities

- New transfer system
- Competition for new teachers
- Control of absenteeism
- Reporting of anomalies

In Bogotá, 240,000 additional pupils (93%) enrolled with no additional recruitment of teachers for half of them, thanks to the redeployment of existing staff (1998-2003)

*Source: Peña & Rodríguez, 2004.*

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**III. Transparency and accountability in decentralized systems**
Warning!

Clear distinction between:
• devolution and decentralization
• decentralization at district and village level
• decentralization and school-based management

1. Decentralized teacher management

- School-based management is based on:
  • good appraisal of specific needs
  • adequate commitment of teachers to the school and the community
- But a great deal depends on the existing capacities of the local authorities, school directors and head teachers
2. The pros and cons of school-based management

- **Reduced risk of corruption**
  - Better knowledge of teachers and their skills
  - Less risk of illicit exchanges and transfer of teachers
  - Reduced number of ghost teachers

- **Increased risk of corruption**
  - Greater pressure from local stakeholders
  - Non-compliance with national management criteria
  - More discretion in the use of personnel evaluation and promotion criteria

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3. Guiding principles

- Enforcement and harmonization of staff management criteria established at central level
- Standardization of management mechanisms throughout the country
- Explicit definition of responsibilities of each layer of the administration (MOE, districts, villages, DEOs and schools)
- Strengthening capacities of management through training
- In-service training of teachers
- Ensuring a fair representation of stakeholders in school councils

Ensure proper involvement of the unions!
Conclusion

- Due to teachers’ considerable salary expenditures and their influential role on the education system, it is crucial to handle corrupt actions in teacher management and behaviour.

- Implement multiple strategies to prevent corruption:
  - Use QSDS to detect problems
  - Implement codes of conduct
  - Computerize teacher management systems
  - Raise awareness on various aspects of corruption
  - Be aware of ‘red flags’ to identify corrupt practices
Academic fraud on the rise

- Use of fake degrees and credentials (diploma mills)
  - USA: the State of Michigan lists 600 fake, unauthorized or substandard institutions
  - New South Wales: fake degrees are on sale from at least 40 sources in Australia
  - South Africa: it is estimated that 15% of South Africans obtained their employment using bogus qualifications
- Research: plagiarism, falsification of data, results
Acceptability of teacher attitudes and behaviours (IIEP Survey 2010)

Lies about qualifications/diplomas
Disseminates confidential information
Give money/gifts to a civil servant to be recruited/promoted/transferred
Is absent without justification
Takes advantage of personal relations to be recruited/promoted/transferred

<table>
<thead>
<tr>
<th></th>
<th>Not at all acceptable</th>
<th>Not acceptable</th>
<th>Acceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lies about qualifications/diplomas</td>
<td>0%</td>
<td>20%</td>
<td>80%</td>
</tr>
<tr>
<td>Disseminates confidential information</td>
<td>10%</td>
<td>50%</td>
<td>40%</td>
</tr>
<tr>
<td>Give money/gifts to a civil servant to be recruited/promoted/transferred</td>
<td>5%</td>
<td>90%</td>
<td>5%</td>
</tr>
<tr>
<td>Is absent without justification</td>
<td>10%</td>
<td>40%</td>
<td>50%</td>
</tr>
<tr>
<td>Takes advantage of personal relations to be recruited/promoted/transferred</td>
<td>0%</td>
<td>20%</td>
<td>80%</td>
</tr>
</tbody>
</table>

Outline of the presentation

I. Presentation of the codes
II. Design and enforcement by an autonomous entity (Hong Kong)
III. Design and enforcement by the education profession itself (Ontario)
I. Presentation of the codes

1. What is it about?

A code of conduct is a set of guidelines – a written document – produced by public authorities or by professional organizations, which details the set of recognized ethical norms (or values) and professional standards of conduct to which all members of a profession must adhere.
2. Objectives of the code

- To promote a sense of professional identity among members of the profession
- To enhance morale among members of the profession by formulating a set of recognized ethical standards to which all members of the profession should adhere
- To provide self-disciplinary guidelines for members of the profession by formulating norms of professional conduct
- To obtain the community’s confidence in and support for the profession by emphasizing the social responsibilities of the profession towards the community

3. Content of the code

- **Core values (ethics):** integrity, honesty, fairness, respect for others, that underpin the work of teachers
- **Standards of conduct (behavior):** commitment towards pupils, parents, colleagues, employers and the profession, which should guide teachers in their daily activities*
- **Professional norms (teaching):** Commitment towards the apprenticeship of pupils, professional knowledge, professional practice, continuous professionalization
* Commitment toward pupils

- To respect the learner’s right and dignity without prejudice to gender, place of origin, language, socio-economic background, etc.
- Not to favour or disadvantage certain students, in particular when marking scripts or correcting exams
- To prohibit physical, verbal, psychological or sexual violence against a pupil in any form, coercive or consensual
- Not to take advantage of his/her professional relationship with pupils for private gain.
- Not to divulge confidential information about pupils, except in very specific cases

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**Research integrity code, 2010**

<table>
<thead>
<tr>
<th>Research Integrity</th>
<th>Principle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Definition</td>
<td>1. Honesty</td>
</tr>
<tr>
<td>Principle</td>
<td>2. Serious, deliberate dishonesty</td>
</tr>
<tr>
<td>Principle</td>
<td>3. Policies for responding to serious deliberate dishonesty</td>
</tr>
<tr>
<td>Principle</td>
<td>4. Questionable research practices</td>
</tr>
<tr>
<td>Principle</td>
<td>5. Authorship</td>
</tr>
</tbody>
</table>

6. Publication credits
7. Conflict of interest
8. Data management
9. Data interpretation
10. Adherence to regulations
11. Public advocacy
12. Research environments
13. Responsibility to society

Source: Second World Conference on Scientific Integrity, 21-24 July

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4. Balance commitments/rights

**COMMITMENTS**

A member of the profession has the right:
- To refuse to perform any non-professional tasks which are irrelevant to his/her duties
- To seek and to be fairly considered for any position with his/her qualifications
- To be informed of evaluation procedures affecting himself/herself and to express his/her views

**RIGHTS**

A member of the profession:
- Shall not neglect his/her principal employment for the sake of personal interest
- Shall not take advantage of his/her professional relationships with students for private gain
- Shall not accept gratuities, gifts or favors that might impair professional judgment

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5. Planning the development of the code

<table>
<thead>
<tr>
<th>Major steps</th>
<th>Actors mobilized</th>
<th>Specific activities involved</th>
<th>Suggested timeframe (min./max.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Analysis of current legislation</td>
<td>Core team</td>
<td></td>
<td>1 month</td>
</tr>
<tr>
<td>2. Consultation process</td>
<td>Core team, teacher unions, school communities</td>
<td>Surveys, interviews, focus groups, school meetings, Internet forum</td>
<td>2-3 months</td>
</tr>
<tr>
<td>3. Drafting of the code</td>
<td>Core team</td>
<td></td>
<td>1 month</td>
</tr>
<tr>
<td>4. Collecting comments/piloting the code</td>
<td>Core team, teacher unions, teachers, school communities</td>
<td>Field piloting, workshops, online feedback</td>
<td>1-2 months</td>
</tr>
<tr>
<td>5. Finalization of the code</td>
<td>Core team</td>
<td></td>
<td>1 month</td>
</tr>
<tr>
<td>6. Adoption of the code</td>
<td>Government, teacher unions, teaching unions, commission of teacher registration and certification board</td>
<td></td>
<td>1 month</td>
</tr>
<tr>
<td>7. Dissemination of the code</td>
<td>Core team, media</td>
<td>Preparation and implementation of a strategic communication plan</td>
<td>1-3 months</td>
</tr>
<tr>
<td>8. Implementation of the code</td>
<td>Monitoring commission, joint committee</td>
<td>Preparation and implementation of a planning and capacity building plan</td>
<td>Continuing process</td>
</tr>
<tr>
<td>9. Evaluation of the impact of the code</td>
<td>Monitoring commission</td>
<td>Data collection, investigations at school level, commission of success stories, publication of reports</td>
<td>Every year every two years</td>
</tr>
<tr>
<td>10. Revision of the code</td>
<td></td>
<td></td>
<td>Every three/every five years</td>
</tr>
</tbody>
</table>

---

Source: Poisson, 2009

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6. “Useful instruments, not effectively enforced”

**CONSTRAINTS**
- limited access to the codes
- absence of training
- low capacity to enforce the codes
- little knowledge of procedures for lodging complaints
- lack of “watchdogs”
- role played by teacher unions
- no database on evidence of unethical practices; etc.

**SUGGESTIONS**
- simplify the codes and make them more relevant
- facilitate access to the codes
- strengthen mechanisms for dealing with complaints
- build ownership; etc.

Debate on training on codes of practice in Nepal!

<table>
<thead>
<tr>
<th>Training (2003)</th>
<th>Teachers</th>
<th>Administrators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Received</td>
<td>9 (7.0)*</td>
<td>2 (22.2)</td>
</tr>
<tr>
<td>Not received</td>
<td>112 (86.8)</td>
<td>6 (66.7)</td>
</tr>
<tr>
<td>Missing</td>
<td>8 (6.2)</td>
<td>1 (11.1)</td>
</tr>
<tr>
<td>Total</td>
<td>129 (100)</td>
<td>9 (100)</td>
</tr>
</tbody>
</table>

Do you think that some improvements have occurred since 2003?
Problems for monitoring and control of application of code (IIEP Survey 2010)

- The implementation of the code is not supported by the law
- No major problem is to be mentioned
- The necessary resources were not mobilized
- The implementation of the code is not supported by the public authorities
- The implementation of the code is not supported by the teacher unions
- The implementation of the code is not supported by the teachers
- Insufficient sanctions are taken
- Victims of malpractice are afraid to file a complaint
- The general public ignores the procedures for filing a complaint
- Too few sanctions are taken

7. Two distinct models

1. Design and implementation by an autonomous body, e.g. Hong Kong
2. Design and implementation by teacher associations or colleges (auto-regulation process), e.g. Ontario
II. Design and enforcement by an autonomous body -Hong Kong-

1. Presentation of the code for the education profession of Hong Kong

- Context of the work undertaken by the Independent Commission Against Corruption (Hong Kong)
- Report prepared by a visiting panel in 1982, suggesting the creation of a Hong Kong Teaching Service to foster professionalism
- Preparation of the code in 1990 by a Preparatory Committee with representatives of several educational organizations
- Wide dissemination of the code and integration of issues on professional conduct of teachers into various training courses (pre-service and in-service teacher training)
2. The Council of Professional Conduct (CPC) in Education

- **Established in:** 1994
- **Objective:** to enhance and monitor the professional conduct of teachers
- **Staff:** 28 members: 14 through teachers’ direct election + 11 elected among educational organizations + 3 appointed by the Department of Education (1 representative and 2 non-education sector).
- **3 sub-committees on:** code of professional conduct; promotion and publicity; case study (recommendation in cases of dispute or alleged professional misconduct)

3. Case handling procedures

1. Direct complaints/referred cases
2. Creation of a case panel of 3 members
3. Interview of the parties concerned
4. Preparation of a case study report (facts, inquiry process, findings, recommendations)
5. Reconciliation/judgement/punishment/release of the findings of the case study (no disclosing of names)

III. Design and enforcement by the education profession -Ontario-

1. Context

We recommend that a professional self-regulatory body for teaching, the Ontario College of Teachers, be established, with the powers, duties, and membership of the College set out in legislation.

The College should be responsible for determining professional standards, certification, and accreditation of teacher education programs.

Professional educators should form a majority of the membership of the College, with substantial representation of non-educators from the community at large.
2. College of teachers

- Standards of Practice and Ethical Standards used to accredit teacher education programs (16 requirements) in Ontario universities
- A self-governing mechanism and an integral process that provides an approach for monitoring professional misconduct (quality assurance)
- Viewed as true system of accountability (road to integrity)

3. Prerequisites and conditions

**Prerequisite and conditions satisfied:**
- participatory process of consultation (6 months, 600 people)
- formal approval (College’s Governing Council)
- gradual implementation: capacity building and information

**Conditions and prerequisites partly complied with:**
- discipline committee determines allegation of incompetence or professional misconduct
- investigation committee investigates complaints (150 in 2003)
- but only some disciplinary actions are controlled by the profession (certification under the MOE)
Debate on the power of sanction

- In Hong Kong, the CPC has essentially an advisory role.
- Similarly, the Ontario Teachers’ Federation (Canada) has no power to revoke the registration of a teacher for misconduct (authority of the MOE).
- On the contrary, the General Teaching Council in Scotland is entitled to cancel the registration of teachers (self-regulatory body).

Should professional associations have the right to sanction? What types of sanction?

Pros and cons of the two models

<table>
<thead>
<tr>
<th></th>
<th>PROs</th>
<th>CONs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design and enforcement by an</td>
<td>Quick to fix</td>
<td>Centralized and authoritative approach</td>
</tr>
<tr>
<td>autonomous body</td>
<td>Useful in context where the education profession is</td>
<td></td>
</tr>
<tr>
<td></td>
<td>not well organized</td>
<td></td>
</tr>
<tr>
<td>Design and enforcement by the</td>
<td>Participatory approach</td>
<td>Costly</td>
</tr>
<tr>
<td>education profession</td>
<td>Ownership by the profession</td>
<td>Low capacity of sanction</td>
</tr>
<tr>
<td></td>
<td>Promotion of ethics</td>
<td>Requires a minimum capacity by the profession to manage</td>
</tr>
<tr>
<td></td>
<td></td>
<td>itself</td>
</tr>
</tbody>
</table>

Hallak & Poisson
Conclusion

- Simplify the norms and make them as relevant as possible
- Define clearly their objectives
- Promote ownership by involving the teaching profession in their design and implementation
- Ensure their wide diffusion (establish social and professional control mechanisms for their enforcement)
- Strengthen the complaints systems *
- Include the issue of professional conduct in pre-service and in-service teacher training

VISIT OUR PLATFORM ON CODES

http://teachercodes.iiep.unesco.org

Hallak & Poisson © IIEP-UNESCO
Birth of TUN

With an exemplary intellectual inspiration, sense of solidarity and technical support of Education International (EI) and Union of Education Norway (UEN) teaching community of Nepal were able to establish common body of teachers named Teachers’ Union of Nepal (TUN) in January 2004. The efforts had also received a strong enthusiasm and support from MoES, Nepal.

Again, with similar intellectual stimulations and technical support of Danish Union of Teachers (DLF) and the financial support of Education Sector Advisory Team (ESAT), and Royal Danish Embassy in Kathmandu, Social Dialogue Process was introduced between Ministry of Education and Sports (MoES) and Teachers Union of Nepal (TUN) on March 2005.
THE MOU BETWEEN MOES AND TUN

1. To achieve this, a Memorandum of Understanding (MOU) was signed between the MOES and the Teachers' Union of Nepal (TUN) in 28 May 2006.

2. The MOU aimed at securing synergy in school development endeavors by initiating constant dialogue, cooperation and coordination between the two.

3. MoES-TUN Coordination Committee (CC) Procedures - 2006 was introduced in order to regulate the CC's activities with clear definition of the roles and responsibilities of its officials.

THE OUTPUT OF SOCIAL DIALOGUE COMMITTEE

This process in initial years prepared:

1. Policy Recommendation on Education,
2. How to Manage Conflicts in School,
3. How to promote and ensure accountability in education by developing a Code of Conduct for Teachers’ and other partners in education and.
4. How to address teachers’ absenteeism in school - one of the critical aspect of corruption in education.
1. Goal of education is achieved when all stakeholders of education are involved in policy making, planning and implementing process and are acknowledged it as their rights.

2. Accountability and transparency in education is realized only when such acknowledgement is realized.

3. This acknowledgement also ensures upward, downward and horizontal accountability chain at all level with effective supervision and monitoring.

---

1. To meet the local, national and global needs of education and its promotion is not the responsibility of any single body, nor this goes within the capacity of any such organization. It needs a strong set of system.

2. Such system comprising of all partners, if works in unison, with a practical and effective accountability chain the goal of education at all level will be achieved smoothly.

3. Leadership ability and effective organizational planning and implementing capacity will be built up of such accountability chain made up from the involvement of all educational partners.
DEFINED AND ENABLED PARTNERS PRODUCE RESULTS

For this all educational partners are to be defined and enabled to fulfill their expected role and responsibilities including their active and effective participation at all levels of policy designing, planning, implementing and feedback collecting process.

It is the responsibility of the government to encourage all partners to develop effective programs for them, consolidate their strengths, and prove their commitment for the overall success of state policies and programs.

PROTECTION OF RIGHTS OF ALL STAKEHOLDERS IN EDUCATION THROUGH CODE OF CONDUCT

1. Protection of Rights of all stakeholders in education and ensure their accountability towards each other is possible if all they develop a Code of Conduct for them and follow it accordingly.

2. This is possible only if they have the right to participate in the designing of educational policy, prepare plans and program and implement them in a quite democratic procedure.
INTERWOVEN IN A CHAIN OF ACCOUNTABILITY TOWARDS EACH OTHER

1. State is responsible for the lifelong education for all and it can do with full capacity if effective partnership is honestly built to achieve this.
2. All national, international institutions/organizations, non-governmental organizations in education sector if interwoven in a chain of accountability towards each other under a code of Conduct prepared with their consent and suitable to their working situations.

REGIONAL AND NATIONAL LEVEL CONFERENCES AND CODE OF CONDUCT IN EDUCATION

1. Empowering people through education and realizing their full potential needs effective national program in which the role of educational partners is established.
2. Sincere partnership between the government and the representative, accountable and transparent bodies at all levels is most needed to achieve the national goal of education.
3. Taking this into consideration the MoES and TUN Social Dialogue Coordination Committee organized regional and national level conferences with the active participation of all engaged in education.
**INTENDED OUTCOMES OF THE CONFERENCES**

The main intended outcomes of the conferences was to -

1. Produce a common consensus and commitment among all partners on a policy recommendation on education and,

2. Bring all partners into a chain of accountability to secure their collective strength and commitments to develop a Code of Conduct for all the concerned and prepare outlines for such action programs for implementing such Code of Conduct.

---

**HISTORY OF TEACHERS’ CODE OF CONDUCT IN NEPAL**

1. Nepal has long history of Teachers’ Code of Conduct even before the existing Educational Act promulgated in 1971 but it did not have a systemic capacity to implement it.

2. As teachers also were not consulted before such enactments so they did not feel any moral obligations in its favour. Therefore the legal provision of such Code of Conduct could not produce positive results.
NO MORAL OR PROFESSIONAL STRENGTH WITHOUT FUNCTIONAL CODE OF CONDUCT

But, any profession without any such Code of Conduct or Professional Ethics for its members with strong legal and professional backup does not give any moral or professional strength to them. This also makes their status and dignity suffer.

So, the Teachers’ Union of Nepal (TUN) from the very beginning made a strong stand to develop such Code of conduct for teachers prepared by themselves with the facilitation of their representative bodies.

WIDE DISCUSSION AND CONSULTATION PROCESS APPLIED

TUN developed the draft document and it was also urgently felt that the document be consulted widely and a common consensus built on it.

Accordingly, the document was in-depth discussed in the regional and national conferences (December 2006- March 2007) and secured the partners consensus by incorporating their concerns, comments and suggestions.

The Conference also suggested to establish a mechanism to audit the status of the implementation of code of conducts and take legal sanctions against the defaulters.
CODE OF CONDUCTS ADOPTED BY REGIONAL AND NATIONAL CONFERENCES

Code of Conduct for teachers
Code of Conduct for agencies and personnel aligned with the Government of Nepal, Ministry of Education and Sports and its constituent educational development and management agencies
Code of conduction for parents
Code of conduct for students
Code of conduct for persons involved in school managing committees
Code of conducts for local communities or local education concern groups, local intellectuals and political parties

AREAS OF TEACHERS’ CODE OF CONDUCT

1. Commitments towards schools,
2. Commitment towards students,
3. Commitment towards teachers,
4. Commitment towards other educational stakeholders,
5. Commitment towards school management,
6. Commitment towards social justice,
7. Commitment towards nature, environment and sustainable development.
# Participants of the National and Regional Conferences

<table>
<thead>
<tr>
<th>S.N</th>
<th>Participants</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Student Leaders</td>
<td>26</td>
</tr>
<tr>
<td>2.</td>
<td>Former Education Ministers and Central Leaders from main political parties</td>
<td>11</td>
</tr>
<tr>
<td>3.</td>
<td>Representatives of major political parties including their Chief Whips</td>
<td>21</td>
</tr>
<tr>
<td></td>
<td>Parliamentary parties</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>MoES System including District Education officers and Educationists</td>
<td>109</td>
</tr>
<tr>
<td>5.</td>
<td>SMC Chairpersons, Guardians and Head Teachers</td>
<td>34</td>
</tr>
<tr>
<td>6.</td>
<td>NGOs/ INGOs, Civil Society Groups including PABSON and ANTO</td>
<td>37</td>
</tr>
<tr>
<td>7.</td>
<td>TUN Central and District Committee members</td>
<td>225</td>
</tr>
<tr>
<td>8.</td>
<td>Representatives from UN and Donor Agencies including ESAT and DLF</td>
<td>19</td>
</tr>
<tr>
<td>9.</td>
<td>Total Participants</td>
<td>482</td>
</tr>
</tbody>
</table>
NOT MUCH PROGRESS IN IMPLEMENTATION OF COC

1. Even after development of Teachers’ Code of Conduct and similar instruments for other stakeholders, we could not acquire formal ratification from other partners and devise a smooth mechanism to implement, monitor and collect feedback from the application of the Code of Conduct.
2. Similarly we failed to give it a legal force for its application and monitoring except some joint warm up and orientation programs jointly initiated by MoES and TUN in some districts.
3. It shows state lacked willingness to generate collective will and commitment in favour of such instruments.

WHAT COULD BE DONE TO RESTART THE PROCESS?

1. Find out a way to upkeep and promote bureaucratic morale and keep administrative leadership of MoES system independent of partisan political interferences as a result of frequent change in political leadership of the ministry.
2. Strengthen institutional memory in MoES system which now and then seems at the lowest point almost at non-existent level.
3. Initiate a trust building process between MoES and teachers by meeting the previous commitments/agreements with them which unfortunately is causing Irritation, frustration and crisis of confidence between government and teachers.
TUN COMMITS
But, TUN is committed to take the institutional responsibility on its part and prepared to work with government to develop a legal framework for the implementation of Code of Conduct.

TUN also expects and requests with other educational stakeholders to develop a code of conduct for them and build its chain and joint mechanism for its application and monitoring.

Thank You

Keshav Prasad Bhattarai
Former President
Teachers’ Union of Nepal (TUN) and Currently Advisor
9851101031, 5001011
ntutun@wlink.com.np, kpbnepal@gmail.com
Introduction

- To help poor communities take care of themselves and exercise social control
- Facilitate their access to information
  - Right to information
- Involve them in monitoring public service delivery
  - Report cards
Outline of the presentation

I. Right to information
II. Score cards: methodology and illustrative examples
1. Regional concerns in Asia

- **Lack of information:** management, costs, and output of schools
- **Few accountability mechanisms:** goals set and hold students, parents, teachers, administration responsible for results
- Low awareness of problems and weak demand for information
- Lack of shared vision among stakeholders

2. Law on the right to information

- Freedom of press and access to information key to transparency and accountability
- International experiences suggest:
  - a need for a legal basis for the right to information

*Circular No. 09/2009/TT-BGDDT (Vietnam), May 2009*

Article 2 (...). The publicity implementation of educational institutions to improve transparency, promote democracy, strengthen the autonomy and accountability in resources management and education quality assurance for themselves (...). Should be fully assured in contents, forms and time (...).

- a need for accompanying measures
3. **Accompanying measures**

- Need for an accurate, timely and relevant information system (EMIS)
- Public information translated into local languages
- Organizing campaign of information dissemination to citizens
- Budget and resources needed to support law implementation
- Staff training in information management and interaction with citizens and groups
- Penalizing misbehaviours regarding information management
- Incentive/penalty mechanisms to encourage administrators to provide accurate information on time

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**India: right to information**

- 1996: a group of peasants and workers launched a 40-day agitation in Rajasthan, demanding right to information, using the slogan: “the right to know is the right to live”
- National Campaign for People’s Right to Information with NGOs, bureaucrats, academics, lawyers and journalists
- Objective: formulate and enact legislations at the State and Central levels; support initiatives at local level
- Right to information legislation (RTI) in Tamil Nadu, Goa, Rajasthan, Karnataka, Maharashtra, Assam, Delhi
India: right to information (ctd.)

Several difficulties:

- Lack of awareness among educators/citizens
- Government officials do not follow rules
- Lack of freedom to introduce changes
- Vested interests of politicians
- Administrators do not make changes
- Prevalence of a culture of secrecy (education)
- Lack of ethics
- Low levels of literacy of population

India: right to information (ctd.)

Recommendations for improvements:

- Involve the government, NGOs and other partners in educating the citizens in using RTI
- Train all government personnel on RTI Act, interpretation of laws, ethical behaviours
- Time-bound disclosure of all information of use to the public, including its regular update,
- Strengthen information systems (low fees for providing information, including postage cost)
- Incentives to officials providing information (a monetary fine per day)
Debate on the implications for schools?

Provision on Information Dissemination

- Organization’s structure and nature.
- Organization’s duty, right and responsibility.
- Number of personnel
- Job description of the personnel.
- Detail description of current and past activities
- List of concerned act, rule and regulation, guidelines and procedure
- Up-to-date description of income and expenditure

Source: Bill on the Right to Information, Nepal, 2006

Strategy and action plan against corruption, Nepal (2008)

<table>
<thead>
<tr>
<th>Work Policy</th>
<th>Activities</th>
<th>Responsible authority</th>
<th>Supporting main authority</th>
<th>Monitoring authority</th>
<th>Time frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formulate awareness-raising and conduct moral education programs to develop public awareness against corruption</td>
<td>Effectiveness shall be brought about in the implementation in law with regard to the right to information</td>
<td>National Information Commission</td>
<td>Ministry of Information and Communication and concerned ministries</td>
<td>Office of the Prime Minister and the Cabinet Ministry</td>
<td>On regular basis</td>
</tr>
<tr>
<td>Make the act of distribution of all kinds of financial aid transparent</td>
<td>Publicize the public fund allocated from the public authority within 15 days of receipt</td>
<td>Concerned ministry and authorities</td>
<td>Home Ministry Local authorities</td>
<td>Office of the Prime Minister and Cabinet Ministry, Commission for Investigation of Abuse of Authority,</td>
<td>Within 1 month</td>
</tr>
</tbody>
</table>

Source: Government of Nepal, 2008
Promoting social control: integrated approach

Legal framework

Right to information

Capacity building

Awareness raising

II. Score cards: methodology and illustrative examples
1. Definition of score cards

- Simple but powerful tool to provide public agencies with systematic feedback from users of public services
- Elicit feedback through sample surveys on aspects of service quality that users know best
- Enable public agencies to identify strengths and weaknesses of their work
- Implemented in countries worldwide (*Latin America, USA, Bangladesh, etc.*)

2. Objectives of score cards

- To provide quantitative feedback on user perceptions and knowledge on the quality, adequacy and efficiency of public services
- To demand public accountability through extensive media coverage and civil society advocacy that accompanies the process
3. Citizen versus community cards

- Participatory surveys that provide quantitative feedback on user perceptions on the *quality, adequacy and efficiency* of public services
- Instrument to exact public accountability through the extensive media coverage and civil society advocacy that accompanies the process

<table>
<thead>
<tr>
<th>Citizen Report Card</th>
<th>Community Score Card</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit - household/individual</td>
<td>Unit - Community</td>
</tr>
<tr>
<td>Meant for macro level</td>
<td>Meant for local level</td>
</tr>
<tr>
<td>Main output is demand side data on performance and actual scores</td>
<td>Emphasis on immediate feedback and accountability, less on actual data</td>
</tr>
<tr>
<td>Implementation time longer (3-6 months)</td>
<td>Implementation time short (3-6 weeks)</td>
</tr>
<tr>
<td>Feedback later, through media</td>
<td>Information collected through focus group discussions</td>
</tr>
<tr>
<td>Information collected through questionnaires</td>
<td></td>
</tr>
</tbody>
</table>


4. Use of report cards

- A diagnostic tool
- An accountability tool
- A benchmark tool
- Stimulate reforms
- Activate stakeholders’ responsiveness
- Raise public awareness
- Mobilize state-private partnership: *integrity pacts*
5. Main domains covered

- Awareness
- Access and inclusion
- Attitude and behavior
- Quality, timeliness and efficiency
- Infrastructure
- Responsiveness
- Cost (including hidden cost)
- Sustainability
- Suggestions for improvement

Regularly monitor results and policies, allows to see which efforts are bearing fruit, what needs to be done and how

A comparative study by PREAL

Report Card on Latin American Education

<table>
<thead>
<tr>
<th>Subject</th>
<th>Grade</th>
<th>Trend</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Scores</td>
<td>D</td>
<td>⬅️</td>
<td>Scores on national and international tests remain below competitive levels and, in general, are not improving.</td>
</tr>
<tr>
<td>Enrollments</td>
<td>B</td>
<td>⬆️</td>
<td>Enrollments are increasing rapidly, especially at primary and secondary level, but many children remain out of school.</td>
</tr>
<tr>
<td>Dropout</td>
<td>C</td>
<td>⬆️</td>
<td>Although many are working toward them, no country has yet met Millennium Education Goals.</td>
</tr>
<tr>
<td>Equity</td>
<td>D</td>
<td>⬅️</td>
<td>Most poor, rural and indigenous children are in school, but they learn less and are more prone to drop out of school.</td>
</tr>
<tr>
<td>Standards</td>
<td>D</td>
<td>⬆️</td>
<td>Although many are working toward them, no country has yet met Millennium Education Goals.</td>
</tr>
<tr>
<td>Assessment</td>
<td>C</td>
<td>⬆️</td>
<td>National achievement tests are increasingly common, but remain problematic. Test results seldom influence policy.</td>
</tr>
<tr>
<td>Support &amp; Accountability at the School Level</td>
<td>C</td>
<td>⬆️</td>
<td>A number of countries have increased participation in lower levels, but the expected and overenrollment is increasing.</td>
</tr>
<tr>
<td>Strengthening Teaching</td>
<td>D</td>
<td>⬅️</td>
<td>G5: Difficult to improve teacher quality and accountability so far. Several theme measurable changes in classroom processes.</td>
</tr>
<tr>
<td>Investment Primary &amp; Secondary Education</td>
<td>C</td>
<td>⬆️</td>
<td>Investment is rising, but per pupil spending is insufficient to provide quality education to all students.</td>
</tr>
<tr>
<td>Banking</td>
<td>A</td>
<td>⬆️</td>
<td>Improving</td>
</tr>
<tr>
<td>Caring</td>
<td>B</td>
<td>⬆️</td>
<td>No observable change</td>
</tr>
<tr>
<td>Complaining</td>
<td>C</td>
<td>⬆️</td>
<td>Touching</td>
</tr>
<tr>
<td>Caring</td>
<td>D</td>
<td>⬆️</td>
<td></td>
</tr>
<tr>
<td>Caring</td>
<td>F</td>
<td>⬆️</td>
<td></td>
</tr>
</tbody>
</table>

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6. Methodological steps

<table>
<thead>
<tr>
<th>Preparatory stage</th>
<th>Objectives: shortcomings and defects in education service delivery</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Identification of respondents: <em>e.g. MEST, teachers, parents</em></td>
</tr>
<tr>
<td></td>
<td>Preparation of questionnaires</td>
</tr>
<tr>
<td></td>
<td>Size and characteristics of the sample</td>
</tr>
<tr>
<td>Implementation stage</td>
<td>Collection of data</td>
</tr>
<tr>
<td></td>
<td>Analyzing collected information: <em>e.g. types of fees</em></td>
</tr>
<tr>
<td>Reporting and advocacy</td>
<td>Releasing report, initiate advocacy: <em>e.g. valid account for collecting extra-payment</em></td>
</tr>
<tr>
<td></td>
<td>Follow-up: diffusion of the report</td>
</tr>
</tbody>
</table>

Report card in Bangladesh

Amount of illegal fees collected in 8 Upazillas:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admission into primary schools</td>
<td>73 876 BDT</td>
</tr>
<tr>
<td>Entertaining government officers</td>
<td>435 049 BDT</td>
</tr>
<tr>
<td>First-term examination fees</td>
<td>6 102 893 BDT</td>
</tr>
<tr>
<td>Second-term examination</td>
<td>6 069 765 BDT</td>
</tr>
<tr>
<td>Annual examination</td>
<td>6 086 059 BDT</td>
</tr>
<tr>
<td>Total (including other fees)</td>
<td>19 849 000 BDT*</td>
</tr>
</tbody>
</table>

* US$ 350 000

Source: Karim, 2004
Debate on the perception syndrome

Reliability dependent on linkage between users and service deliverers:
• Perception of resources received is likely to be reliable
• Perception of quality of services offered by local actors (teachers, local entities, officers of PTAs...) is likely to suffer from self-censured opinions

ANY COMMENT?

Conclusion

“Empowerment is the expansion of assets and capabilities of stakeholders (users, beneficiaries) to participate in, negotiate with, influence, control, and hold accountable institutions that affect their lives”
RIGHT TO ACCESS TO INFORMATION IN NEPAL: PROGRESS AND CHALLENGES

Mr. Rajendra Dahal, Editor, Sikkak Magazine
(mail@teacher.org.np)
Mr. Babu Ram Aryal, Advocate
(baburam.aryal@gmail.com)

SCOPE OF THE PRESENTATION

- Historical Background
- Legal Instruments
- Enforcement Mechanism
- Implementation Progress
- Issues for Effective Implementation
HISTORICAL BACKGROUND

- Upto 1990, copy of certain government documents were provided under Court Proceeding Chapter, Clause 211 of MULUKI AIN (National Code), for concern person.
- Clause 17 of “Of Document Inspection” Chapter, National Code, gave rights to concern person to copy the documents remain with government.
- Secrecy Act, 2039 was passed but never came into effect.
- After the promulgation of democratic Constitution of the Kingdom of Nepal 1990, for the first time, the right to information was guaranteed.
HISTORICAL BACKGROUND…..

- But, no law was passed during lifetime of the constitution.
- Supreme Court judgement in Arun Third case [1994] issued a directive order to draft a law and given 8 point recommendation for the implementation of the RTI.
- Interim Constitution, 2007 again guaranteed the right to information of citizen.
- Legislature-Parliament passed Right to Information Act in July 18, 2007 and Right to Information Regulation came into effect from August 19, 2007

LEGAL INSTRUMENTS
INTERIM CONSTITUTION, 2063 (2006)

- Article 27: Every citizen shall have the right to demand or receive information on any matter of his or her interest or of public interest. Provided that nothing shall be deemed to compel any person to provide information on any matter of which secrecy is to be maintained by law.
- Article 13: (3) Every citizen shall have the following freedoms: (a) Freedom of opinion and expression;

RIGHT TO INFORMATION ACT, 2064(2007)

- “Whereas it is expedient to make the functions of the state open and transparent in accordance with the democratic system and to make responsible and accountable to the citizen; to make the access of citizens simple and easy to the information of public importance held in public bodies; to protect sensitive information that could make adverse impact on the interest of the nation and citizen, and for the necessity to have legal provisions to protect the right of the citizen to be well-informed and to bring it into practice.........”
  - from preamble of the Act.
KEY PROVISIONS

- Section 3: (1) Every citizen shall have the right to information subject to this Act. (2) Every citizen shall have access to the information held in the public bodies.

- Section 4: (1) Every Public Body has to respect and protect the right to information of citizen.

- Section 5: (1) Public Body has to keep update information related to them. (2) Public Body, as long as possible, has to update at least of twenty years old information from the commencement of the Act.

KEY PROVISIONS

- Section 6: (1) Public Body will arrange for an Information Officer for the purpose of disseminating information held in its office. (2) For the purpose of disseminating information, the Chief has to provide information held in the office regularly to the Information Officer.

- Section 11: (1) An independent National Information Commission will be established for the protection, promotion and practice of right to information. (2) A Chief Information Commissioner and two other Information Commissioners will be in the commission.
INFORMATION REQUEST PROCEDURE

- Information Officer (IO) is focal officer
- A Nepali citizen who wishes to obtain information must submit an application to the relevant IO mentioning the reason.
- The IO is obliged to provide information immediately or within 15 days or provide notice to the applicant of the reasons for any delay.
- The IO shall provide requested information within 24 hours of the request in case the information is related with the safety of the life of any person.

APEAL

- An applicant may file a complaint to the head of the public agency within seven days
- The head shall order the Information Officer to provide information as demanded by applicant if it is found that the information was denied or partially provided or wrong information was provided, or make a decision that information cannot be provided.
- In the latter case, he has to provide a notice stating the reasons to the applicant.
- In case of dissatisfaction over the decision made by the head, the requester may file an appeal to the National Information Commission (NIC) within 15 days.
- The NIC may summon the IO or the concerned Head and take their statement, review evidence and inspect any document held by public body.
- The Commission shall have to reach a decision within 60 days. The decision can be appealed to the appellate court within 35 days.17
PROACTIVE DISCLOSURE

- Public bodies under the RTI Act are obliged to classify, update and disclose information on a regular basis [sec 4(2)a]

APPLICABLE FEES

- Rs. 5/- per page-A4 (8.3 inch width and 7 inch length)
- Rs. 10/- Rest of Size
- Rs. 50/- for each
  - Diskette,
  - CD,
  - other similar electronic devices.
- Rs. 50/- per hour per person
  - for the study or observation of any document, material held in or
  - visit or observation of publicly importance undergoing construction site of the Public Body, if that has to be done for more than half an hour.
  - Provided, no fees will be charged for the observation of public library or public place available in free of cost.
NATIONAL INFORMATION COMMISSION (NIC) AND ITS ROLE

- NIC is a statutory body established to promote, protect and Implement RTI in Nepal
- NIC A Chief Information Commissioner and two other Information Commissioners will be in the commission.
- The central office of the Commission will be placed in Kathmandu Valley and the Commission may open its offices in various places of the country as per its necessity.

POWER AND FUNCTIONS

- To observe and study the records and documents of public importance held in Public Bodies,
- To order for maintaining list of information related with document and records held in such Body orderly,
- To order concerned Public Body to make information public for citizen’s notification, To prescribe timeframe and order concerned Public Body to provide information demanded by applicant within such timeframe.
- To order concerned party to fulfill liabilities in accordance with this Act.
- To provide necessary suggestions and recommendations to Government of Nepal and various other bodies related to information and communications regarding the protection and maintenance of right to information.
- To issue other appropriate orders regarding the protection, promotion and exercise of right to information.
SOME WEAKNESS OF THE ACT

- Guaranteed only to a **citizen** not to an individual.
- A Nepali citizen who wishes to obtain information must submit an application to the relevant information officer, “mentioning the reason” in written form.
- Strict fee provision exists regardless of the use of the information.
- Broad exemption regime.
- Controversial classification; leads towards secrecy
- No clear overriding effect regarding the enforcement of its provisions.
- No clear definition of the term “Public Information”

IMPLEMENTATION PROGRESS
ENFORCEMENT PRACTICE

- Low rate of request; hence low rate of appeal
- Major cases are related to exams. E.g. TU case;
- NIC has issued various guidelines, conducted trainings and workshops and survey for effective implementation of the Act.
- NIC also ordered government agencies to appoint Information Officers.
- NIC is has been asking to concerned authorities for the proactive disclosure
- NIC has produced advocacy materials and awareness programs.

CHALLENGES

- Lack of awareness to assert right of access to information
- Secrecy: deeply rooted as culture
- Lack of internal flow of the information
- Lack of information management system
- Lack of Information Literacy
- Lack of Political Commitment
- Lack of Coordinating unit to effectively implement Access to Information
- Non coordination among public agencies
- Vague and impractical classification of information.
RTI AND EDUCATION SECTOR

- Education can play a key role towards implementation RTI. And RTI can play important role to improve Nepal's education sector.
- Have to emphasis on educating children about information culture, transparency and accountability incorporating them in curriculum.
- But, yet to tie knot between RTI and our education sector.

THANK YOU!
Introduction

- Need for a comprehensive view of the implementation of an integrity plan for the education sector
- Need to ensure that different actors and stakeholders respect their commitment in its implementation
- Need for an accountability framework to monitor and evaluate the progress and achievements of the plan
- Need for a set of indicators to monitor the implementation of the various components of the plan
Outline of the presentation

I. Definition and concepts
II. Accountability framework for an integrated anti-corruption strategy
III. Accountability frameworks applied to three areas of management
1. Lines of accountability

Relationships of accountability have five features

2. The rationale

- Red-flags*
- Using tools e.g., PETS, QSDS, RC, risk analysis
- Broad sectoral assessment
- Anti corruption action plan
- Set of explicit targets
- Annual operational plan and budget
- Accountability framework
- Set of related monitoring indicators**
- Related measurement tools


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3. “Red flags”

- One of the keys to success in detecting fraud is the possibility to spot anomalies, also called ‘red flags’

- In education, these may include...

---

* Examples of awareness indicators

<table>
<thead>
<tr>
<th>Areas</th>
<th>‘Red-flags’</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>School building, rehabilitation</strong></td>
<td>• Many sub-contractors</td>
</tr>
<tr>
<td></td>
<td>• Lack of clear contracts/vague or no specification</td>
</tr>
<tr>
<td></td>
<td>• Too short contracting process</td>
</tr>
<tr>
<td><strong>Equipment, textbooks, food</strong></td>
<td>• Supply of inferior materials or less equipment</td>
</tr>
<tr>
<td></td>
<td>• ‘Timeliness’ is not respected (meals must arrive in a timely, regular and continuous way)</td>
</tr>
<tr>
<td><strong>Teachers’ appointment</strong></td>
<td>• Appointment of family/close friends</td>
</tr>
<tr>
<td><strong>Teacher behaviour</strong></td>
<td>• Very high teacher-student ratio according to the ‘lists’</td>
</tr>
<tr>
<td></td>
<td>• Low salaries, extravagant lifestyle of employees</td>
</tr>
<tr>
<td><strong>Examinations &amp; diplomas</strong></td>
<td>• Teachers do not get paid for conducting examinations</td>
</tr>
<tr>
<td></td>
<td>• Very high % of students pass the exams</td>
</tr>
<tr>
<td><strong>Finance</strong></td>
<td>• Lack or infrequent internal and external control</td>
</tr>
<tr>
<td></td>
<td>• Unusual transfers</td>
</tr>
<tr>
<td></td>
<td>• Signing of cheques/credit card in the hands of only one person/not controlled</td>
</tr>
</tbody>
</table>
4. Considerations in the choice of indicators

- **Be realistic:** realistic targets that depend on current situation and what is attainable in a given time period
- **Be specific:** data desegregated by year, areas (urban/rural, administrative units), age, sex, subgroups (income groups, specific ethnic groups or lower castes, orphans, refugees, etc.)
- **Be selective:** because of difficulty in collecting data on time, the costs involved, and the necessity “to show results”

II. Accountability framework for an integrated anti-corruption strategy
### Comprehensive strategy: formula funding and teacher behaviour

<table>
<thead>
<tr>
<th>Areas</th>
<th>Regulation</th>
<th>Management</th>
<th>Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formula funding</td>
<td>▪ Equitable and transparent formula&lt;br&gt;▪ Clear financial procedures</td>
<td>▪ Computerized, automated process&lt;br&gt;▪ Training&lt;br&gt;▪ Control and audit</td>
<td>▪ Information to the public&lt;br&gt;▪ Social mobilization&lt;br&gt;▪ Training of stakeholders (PTAs, etc.)</td>
</tr>
<tr>
<td>Teacher behavior</td>
<td>▪ Professional and ethical standards</td>
<td>▪ Training&lt;br&gt;▪ Reporting of anomalies</td>
<td>▪ Information to the public&lt;br&gt;▪ Involvement of the profession (design, enforcement)&lt;br&gt;▪ Peer control</td>
</tr>
</tbody>
</table>

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### Comprehensive strategy: teacher management and exams

<table>
<thead>
<tr>
<th>Areas</th>
<th>Regulation</th>
<th>Management</th>
<th>Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teacher management</td>
<td>▪ Clear and objective criteria for staff management</td>
<td>▪ Computerized, automated process&lt;br&gt;▪ Control and audit</td>
<td>▪ Involvement of trade unions&lt;br&gt;▪ Information to the public</td>
</tr>
<tr>
<td>Exams</td>
<td>▪ Clear academic integrity policy&lt;br&gt;▪ Transparent admission criteria</td>
<td>▪ Computerized/automated process&lt;br&gt;▪ Sanction and penalties</td>
<td>▪ Adoption of honor codes by the profession</td>
</tr>
</tbody>
</table>

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The ‘virtuous triangle’

Creation and maintenance of regulatory systems

- Strengthening management capacities
- Encouragement of enhanced ownership

1. Creation and maintenance of transparent regulatory systems

<table>
<thead>
<tr>
<th>Priority action areas</th>
<th>Possible indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Need for clear norms and regulations, transparent procedures and an explicit policy framework</td>
<td>Explicit definition of responsibilities in the recruitment procedures of teachers</td>
</tr>
<tr>
<td>Linking incentives to make institutions and individuals accountable</td>
<td>Precise criteria for targeting subsidies Formula used for funding schools designed in a way that reduces room for manipulation</td>
</tr>
<tr>
<td>Standardization of procedures: financial, human resource management, procurement rules</td>
<td>Common financial framework for all primary schools adopted</td>
</tr>
<tr>
<td>Design of ethical standards and codes of conduct targeted at the education staff (academic and administrative)</td>
<td>Progress in the adoption of the code Number of complaints registered</td>
</tr>
</tbody>
</table>
## 2. Strengthening management capacities for greater accountability

<table>
<thead>
<tr>
<th>Priority action areas</th>
<th>Possible indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strengthening institutional capacities of MOE, DEO, schools, PTAs, etc.</td>
<td>Number of integrity task forces established in universities</td>
</tr>
<tr>
<td>Enhancing control mechanisms of the use of resources (internal, external)</td>
<td>Number of cases investigated by external auditors in education</td>
</tr>
<tr>
<td>Use of computerized information systems</td>
<td>Scope of EMIS E-procurement for school construction</td>
</tr>
<tr>
<td>Improving skills in management, accounting, monitoring and audit of different stakeholders according to needs</td>
<td>Number of school directors trained in budgeting</td>
</tr>
</tbody>
</table>

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## 3. Enhancing ownership of the management process

<table>
<thead>
<tr>
<th>Priority action areas</th>
<th>Possible indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supporting advocacy and information campaign against corruption in education</td>
<td>Number of warning posters disseminated (in different languages)</td>
</tr>
<tr>
<td>Ensuring access to timely, reliable and relevant information by various stakeholders</td>
<td>Publication of the list of students who passed the end of secondary exam</td>
</tr>
<tr>
<td>Promoting peer-monitoring, including self-control by the profession</td>
<td>Increase in the number of joint management committees in schools (with their own statutes) Frequency of school board meetings</td>
</tr>
<tr>
<td>Supporting the development of training programs against corruption in and out of school</td>
<td>Number of primary school teachers trained</td>
</tr>
</tbody>
</table>

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III. Accountability frameworks applied to three areas of management

1. Accountability framework: financing

<table>
<thead>
<tr>
<th>Area</th>
<th>Aim</th>
<th>Possible indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial system</td>
<td>• Improving the monitoring of the use of state funds</td>
<td>• Audits conducted by external/internal control bodies indicate a drop in the number of cases of corruption uncovered from ( x ) per annum in base year ( yyy ) to ( y ) per annum</td>
</tr>
<tr>
<td></td>
<td>• Improving NGO control over the use of funds</td>
<td>• Rise in the number of report cards performed by civil society groups (e.g. parents/teachers)</td>
</tr>
</tbody>
</table>

### 2. Accountability framework: management and behavior of personnel

<table>
<thead>
<tr>
<th>Area</th>
<th>Aim</th>
<th>Possible indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management and behavior of personnel</td>
<td><em>Increasing integrity within the personnel administration</em></td>
<td><em>Drop in the number of cases of corruption in teacher management uncovered per annum of at least x as compared to the peak level/the level in base year yyyy</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td><em>The percentage of all teachers accounted for by “ghost teachers” has dropped from ... % in base year yyyy to ... % (ascertained by checking attendance lists in schools)</em></td>
</tr>
</tbody>
</table>


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### 3. Accountability framework: student flows

<table>
<thead>
<tr>
<th>Area</th>
<th>Aim</th>
<th>Possible indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student flows</td>
<td><em>The access to and right to remain in educational schools is based on merit</em></td>
<td><em>The results of control examinations confirm the results of the original examination in .... of .....cases</em></td>
</tr>
<tr>
<td></td>
<td><em>Examination results are performance-based</em></td>
<td><em>Drop in the number of cases of examination fraud uncovered from x per annum in base year yyyy /from the peak to y per annum</em></td>
</tr>
</tbody>
</table>


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### In sum… Tools to document accountability

<table>
<thead>
<tr>
<th>Areas</th>
<th>Opinion surveys</th>
<th>Audits, PETS</th>
<th>QSDS</th>
<th>Report cards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Allocation of specific allowances</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction, maintenance and repairs</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment, furniture and materials</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teacher management</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teacher behavior</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Transition of pupil/student cohorts</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Institution accreditation</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information systems</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Role of Media and Civil Society to Improve Transparency and accountability on Education sector

Presented by: Purushottam Subedi, General Secretary, EJG

Journalists are complainers, critics, advisors, emperor’s representative and teacher of the nation. Four Journalists in the opposition are more frightening than four thousands bayonets.

- Nepoleon Boanaparte

If the press didn’t tell us who would? A simple question; and its answer is as old as the nation; No one.

- Robert, H wills
What Media do tell?

Media have been telling a lot of stuff in this regard. Let's go for an example:

- Kantipur Daily published a news story on substitute teacher ('Khetala Shikshak') by its reporter Rajendra Manandhar on September 6, 2010 which tells that about three dozens teachers of Dolakha have personally assigned substitute teachers in their place and have been engaging with other professions in district headquarters, capital and abroad too. It is quite surprising that one of them got promotion.

After the news story Published:

- National Vigilance Centre and National Planning Commission asked the Department of Education to provide the detail salary sheet of all sorts of teachers.
- Department of Education issued a directive to all District Education Offices to investigate over the issue and punish those found guilty.
- The campaign compelled such the teachers resign from the post from other districts too.
What Education Journalists Group have been doing?

Mr Mamanadhar, an awardee of National Education award of 2008 said amid a function jointly organized by Federation of Nepali Journalist and DoE, said, ‘it is EJG which taught me school is also a source of news.’

He was participants of a workshop on ‘Investigating the Implementation of Education For All in Nepal’ – held in 16-18 December, 2004 in Kathmandu organized by EJG.

What EJG

So far EJG has trained hundreds of journalists on education journalism. As we have been observing their performance, They have been doing better in terms of raising issues on education.

-EJG has published a book named ‘Shikshaka Char Mudda’ focusing on transparency and accountability of school education system.

-In addition to capacity building, EJG’s other major working area are knowledge management and Agenda setting.
To Address such issues using media as a tool, Government of Nepal has designed a Communication Strategy for Education. But it is yet to be implemented. Govt should take initiatives to implement the strategies.

- Problems exist in various districts while hiring teachers in school level and distributing scholarships. If we utilize local FM radios to help improve accountability, it automatically reduces the problems.

---

The provision of Right to Information in constitution can be used as a major tool for accountability and transparency because informed students, teachers, guardians, and other stakeholders can make right decisions.

- Other members of civil society along with journalists play a major role to aware/educate on Right to Information to promote education as Right.
Thank you!
Workshop:
Transparency and accountability issues
in the Nepalese education sector

Kathmandu, Nepal: 23-25 November 2010

Group work

IIEP Project on:
“Ethics and corruption in education”

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GW 1.1. Mapping opportunities for distorted practices in Nepal

Identify areas of potential opportunities for misuse of education resources in Nepal, for example:

- leakages in the funds transferred from the Ministry of Education to schools,
- favouritism in the recruitment of teachers,
- teacher absenteeism,
- unauthorized fees charged to pupils/students,
- inflated prices for textbooks,
- exaggerated costs of classroom construction, or
- academic fraud – i.e. management of exams, misuse of exam results, etc.

The table below provides a framework for this. Please complete it according to your own setting.

<table>
<thead>
<tr>
<th>Areas of planning/management involved</th>
<th>Distorted practices</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding</td>
<td></td>
</tr>
<tr>
<td>Allocation of specific allowances</td>
<td></td>
</tr>
<tr>
<td>Schools: building, repair and use</td>
<td></td>
</tr>
<tr>
<td>Supply and distribution of equipment, food and textbooks</td>
<td></td>
</tr>
<tr>
<td>Teacher management</td>
<td></td>
</tr>
<tr>
<td>Conduct of teachers</td>
<td></td>
</tr>
<tr>
<td>Examinations and diplomas</td>
<td></td>
</tr>
<tr>
<td>Information systems</td>
<td></td>
</tr>
</tbody>
</table>
The group will analyze the structure of the Government’s resource flows for primary education. The analysis could, among others, include the following points:

1. Draw up a provisional graph of the government’s resource flow for primary education, including the funds concerning textbooks. An example of a possible graph is shown below.

2. Based on your experience, discuss the opportunities for distorted practices created by this pattern of resource flow.

```
Wages
( Teachers’ salaries )

Ministry of Education

Bank accounts

DDC

VDC

Teachers

Other non-wage expenditures
( materials, running costs )

Ministry of Education

DDC

VDC

Schools

Capital expenditure
( classrooms )

Parent-teacher associations
( PTAs )

PTAs

Ministry of Education

DDC

VDC

Ministry of Education

DDC

VDC

Ministry of Education

DDC

VDC
```
GW 1.3. Challenges and strategies in promoting transparency in Nepal

In the framework of the Joint Evaluation of Nepal’s EFA (Evaluation Report 1/2009), a qualitative survey was conducted in eight districts. The following are selected extracts from the findings:

- “Teacher absenteeism should be stopped.
- Scholarships, despite some improvements, still need to be improved as not all the schools and students received them adequately and on time.
- Demand for scholarship is not met; 60% of girls get scholarships but of less than full value.
- Difficult to select girls to whom to provide scholarships, parents blamed teachers for being politically biased in the distribution process.
- Textbooks did not arrive in time this year, books arrived very late, only in November/December this year.
- We should be thinking about feeding issues – many poor children do not take lunch.
- SMC/PTAs have not taken essential training for better management of school”.

These comments are not necessarily valid throughout Nepal, but they are meant to serve as background material for the working group.

In the light of your experience, describe three good practices to improve transparency in the use of educational resources at local level.
GW 2.1. Objectives and issues for a PETS in Nepal

Suppose your group is preparing a PETS concerning primary education in Nepal and has been asked to write a *preliminary paper* justifying and briefly describing the survey. As a first contribution to this paper, your group will define the objectives and main issues of the PETS by answering the questions below.

1. Formulate the objective(s) of the PETS (of course this formulation might be changed after in-country consultations). Your formulation should justify the PETS, i.e. explain why the survey is needed and why it would benefit the country and the people of Nepal.

2. Formulate two key questions that the PETS will have to explore concerning the funding and delivery of educational services in Nepal and formulate your tentative answers to the research questions.
**GW 2.2. Objectives and issues for a QSDS in Nepal**

Please find below the table prepared based on the results of the QSDS conducted in Bangladesh, Ecuador, India, Indonesia and Peru.

<table>
<thead>
<tr>
<th></th>
<th>Number of countries</th>
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<tr>
<td></td>
<td>Corr. +</td>
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<tr>
<td><strong>Salaries</strong></td>
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<tr>
<td>Education level</td>
<td>2</td>
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<tr>
<td>School director</td>
<td>2</td>
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<tr>
<td><strong>Control and discipline</strong></td>
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</tr>
<tr>
<td>Supervision</td>
<td>0</td>
</tr>
<tr>
<td>Involvement in PTA</td>
<td>1</td>
</tr>
<tr>
<td><strong>Working conditions</strong></td>
<td></td>
</tr>
<tr>
<td>Infrastructure quality</td>
<td>1</td>
</tr>
<tr>
<td>Isolation</td>
<td>1</td>
</tr>
<tr>
<td>Multigrade classes</td>
<td>1</td>
</tr>
<tr>
<td><strong>Intrinsic motivation</strong></td>
<td></td>
</tr>
<tr>
<td>Local recruitment</td>
<td>0</td>
</tr>
<tr>
<td>Tenure</td>
<td>0</td>
</tr>
<tr>
<td>Continuous training</td>
<td>1</td>
</tr>
<tr>
<td><strong>Contractual status</strong></td>
<td>Teacher contract</td>
</tr>
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</table>

1. What these findings suggest? What are the main factors which determine high rates of teacher absenteeism?

2. On the basis of this comparative international survey, and your experience, identify a set of relevant factors to be documented in the case of Nepal through a QSDS.

**GW 2.3. Using external audit results to improve transparency in education in Nepal**

Please read the following extract from the Annual Report of the Auditor General of Nepal 2008 (p.p. 108-109), and make four suggestions to improve transparency in the management of Tribhuvan University.
“Affiliation Fees” – As per Rule 51 of Tribhuvan University, Organization and Academic Administration Regulation, 1993, each private campus affiliated with the University must abide by the terms, conditions, and instructions issued by it, else the University can suspend or cancel the affiliation. The Executive Council on 1/08/2000 decided that each affiliated campus should deposit a month’s tuition fee per student, and again on 15/07/2004 it decided to recover a levy of Rs 250 per student on each of the constituent campuses. To date it is estimated that there are 417 affiliated campuses, and a total number of 105,632 students are studying in those campuses. But very few campuses have deposited the levy in full or partially. This levy is collected through the Dean’s Office of the concerned faculties, put in deposit accounts, some are spent and some are invested in fixed bank accounts. Hence, a list of affiliated campuses should be well prepared, the service charge collected regularly and in a timely manner, and deposited in a central fund account.

Central Fund Account – As per Rule 6 (2) of Tribhuvan University, Organization and Academic Administration Regulation, 1993, the campuses are required to deposit 10 percent of other fees collected from the students, besides the regular tuition fees, in the University Central Fund. But to date, the University and its departments, offices and campuses have not deposited the share in the Central Fund Account. This year, it has been noticed that 55 out audited entities have yet to deposit Rs 27,918,000 as share of Central Fund.

Basis of Use – Schools, water supply offices, petrol pumps, nurseries etc. are being run in university-owned land and buildings. The secondary school laboratory, owned by the university, has been handed over to a private party to operate it. The university has not earned any income from the school to date. When the audit demanded the reasons of handing over the school and school premises to a private party and the agreement made to this effect, the university itself was found to be unaware of all these events.

Excessive number of teachers – The number of students and teachers in the Faculty of Botany under the Institute of Science and Technology and the Faculty of History and Culture under the Institute of Humanities in Post Graduate Campus, Morang, is as follows:

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<th>S. No.</th>
<th>Faculty</th>
<th>Level</th>
<th>Number of Teachers</th>
<th>Number of Students</th>
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<td>History</td>
<td>Post Graduate</td>
<td>7</td>
<td>2</td>
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<tr>
<td>2</td>
<td>Culture</td>
<td>Post Graduate</td>
<td>6</td>
<td>3</td>
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<td>Botany</td>
<td>Post Graduate</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Total</strong></td>
<td><strong>21</strong></td>
<td><strong>13</strong></td>
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This year, Rs 3,857,000 has been spent on the salaries of those faculty teachers. It means that Rs 297000 has been spent per student. This cost per student is almost 4 times higher than the university average cost per student of Rs 77,000”. 
Group work 3

GW 3.1. Scope and coverage of an education score card in Nepal

A national NGO has decided to collect information on distorted practices in primary education through a report card survey. Your working group will:

1. Select three areas where there are opportunities for distorted practices (e.g. absenteeism of teachers, unauthorized fees, school maintenance, textbooks, etc.).

2. Identify the group of informants (e.g. questionnaires targeted at students, parents, head teachers, district education officers, etc.) for these areas.

3. Draft the outline of the questionnaire on one of the areas selected under 1, for parents as one group of informants.

GW 3.2. Open budget monitoring in Nepal

*Definition of an open budget:* Analysis of budgets and monitoring spending conducted by civil society, allowing sustained participation in policy decisions to make them more transparent and accountable to the people they affect.

The table below summarizes the findings of an evaluation of the experiences of open budgets in five countries.

You are invited to address the following questions:

1. Is there an example of open-budgeting in Nepal? If so, is there an evaluation of its impact on transparency and accountability in the management of school funds?

2. List a few areas for training to build capacity for budget monitoring in Nepal by local stakeholders, including civil society.

3. What areas in the school budget can be usefully monitored by local stakeholders? e.g. income from districts, private donation, fees, teacher salaries, maintenance of schools, equipment, furniture, textbooks, etc.
<table>
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<th>Budget work achievements</th>
<th>Bangla-desh</th>
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<th>India</th>
<th>Pakistan</th>
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<td>National</td>
<td>/</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td></td>
<td>District</td>
<td>/</td>
<td>X</td>
<td>/</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Local</td>
<td>/</td>
<td>X</td>
<td>/</td>
<td>X</td>
</tr>
<tr>
<td>Exposed misuse of budget in media</td>
<td>/</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
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<tr>
<td>Public officials taken to court over misuse of funds</td>
<td></td>
<td></td>
<td></td>
<td>/</td>
<td></td>
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<tr>
<td>Calculated costs of key policy reforms</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Worked with MP or parliamentary caucus</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Linked to campaigns on debt</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
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<tr>
<td>Challenged donors on their aid to education</td>
<td>/</td>
<td>/</td>
<td></td>
<td>/</td>
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<tr>
<td>Questioned macroeconomic policies</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>/</td>
</tr>
</tbody>
</table>

X - Achieved
/ - In progress

Source: Commonwealth Education Fund, 2007
Group work 3.3. Other local control mechanisms in Nepal

The international experience suggests a variety of mechanisms for local control, e.g.:

- parent-teacher associations,
- community leaders,
- the press and the media.

The working group is invited:

1. To identify entities in charge of local control mechanisms and describe their modes of operation;

2. To list the documents, reports, budgets, accounts, enrolment statistics, etc. which should be made available by the schools to make such local controls possible;

3. To suggest ways and means to improve access to relevant information with a view to favour local control (see the following example of improvement suggested by the Memorandum on the Right to Information Act of the State of Nepal, 2008).

“Most contemporary right to information laws impose a proactive obligation on public bodies to make certain key categories of information public even in the absence of a request, a practice sometimes referred to as routine disclosure. Routine disclosure is a key element of a right to information regime, as many people will find it difficult or uncomfortable to file a request for information with a public body”. 
<table>
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<th>Name</th>
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<th>Organisation</th>
<th>Ph no</th>
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</tr>
</thead>
<tbody>
<tr>
<td>H. E. Shankar Prasad Pandey</td>
<td>Secretary General</td>
<td>Ministry of Education</td>
<td>(+977 1 4443332)</td>
<td>(+977 9851007782)</td>
<td><a href="mailto:dhungel3@hotmail.com">dhungel3@hotmail.com</a></td>
</tr>
<tr>
<td>Mr. Diwakar Dhungel</td>
<td>for primary education</td>
<td>Ministry of Education</td>
<td>(+977 1 6633029)</td>
<td>(+977 9741077291)</td>
<td><a href="mailto:khanalhari@gmail.com">khanalhari@gmail.com</a></td>
</tr>
<tr>
<td>Mr. Hari Khanal</td>
<td>Under Secretary</td>
<td>Ministry of Education</td>
<td>(+977 1 4443332)</td>
<td>(+977 9841610121)</td>
<td><a href="mailto:narayan.nks@gmail.com">narayan.nks@gmail.com</a></td>
</tr>
<tr>
<td>Mr. Narayan Krishna Shrestha</td>
<td>Under Secretary</td>
<td>Ministry of Education</td>
<td>(+977 1 6633029)</td>
<td>(+977 9841552780)</td>
<td><a href="mailto:bpanthee@yahoo.com">bpanthee@yahoo.com</a></td>
</tr>
<tr>
<td>Mr. Hari Panthi</td>
<td>Deputy Director</td>
<td>Ministry of Education</td>
<td>(+977 1 4443332)</td>
<td>(+977 9841647125)</td>
<td><a href="mailto:ramapantha@gmail.com">ramapantha@gmail.com</a></td>
</tr>
<tr>
<td>Ms. Rama Aryal (Panthi)</td>
<td>Section Officer</td>
<td>Ministry of Education</td>
<td>(+977 1 4443332)</td>
<td>(+977 984105244)</td>
<td><a href="mailto:shakya_sk@hotmail.com">shakya_sk@hotmail.com</a></td>
</tr>
<tr>
<td>Mr. Sundar Kumar Shakya</td>
<td>District Education Officer</td>
<td>District Education Office</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:aryalashoka@yahoo.com">aryalashoka@yahoo.com</a></td>
</tr>
<tr>
<td>Mr. Deepak Kafle</td>
<td>District Education Officer</td>
<td>District Education Office</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:aryalashoka@yahoo.com">aryalashoka@yahoo.com</a></td>
</tr>
<tr>
<td>Ms. Shashi Aryal</td>
<td>Senior Instructor</td>
<td>Education Training Centre</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:aryalashoka@yahoo.com">aryalashoka@yahoo.com</a></td>
</tr>
<tr>
<td>Mr. Bishnu Prasad Kharel</td>
<td>Account Officer</td>
<td>Financial Comptroller General’s Office</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:bshnkhare@yahoo.com">bshnkhare@yahoo.com</a></td>
</tr>
<tr>
<td>Mr. Ghanshyam Upadhyay</td>
<td>Assistant Auditor General</td>
<td>Office of the Auditor General</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:gsupadhayay@oagnep.gov.np">gsupadhayay@oagnep.gov.np</a></td>
</tr>
<tr>
<td>Mr. Mahendra Bilas Joshi</td>
<td>Chairman</td>
<td>Association of SMCs</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:mbjoshi06@hotmail.com">mbjoshi06@hotmail.com</a></td>
</tr>
<tr>
<td>Mr. Raghu Shrestha</td>
<td>M&amp;E Specialist</td>
<td>Ministry of Local Development</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:shresthagar@yahoo.com">shresthagar@yahoo.com</a></td>
</tr>
<tr>
<td>Ms. Bijaya Prasain</td>
<td>Section Officer</td>
<td>Ministry of Local Development</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:prasainbijaya@yahoo.com">prasainbijaya@yahoo.com</a></td>
</tr>
<tr>
<td>Mr. Ishwor Prasad Paudel</td>
<td>Joint Secretary</td>
<td>CIAA</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:ishworipaudyal@hotmail.com">ishworipaudyal@hotmail.com</a></td>
</tr>
<tr>
<td>Mr. Sameer Silwal</td>
<td>Joint Attorney</td>
<td>CIAA</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:sameer_silwal2000@yahoo.com">sameer_silwal2000@yahoo.com</a></td>
</tr>
<tr>
<td>Mr. Yadav Prasad Mainali</td>
<td>AIN</td>
<td></td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:ymainali@gmail.com">ymainali@gmail.com</a></td>
</tr>
<tr>
<td>Mr. Keshav Prasad Bhattarai</td>
<td>Advisor</td>
<td>Teacher’s Union</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:kpbnepal@gmail.com">kpbnepal@gmail.com</a></td>
</tr>
<tr>
<td>Mr. Pom Narayan Paudel</td>
<td>Central Committee Member</td>
<td>NGO Federation of Nepal</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:pompaudel@gmail.com">pompaudel@gmail.com</a></td>
</tr>
<tr>
<td>Mr. Purusottam Subedi</td>
<td>General Secretary</td>
<td>Education Journalists Group</td>
<td>(+977 1 4443332)</td>
<td>(+977 984158944)</td>
<td><a href="mailto:purushottam.subedi@gmail.com">purushottam.subedi@gmail.com</a></td>
</tr>
<tr>
<td>Name</td>
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<td>------------------------------</td>
</tr>
<tr>
<td>Ms. Tara Gurung</td>
<td>Country Director</td>
<td>AusAID</td>
<td>+977 1 4374126</td>
<td>+977 9851026239</td>
<td><a href="mailto:Tara.Gurung@dfat.gov.au">Tara.Gurung@dfat.gov.au</a></td>
</tr>
<tr>
<td>Mr. James E. Jennings</td>
<td>Regional Education Advisor</td>
<td>AusAID</td>
<td></td>
<td></td>
<td><a href="mailto:jenningsjames01@gmail.com">jenningsjames01@gmail.com</a></td>
</tr>
<tr>
<td>Mr. Matt Gordon</td>
<td>Basic Services Adviser,</td>
<td>DFID</td>
<td>+977 1 5542980</td>
<td>+977 9851075601</td>
<td><a href="mailto:m-gordon@dfid.gov.uk">m-gordon@dfid.gov.uk</a></td>
</tr>
<tr>
<td>Mr. Bhola Prasad Dahal</td>
<td>Program Coordinator</td>
<td>Embassy of Finland</td>
<td>+977 1 4416636</td>
<td>+977 9851108639</td>
<td><a href="mailto:bhola.dahal@formin.fi">bhola.dahal@formin.fi</a></td>
</tr>
<tr>
<td>Mr. Pradeep Man Tulachan</td>
<td>Economic Advisor</td>
<td>Royal Norwegian</td>
<td>+977 1 5545307</td>
<td>+977 9851051303</td>
<td><a href="mailto:Pradeep.Man.Tulachan@mfa.no">Pradeep.Man.Tulachan@mfa.no</a></td>
</tr>
<tr>
<td>Ms. Kristine H. Storholt</td>
<td>Counsellor</td>
<td>Royal Norwegian</td>
<td>+977 1 5545307</td>
<td>+977 9851010837</td>
<td><a href="mailto:kristine.storholt@mfa.no">kristine.storholt@mfa.no</a></td>
</tr>
<tr>
<td>Ms. Louise Banham</td>
<td>Education Programme Manager</td>
<td>European Union</td>
<td>+977 1 4429445</td>
<td>+977 9851000175</td>
<td><a href="mailto:louise.banham@ec.europa.eu">louise.banham@ec.europa.eu</a></td>
</tr>
<tr>
<td>Mr. Saurav Dev Bhatta</td>
<td>Senior Education Specialist</td>
<td>World Bank</td>
<td>+977 1 4226792</td>
<td></td>
<td><a href="mailto:sbhatta@worldbank.org">sbhatta@worldbank.org</a></td>
</tr>
<tr>
<td>Mr Mohan Aryal</td>
<td>Operation Officer</td>
<td>World Bank</td>
<td>+977 1 4226792</td>
<td>+977 9841219555</td>
<td><a href="mailto:maryal@worldbank.org">maryal@worldbank.org</a></td>
</tr>
<tr>
<td>Ms. Kowsar Chowdhury</td>
<td>Sr. Social Sector Specialist</td>
<td>ADB</td>
<td>+977 1 4227779 ext - 303</td>
<td>+977 9851031712</td>
<td><a href="mailto:kchowdhury@adb.org">kchowdhury@adb.org</a></td>
</tr>
<tr>
<td>Mr. Shiva Lal Bhusal</td>
<td>ECD Specialist</td>
<td>UNICEF</td>
<td>+977 1 5523200 ext 1134</td>
<td>+977 9851078659</td>
<td><a href="mailto:sbhual@unicef.org">sbhual@unicef.org</a></td>
</tr>
<tr>
<td>Mr. Tap Raj Pant</td>
<td>National Education Officer</td>
<td>UNESCO</td>
<td>+977 1 5554396</td>
<td>+977 9851044170</td>
<td><a href="mailto:tr.pant@unesco.org">tr.pant@unesco.org</a></td>
</tr>
<tr>
<td>Ms Alessandra Fontana</td>
<td>Program Coordinator</td>
<td>Utstein anti-corruption resource centre</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mr Jacques Hallak</td>
<td>International Consultant</td>
<td>IIIEP-UNESCO</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Ms Muriel Poisson</td>
<td>Programme Specialist</td>
<td>IIIEP-UNESCO</td>
<td>+33 1 45 03 77 13</td>
<td>+33 1 40 72 83 66</td>
<td><a href="mailto:m.poisson@iiep.unesco.org">m.poisson@iiep.unesco.org</a></td>
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