

CENTRE FOR BUDGET AND POLICY STUDIES

A Study on Community Engagement with Schools in Five States

Andhra Pradesh

Bihar

Jharkhand

Odisha

Uttar Pradesh

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With Support of

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CBPS Study of Community Engagement with School

ANM	Auxiliary Nurse and Midwife
AP	Andhra Pradesh
BRP	Block Resource Person
CCE	Continuous Comprehensive Evaluation
CRP	Cluster Resource Person
EBC	Extremely Backward Class
EDI	Education Development Index
EEO	Extension Education Officer
Go	Government Order
GP	Gram Panchayat
HM	Head Master
Km	Kilometer
LPS	Lower Primary School
MDM	Mid-Day Meal
MLA	Member of the Legislative Assembly
NGO	Non-Government Organisation
OBC	Other Backward Class
PAB	Program Approval Board
PRI	Panchayat Raj Institution
PTA	Parent Teacher Association
RTE	Right to Education
SC	Scheduled Caste
SDP	School Development Plan
SHG	Self Help Group
SMC	School Management Committee
SSA	Sarva Shiksha Abhiyan
ST	Scheduled Tribe
TLM	Teacher Learning Material
TOT	Training of Trainers
TSS	Tadarth Shiksha Samiti
UP	Uttar Pradesh
UPS	Upper Primary School
VEC	Village Education Committee
VSS	Vidyalay Shiksha Samiti

Executive Summary

The National Policy of Education (NPE) 1986 and the Revised Plan of Action (POA) 1992 clearly envisaged decentralisation as a mechanism for educational governance and a means for promoting a 'spirit of autonomy for educational institutions' in India. Since the mid-1990s, the decentralisation of educational governance at the school level in India has been guided by two kinds of legislative and policy framework: one emanating from 73rd and 74th constitutional amendments for third tier of government, and the other flowing from education policies, programmes and laws such as Right to Education Act 2009.

A number of basic education projects started in the 1990s including District Primary Education Programme (DPEP) with support of various international agencies also promoted decentralisation. Thereafter, Sarva Shiksha Abhiyaan (SSA), literally meaning campaign for education for all, started in 2000-01 and is currently the main vehicle for attaining universal elementary education in the country. Patterned along DPEP, it emphasised the involvement of all kinds of community groups in educational governance. It called for 'community ownership of school based interventions through effective decentralisation' and hoped to augment the community participation by involving women's groups, VEC members and members of the Panchayati Raj Institutions (Government of India, 2000). The Right to Education Act(RTE) 2009, which makes basic education a fundamental right for every child in the age group of 6 to 14 years makes it mandatory for every school to have a School Management Committee (SMC). The SMC has been given the important role of initiating School Development Plans and monitoring the implementation of the plan as well as fund-use.

Under the DFID-supported International NGOs Partnership Agreement Programme (IPAP) as part of a joint programming proposal on Inclusive Education between Save the Children, Oxfam, and Save the Children (Bal Raksha Bharat), the three INGOs decided to commission a "Study on community engagement with schools". The Bangalore-based Centre for Budget and Policy Studies (CBPS) was awarded the consultancy assignment to undertake the research study in the specified geographies of 5 states where the three ¹non-government organisations are active in the area of school education. The study sought to gauge the extent of decentralisation and devolution of power to community based bodies in relation to schools, and see if there is any disconnect between what is envisaged and what is practiced. The study is limited to: Andhra Pradesh (AP- Medak District), Bihar (Gaya District), Jharkhand (Ranchi District), Odisha (Mayurbhanj District) and Uttar Pradesh (UP – Raebareli District). It focuses on the aspects of devolution of powers, capacity building, functioning of structures, convergence between structures, social inclusion, quality achieved through devolution of powers and potential dimensions of School-Community linkages which can be strengthened further.

The study involved desk review of varied kinds of materials and an exploratory field based study in five states. A field based study in the five states largely based on consultations at the levels of state, district (one), block (one/ two) and schools (four) i.e. a total of 5 states, 5

¹ Oxfam India, Care India and Save the Children Foundation

districts, 5 blocks and 20 schools was also undertaken. Schools and blocks which have not been covered by the NGOs supporting this study were identified. The objective was to understand the situation in the state as it exists in areas that have no external intervention by any non-government agency. Consultations were held at the levels of state, district, block (Taluk / mandal), village and school.

Mandated Composition of Schools Management Committees (SMCs)

The Schools Management Committees (SMCs) are the designated structures for community participation for the states of Odisha, Andhra Pradesh (AP) and Uttar Pradesh. The legitimacy of their powers in all cases is derived from the respective RTE act of the states. In Bihar the RTE state rules call for the formation of SMCs but the process is yet to be actualised and Tadarth Shiksha Samitis (TSS) are the interim structures in place. In Jharkhand, Village Education Committees (VECs) along with SMCs oversee functioning of schools.

Composition as practiced in the five states

For all the five states parents/guardians form the biggest chunk of the SMC members. In order to guarantee inclusiveness the states have reserved seats for women/mothers. Head teachers and senior teachers also have representation, for all the states the HM is the convener of the SMC and holds a joint account with the SMC chairperson/president. The states except for the state of Bihar, guarantee participation of the local authorities by assigning seats for ward and Panchayat members. Education functionaries have also been given seats.

In order to foster convergence between various departments, the states of AP, Bihar, Odisha and UP have reserved seats for ASHA workers, ANM, Anganwadi workers and local SHGs. UP has provisions for seats to be reserved for Lekhpal (District level Cadre of Accountants who primarily manage land records and associated revenue) also. Any such provision is absent in Jharkhand.

SMCs in AP, Bihar and Odisha allow for representation from among local people skilled in art and cultural studies. Bihar also has a provision for reserving seats for the highest donor to the school from the local community. Bihar, Jharkhand and Odisha have representation from students also in their SMCs. AP and UP do not have such provisions.

Field visits to a district each in all the five states indicated that most states have complied by the normative composition of the SMC. The schools visited in AP, Jharkhand and UP were perfectly compliant in terms of their SMC composition. In Odisha the SMCs were largely compliant of the normative framework prescribed by the RTE and the GOs but deviance was seen in terms of having separate SMCs for primary and upper primary schools. They also did not have seats allocated to ward/Panchayat members or local educationists. The schools visited in Bihar had not undergone the process of SMC formation, and only the TSS was in place.

Prescribed Process of Formation of SMCs

A perusal of the state RTE acts and the related GOs reveal that all SMC members need to be duly elected to serve their tenure as SMC members. All members are assigned tenure of two to three years to perform their duties as SMC members. In all the states except AP and UP the SMCs have to serve tenure of three years, this tenure is of two years for the states of AP and UP. According to the respective state RTE rules and government orders, all SMCs need to be elected by the ²Parent Teacher Association (PTA) present in the school.

The process of formation as witnessed in the field

The prescribed procedure of electing the SMC members was not followed in Odisha, UP and half of the schools visited in AP. In Odisha, post RTE, all VEC members have simply been converted to SMC members keeping in mind the designated composition. The head teachers in all the schools visited in these states were well aware of the process of election of SMC but the process was not followed in any of the schools. Jharkhand is the only state among these five where the SMCs were formed through a process of election. Consultation with the SMC members in AP revealed that the elders of the village who were also politically influential were present during the process of formation of the SMCs and their opinions were considered.

Mandated measures for social inclusion

The states guarantee that the SMC is socially inclusive by assigning/ reserving seats for women, SC/STs, Muslims, people belonging to educationally backward communities. All the five states have seats reserved for women/mothers of students studying the respective schools in the SMC; the percentage of seats reserved is around fifty percent in all the states. Reservation of seats for SC/STs is also present in all the states. All the states have taken care to guarantee numerical representation of all communities in the SMC.

Inclusion as observed in the field

Though there is formal representation from the local community in terms of women, ST and SC members, such representation does not often translate in actual participation, or substantial representation. This was also articulated by CRPs and NGO members working in the areas visited. The power dynamics between the women and the men at the meetings was also evident. As a result of this, in most of the states visited, the women SMC members were rarely observed to be having any 'voice' and the means for participation in non-gender stereotyped ways was extremely curtailed. There was a clear division of labour in all the schools visited where women were assigned duties related to 'care taking and nurturing activities' and men were mainly responsible for activities involving expenditure and associated decision making like civil works. In many cases, husbands were acting as proxy SMC members. Jharkhand emerged as an exception to these power dynamics as participation of women, dalit, adivasi and Muslim members was visible at all schools visited.

² PTA is a body constituted of all the parents/guardians whose children are currently studying in the school and teachers currently teaching in the school.

Powers and Functions of Structures for Community Engagement in School

Monitoring Powers: The monitoring powers conferred to the SMCs include monitoring learning outcomes of children, ensuring that teachers are not burdened with non-academic duties, ensuring the enrolment and continued attendance of all children from the neighbourhood in the school, monitoring the maintenance of the norms and standards including those for children with special needs in conformity with the provisions of RTE, ensuring completion of elementary education by all, and ensuring proper implementation of mid-day meals (MDM) scheme.

In all the states it was observed that the SMCs are more aware of their monitoring powers than the other powers given to them. This could also be because SMC members have not been trained to monitor academic activities and therefore do not feel confident enough to do so. In most of the states the SMCs do not undertake any activity related to the child census.

Financial powers: The SMCs are responsible for preparing an annual account of receipts and expenditure of the school. They need to estimate the financial requirements, i.e., undertake the budgeting exercise, of the school to fulfill all norms under RTE as part of developing the School Development Plan. In Bihar and Odisha SMCs have the power to raise funds for the developmental activities of the school by accepting contributions from persons other than the members of the Parent Teacher Association.

In all the five states visited the SMC members were largely unaware of their financial powers. The chairperson and head teacher had a joint account in all the schools but the remaining SMC members at large had no idea about the annual receipts and expenditure of the school. The women SMC members in all the states had no clue about the financial powers and activities. There was no transparency about the finances in any of the schools visited in all the five states.

One of the most important powers given to the SMC is with relation to preparation of the School Development Plan (SDP). The SDP is a document that would reflect the demands and the requirements to meet the demands or bridge the gaps in a planned manner. The SDP needs to focus on all aspects of the school, from entitlements of the child to infrastructure, and community mobilisation to teachers. The SMC members were unaware of the SDP in all the schools visited across the five states. States like Odisha and Jharkhand have come up with indicative format for the development of SDP which needs to be filled by all the SMC members through a joint and consultative process. The field work revealed that the formats were being filled in a perfunctory manner, often by the head teachers alone without SMCs being consulted. There also was no following through with such SDPs once made.

Grievance Redressal powers: As per the RTE Model rules for the State, 2009, the SMCs are not the grievance redress institution for students, however they are the first level of grievance redress for teachers. In the Bihar state rules, the SMC had been mentioned as the 'first level of Grievance Redressal mechanism' related to the rights of Children, and in Jharkhand, 'complaints' pertaining to the RTE entitlements are to be 'registered primarily' with SMC. Tuition/coaching activities by teachers, however, are to be reported to the LA. In AP and Odisha, SMCs have been assigned the task of 'bring(ing) to the notice of the LA' any grievance

related to the management of the school and compliance of RTE norms, as required by the RTE model rules 2009. Communities and government officials in some of the states thus may be misunderstanding the provisions of the legislation and why it was envisaged that LAs and SMCs be vested with the duty of grievance redress (and some of the state notifications also digress from the stipulations of the parent Act).

In Bihar, Jharkhand, Odisha and UP, the SMCs are not following through on redressal of grievances of teachers. Even if SMCs are fully aware of the cases of grievance which are largely related to shortage of teachers, classrooms, drinking water facilities, toilets, compound wall, etc, they seldom escalate the same to the notice of the LA. AP was the only state where the SMCs were seen to be largely involved in cases of grievance redressal (directly or indirectly).

Capacity Building of Structures for Community Engagement in School

All the states have developed their respective training manuals for the capacity building of the SMCs. AP, Jharkhand and Odisha have started training their SMC members. Different states have followed different methods of training. While AP and UP have followed a cascade mode of training, Odisha has followed a method where only selected members from all SMCs receive direct training. Out of all the SMC members interviewed in all the five states only about twenty per cent SMC members had been trained.

When the SMCs were asked about the effectiveness of the training, all those interviewed except those in Jharkhand rated the trainings as ineffective. This perhaps is a drawback of the 'one size fits all' approach to training. Since SMCs are not a homogenous body, but include people from diverse categories, training needs to be tailored to the diverse needs to effectively engage and capacity-build all categories of people who are involved as SMC members.

Convergence of Structures for Community Engagement in School with other key structures

SMC and teachers: The elected members of the SMCs have to work together with the teachers to carry out the different functions that have been assigned to them, including monitoring quality of academic processes. This convergence seemed to be absent in AP, Bihar, Odisha and UP. There was a power equation visible between the SMCs and the head teacher where the power was tilted towards the head teacher making convergence extremely difficult. Jharkhand emerged as the only state where there is some convergence between the SMCs and the teachers. Lack of training of the SMCs to perform academic monitoring was another problem.

SMC and the larger community: The convergence between the SMCs and the larger community of the village was visible only in the state of AP. Although this convergence was limited in terms of only the powerful and influential SMC members working with the larger community to generate funds and sponsorship for the school.

SMC and Panchayat/Ward: It is constitutionally mandated for the panchayats and wards to be actively involved in school education. To be able to carry out this mandate, there needs to be a convergence between Panchayats/wards with the SMCs. The Schools visited for the study in

Odisha and UP have no convergence with the panchayat and the ward. On the other hand, in AP and Jharkhand a high level of convergence is visible.

SMC and education department functionaries (CRCC/BRCC, district level authorities, state level authorities): The education department functionaries like the CRCCs/ CRPs and the BRCCs/BRPs have to provide onsite academic support to the teachers, engage in teacher training, community mobilisation, collect data and facilitate planning and implementation of RTE/SSA norms vis-à-vis facilitating performance of SMCs. Except for the state of Jharkhand where the education functionaries organised regular training programmes, workshops, meetings, and other monitoring activities, this convergence was absent in all states. In Odisha this convergence is visible only during state sponsored and facilitated activities like ³Pravesh Utsav’.

Quality Achievement through Devolution of Powers

In all the states visited except for the state of Jharkhand most schools lacked the basic amenities as stipulated by the revised RTE- SSA norms of having separate functional toilets for boys and girls, adequate and safe drinking water, libraries and compound walls. Along with these infrastructural gaps, the schools also had a shortage of teachers. In all the states visited the schools had untrained para teachers as part of the teaching staff. MDM and uniform distribution were the key areas of involvement for most SMCs. Civil works also saw their involvement, however, at times there were issues of appropriateness/ functionality/ vested interests taking over.

Potential Areas for Improvement

1) The formation of SMCs through an open, democratic process: Willingness of SMC members to be a part of the committee and take responsibility for their school needs to be fostered. An early orientation to the norms, functions and responsibilities of SMC before it's being formed is important for parents especially and the community in general. Teachers could be incentivized to play a role in this.

2) Transformation of the training/capacity building strategy : The need for designing and developing training manuals keeping in mind the diversity of the members in the SMCs’ (getting out of the ‘one size fits all’ mode), particularly women and members from disadvantaged communities. The aspects that are considered technical, e.g., budgeting and expenditure analysis, and therefore not suitable for less-educated should also be included in SMC training to encourage their real participation and enhance their capacity to demand accountability. Concerted efforts to bridge the gaps between the normative and actual practice in formation and functioning of SMCs could be made through information, training and handholding for which periodic and ongoing engagement is necessary.

3) Great accountability of the educational administrative structure at all levels towards formation, functioning and empowerment of SMCs: It is important that the state education

³ State sponsored enrolment drive in Odisha.

department views the formation, empowerment and functioning of the SMC as its own responsibility.

4. The need for greater congruence between Panchayat and school planning: Fostering a sense of responsibility and accountability towards the school amongst Panchayat members along with building their capacities to deal with school related issues is critical.

5. Convergence issues between the national/state level Ministries/department (HRD and Panchayati Raj) need to be addressed.

This is vital as it is the responsibility of the Ministry of PR to judiciously involve and train local bodies in so called 'flagship schemes' of the Government whether it is health, education, livelihood, etc.

6. Budgeting is another important aspect.

This is so both in terms of training of SMC members and the experience of the INGOs and several other studies that indicate that the money allocated for training is not sufficient.

7. The need to better understand and attempt to replicate good practices

8. The parent Act is also fairly clear in terms of the role expected of PRIs as an important structure for community engagement. The fact that this has not been rolled out by the states deserves to be addressed.

This entails addressing a whole gamut of issues including the wrong notifications of LAs by some of these states, the failure to invest in their training, the perception that power is being taken from the PRIs under RTE, the lack of operational synergy of the structures, the withdrawal of PRIs from education planning etc. The annexure looks at some evidence that has come up about the failure of Local Authorities to engage/ for State's and other actors to engage with them.

1.0 Introduction

The National Policy of Education (NPE) 1986 and the Revised Plan of Action (POA) 1992 clearly envisaged decentralisation as a mechanism for educational governance and a means for promoting a 'spirit of autonomy for educational institutions' in India. The movement towards decentralisation of educational governance was in sync with the policy shift brought later by the 73rd and 74th Constitutional amendments in 1994 leading to the creation of local self government units as a third tier of governance in addition to the existing union and state governments. The mechanism of a decentralised system of educational governance fitted well with the notion of a decentralised society emphasising greater participation of the local communities in the matters of local governance, especially in the context of the delivery of services affecting lives of local citizens (Jha and Bakshi, 2011). Since mid-1990s, the decentralisation of educational governance at school level in India has been guided by two kinds of legislative and policy framework: one emanating from 73rd and 74th constitutional amendments which were guided more by the frame of third tier of government, and the other flowing from education policies, programmes and laws such as Right to Education Act 2009. In order to understand the current status of community engagement with schools, it is important to trace this history in brief.

In the wake of the National Policy of Education's Programme of Action (1992) calling for greater decentralisation in planning and management of education, a CAGE committee report recommended the setting up of Panchayat Standing Committees on Education at the intermediary level and Village education committees. The 73rd Amendment to the Indian Constitution in 1992 made it mandatory for Indian states to devolve control over public services (including school education) to the local village government, the Gram Panchayat. While technical control remained with the respective state departments of education, financial and administrative control of school education came under the mandate of Participatory Rural Institutions (PRIs) (Jain, 2003). A number of basic education projects started in the 1990s including District Primary Education Programme (DPEP) with support of various international agencies also promoted decentralisation. Thereafter, Sarva Shiksha Abhiyaan (SSA), literally meaning campaign for education for all, started in 2000-01 and currently the main vehicle for attaining universal elementary education in the country continued more or less on similar pattern but emphasised the involvement of all kinds of community groups in educational governance. It called for 'community ownership of school based interventions through effective decentralisation' and hoped to augment the community participation by involving women's groups, VEC members and members of the Panchayati Raj Institutions (Government of India, 2000). The Right to Education Act (RTE) 2009, which makes basic education a fundamental right for every child in the age group of 6 to 14 years makes it mandatory for every school to have a School Management Committee (SMC). The SMC has been given the important role of initiating School Development Plans and monitoring the implementation of the plan as well as fund-use. Three-fourth seats in the SMC are reserved for parents, the direct stakeholder, and half for the women. (Jha and Bakshi, 2011).

What becomes evident from the analyses of these two strands is that while one coming from 'third tier of governance' route focused on the role of elected bodies, the other coming from 'education' route focused more on the role of direct stakeholders such as parents. The federal

structure of the country allowed for specifics of how and what functions would be subsequently devolved to the community, to be decided by the states and hence, the nature and extent of decentralization in the context of school education varied from state to state. With RTE 2009 becoming a fundamental right and an overarching law guiding the school governance, the states have witnessed more changes in this regard. Also, some research studies and feedback received through other mechanisms pointed out to the disconnect between what was envisaged and what was really happening at the ground level vis-à-vis the VECs and similar bodies.⁴

1.1 The Present Study

This study is an effort under the DFID-supported International NGOs Partnership Agreement Programme (IPAP), as part of a joint programming proposal on Inclusive Education between Save the Children, Oxfam and CARE India. These three organisations jointly commissioned CBPS; Bangalore to conduct this study to undertake a study on the engagement of community based institutions with the school. . The present study was undertaken in five states: Andhra Pradesh (AP), Bihar, Jharkhand, Odisha and Uttar Pradesh (UP) in the same districts where the three INGOs were present but not in the areas where there had made interventions. The study focuses on below mentioned aspects;

- i. Extent of devolution of power to the formal structures for community participation:
 - a. Monitoring powers (monitoring of infrastructure, functioning of the structure, academic activities and other dimensions under the respective state rules, government orders i.e. GOs, etc.)
 - b. Financial powers (planning and budgeting, use of funds and monitoring of fund utilization)
 - c. Powers to redress grievances (role of the School Management Committee (if it is specified in the State Rules, in digression from the RTE Model Rules, 2009) or SMC and Panchayati Raj Institutions or PRIs in this regard)
- ii. Capacity Building:
 - a. Focus of the module/s used for training of members of SMCs and PRIs
 - b. Processes of training followed (modalities, satisfaction, thrusts of the same)
 - c. Follow up and handholding extended to SMCs and PRIs post training
- iii. Functioning of the Structures:
 - a. Process of formation of SMCs (compliance with operational guidelines/ SSA Framework)

⁴Please refer to SSA 14th and 15th Joint Review Mission Reports, July 2011 and January 2012. The JRM reports mention visible gaps in functioning of the SMCs, especially in terms of monitoring and financial activities. The missions also reported gaps in information present with the SMCs. The missions stated in its findings that in some states the composition of the SMCs was not inclusive of the diversity of the state. Please refer to Life Education and Development Support (Oxfam India) and Jharkhand Right to Education Forum study on Realisation of RTE ACT 2009 in Jharkhand. (Citizen's Charter of Demands, December 2012, Jharkhand) (2011), and School Management Committee and RTE 2009, American Indian Foundation, Learning and Migration Programme, New Delhi for additional such feedback on SMCs.

- b. Nature of actions undertaken for education by SMCs and Local Authorities (LAs) based on the roles specified under the state rules and other circulars
- c. Planning: Development of the School Development Plan or SDP, Forward linkages of the plans, extent to which plans translate into allocations, convergence of school planning with mainstream planning mechanisms
- iv. Convergence of the structures:
 - a. Degree of role clarity of the SMCs, PRIs (multiple tiers) and Gram Sabha
 - b. Extent of clarity about the role of the LA
 - c. Relationship of these structures with teachers and education department
- v. Social Inclusion
 - a. Degree of representation of women and marginalized communities in SMCs
 - b. Extent and nature of participation of women in the SMC
 - c. Extent and nature of participation of the dalits, tribal, Muslim members in the SMCs
 - d. Specific actions taken for inclusion of girls, dalits, Muslim and tribals by SMCs and PRIs
- vi. Improvements in school functioning or quality achieved through devolution of powers
- vii. Potential dimensions of School-Community linkages which can be strengthened further

1.2 *Approach and methods* A Desk review of varied kinds of materials and an exploratory field based study in five states was undertaken. The details are as below:

1.2.1 Desk Review

The desk review focused on scanning the following sources:

- a. Relevant PRI Acts, rules, amendments
- b. Right to Education (RTE) rules and amendments
- c. Relevant Government orders (GOs)
- d. SMC training modules (content as well as intended processes)
- e. Guidelines for internal processes, SMC formation and SDP development (from any of (a)-(c) above, or additional policy statements for the purpose)
- f. Other relevant documents (eg: research reports by NGOs like UNICEF/PRIA)
- g. SSA Joint Review Mission (JRM) reports
- h. Research papers, books, studies

The desk review helped in (i) mapping the structures, their envisaged role, the powers that are envisaged to be transferred and capacity building efforts, and (ii) analysing the feedback that the existing studies and other reports point out to.

1.2.2 The exploratory study in five states

A field based study was undertaken in the five states largely based on consultations at the levels of state, district (one), block (one/ two) and schools (four) i.e. a total of 5 states, 5 districts, 5 blocks and 20 schools. Identification of the schools and blocks which have not been covered by the NGOs supporting this study was carried out. The objective was to understand

the situation in the state as it exists in areas that have no external intervention by any non-government agency.

The consultations were held at the levels of state, district, block (Taluk / mandal), village and school. The following metric provides an idea regarding the people tried to consult at various levels:

Level at which consultation was held	Persons consulted
State	Sarva Shiksha Abhiyan (SSA) officials, program personnel*
District	SSA officials, District Institute of Education and Training (DIET) faculty, program personnel*
Block	Block Education Officer (BEO), Block Resource Centre (BRC) personnel/ Block Resource Person (BRP)
Cluster	Cluster Resource Centre (CRC) personnel
School/ village	Headmasters, Teachers, SMC members, Panchayat members

* Program personnel of Save the Children, Oxfam India and CARE India.

A cluster approach was followed for consultations. Attempts were made to ensure that VEC / SMC members have representation from all sections: men, women, dalits, adivasis and religious minorities. These visits were conducted during December 2013 – February 2014. Attachment I provides the state-wise details of the districts / blocks / villages / schools visited and people met for this study. It also spells out the problems encountered in the field consultations, if any.

Two kinds of tools were developed for consultation:

(i) Guidelines with indicative questions for Semi-structured interviews/ focused-group discussions with various stakeholders to gather qualitative data on devolution of the powers for community participation, capacity building measures and functioning role clarity of various institutions. These guidelines were used for interactions with key functionaries at all levels: school, village, cluster, block and district. The tools were patterned along the identified key research questions to gauge the information available to/perception of all key stakeholders;

(ii) Tools for collecting information from and Observation of school records and facilities. These observations were used to gauge the school condition and match the claims made for improvements in the schools reported by various respondents.

Attachment II provides the tools used for the field visits.

One case study for each state has also been developed for one area where partner NGOs have made some intervention. Information provided by the INGOs along with field visits was used to build cases for the intervention area. By no means, it is representative of their interventions, and should not be interpreted in that manner. Given the nature of the study, no quantitative analysis was attempted of the primary data collected.

The analysis as well as the report is patterned along the key areas identified for the study and listed in section 1.1. Research questions identified and agreed upon. This introductory section is

followed by sections on literature review, structure, composition of the respective structures, social inclusion, devolution of power, capacity building efforts, convergence, impact of these processes on quality of schooling, and potential for improving the functioning of these structures. While section 2 provides a brief review of literature, section 3 onwards, the report focuses on the present status based on review of laws, policies, other official documents, and field visits.

Five state reports are attached separately to facilitate state-wise reading. However, the state reports do not have any section on methods or objectives but they are patterned on the similar scheme that is followed for chapters here. The state reports are followed by the respective case studies in the end.

2.0 Structure, Formation and Functioning: What Existing Literature says

An understanding of historical evolution of structures for community engagement in schools is important to understand the present situation. A perusal of existing literature provided some important pointers. In 2001, Sarva Shiksha Abhiyan (SSA) assigned even greater importance to systematic mobilisation of the community and creation of an effective system of decentralised decision-making. Under the aegis of SSA, almost all states and union territories constituted school education management committees (SEMCs), alternately known as School Development and Management Committees (SDMCs) or simply School Management Committees (SMCs). These committees were to play a key role in micro-planning, especially in the development of a village education plans and school improvement plans. SSA envisaged a participatory planning process by these structures that took into account local needs and contextualized requirements. They thus become the means through which public funds for education services flow to the villages, and through which planning, implementation and monitoring of academic and allied activities in school are supported, strengthened and coordinated (Rao, 2009).

However, there remained significant differences in the way the structures were formed and powers that were devolved. While the CABE report suggested the setting up of Standing Committees and VECs that would be sub-committees of the PRIs, Andhra Pradesh is among the states that allowed for setting up of independent VECs. Also in AP, while education is devolved to the panchayat, powers relating to school-level functionaries like teaching and non-teaching staff have been retained by the education department (PRIA report, 2002).

The constitution of an elected Vidyalay Shiksha Samity (VSS) is mandatory for all elementary schools in Bihar. As per the statute, VSS should have 15 members — parents (9), non-parents (3), representative of local PRI (2) and the headmaster (1). A study by Pratichi Trust in 2011 in one district of the state found that nearly all the schools in the sample had a VSS, but most of them had completed their term of three years, and in the absence of fresh elections, had become dysfunctional. In addition the VSS, the Gram Panchayats (GP) monitor the working of local elementary schools, and recruit and pay salaries of para-teachers popularly known as 'Panchayat Teachers'. But, the Mukhiya – the head of the gram panchayat, seldom pays any attention to the local schools given their numerous other responsibilities and most GPs had not formed a Committee on Education the same study reports.

In Jharkhand, the Department of Human Resource Development highlights the VECs as a key vehicle for the deepening of community participation. A study by Pratichi Trust in 2011 highlighted the continuing problems like the official language of the government school (Hindi) excluding participation of the significant Santhali student population, and the existence and functioning of PTAs being unknown to the vast majority of parents (75% in the study sample), even when they indicated that they would like to participate in such a structure, especially to improve teachers' accountability.

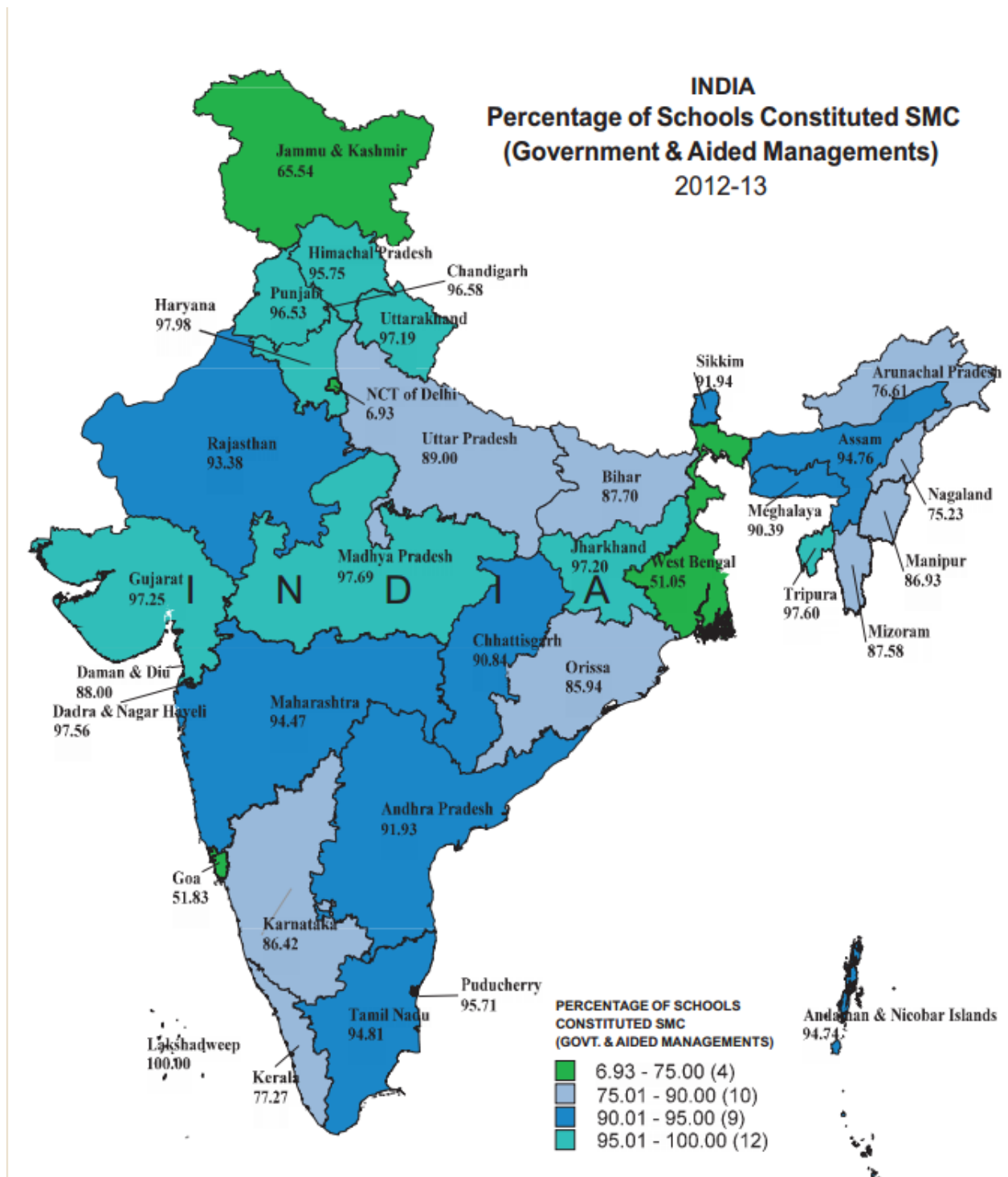
In Odisha, an MSSRF study in 2011 indicates that responsibility for mid-day meals at the school level, lay with the school management committee (SMC) or the village education committee (VEC) or the parent-teacher association (PTA), with all of these being accountable to the

elected local panchayat, but the CBPS in 2012 in the two districts of the state indicated that SMCs had emerged as the pre-eminent community structure for school management.

Uttar Pradesh chose to make a Village Education Committee (VEC) mandatory in every gram panchayat. This implies that unlike Andhra Pradesh and Bihar, where school is the unit for the designated structure, GP was the unit in UP and therefore one VEC could have more than one school in its jurisdiction in this state. The 5-member VEC is chaired by the elected head of the village government, and includes the senior-most teacher and three parents. The VEC chair and the head teacher of the school jointly operate the school account, into which are channelized stipend funds and mid-day meal funds. The VEC besides monitoring school funds coming to the gram panchayat account and school account also had the mandate of influencing academic processes through selection of contract teachers and deciding on their contract renewal (Pandey, Goyal and Sundararaman, 2010).

A perusal of PRI related Acts, rules and orders in five states reveal the variations in the transfer of powers vis-à-vis education to the three structures of the PRI at three levels: district, block and village. Attachment III shows the responsibility of PRIs with regard to different aspects of education with regard to the five states. With the Right to Education (RTE) Act coming into effect on 1 April 2009, the SMC formation has become mandatory for all schools. The Act provided for three years' time before it became justiciable, i.e., one could seek legal assistance in case of non-compliance was to start in April 2013 for the entire country. The states were supposed to pass their own rules based on this Act to facilitate the implementation. Out of these five states, Odisha was the only state to pass these rules in 2010, the rest finalized their rules in 2011.

In the current post-RTE phase, it therefore becomes important to examine what the points of contact between the old structures put in place by the 73rd Amendment and the now legally mandated SMCs are, and the manner in which local governance structures influence their functioning. As can be seen from the map overleaf, a large number of states are yet to form all SMCs. Three of these five states, Bihar, Odisha and UP are yet in the category of states where less than 75 percent schools have formed SMCs. AP comes next with 90 to 95 per cent schools having formed the SMCs with Jharkhand being the only one with more than 95 per cent schools having already formed SMCs.



Source: DISE Thematic Maps 2012-13, Map 1.14

3.0 Structures for Community Engagement in Schools: Composition, Formation and Inter-linkages

3.01 Mandated Composition of Schools Management Committees (SMCs)

The Schools Management Committees (SMCs) are the designated structures for community participation for the states of Odisha, Andhra Pradesh (AP) and Uttar Pradesh. The legitimacy of their powers in all these states is derived from the respective RTE act of the states. In Bihar the RTE state rules calls for the formation of SMC for community engagement but the process is yet to be universalized throughout the state. Schools in Bihar has had a history of having been managed by several committees like Vidyalaya Shiksha Samiti (VSS), Mata Samiti etc, currently the committee that is the institutionalised authority for community engagement in Bihar is the Tadarth Shiksha Samiti. According to the Bihar state RTE rules, the designated authority for community participation is both the SMCs and the VSSs. In Jharkhand, Village Education Committees (VEC) work along with the SMCs in managing the schools. The role of the VEC is limited to activities of civil works and MDM and it is believed that the VEC in Jharkhand will automatically dissolve after the civil works are over and the duties of MDM will gradually be shifted to the SMCs.

The VEC in most of the states were the unit for decentralised planning and community engagement since DPEP. The main activities of the VEC was maintaining quality school environment through civil works, sanitation and cleanliness, safe environment at school, facilitating and monitoring teaching learning process, developmental planning, implementation and monitoring of MDM etc. The RTE necessitates the formation of SMCs with very similar functions and roles as the VECs. Without dissolving VECs, states like Odisha, UP and Jharkhand have integrated the VECs into the SMC by fixing seats in the SMC for VEC members. Historically AP never had VECs, the designated body for community engagement in AP was the SMC. With the coming of the RTE rules, this body has been revised and upgraded to serve more functions. In Odisha there is a provision for separate SMCs for primary and upper primary schools.

3.02 Composition as practiced in the five states

For all the five states parents/guardians form the biggest chunk of the SMC members. In order to guarantee inclusiveness the states have reserved seats for women/mothers. Head teachers and senior teachers also have representation, for all the states the HM is the convener of the SMC and holds a joint account with the SMC chairperson/president. The states except for the state of Bihar, guarantee participation of the local authorities by assigning seats for ward and Panchayat members. Education functionaries have also been given seats.

School management requires several degrees of convergence with other departments like health, woman and child development and also the women's groups like Mahila Samakhya that are active locally. In order to foster this convergence the states of AP, Bihar, Odisha and UP have reserved seats for ASHA workers, ANM, Anganwadi workers and local SHGs. UP has provisions for seats to be reserved for Lekhpal (District level Cadre of Accountants who

primarily manage land records and associated revenue) also. Any such provision is absent in Jharkhand.

The RTE Act says that local educationists, civil society members, artisans and others with backgrounds in art, culture and local histories could also add to the management of the school. This is especially important for the management of academic activities and academic planning. Foreseeing this, SMCs in AP, Bihar and Odisha have representation from these communities. Bihar also has a provision for reserving seats for the highest donor to the school from the local community. The rationale behind this norm is that by making the donor accountable in terms of management of the school, the prospects for higher donations increase and being a part of the SMC, the donor also has a fair idea about the use of funds.

Bihar, Jharkhand and Odisha have representation from students also in their SMCs. This is to guarantee the democratic process of decision making where the main beneficiary which is the child, has representation in the committee and a say in the decision making process. AP and UP do not have such provisions.

Table 1: Mandated Composition of SMCs

SMC Composition (Normative)	Odisha	AP	UP	Bihar	Jharkhand
Parents/ Guardians	√	√	√	√	√
Child members	√	X	X	√	√
Teachers/HM	√	√	√	√	√
PRIs/Ward members	√	√	√	X	√
Education Officials	√	X	X	X	X
Local educationists/civil society members	√	√	X	√	X
health functionaries/SHGs	√	√	√	√	X
HM/Teacher as the convener	√	√	√	√	√
President/Chairperson from parent members	√	√	√	√	√
Other Pre-existing bodies like VEC	√	X	√	X	√
Separate SMC for P/UP/Elementary/Secondary	√	√	X	X	X

Source: Compiled from RTE State (AP, Bihar, Jharkhand, Odisha, UP) Reports and GOs.

From the field visits to a district each in all the five states, it was visible that most states have complied by the normative composition of the SMC. The schools visited in AP, Jharkhand and UP were perfectly compliant in terms of their SMC composition. In Odisha the SMCs were largely compliant of the normative framework prescribed by the RTE and the GOs but deviance was seen in terms of having separate SMCs for primary and upper primary schools. The SMCs in Odisha did not have seats allocated to ward/Panchayat members or local educationists. The schools visited in Bihar had not undergone the process of SMC formation. The TSS was still the community based body responsible for school management.

3.03 Prescribed Process of Formation of SMCs

A perusal of the state RTE acts and the related GOs throws light on the fact that all SMC members need to be duly elected to serve their tenure as SMC members. All members are assigned tenure of two to three years to perform their duties as SMC members. In all the states except AP and UP the SMCs have to serve tenure of three years, this tenure is of two years for the states of AP and UP. According to the respective state RTE rules and government orders, all SMCs need to be elected by the ⁵Parent Teacher Association (PTA) present in the school. The head teacher of the school as per the law needs to call a PTA meeting with prior notice, indicating date, time and venue to all the PTA members. By a show of hands or any other mechanism that the head teacher deems fit, the SMC members are elected. The president of the SMC also needs to be elected through the same process by the PTA.

3.04 The process of formation as witnessed in the field

The prescribed procedure of electing the SMC members was not followed in Odisha, UP and half of the schools visited in AP. In Odisha, post RTE, all VEC members have simply been converted to SMC members keeping in mind the designated composition. The head teachers in all the schools visited in these states were well aware of the process of election of SMC but the process was not followed in any of the schools. Thus, in spite of there being no gap in terms of information, a gap exists vis-à-vis implementation. Jharkhand is the only state among these five where the SMCs were formed through a process of election.

Table 2: Practiced Process of formation of SMCs

SMC Formation	Odisha	AP	UP	Bihar	Jharkhand
Election	X	√	X	⁶ NA	√
Selection	√	√	√	NA	X

Source: Primary data collected by CBPS through field work

Consultation with the SMC members in AP revealed that the elders of the village who were also politically influenced were present during the process of formation of the SMCs and their opinions were considered. Consultation held among various stakeholders also suggested that competition for the posts of chairperson and vice chairperson is very common in the state, as these are considered to be prestigious positions.

⁵ PTA is a body constituted of all the parents/guardians whose children are currently studying in the school and teachers currently teaching in the school.

⁶ The process of election could not be observed/documentated in Bihar as the SMCs were yet to be formed in the schools visited.

4.0: Social Inclusion within Structures for Community Engagement in School

4.01 Mandated measures for social inclusion

The states guarantee that the SMC is socially inclusive by assigning/ reserving seats for women, SC/STs, Muslims, people belonging to educationally backward communities. All the five states have seats reserved for women/mothers of students studying the respective schools in the SMC; the percentage of seats reserved is around fifty percent in all the states. Reservation of seats for SC/STs is also present in all the states. Bihar and UP have seats reserved for OBCs while AP, Jharkhand and Odisha have reserved seats for people belonging to minority communities. Bihar is the only state that also provision for reserving seats for parents of children with disabilities. Educationally backward communities get representation in SMCs in the Jharkhand and Odisha. While the states have taken care to guarantee representation of all communities in the SMC, the larger question that needs to be answered here is whether representation guarantees inclusion. The past experiences suggest that representation in such bodies, unless backed by empowerment measures, does not translate itself into inclusion of otherwise socially or economically disempowered groups.⁷

⁷ Please Refer to

1. Jha, J. (2009). Decentralisation of Elementary Education: Reaching the Unreached
2. Subrahmanian, Ramya (2003). "Community' at the Centre of Universal Primary Education Strategies: An Empirical Investigation", in NailaKabeer, Geetha B. Nambissan and RamyaSubrahmanian (eds.), Child Labour and the Right to Education in South Asia: Needs Versus Rights? pp. 216-242, Sage Publications, New Delhi.
3. Jha, J. And Bakshi, S. (2011). Representation and Participation of Women in Decentralised Educational Governance: Issues and Perspectives, for National Seminar on Decentralisation of Elementary Education: Policy Reforms and Practices. 2011, NUEPA, New Delhi
4. Joseph Stiglitz, A. S. (2008). *Report by the Commission on the Measurement of Economic Performance and Social Progress*.
5. (2003-08). *Capacity Building of Elected Women Representatives and Functionaries of Panchayati Raj Institutions*. Ministry of Panchayati Raj, GOI UNDP.
6. Krishna Kumar, M. P. (2001). Looking Beyond the Smokescreen: DPEP and Primary Education in India. *Economic and Political Weekly, Vol. 36(7): 560-568* .
7. Kaul, R. (2001). Accessing Primary Education: Going Beyond the Classroom. *Economic and Political Weekly, Vol. 36(2): 155-162* .
8. Leclercq, F. (2003a). Education Guarantee Scheme and Primary Schooling in Madhya Pradesh. *Economic and Political Weekly, Vol. 38(19): 1855-1870* .

Table 3: The Mandated Framework for Social Inclusion in SMC

Social Inclusion (mandated)	Odis h a	A P	U P	Biha r	Jharkhan d
Seats Reserved for Women	√	√	√	√	√
Seats Reserved for SC/ST	√	√	√	√	√
Seats Reserved for OBC	X	X	√	√	X
Seats Reserved for minority communities	√	√	X	X	√
Seats Reserved for parents of differently abled children	X	X	X	√	X
Seats Reserved for educationally backward communities	√	X	X	X	√

Source: Primary data collected by CBPS through field work

4.02 Inclusion as observed in the field

In practice, what was observed in all the states is that through there is formal representation from the local community in terms of women, ST and SC members, such representation does not often translate in actual participation, or substantial representation of their voice in meetings. This was also articulated by CRPs and NGO members working in the area. The SMC as a non-homogenous formal entity was not free from the larger societal power equations present between women and men, dalits and non dalits, adivasis and non adivasis, their formal inclusion notwithstanding. Even in the largely SC/ST concentrated areas where the consultations were conducted, power dynamics were at play between communities. Even more evident was the power dynamics between the women and the men at the meetings. As a result of this power dynamics, in most of the states visited, the women SMC members were rarely observed to be having any 'voice' and the means for effective participation was extremely curtailed. In many cases, their husbands were acting as proxy SMC members.

Another dimension where this gendered power-equation was visible was with reference to the distribution of functions and responsibilities among the SMC members. There was a clear division of labour in all the schools visited where women were assigned duties related to 'care taking and nurturing activities' and men were mainly responsible for activities involving expenditure and associated decision making like civil works. For instance, women were assigned tasks of looking after the quality of midday meals and the quality of uniforms whereas men presided over such tasks such as monitoring how the teacher is teaching and the quality or progress of construction works. The inclusive nature of the SMCs is undermined when women do not participate freely as equals in SMC meetings or any other decision making forum, and negotiating patriarchy clearly remains difficult in a group situation. This was clearly visible in AP, Bihar and Odisha.

Table 4: Social Inclusion as witnessed in the field

Social Inclusion (In Practice)	Odisha	AP	UP	Bihar	Jharkhand
Voice of Women Members	X	X	X	X	√
Voice of SC/ST /OBC/Minority Community Members	√	N.A	X	√	√
Proxy Representation of Women members	X	√	√	√	X
Gendered Roles in performing SMC Duties	√	√	N.A	√	X

Source: Primary data collected by CBPS through field work

In AP out of the 44 respondents in the SMC group discussions, 26 were SMC members including 13 women, 5 were the ex officio members and the 13 non-member. Majority of these 13 non-members were representing their wives who are members of the SMC. During the group discussions, male members were dominating and it was difficult to make women heard. During the discussions female members mentioned that they were not informed about SMC meetings and that they could attend if only they were informed in advance. The husband of a vice president clearly stated that he doesn't allow his wife to attend meetings. Male members and the husbands of female members sought to justify this practice by saying that women are busy taking care of the household and the fields; male members alone can spare time to go around and address the needs of the school. The other justification given was that male members have more contact with political leaders and can negotiate for things to happen at a higher level or with the community.

CARE India's intervention, called school Improvement Program (SIP) rolled out in the year 2009 and it focuses on community participation through empowerment of SMCs in 50 schools in Mayurbhanj, Odisha. The SMCs in all the intervention schools were trained on how to arrange and proceed with the SMC meeting which needs to happen once in every month as stated in the state RTE rules. This training focussed on training SMCs on making the agenda of the meeting, zeroing in on the issues that need to be discussed, the methods and process of discussion, the need for having a democratic process of discussion and decision making in the meetings.

The situation is somewhat similar in Odisha. In Odisha out of the 20 SMC members who were interviewed 9 were women. The unequal gender relations were made visible during the group discussions where the women were not participating. The women appeared to find it difficult even to say their names out loud. In most of instances when the researcher specifically asked the women SMC member to answer her question, the women displayed a lot of hesitation in answering. In one school when a woman did answer the questions, she was belittled by male SMC members who took her opinion/answer lightly and even told the researcher that the woman was ignorant. Such instances were common reflecting the disregard that the male members had for the women's voices. Another dynamic which was apparent was between the literate Odiya speaking members and the illiterate ones. The literate, predominantly Odiya speaking male and members, were more vocal as compared to illiterate, non-Odiya speaking members in the group discussions.

The overall representation of different backward classes and women in particular is satisfactory in Bihar but whether this translates into participation and impact, deserves further examination. In Bihar only those mothers whose child is enrolled in that school and have more than 50% attendance are eligible to become RTE-VSS member; the addition requirement linked with the child's academic performance is also there. This is exclusion by default, as the parents of the 'ideal' children so identified, can rarely be expected to bring on board the problem and issues facing children who do not attend school regularly, or perform poorly academically.

In UP, the women, SC/STs and other disadvantaged communities are a part of the SMC but the actual participation and quality of this participation is highly suspect, particularly of those members stated to be from marginalized communities and of women members, given that due process was not followed in the formation of the committee. Field visits indicated that wherever possible the school authorities have involved the male members who are politically active in the villages as SMC members. Field-based evidence also suggests that, if there is a female SMC president, the husband of the president serves on the committee as her proxy. The schools could arrange only male members or the husbands of the SMC members for focus group discussions with the researcher. The common reason provided for this surprising turn-out was that either the female SMC member has gone to work or that she has gone to her mother's place. Invisible female members in the SMC and male members being overwhelmingly those with political clout was a striking feature in all the schools visited.

Jharkhand emerged as an exception to these power dynamics as participation of women, dalit, adivasi and Muslim members was visible at all schools visited. They could be seen sitting together to discuss the issues relevant for that school. The larger community per se appeared to be quite sensitive to inclusion issues because the issues of caste, creed and class are looked at very critically even at all levels of bureaucracy, to pre-empt any conflict. Mixed groups of ST, SC, Muslim and other castes were found to be gelling in a coherent way in bodies like SMC; this was indicative of an emerging trend of mutual respect and tolerance. This is perhaps explained by the state's history of success with projects like Bihar Education Project which mobilised communities and villages to empower the rural youth, women and men, and promoted their meaningful participation in VECs in 1992-1997. Later DPEP (District Primary Education Programme) continued this effort till the launch of SSA in 2000.

5.0: Powers and Functions of Structures for Community Engagement in School

The SMCs have been given a range of powers by the state RTE rules. These powers relate to academic activities such as monitoring classroom practices, completion of course work and non-academic activities like maintaining financial records, developing School Development Plan, monitoring midday meal and so on. For the purpose of the report the powers and functions of the SMC are listed under three broad heads of monitoring powers, financial powers and grievance redressal (as the first-level structure for teachers, and in a guardian role for other stakeholders) powers.

5.01 Monitoring Powers

The monitoring powers conferred to the SMCs include monitoring learning outcomes of children, ensuring that teachers are not burdened with non-academic duties, ensuring the enrolment and continued attendance of all children from the neighbourhood in the school, monitoring the maintenance of the norms and standards including those for children with special needs in the school in conformity with the provisions of RTE, identification and enrolment of children with special needs and ensuring completion of elementary education, ensuring proper implementation of mid-day meals and monitor all aspects of the MDM scheme.

In all the states it was observed that the SMCs are more aware of their monitoring powers than the other powers given to them. This was especially true for the case of monitoring MDM and construction. Except for the state of AP, in all the other states the SMCs were much more interested in monitoring of civil works than other functions like monitoring academic activities. This could also be a result of the fact that the SMC members have not been trained to monitor academic activities and therefore do not feel confident enough to do so. In most of the states the SMCs do not undertake any activity related to the child census. The consultations with various stakeholders revealed that SMC members do help in enrolling out of school children to the school. This is enabled by their being part of the village and the village functioning as a close knit community where members belonging to similar socio-economic status do have a say in each other's life decisions.

5.02 Financial powers

The SMCs are responsible for preparing an annual account of receipts and expenditure of the school. They need to estimate the financial requirements, i.e., undertake the budgeting exercise, of the school to fulfill all norms under RTE as part of developing the School Development Plan. In Bihar and Odisha SMCs have the power to raise funds for the developmental activities of the school by accepting contributions from persons other than the members of the Parent Teacher Association.

In all the five states visited the SMC members were largely unaware of their financial powers. The chair person and head teacher had a joint account in all the schools but the remaining SMC members at large had no idea about the annual receipts and expenditure of the school. It became clear from consultations and focus group discussions that the head teachers had sole

control over the financial activities of the school. Other than him / her, only those SMC members who enjoyed some kind of power locally by virtue of being educated or politically connected had some idea about the finances of the school. The women SMC members in all the states had no clue about the financial powers and activities. There was no transparency about the finances in any of the schools visited in all the five states.

Table 5: Monitoring powers by SMCs: the main observations

Meaningful Monitoring by SMCs	Odisha	AP	UP	Bihar	Jharkhand
More Focus on Civil Works and Infrastructure than Academic Duties	√	X	√	√	√
Monopoly of the HM/Chairperson on the financial Activities	√	√	√	√	√
Lack of Transparency in Financial Activities	√	√	√	√	√
Locally Powerful People Having Greater Say in All Activities	√	√	√	N.A	X

Source: Primary data collected by CBPS through field work

School Development Plan

One of the most important powers given to the SMC is with relation to preparation of the School Development Plan (SDP). All SMCs through following prescribed methods need to evaluate the demand and gaps present in the school in relation to meeting all RTE/SSA norms, and put together a plan to fulfill those gaps. The SDP is a document that would reflect the demands and the requirements to meet the demands or bridge the gaps in a planned manner. The SDP needs to focus on all aspects of the school, from entitlements of the child to infrastructure, and community mobilisation to teachers.

The SMC members were unaware of the SDP in all the schools visited across the five states. States like Odisha and Jharkhand have come up with indicative format for the development of SDP which needs to be filled by all the SMC members through a joint and consultative process. This format consists of information about the school, process by which the SDP was made, child census in the neighbourhood of the school, data on enrolment, data on teachers, requirements for teachers, teachers salary requirements, infrastructural needs and the budget, action plan for enrolment, planning for socially disadvantaged groups of children including girls and children with special needs to guarantee inclusive education, strategies to ensure school community linkages, sources of funding etc. The field work carried out in these states brought to light the fact that the formats were being filled by the head teachers alone and the remaining SMCs were not consulted in any manner. Also, SDPs were either perfunctorily prepared, or in cases where they indicated greater involvement of stakeholders, did not get actualized as intended owing to various bottlenecks leading to dilution of policy-intent.

5.03 Grievance Redressal powers

As per the RTE 2009, the SMCs are the first level of grievance redressal institution for teachers. In all the states, as per the model RTE rules, the SMC is responsible for bringing to the notice of the local authority any grievance related to the management of the school and compliance of RTE norms.

In Bihar, Jharkhand, Odisha and UP, the SMCs are not undertaking any activities related to redressal of grievances of teachers. Even if SMCs are fully aware of the cases of grievance which are largely related to shortage of teachers, classrooms, drinking water facilities, toilets, compound wall, etc., the SMCs are unaware of their powers related to how to address these grievances. It was also observed that the SMCs do not know of a proper channel through which they could address or report the grievances in the school.

AP was the only state where the SMCs were seen to be largely involved in cases of grievance redressal. The SMCs have flagged several issues in front of the Mandal Education Officer. These issues have been related to the quality of uniforms distributed to children, poor quality of MDM and shortage of teachers.

The intervention of STC in Betlangi Primary School in Chanho Block of Ranchi, Jharkand has brought change in the mind-sets of teachers as well as community members. The SMC complies with all the norms stipulated by the State RTE rules and the members are active in finding creative solutions to problems, such as when in July - October 2012, there was a massive strike by teachers all over the state. To prevent children losing-out from school remaining closed they went around the village to find a suitable candidate volunteer teacher. They found one in ex-CRPF Jawan Mr. Krishna Oraon. This set an example in the state and in the village. SMC members were appreciated from all corners for their positive initiative to find ways out of a challenging situation like a strike.

6.0: Capacity Building of Structures for Community Engagement in School

All the states have developed their respective training manuals for the capacity building of the SMCs. AP, Jharkhand and Odisha have started training their SMC members. Different states have followed different methods of training. While AP and UP have followed a cascade mode of training, Odisha has followed a method where only selected members from all SMCs receive direct training. Out of all the SMC members interviewed in all the five states only about twenty percent SMC members had been trained.

In states like UP where the cascade mode of training is used, the training was imparted only to state and district level resource persons. While in theory, the cascade model has a multiplier effect and know-how can potentially snow-ball to include more people within its fold, 'transmission losses' and 'communication gaps' are also commonplace. The fact that the 3 day residential training at state and district level ended there and no training took place at the block level in UP is a case in point. Secondly, selection at every stage introduces both the possibilities and limitations that come with having made the best possible selection or otherwise.

Table 6: Training and Capacity Building for SMC: the Present Status

Training and Capacity Building for SMC	Odisha	AP	UP	Bihar	Jharkhand
Presence of training manual	√	√	√	√	√
Trainings held	√	√	X	X	√
Effective training	X	X	X	X	√
Hand holding	X	X	X	X	X
Special trainings for SMC members representing the weaker sections / disadvantaged group/women	X	X	X	X	X
All SMC members trained	X	X	X	X	X

Source: Primary data collected by CBPS through field work

When the SMCs were asked about the effectiveness of the training, all those interviewed except those in Jharkhand rated the trainings as ineffective. Most SMC members could not recall the contents covered in the trainings imparted to them. In Jharkhand the SMCs and the stakeholder credited the training for having built their capacity to conduct effective SMC meetings and it has also made the members feel concerned and responsible to take some positive initiatives in school to bring change, even though these were mostly focused on infrastructure., The states have not followed up the trainings and neither have the SMCs been provided with any handholding support.

Another issue that was observed in the states was the 'one size fits all' mindset of training. Since SMCs are not a homogenous body with representation of people from a diverse background, 'one-size fits all' training manual does not work effectively for all categories of people who are involved as SMC members. The states need to keep this in mind. Along with

training, handholding exercises to practice what is imparted during training, and follow up activities are required. This is totally missing in the capacity building exercises taken up by the states. For example, the approach to training of an illiterate tribal or Dalit woman needs to be designed differently from a literate non-tribal/dalit man. Therefore the approach of the state needs to be more inclusive and sensitive to the needs of the different communities and towards designing effective training. What needs to be emphasized is that the quality of the trainings cannot be seen in isolation from the inclusive nature of the trainings. Considering the diversity within the group undergoing training, good quality training will essentially be more inclusive and mindful of this diversity.

Also, the methods used for training needs to be examined by the states. In most states the SMC members said that the method used for training was lecture. Intuitive Methods like pictorial descriptions, role plays and other such activities could add to a better understanding of the contents taught. A process of internalisation and breaking the power barriers along with a critical understanding of the powers and functions of the SMCs should be the main objectives of these trainings.

Oxfam and its local partner NGO Lokamitra intensified efforts in mobilisation for school enrollment in Poorey Kalloo Government Primary School, Raebareli, UP. An all parent meeting was called May 2012 in which SMC members did a role play of "Meeting, Talking to Teachers". Some 'children' (ie: characters in the role-play) were heard for their view on school education. Quality of education was discussed. After this meeting the SMC was mobilised to support the school in organising a Children's Fete (Bal Mela) for three days in July to pitch the school as a very attractive place for children and to make teachers enthusiastic about quality teaching and engaging with the RTE-SMC. Bal Mela was a success. By Sept 2012, school enrollment improved to 178 from 126 in 2011.

7.0: Convergence of Structures for Community Engagement in School with other key structures

Given the variety of functions that the SMCs are supposed to perform, convergence with all the stakeholders at the elementary school level becomes important. The states try to bring about this convergence by reserving seats for Panchayat/ward members, teachers, local educationists, members of women groups and other similar bodies in the SMC.

Table 7: Convergence of SMCs with different stakeholders (as observed in the field)

Convergence	Odisha	AP	UP	Bihar	Jharkhand
SMC and teachers	X	X	X	N.A	√
SMC and the larger community	X	√	X	N.A	N.A
SMC and Panchayat/ Ward	X	√	X	N.A	√
SMC and education functionaries (CRCC/BRCC, district level authorities, state level authorities)	X	X	X	X	√

Source: Primary data collected by CBPS through field work

7.01 SMC and teachers

The elected members of the SMCs have to work in convergence with the teachers to carry out the different functions that have been assigned to them. This convergence seemed to be absent in AP, Bihar, Odisha and UP, in the sense that there was a power equation visible between the SMCs and the head teacher where the power was tilted towards the head teacher making convergence extremely difficult. Jharkhand emerged as the only state where there is some convergence between the SMCs and the teachers; a good working relationship was visible between the SMC members and teachers where powers and duties related to MDM, academic monitoring and other aspects were shared and discussed by these two groups in a cohesive manner.

One reason for this lack of convergence could be the way teachers view the capacities of the SMC members. As evidenced in Odisha, the teachers saw SMC as a body that lacked the capacity to undertake activities related to financial management including budgeting, allocating funds for different expenditure heads and making SDPs. The teachers felt that due to this lack of capacity they were being over-burdened as they had to perform their academic and administrative roles as teachers and also take up the functions of SMCs. The situation became even more complex in schools experiencing a shortage of teachers like those visited during the field study. Further to this, there was also a palpable unease in the working-relationship shared by male SMC members and female head teachers. The SMC members thought that the female teachers were not capable of performing functions that require constant travel to the district office, overseeing construction, and other 'heavy and difficult' works.

7.02 SMC and the larger community

The fairly high level of engagement between the SMCs and the larger community of the village was visible only in the state of AP. Although this engagement was limited in terms of only the powerful and influential SMC members converging with the larger community to generate funds and sponsorship for the school. Such engagement in any form was absent in other states.

7.03 SMC and Panchayat/ Ward

It is constitutionally mandated for the panchayats and wards to be actively involved in school education. To be able to carry out this mandate, there needs to be a convergence between panchayats/wards with the SMCs. The Schools visited for the study in Odisha and UP have no convergence with the panchayat and the ward. In Odisha the panchayat/ ward members meet the SMC presidents and the head teachers monthly but the issues of the school are seldom discussed.

On the other hand, in AP and Jharkhand a high level of convergence is visible between the SMCs and the Panchayat/ ward members. In AP this convergence was seen mainly because of a personal rapport between the Panchayat members and locally influential SMC member. As a result of this convergence one panchayat has included construction of a water tank, a cemented road and a playground in the school premises in its annual plan. In Jharkhand, SMC and VEC members and parents in general believe that the GP is the most important body for making any major decisions at the village level. If the SMC does not initiate action in some particular case, then the GP has all the powers to supersede and take action on any of the issues affecting the school.

7.04 SMC and education department functionaries (CRCC/BRCC, district level authorities, state level authorities)

The education department functionaries like the CRCCs/ CRPs and the BRCCs/BRPs have to provide onsite academic support to the teachers, engage in teacher training, community mobilisation, collect data and facilitate planning and implementation of RTE/SSA norms vis-à-vis facilitating performance of SMCs. Except for the state of Jharkhand where the education functionaries organized regular training programmes, workshops, meetings, and other monitoring activities, this convergence was absent in all states. In Odisha this convergence is visible only during state sponsored and facilitated activities like ⁸Pravesh Utsav’.

⁸ State sponsored enrolment drive in Odisha.

8.0: Quality Achievement through Devolution of Powers

One of the main duties of the SMC is to ensure quality education at school and making the school RTE compliant. This includes maintaining the stipulated ⁹Pupil Teacher Ratio (PTR), having only trained regular teacher in the school, ensuring continued attendance of students and teachers, monitoring classroom practices to keep a check on discrimination, ensuring entitlements for the child in terms of hot, nutritious MDM, uniforms, text books etc. Along with this the SMCs also need to guarantee the required infrastructural facilities as mentioned in the RTE. These facilities include a pucca building, compound wall, separate toilets for boys and girls, clean and safe drinking water, kitchen shed, library, playground and ramps for children with special needs.

P S Nawada located in Manpur Block of Gaya District of Bihar is where STC, Bihar's interventions are in progress. The monthly meeting of TSS reportedly takes place regularly. Issues discussed are mostly enrolment, attendance, MDM, uniform and scholarship. The teacher-TSS relationship looked healthy and members appreciated the lone teacher for his efforts in bringing in qualitative improvement in teaching-learning by applying various new techniques in school. Books are suspended on string along the walls of the classroom, and students have the habit of picking up books and reading them during their free time.

In all the states visited except for the state of Jharkhand most schools lacked the basic amenities as stipulated by the revised RTE- SSA norms of having separate functional toilets for boys and girls, adequate and safe drinking water, libraries and compound walls. Along with these infrastructural gaps, the schools also had a shortage of teachers. In all the states visited the schools had untrained para teachers as part of the teaching staff. MDM and uniform distribution were the key areas of involvement for most SMCs. Civil works also saw their involvement, however, at times there were issues of appropriateness/ functionality/ vested interests taking over. For example in UP, one school that was visited has constructed new additional classrooms which are not used due to the lack of teachers.

In all five schools visited in UP, there were sufficient classrooms for each class, but either on account of a paucity of teachers or low numbers of students; there were several class rooms that were not being used. Classrooms in general lacked sufficient ventilation, lighting etc. In all the schools visited, desks and benches for students were missing; children either sat on the bare floor or on gunny bags despite this being a harsh winter month. One construction contract was handled by the husband of the president of the SMC for the primary, who also happens to be president of the SMC in the upper primary school of the same village, therefore indicative of vested interests playing a role. The SMCs non-involvement in monitoring in UP is what can be gauged from the poor attention paid to functional design in existing classrooms, as well as the

⁹According to the RTE, primary schools need to maintain a PTR of 30:1 and upper primary schools need to have a PTR of 35:1

misallocation of funds for classrooms that were not meant to be occupied versus benches and desks that would offer students some respite from the cold bare floor, especially in the severe winter months.

9.0. Learning from the Case Studies

The case studies covered 5 schools in 5 study-states, where the 3 INGOs either directly intervened or partnered with local NGOs to work with SMCs or/and engage in community mobilization. The following table provides the details about these organisations and interventions. The intervention in 4 states was focused on training and handholding of either teachers (Bihar) or SMCs (UP, Jharkhand and Odisha). In AP the NGO intervention had a focus on child labour and school improvement as a strategy to overcome this. Quality improvement through community participation was the basic goal of all these interventions.

Table 8: Details of the intervention by the 3 NGOs

State	Type of Intervention	Focus
AP	Indirect (STC) through local partner NGO (Sadhna)	School improvement as a strategy to overcome Child labour
Bihar	Direct by STC	Training of Teachers
Jharkhand	Indirect (STC) through local partner NGO (BSK)	All round development of children in schools through strengthening of school-community linkages
Odisha	Direct by CARE India	Increasing the number of girls completing primary school by ensuring equitable and quality education in schools
UP	Indirect (OXFAM India) through local partner NGO (Lokamitra)	To have every child in school and learning

Source: Compiled by CBPS

The Bihar unit of Save the Children (STC) was initially training cluster resource coordinators but later decided to impart direct training to teachers of two blocks (with the technical support of SCERT, Patna). In Jharkhand, STC facilitated opportunities for all round development of children in schools through strengthening of school-community linkages, teaching-learning processes, organising coaching camps for sports, co-curricular activities, session on health and hygiene, and forums of various kinds to inspire children to pursue further educational and development opportunities.

In Odisha, CARE India works with the larger goals of increasing the number of girls completing primary school by ensuring equitable and quality education in schools; promoting girls' leadership by encouraging their participation in extracurricular and civic activities; and advocate for and protect the rights of girls. Their school program focuses on reducing drop out levels, and improving enrolment and community participation through an effective School Management Committee. It facilitates the process of SMC formation, training SMCs with regard to conduct of meetings/ the rights based approach, formulating the SDP. In UP, SMC and teachers were helped to jointly prepare an SDP and are consistently making efforts to improve school facilities and the quality of education. Even children have been involved in public action for teachers to be appointed.

In all states except AP, the NGO intervention resulted in SMC/body for community engagement getting involved in infrastructure improvements in the school, monitoring and managing of MDM, and pursuing and defending a Rights Approach to access to school and classroom practices, in a more informed and motivated manner. In UP and Odisha, the NGO intervention schools had

SMCs actively involved in financial management as per its purview. Notable difference in the use of facilities and better classroom management techniques were visible: it included the use of group work by students, peer teaching-learning, library books being more accessible to students, functional toilets for both sexes, buildings that accommodated children with special needs, greater convergence between the school and the GP to facilitate meeting schools requirements for benches, etc. In Odisha, the school observed had a Ward member was part of SMC; this facilitated improved infrastructure and greater convergence with PRIs. In UP, apparently practices such as segregated seating for SC children and the practice of teachers charging students under-the-table stopped because of these interventions.

Even though the case studies have a very thin evidence base and have been conducted on schools that were pre-selected by the NGOs, the following elements emerge as important in contributing towards effective participation of the SMCs and greater community mobilisation for quality education:

- Training not being a one -shot intervention but supported by continued handholding (evidenced in Odisha and UP)
- Skill development through training and handholding eg, in relation to budgets and SDP (evidenced in Odisha and UP)
- Academic and pedagogical skill building among teachers especially relevant for single teacher environments. (evidenced in Bihar, UP, Odisha, Jharkhand)
- Encouraging and supporting out of the box thinking and problem solving by SMCs to respond to unforeseen situational demands. (evidenced in Jharkhand)
- Promoting resource mobilisation from within the school community (evidenced in Bihar)
- Building community's stake in school (evidenced in AP, Bihar, UP, Odisha, Jharkhand)

A rigorous evaluation of these interventions to establish the causality would lead credence to these observations.

10.0. Potential Areas for Improvement

In general, what emerges is that the SMC is now the main vehicle for ensuring community engagement with the school, and SMCs' functioning at present leaves much to be desired. The gap between policy and practice is huge when it comes to the formation or functioning of the SMC. Although inter-state differences are marked, the gaps in policy and practice exist everywhere. Concerted efforts are needed to make the formation process more transparent and capacity building efforts more meaningful. Also, it is important to realise that SMCs cannot be empowered in isolation. A shift in the attitude of and engagement by both the PRIs and educational administration is critical. The following paragraphs outline the suggestions with respect to these aspects in greater detail.

1) The formation of SMCs through an open, democratic process

Willingness of SMC members to be a part of the committee and take responsibility for their school needs to be fostered. As school education per se is a function of the PRIs, a Gram Sabha devoted to education and the role of the local bodies, including the SMC, as well as the details of its formation, structure and function, could be mandated in every state. The general awareness about the SMC and its role continues to be poor in states like UP. An early orientation to the norms, functions and responsibilities of SMC before it's being formed is important for parents especially and the community in general. Teachers could be incentivized to play a role in this. There needs to be greater seriousness in the process of formation of, and transparency and accountability in the work of SMCs, brought about in this manner. Greater awareness raising could also address and increase the accountability towards proper functioning of SMCs: issues like the quorum, mechanisms for recall, processes of agenda setting, maintenance of the minutes of meetings etc. It would also help to give wide publicity to this process using various forms of mass media, i.e., radio and television.

Active participation of women and those from disadvantaged communities needs to be highlighted as an important part of the nature and role of the SMC. Mobilization by women's groups and voluntary organizations of the right candidates for these positions should be encouraged through a process initiated in the Gram Sabha. In order to make it happen, it is important that CRCCs and teachers are well oriented and made accountable to help form the SMC following due process. This issue is being discussed in detail a little later.

2) Transformation of the training/capacity building strategy

The SMC training strategy needs to be transformed; mere tinkering with the theory in module form does not help. It is also important to learn from past in terms of what have not worked; there exists a lot of knowledge with VEC experience that needs to be processed and feed to SMC capacity building strategy. Important points that have emerged are:

- The need for designing and developing training manuals keeping in mind the diversity of the members in the SMCs' (getting out of the 'one size fits all' mode), particularly women and members from disadvantaged communities. The fact that representation does not

guarantee equitable participation needs to inform all training and handholding and facilitated by the state. Therefore, merely providing information does not help. The aspects of power relations and empowerment need to be in-built in the capacity building strategy. This will be especially useful if separate trainings could be organized for women members. Efforts to bring together SMC women members, ASHA, Anganwadi workers, micro finance groups and women's groups (such as Mahila samakhya) for discussing empowerment related issues and building a sense of 'collective' may help. In order to make the SMC functioning more inclusive, the focus in general should be on the need for partnership and complementarity, rather than on merely passing information about roles and responsibilities.

- The aspects that are considered technical, e.g., budgeting and expenditure analysis, and therefore not suitable for less-educated should also be included in SMC training to encourage their real participation and enhance their capacity to demand accountability. The impact of such training on confidence building is likely to be very significant. Also, once a group starts demonstrating signs of understanding the aspects that are otherwise considered outside their bounds, they are taken more seriously.
- Concerted efforts to bridge the gaps between the normative and actual practice in formation and functioning of SMCs could be made through information, training and handholding for which periodic and ongoing engagement is necessary. Use of small studies (such as this one) and other study results in the form of cases to be integrated into training programmes to highlight the difference between normative and real situations. However, such an approach pre-supposes continuous up gradation and adaptation in training programmes, which is not so easy with an uniform approach based on rigid modules.

3) Great accountability of the educational administrative structure at all levels towards formation, functioning and empowerment of SMCs

It is important that the state education department views the formation, empowerment and functioning of the SMC as its own responsibility. Currently, these functions are carried out in a routine manner as it is part of the policy, and there is an inherent mistrust on people's capacity to manage anything on their own. A large section of teachers and CRCCs, and also others in the school system are not convinced themselves about the relevance and desirability of strong SMCs. This study as well as many others in the past has shown that there is resentment towards greater transfer of powers into the hands of community based bodies. This necessitates the need for a greater stress on these aspects including the rationale for shift of powers to the SMC and other bodies, and the need for a complementarity between educational administration, teachers and community/parents based bodies for the school to be a successful institution delivering high quality learning. Right now they, the teachers and educational administrators, are asked to perform these duties more as an order, and they therefore see these as impositions rather than a measure that would also improve their own performance. This needs to change. This change can come only when on one had serious and well-directed efforts are made to orient teachers and administrators, and on the other, well-designed accountability measures exist to reward/punish them in case of their failure to follow the desired processes.

Once there is a change in the attitude of the department and administrative and community based structures are seen as complementary, the responsibilities related to grievance redressal, and planning and implementing SDP. The issue of uptake of SDPs once prepared for making allotments based on the same in particular needs to be addressed. The very preparation of SDP will undergo a change if the process of forming SMC is more transparent, their training more meaningful and educational administration more accepting of the SMCs' role.

4) The need for greater congruence between panchayat and school planning

Fostering a sense of responsibility and accountability towards the school amongst Panchayat members along with building their capacities to deal with school related issues is also critical. The lack of congruence of the SMC planning with that of the panchayat as a whole is currently a major issue. This can change only if panchayats see SMCs as an extension – currently it is not happening in many states also because SMC has no formal linkages with panchayats except having one member from the GP. It may help if states assess the desirability of having such linkages. Although having such a linkage in itself may not ensure better functioning in a situation where GPs themselves are not very active, e.g., U.P, it may make a big difference in states where GPs are otherwise more active, e.g., Karnataka. Although not part of this study, evidences from other studies suggest that Karnataka GPs take active interest in the school, as SDMC (SMC known as School Development Management Committee) is a sub-committee of the GP.¹⁰

5) The need to better understand and attempt to replicate good practices

In Jharkhand every school had got a representative group of stakeholders - parents, community members and teachers in the SMC. The state's history of success with projects like Bihar Education Project which mobilized communities and villages to empower the rural youth, women and men, promoted their meaningful participation in VECs in 1992-1997. Later DPEP (District Primary Education Programme) continued this effort till the launch of SSA in 2000. In this study, the field researcher's visits suggested a continuity of synergies and collective learning fostered within communities as a result of such projects. Building on such collective experiences of working together, may be a future course of action.

In AP, the features of small village communities were at play with village elders having a say in the SMC elections, and these being held in their presence. This allows for communities to benefit from the presumed sagacity and greater experience of elders in selecting representatives. This possibly helped in giving legitimacy to the powers and functions of the SMCs in the village which in turn helped in greater convergence. However, this holds true, and ought to be promoted at a strategy only when the presence of influential people, such as the

¹⁰ Please see A Case Study of Dakshina Kanna Zilla Panchayat - Best Practices of the Taluk Panchayat, based on research studies conducted by CBPS in 2013, commissioned by Ministry of Panchayati Raj, GOI available on the CBPS website <http://www.cbps.in/wp-content/themes/cbps/pdf/Ghatbora%20GP%20case%20study.pdf>, <http://www.cbps.in/wp-content/themes/cbps/pdf/D.Kannada%20ZP%20Case%20Study.pdf>

village elders in AP, does not lead to capture of power by vested interests and subversion of broader democratic goals.

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List of People Consulted**Andhra Pradesh**

Sl. No.	List of SMC Members	Sex	Designation
1	Sangameshwar	Male	President
2	Nagamani	Female	Vice president
3	Lakshmi	Female	Member
4	Lakshmama	Female	Member
5	Sangamesh	Male	H/O vice president
6	Ramesh	Male	H/O the member
7	Vittal	Male	Member
8	Sailu	Male	Member
9	Mohan	Male	President
10	Pentayya	Male	Member
11	BesthaBethayya	Male	Member
12	Venkatesh	Male	Member
13	Sangamesh	Male	H/o the member
14	Sangayya	Male	H/o the member
15	BesthaRaju	Male	Member
16	prema	Female	Member
17	Bethayya	Male	President
18	Gangaram	Male	Member
19	Jagan	Male	H/O the vice president
20	Kishtayya	Male	H/O the member
21	Nagamani	Female	Member
22	Gangayya	Male	Ex officio
23	Vittal	Male	Member
24	Mogalayya	Male	H/O the member
25	Vittal	Male	H/O the member
26	Nirmala	Female	Member
27	Sujatha	Female	Member
28	Kavitha	Female	Member
29	Susheela	Female	Member
30	Manjula	Female	Member
31	Balamani	Female	Member
32	Sayalu	Male	President
33	Upper Lakshmi	Female	Member

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34	Sujatha	Female	Member
35	Balamma	Female	M/O the member
36	U.Sangayya	Male	Parent
37	Sangayya	Male	Member
38	Balamani	Female	Non member
39	Sangamma	Female	Non member
40	Rajeshwari	Female	Non member
41	Sangameshwar	Male	Sarapanch-Veerojupally
42	Lakshmi	Female	Sarapanch- Jukul

Bihar

Sl. No.	Name	Sex	Designation
1	Bharti Chauhan	Female	Programme Coordinator – Education, Save the Children, Bihar
2	Sunil Kumar	Male	Asst. Resource Persons, BEP, Gaya (looking at SMCs in the dist)
3	Nilu Kumar	Male	Accountant, BEP, Gaya
4	Munnilal Prasad	Male	Lecturer, DIET, Gaya
5	Suresh Prasad	Male	Lecturer, DIET, Gaya
6	Arvind Kumar	Male	Deputation as Resource Person from BRC
7	Jitendra Kumar	Male	Deputation as Resource Person from BRC
8	Utpal Vishwakarma	Male	BRCC, Manpur Block, Gaya
9	Sarita Kumari	Female	BRCC, Manpur Block, Gaya
10	Hemant Kr Vidhyarthi	Male	Headmaster, P S Nawada, Manpur
11	Parmatma Sharma	Male	President, Tadarth Shiksha Samiti, P S Nawada, Manpur
12	Vibha Devi	Female	Secretary, Tadarth Shiksha Samiti, P S Nawada, Manpur
13	Kamta Prasad	Male	Headmaster, P S Sondhi, Manpur
14	Pramod Paswan	Male	President, Tadarth Shiksha Samiti, P S Sondhi, Manpur
15	Rekha Devi	Female	Secretary, Tadarth Shiksha Samiti, P S Sondhi, Manpur
16	Rajkumari Devi	Female	Cook, P S Sondhi, Manpur
17	Kamlesh Das	Male	Para Teacher as HM, P S Khurd, Manpur
18	Shanti Devi	Female	President, Tadarth Shiksha Samiti, P S Khurd, Manpur
19	Anita Devi	Female	Secretary, Tadarth Shiksha Samiti, P S Khurd, Manpur
20	Champa Devi	Female	Member, Tadarth Shiksha Samiti, P S Khurd, Manpur
21	Lala Kumar Sada	Male	Headmaster, Govt. M S Bhedia Kala, Manpur
22	Vinod Paswan	Male	President, Tadarth Shiksha Samiti, M S Bhedia Kala, Manpur
23	Rinku Devi	Female	Secretary, Tadarth Shiksha Samiti, M S Bhedia Kala, Manpur

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24	Urmila Devi	Female	Member, TadarthShikshaSamiti, M S Bhedia Kala, Manpur
25	Ravindra Sao	Male	PrakhandShikshak, M S Bhedia Kala, Manpur
26	SurajdevManjhi	Male	PrakhandShikshak, M S Bhedia Kala, Manpur
27	Santosh Kumar	Male	Cluster Resource Centre Coordinator, Manpur Block
28	Aasha Deepak	Female	Para Teacher, P S Songra, Usri, Manpur
29	SamaParveen	Female	Para Teacher, P S Songra, Usri, Manpur
30	Radha Devi	Female	President, TadarthShikshaSamiti, P S Songra, Usri, Manpur
31	Kranti Devi	Female	Member, TadarthShikshaSamiti, P S Songra, Usri, Manpur

Jharkhand

Sl. No.	Name	Sex	Designation
1	Rashmi Birwa	Female	Programme Coordinator-Education, Save the Children, Jharkhand
2	MamtaKumari	Female	Programme Incharge – Community Development, JEPC (looking at SMCs)
3	TrilochanMahto	Male	Headmaster, Betlangi P S, Chanho
4	YuvrajYadav	Male	VEC President, Betlangi P S Chanho
5	Sikandar Ansari	Male	Para Teacher, P S Betlangi
6	Chango Devi	Female	Para Teacher, P S Betlangi
7	Kapoor Devi	Female	Cook, SaraswatiVahini, P S Betlangi
8	Vimla Devi	Female	Cook, SaraswatiVahini, P S Betlangi
9	Rameshwar Prasad	Male	Block Extension Education Officer, Chanho Block
10	Imtiaz	Male	Block Programme Officer, BRC Chanho
11	Nirmal Kumar	Male	Block Programme Officer, BRC Chanho
12	Vijay Shankar	Male	Block Coordinator- Inclusive Education, Chanho
13	Shaheed	Male	Headmaster, M S Sos, Chanho
14	ShamshedAlam	Male	President, SMC, M S Sos, Chanho
15	ShafeekAlam	Male	President, SMDC, Upg. M S Sos, Chanho
16	Md. AsadullahKashmi	Male	President, VEC, M S Sos, Chanho
17	Abdul Kayum	Male	Asst. Teacher, M S Sos, Chanho
18	AtikurRahman	Male	Parent
19	AfsanaParween	Female	Ward Member, Chanho
20	Ram Kishore Prasad	Male	Asst. Teacher, M S Sos, Chanho
21	Ram Shankar	Male	Asst. Teacher, M S Sos, Chanho
22	ShyamaCharanSinha	Male	Headmaster, Upg. M S Chanho Block
23	Shyam Narayan	Male	Asst. Teacher, Upg. M S Chanho Block
24	AsimaKhatoon	Female	President, SMC, Upg. M S Kanya, Murma
25	BirsaOraon	Male	President VEC, Upg. M S Kanya, Murma
26	SurajmaniKhalko	Female	Headmistress, Upg. M S Kanya, Murma

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27	SilsiliaEkka	Female	Asst. Teacher, Upg. M S KanyaMurma
28	ChariyaKujur	Female	Para Teacher, Upg. M S KanyaMurka
29	SibraOraon	Male	President, P S Deshwali, Chanho
30	JayantiEkka	Female	Secretary, SMC, P S Deshwali, Chanho

Odisha

Sl. No.	Name	Sex	Designation/Affiliation
1	DigantaMohanty	Male	CARE India, Odisha
2	Sraban Bag	Male	CARE India, Odisha
3	Anil Pradhan	Male	SikshaSandhan, Odisha
4	Deepak Rai	Male	Director Planning, OPEPA
5	Sushila Singh	Female	Ward Member, GB Nagar
6	Ranjita Singh	Female	SMC Member, Kaliyapada PUP School
7	Ashok Sahu	Male	SMC Member, Kaliyapada PUP School
8	Chandrasekhar Das	Male	HM, Kaliyapada PUP School
9	BhaskarchandraSahu	Male	Teacher, Kaliyapada PUP School
10	Sridhara Singh	Male	SMC Member, Kaliyapada PUP School
11	Mahendra Singh	Male	SMC president, Bhangachatu Primary School
12	SaraswatiBarile	Female	SMC Member, Bhangachatu Primary School
13	RatanjaliBehra	Female	Head Teacher , Bhangachatu Primary School
14	Kunja	Male	SMC Member, Bhangachatu Primary School
15	Rabindra C	Male	SMC Vice president, Bhangachatu Primary School
16	Savita Singh	Female	SMC Member, Bhangachatu Primary School
17	Suni Singh	Female	SMC Member, Bhangachatu Primary School
18	Sita Singh	Female	SMC Member, Bhangachatu Primary School
19	SukanliPatra	Female	SMC Member, Bhangachatu Primary School
20	Basanti Singh	Female	SMC Member, Damburudihi PUP School
21	Kanti Singh	Female	SMC Member, Damburudihi PUP School
22	Mammat Singh	Male	SMC Member, Damburudihi PUP School
23	Pitambar Singh	Male	SMC Member, Damburudihi PUP School
24	MihirNayak	Male	SMC Member, Damburudihi PUP School
25	Hemendra Singh	Male	HM, Damburudihi PUP School
26	BinaBanik	Female	SMC Member, Karanjsahi Primary School
27	LokhindarSahu	Male	SMC Member, Karanjsahi Primary School
28	PrabhakarnaNaik	Male	SMC president, Karanjsahi Primary School
29	BasantaPasa	Male	SMC Vice president, Karanjsahi Primary School
30	SankarsanNaik	Male	SMC Member, Karanjsahi Primary School
31	DasrathiHasda	Male	SMC Member, Karanjsahi Primary School
32	SavitriMonigiri	Female	Head Teacher , Karanjsahi Primary School
33	Prakash Chandra Dash	Male	CRCC, Khunta
34	Sarat Chandra	Male	BRCC/ABEO, Kunta
35	Basanta Kumar Dey	Male	CRCC, Khunta

Uttar Pradesh

Sl. No.	Name	Sex	Designation
1	Farrukh	Male	Program Coordinator Oxfam India -UP
2	Binod	Male	State convener –RTE
			Programme Officer - Essential Services Oxfam India
3	Anil	Male	RTE coordinator -- Vigyan Foundation
4	Guruprasad	Male	RTE coordinator -- Vigyan Foundation
5	SandeepKhare	Male	Secretary- Vigyan Foundation
6	Ashwin	Male	RTE coordinator-- Vigyan Foundation
7	Dr.ShubrhJyotsnaTripathi	Female	Deputy Project Director -SSA
8	DV Sharma	Male	APD-SSA
9	Sarita Singh	Female	SSA- RTE UNICEF
10	Rajesh	Male	Director – Lokmitra
11	Sanjay	Male	Coordinator –Lokmitra
12	Devendra Kumar Srivasthav	Male	District Coordinator -SSA
13	Vibha	Female	Ass.District Coordinator
14	Surendra Mishra	Male	Asst.District Coordinator
15	Sunil Kumar Yadav	Male	BRC- DeenshahGaura
16	Dr.RamKrupalia	Male	BRC- DeenshahGaura
17	Haresh Kumar	Male	BRC- DeenshahGaura
18	Rajvanth	Male	BRC- DeenshahGaura
19	Kamalesh	Male	Head teacher/CRP- Allawalpur UPS
20	Shashi	Female	Asst.Teacher –Allawalpur _UPS
21	Badalu	Male	Ex president of A llawalpur GP
22	Smt.Kamalesha	Female	President-SMC Allawalpur _UPS
23	Amar Bahaddur	Male	Member –SMC Allawalpur _UPS
24	RadeshShyam Mishra	Male	Head teacher – MelawaSahabGovt LPS
25	Shashi Singh	Female	Asst.Teacher- MelawaSahabGovt LPS
26	VishwanathTrivedi	Male	Husband of SMC president – MelawaSahabGovt LPS
27	Chotelal	Male	SMC Member - MelawaSahabGovt LPS

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28	Seema	Female	SMC Member – MelawaSahabGovt LPS
29	Dinesh	Male	SMC Member - BehikhoreGovt LPS
30	Ramesh Kumar	Male	SMC Member- BehikhoreGovt LPS
31	Radheshyam	Male	H.M- BehikhoreGovt LPS
32	Sanjeev	Male	Asst.Teacher –BehikhoreGovt LPS
33	Sangeetha	Female	Para Teacher
34	Ram SanjeevanYadav	Male	Head Teacher - BichhauraGovt LPS
35	Rathipal	Male	SMC member- BichhauraGovt LPS
36	Sarmresh	Male	SMC member- BichhauraGovt LPS
37	Radha Raman Srivastav	Male	HM & CRP- BhadokharGovt UPS
38	Anju Mishra	Female	Asst. Teacher BhadokharGovt UPS
39	Roopa Devi	Female	Asst. Teacher BhadokharGovt UPS
40	Lakshmi Devi	Female	Asst. Teacher BhadokharGovt UPS
41	Kesha Raj	Male	GP member Bhadokhar& member of SMC
42	Rajesh Kumar	Male	SMC Member - BhadokharGovt UPS
43	Ramchandar	Male	SMC Member - BhadokharGovt UPS
44	Shiva Prasad	Male	SMC Member - BhadokharGovt UPS
45	Ramkali	Female	SMC Member - BhadokharGovt UPS
46	Anita Devi	Female	SMC Member - BhadokharGovt UPS
47	Seema Devi	Female	SMC Member - BhadokharGovt UPS
48	Usha Devi	Female	SMC Member - BhadokharGovt UPS
49	Shabeer Mohammad	Female	SMC Member - BhadokharGovt UPS

Tools used for consultation and Data Collection



Centre for Budget & Policy Studies, Bangalore Community Engagement with Schools Study–2014

Tool A: For DIET lecturers, BRC/CRC coordinators / resource persons

1.0 Interview Details

A	Name of the Researcher	Date and time			
B	Respondent's information (number them in case of FGD or group Interview)	Name	Gender	Position (e.g., ZP president/ GP president/ BEO....)	Social group (SC / ST / OBC / Muslim / General)
C	State	District	Block/Taluk	Panchayat	

Instructions to the researcher

- This can be used as a guideline for individual or group interview, or Focus Group Discussions.
- Please record as stated for certain questions where it is specified. For details provided by respondents make notes in the space provided
- In case of FGD, ensure that the group is homogenous (e.g., only men or only women SMC members; only SMC members, only teachers) and modify your questions accordingly
- Make a separate note on the group dynamics of the FGD at the end, especially if you are not able to maintain the homogeneity. Who spoke? Were cliques evident? Were subgroups silent/ vocal? Etc.

- Probe related to section 5.0 in detail as these functionaries are closer to the functioning of the community structures and can be expected to reveal more about the actual working dynamics.
- Please collect training modules related to section 6.0

2.0 What are the officially mandated structures if not the SMC-your state?

A.		
B.		
C.		

3.0 What is the (actual) composition of this/these structure(s)?

		NUMBER								
		Total	men	women	SC	ST	OBC	Muslim	child	Ex-officio with designation (e.g. ANM /HM)
A.	SMC									
B	GP / VEC									
C.	Other (mention)									

D. If a reserved seat, especially for SC/ST and other such categories goes vacant, due to any reason, what is the process followed?

4.0 Which is the most important structure? Why

5.0 (Information regarding how informed the respondent is about the official guidelines for the mandated structure for community participation -read the options below, and tick appropriate option on the right and describe. Refer to the state-specific desk review matrix/RTE act to gauge appropriateness of answers, and note key points mentioned)

		1	2	3
A	Do you have functional BRC as per norm of 6+2 personnel?			
B	Do you have functional			

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	CRC/NPRC as per norms			
C	What are the operational guidelines/ SSA Framework guiding its formation?	the respondent is fully informed	the respondent is partially informed	the respondent doesn't know
D	Did the actual process of formation comply with the above? How/how not ?	yes	Partly	no
E	What are the roles specified under the state rules and other circulars for the SMC/officially mandated structure?	the respondent is fully informed	the respondent is partially informed	the respondent doesn't know
F	How do the actions undertaken for education by SMCs /officially mandated structure compare in relation to the role as defined on paper?	good conformity	moderate conformity	poor conformity
G	How frequently you make visits to provide support to schools and SMCs?			

5.0 How does this (most important one) structure engage in school management? (Ask about each question and complete the grid on the right). If other structures are important, please collect the same information (from question 5.1 to ...for those as well on a separate sheet.

5.1 (with regard to overall manner of functioning)

		SMC / GP / VEC /Other(s) Please circle one that is relevant	Why?*	How can it be improved?***
A	What is the frequency of meeting stated by the			

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	state rules of the state? How frequent are meetings?			
B	How regular is attendance by all members			
C	Who are the most active members?			
	Have you attended any SMC meeting i the current academic year?			
D	Who are the least active members?			
E	Has there been any change in participation over time? How/what has changed?			
F	Are there efforts to include the larger community in its work? What are the mechanisms for the same? Examples?			
G	Have needs been raised by the larger community at any time?What are the mechanisms for that? If yes, how were they responded to?			
H	Is there any known conflict-of-interest of any of the members?			
I	Which member/s has access to the finances/ signs the fund-related bank transactions?			

***Probe and explain with examples / additional information like frequencies, key events, anecdotal accounts that substantiate the respondent’s opinion.Note down the details here with reference to the Q (5.1) and section (A-I)**

****If necessary, note down the details here with reference to the Q (5.1) and section (A-I)**

j. What is the relationship and dynamics between different community based structures involved in school management (if applicable)?

k. Who is the designated local authority (LA)?

l. What is the relationship and dynamic between school based structure (e.g., SMC) and the elected Gram Panchayat (GP)?

m. What is the relationship and dynamic between this structure (e.g., SMC) and the school functionaries (teachers / others)?

n. What is the relationship and dynamic between training /technical support structure and administrative bodies at respective levels? This should be straight forward-

5.2 (How does this (most important one) structure engage with regard to monitoring school infrastructure)

		Good/ highly engaged	Moderate/ somewhat engaged	Poor/ not at all engaged	Why does the respondent say so? Substantiate with Examples*	How can it be improved**
A	monitoring of school infrastructure (in general)					
B	drinking water					
C	functional washrooms					
D	all weather building with adequate number of classrooms					
E	free transportation facility for children with disabilities					
F	providing residential facilities to students if applicable					

G	mid-day meal scheme implementation					
H	any other aspect (specify) covered by the RTE act or otherwise					

***Why does the respondent say so? Probe and explain with example of work undertaken/ what was planned but did not materialize/ issues not being addressed etc. Please provide reference to the Q 5.2 and section (A-H)**

****If necessary, note down the details here with reference to the Q (5.2) and section (A-H)**

5.3 (How does this (most important one) structure engage with regard to academic activities)

		Good/ highly engaged	Moderate/ somewhat engaged	Poor/ not at all engaged	Why does the respondent say so?*	How can it be improved?*
A	Academic activities (in general)					
B	mapping of children in the catchment area of the school & maintaining records					
C	preventing disability/caste/gender based discrimination & promoting positive action for inclusion					
D	facilitate/co-operate with submission of requisite forms and reports by the school to concerned authorities					
E	recruitment of teachers					
F	training of teachers					
G	monitoring of teachers					
H	any other aspect (specify) covered by the RTE actor otherwise					

***Why? Probe and explain with example of work undertaken/ what was planned but did not materialize/ issues not being addressed, etc. Please provide reference to the Q 5.3 and section (A-H)**

****If necessary, note down the details here with reference to the Q (5.3) and section (A-H)**

5.4 (How does this (most important one) structure engage with regard to financial activities)

		Good/ highly engaged	Moderate/ somewhat engaged	Poor/ not at all engaged	Why does the respondent say so?*	How can it be improved?* *
A	have complete and correct information on sources of funds					
B	engage in planning and budgeting for the SDP					
C	deploy the funds for intended purpose through transparent and accountable procedure					
D	monitor fund utilisation					

E. What are the sources of fund flow?

F. What is the process through which the funds are allocated to the designated body for community engagement?

G. Is there a separate and computerised bank account to facilitate allocation of funds?

H. Is the availability of funds enough to translate the planning related to school development into a reality? If not, how can this be improved?

***Why? Probe and explain with example of work undertaken/ what was planned but did not materialize/ issues not being addressed, etc.Please provide reference to the Q 5.4 and section (A-D)**

****If necessary, note down the details here with reference to the Q (5.4) and section (A-D)**

5.5 (How does this (most important one) structure engage with regard to grievance redressal. Eg: The state-specific RTE act often highlights that the SMC is the first point of grievance redressal for students/teachers, such as when free uniforms are not disbursed on time, quality of food in the mid-day meal is poor, or teachers are made to take-up non-academic activities.) What is the mechanism at the block/cluster level to collect the grievances from the SMCs?

A	Issue raised	1	2	3
B	By			
C	Manner of Resolution			
D	Respondents opinion of the manner of redressal			
E	How can issues addressed/effectiveness of redressal be improved?			

6.0 Details of training facilitated by you in the last two years (2012 and 2013) for this structure. (Add rows if necessary)

6.1 General information

	Name / Purpose of the training/focus	Number of days and year (e.g., 3 days 2012)	Number of participants for whom it was intended	Number of participants who attended (men / Women)		Modules used (collect the modules)	Source of funds and cost per participant
				Men	Women		
A							
B							

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C							
D							

6.2 Please describe the process followed for these training programmes – identification of participants, methods used, response, etc.

6.3 How was outcome of the training assessed? What have been the follow-up activities? (read out options below, and probe for details related to grid on the right)

		Follow-up activities: how was it done? By whom?	Impact – Good/moderate/none? Give examples to substantiate	Reasons for success / failure? Why good / moderate / bad?*
A	monitoring of school infrastructure			
B	academic activities			
C	Financial management of the school			
D	grievance redressal			

***Use this space for details, if necessary**

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6.4 Is there any training that you have undergone to strengthen your capacity to engage with the community structure (directly or indirectly)? (Focus, duration, dates, outcomes). How would you evaluate this capacity building process?

	Name / Purpose of the training/focus	Number of days and year (e.g., 3 days 2012)	Outcome (what did you gain?)	Evaluation (How do you rate this training?)
A				
B				
C				
D				

7.0 How would you describe and rate the process of development of the School Development Plan or SDP comparing schools in your cluster?

7.1 (probe in relation to)

		good SDP	Poor SDP
A	Forward linkages of the plans (SDPs),		
B	Extent to which plans (SDP) translate into financial allocations,		
C	Convergence of school planning (SDP) with mainstream		

planning mechanisms (such as GP's or SSA's at block/district level)		
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8.0 What is the extent and nature of participation of women in the SMC?

8.1 What is the extent and nature of participation of the dalits, adivasi, Muslim members in the SMCs? Children?

8.2 Are there any specific actions taken for inclusion of girls, dalits, Muslim and adivasis by SMCs /officially mandated structures?

9.0 In your opinion, how has school functioning or quality been affected by the devolution of powers to SMCs/ officially mandated structures?

10.0 What is the training that you have received to strengthen your capacity to engage with the community structure? (focus, duration, dates, outcomes). How would you evaluate this capacity building process?

11.0 Any other comment by respondent or the researcher

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**Tool B: For District Education Officer (varying nomenclatures) /
SSA officials at the district level / Block Education Officer (varying
nomenclatures) AND For Zilapanchayat Chief Executive Officer
(CEO)/ president/ members / Block panchayat members/
Gram Panchayat president**

2.0 Interview Details

A	Name of the Researcher	Date and time			
B	Respondent's information (number them in case of FGD or group Interview)	Name	Gender	Position (e.g., ZP president/ GP president/ BEO....)	Social group (SC / ST / OBC / Muslim / General)
C	State	District	Block/Taluk		Panchayat

Instructions to the researcher

- This can be used as a guideline for individual or group interview, or Focus Group Discussions.
- Please record as stated for certain questions where it is specified. For details provided by respondents make notes in the space provided
- Please modify the question as appropriate for various levels
- In case of FGD, ensure that the group is homogenous (e.g., only men or only women SMC members; only SMC members, only teachers) and modify your questions accordingly
- Make a separate note on the group dynamics of the FGD at the end, especially if you are not able to maintain the homogeneity. Who spoke? Were cliques evident? Were subgroups silent/ vocal? Etc.

2.0 What are the officially mandated structures that enable community participation in school management in your block/district?

A.	SMC	
B.	GP / VEC / Any other statutory body	
C.	Any other (like PTA/Mother's groups)	

3.0 What is the (actual) composition of this/these structure(s)?

		NUMBER								
		Total	men	women	SC	ST	OBC	Muslim	child	Ex-officio with designation (e.g. ANM /HM)
A.	SMC									
B.	GP / VEC									
C.	Other (mention)									

4.0 Which is the most important structure? Why

5.0 (Information regarding how informed the respondent is about the official guidelines for the mandated structure for community participation -read the options below, and tick appropriate option on the right and describe. Refer to the state-specific desk review matrix/RTE act to gauge appropriateness of answers, and note key points mentioned)

		1	2	3
A	What are the operational guidelines/ SSA Framework guiding its formation?	the respondent is fully informed	the respondent is partially informed	the respondent doesn't know
B	Did the actual process of formation comply with the above? How/how not ?	yes	partly	no
C	What are the roles specified under the state rules and other circulars for the SMC/officially mandated structure?	the respondent is fully informed	the respondent is partially informed	the respondent doesn't know
D	How do the actions undertaken for	good conformity	moderate conformity	poor conformity

	education by SMCs /officially mandated structure compare in relation to the role as defined on paper?			
--	---	--	--	--

5.0 How, in general, does this (most important one) structure engage in school management in your block/district? With regard to overall manner of functioning such as holding regular meetings, attendance of members, participation by members, issues that have been addressed? (Probe for examples)

5.1 Which SMC / GP / VEC /Other(s) are (a) better performing/ (b) non-performing as compared to others in your block/district? Why?

5.2 What is the relationship and dynamics between different community based structures involved in school management (if applicable)?

5.3 Who is the designated local authority (LA)?

5.4 What is the relationship and dynamic between school based structure (e.g., SMC) and the elected Gram Panchayat (GP)?

5.5. What is the relationship and dynamic between this structure (e.g., SMC) and the school functionaries (teachers / others)?

What do you think of the capacities of elected / selected members (To officials)?

What support / resistance you face from officials / HM (To elected members)?

5.6 What is the relationship and dynamic between this structure and the Local Authority (LA)/other bodies in the respective localities?

5.7 How do you think performance of non-performing structures be improved?

5.8 How do the community structures in your block/district engage with aspects related to monitoring (a) school infrastructure, (b) academic activities (c) financial management (d) grievance redressal (refer to the State matrix/RTE act) at the school level. What are some of the (i) good/ (ii) bad practices that have come to your notice?

5.9 (to respective LA at various levels) Have there been issues that have referred to you for resolution? What and how were they resolved?

6.0 Is there any training that you have undergone to strengthen your capacity to engage with the community structure (directly or indirectly)? (focus, duration, dates, outcomes). How would you evaluate this capacity building process?

	Name / Purpose of the training/focus	Number of days and year (e.g., 3 days 2012)	Outcome (what did you gain?)	Evaluation (How do you rate this training?)
A				
B				
C				
D				

7.0 How would you describe and rate the process of development of the School Development Plan or SDP comparing schools in your block/district? (Overall picture, examples of good/bad practice

7.1 (probe in relation to aspects below with regard to good/poor SDP)

		good SDP	Poor SDP
A	Forward linkages of the plans (SDPs),		
B	Extent to which plans (SDP) translate into financial allocations,		
C	Convergence of school planning (SDP) with mainstream planning mechanisms (such as GP's or SSA's at block/district level)		

8.0 What is the extent and nature of participation of women in the SMC? Any notable examples in high/low participation?

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8.1 What is the extent and nature of participation of the dalits, adivasi, Muslim members in the SMCs? Any notable examples in high/low participation?

8.3 Are there any specific actions taken for inclusion of girls, dalits, Muslim and adivasis by SMCs /officially mandated structures? Any notable examples in high/low participation?

9.0 In your opinion, how has school functioning or quality been affected by the devolution of powers to SMCs/ officially mandated structures? Has anything changed markedly for any school in your block/district?

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**Tool C: For SMC/VEC/PTA/other similar Community based
Education-structure members and HM/ Teacher member**

3.0 Basic Details

A	Name of the Researcher	Date and time			
B	Respondent's information (number them in case of FGD)	Name	Gender	Position (e.g., SMC president/ SMC member / SMC teacher member..)	Social group (SC / ST / OBC / Muslim / General)
C	State	District	Block/Taluk	Panchayat	

Instructions to the researcher

- This can be used as a guideline for individual or group interview, or Focus Group Discussions.
- Please record as stated for certain questions where it is specified
- For details provided by respondents make notes in the space provided
- In case of FGD, ensure that the group is homogenous (e.g., only men or only women SMC members; only SMC members, only teachers) and modify your questions accordingly
- Make a separate note on the group dynamics of the FGD at the end, especially if you are not able to maintain the homogeneity. Who spoke? Were cliques evident? Were subgroups silent/ vocal? Etc.

2.0 What are the officially mandated structures that enable community participation in school management in the locality where you work?

A.	SMC	
B.	GP / VEC / Any other statutory body	
C.	Any other (like PTA/Mother's groups)	

3.0 What is the (actual) composition of this/these structure(s)?

		NUMBER								
		Total	Men	women	SC	ST	OBC	Muslim	child	Ex-officio with designation (e.g. ANM /HM)
A.	SMC									
B	GP / VEC									
C.	Other (mention)									

D. If a reserved seat, especially for SC/ST and other such categories goes vacant, due to any reason, what is the process followed?

4.0 Which is the most important structure? Why

5.0 (Information regarding how informed the respondent is about the official guidelines for the mandated structure for community participation -read the options below, and tick appropriate option on the right and describe. Refer to the state-specific desk review matrix/RTE act to gauge appropriateness of answers, and note key points mentioned)

		1	2	3
A	What are the operational guidelines/ SSA Framework guiding its formation?	the respondent is fully informed	the respondent is partially informed	the respondent doesn't know
B	Did the actual process of formation comply with the	yes	partly	No

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	above? How/how not ?			
C	What are the roles specified under the state rules and other circulars for the SMC/officially mandated structure?	the respondent is fully informed	the respondent is partially informed	the respondent doesn't know
D	How do the actions undertaken for education by SMCs /officially mandated structure compare in relation to the role as defined on paper?	good conformity	moderate conformity	poor conformity

5.0 How does this (most important one) structure engage in school management? (Ask about each question and complete the grid on the right). If other structures are important, please collect the same information (from question 5.1 to ...) for those as well on a separate sheet.

5.1 (with regard to overall manner of functioning)

		SMC / GP / VEC /Other(s) Please circle one that is relevant	What is the basis for this answer?	How can it be improved?***
A	How many should be in one academic year as per state rule? How frequent are meetings?		(SMC meeting minutes?)	
B	How regular is attendance by all members			
C	Who are the most active members?			
D	Who are the least			

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	active members?			
E	Has there been any change in participation (esp. of women / disadvantaged group members) over time? How/what has changed?			
F	Are there efforts to include the larger community in its work? What are the mechanisms, if any? Examples?			
G	Have needs been raised by the larger community at any time? What are the mechanisms for this purpose? If yes, how were they responded to?			
H	Is there any known conflict-of-interest of any of the members? This is too broad!			
I	Which member/s has access to the finances/ signs the fund-related bank transactions?			

***Probe and explain with examples / additional information like frequencies, key events, anecdotal accounts that substantiate the respondent’s opinion. Note down the details here with reference to the Q (5.1) and section (A-I)**

****If necessary, note down the details here with reference to the Q (5.1) and section (A-I)**

J. What is the relationship and dynamics between this structure and the other community structures involved in school management (if applicable)

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K. Who is the designated local authority (LA)?

K.1 What is the relationship and dynamic between this structure (e.g., SMC) and the Gram Panchayat (GP)?

L. What is the relationship and dynamic between this structure (e.g., SMC) and the school functionaries (teachers / others)?

What do you think of the capacities of elected / selected members (To teachers)?

What support / resistance you face from teachers / HM (To elected / selected members)?

5.2 (How does this (most important one) structure engage with regard to monitoring school infrastructure)

		Good/ highly engaged	Moderate/ somewhat engaged	Poor/ not at all engaged	What is the basis for this answer?Substantiate with Examples*	How can it be improved**
A	monitoring of school infrastructure (in general)					
B	drinking water					
C	functional washrooms					
D	all weather building with adequate number of classrooms					
E	free transportation facility for children with disabilities					
F	providing residential facilities to students					
G	mid-day meal scheme implementation					
H	any other aspect (specify) covered by the RTE act or otherwise					

***What is the basis for this answer? Probe and explain with example of work undertaken/ what was planned but did not materialize/ issues not being addressed etc. Please provide reference to the Q 5.2 and section (A-H)**

**** If necessary, note down the details here with reference to the Q (5.2) and section (A-H)**

5.3 (How does this (most important one) structure engage with regard to academic activities)

		Good/ highly engaged	Moderate/ somewhat engaged	Poor/ not at all engaged	What is the basis for this answer?	How can it be improved? **
A	Academic activities (in general)					
B	mapping of children in the catchment area of the school & maintaining records					
C	preventing disability/caste/gender based discrimination & promoting positive action for inclusion					
D	facilitate/co-operate with submission of requisite forms and reports by the school to concerned authorities					
E	recruitment of teachers					
F	training of teachers					
G	monitoring of teachers					
H	any other aspect (specify) covered by the RTE actor otherwise					

***Why? Probe and explain with example of work undertaken/ what was planned but did not materialize/ issues not being addressed, etc. Please provide reference to the Q 5.3 and section (A-H)**

**** If necessary, note down the details here with reference to the Q (5.3) and section (A-H)**

5.4 (How does this (most important one) structure engage with regard to financial activities)

		Good/ highly engaged	Moderate/ somewhat engaged	Poor/ not at all engaged	What is the basis for this answer?	How can it be improved? **
A	have complete and correct information on sources of funds					
B	engage in planning and					

	budgeting for the SDP					
C	deploy the funds for intended purpose through transparent and accountable procedure					
D	monitor fund utilisation					

E. What are the sources of fund flow?

F. What is the process through which the funds are allocated to the designated body for community engagement?

G. Is there a separate and computerised bank account to facilitate allocation of funds?

H. Is the availability of funds enough to translate the planning related to school development into a reality? If not, how can this be improved?

***Why? Probe and explain with example of work undertaken/ what was planned but did not materialize/ issues not being addressed, etc. Please provide reference to the Q 5.4 and section (A-D)**

**** If necessary, note down the details here with reference to the Q (5.4) and section (A-D)**

5.5 (How does this (most important one) structure engage with regard to grievance redressal.Eg: The state-specific RTE act often highlights that the SMC is the first point of grievance redressal for students/teachers, such as when free uniforms are not disbursed on time, quality of food in the mid-day meal is poor, or teachers are made to take-up non-academic activities.)

A	Issue raised	1	2	3
B	By			
C	Manner of Resolution			

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D	Respondents opinion of the manner of redressal			
E	How can issues addressed/effectiveness of redressal be improved?			

6.0 Details of training received in the last two years (2012 and 2013) for this group of respondents. (Add rows if necessary)

6.1 General information

	Name / Purpose of the training/focus	Number of days and year (e.g., 3 days 2012)	Number of participants for whom it was intended	Number of participants who attended	Conducted by	Participants opinion evaluation of the training (what was useful? What can be improved?)
A						
B						
C						

6.2 How was outcome of the training assessed, if assessed? What have been the follow-up activities, if any? How has training imparted to you addressed SMC's (or relevant structure's) ability specifically with respect to the following (read out options below, and probe for details related to grid on the right)

		Follow-up activities: how was it done? By whom?	Impact – Good/moderate/none? Give examples to substantiate	Reasons for success / failure? Why good / moderate / bad?*
A	monitoring of school infrastructure			

B	academic activities			
C	Financial management of the school			
D	grievance redressal			

***Use this space for details, if necessary**

7.0 How would you describe and rate the process of development of the School Development Plan or SDP in your school (or schools in the case of village-level VEC)?

7.1 (probe in relation to)

A	Forward linkages of the plans (SDPs),	
B	Extent to which plans (SDP) translate into financial allocations,	
C	Convergence of school planning (SDP) with mainstream planning mechanisms (such as GP's or SSA's at block/district level)	

7.2 What were the specific problems related to the above and how can those be solved?

8.0 what is the extent and nature of participation of women in the SMC? Explain.

8.1 What is the extent and nature of participation of the dalits, adivasi, Muslim members in the SMCs? Explain.

8.2 Are there any specific actions taken for inclusion of girls, dalits, Muslim and adivasis by SMCs /officially mandated structures?

9.0 In your opinion, how has school functioning or quality been affected by the devolution of powers to SMCs/ officially mandated structures?

10.0 Any other comment by respondent or the researcher

10.0 Any other comment by respondent or the researcher



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Tool D: School Data Schedule, Observation Checklist and Interview Schedule

School Details

A	Name of the Researcher	Date and time		
B	Name of the School			
C	State	District	Block/Taluk	Panchayat

TOOL 1: DATA FROM SCHOOL RECORDS/FACTS

PART A: GENERAL PROFILE OF THE SCHOOL

1. Year of Establishment

2. Enrolment Details (collect from grade I to the last class taught in that school)

	Girls	Boys	Total
Grade 1			
2			
3			
4			
5			
6			
7			
8			

9			
10			

3. What are the school timings?

PART B: QUALITY OF HUMAN RESOURCE

1. Teaching Staff profile

Name Teachers	Age	Sex	No. of years in this school	No. of years in profession	Highest academic qualification (BA/MSc etc)	Professional qualification (TTC/Bed)	Subjects taught	Community	nature of employment (contract / permanent, etc.)	nature of engagement (full time / part time)	salary

PART C: QUALITY OF TEACHING/LEARNING PROCESS

1. Observations from students’ attendance register

- a. Register Complete / Not complete (filled till date / yesterday is complete)
- b. High absenteeism present (more than 5 days in a row for any one student with no reason assigned, more than once)

2. Observations from teachers’ attendance register

- a. Complete / Not complete (filled till date / yesterday is complete)
- b. High absenteeism present (more than 5 days in a row for any one teacher with no reason assigned, more than once)

TOOL 2: GENERAL OBSERVATION CHECKLIST

PART A: PHYSICAL INFRASTRUCTURE

1. School building
 - 1) Pucca structure
 - 2) Kutcha structure
 - 3) Part pucca and part kutcha
 - 4) No building
 - 5) Other

2. Number of class rooms

3. Is there one classroom per class/division?
 - 1) Yes
 - 2) No
 - 3) Partly yes and partly no (details).....

4. Compound Wall
 - 1) Yes
 - 2) No
 - 3) Yes, but.....
 - 4) Other

5. Presence of Toilets
 - 1) Separate toilets for boys and girls
 - 2) Common toilets
 - 3) Toilets for staff only
 - 4) No toilets
 - 5) Other

6. Functionality of toilets
 - 1) Yes
 - 2) NoNotes:

7. Running water in the toilets
 - 1) Yes
 - 2) No
 - 3) Alternate arrangement
 - 4) Other

8. Availability of drinking water
 - 1) Yes, from tap with visible water purifier/ filter

- 2) Yes from tap with no purifier/filter
- 3) Yes, from earthen jar/ boiled water/ stationary filter
- 4) No
- 5) Other

9. Playground

- 1) No playground
- 2) Open ground with some play equipment
- 3) Open ground with concrete/ tiles and some play equipment
- 4) Open ground with no play equipment
- 5) Open ground with concrete/ tiles and no play equipment
- 6) Any other

10. Is there a kitchen shed?

- 1) Yes
- 2) No

11. Is there a library in the school?

- 1) Yes
- 2) No

12. Observations about the library

- 1) Number of books
- 2) Age-appropriate materials for every class yes/ no
- 3) Seating accommodates how many? Quality? (describe)

- 4) Lighting(describe)

- 5) Ventilation (describe)

13. Does the infrastructure/school policy facilitate inclusion of children with special needs?

- 1) Yes
 - i. Ramps
 - ii. Special toilets
 - iii. Special needs room/teacher
 - iv. Such children are already part of the student body
- 2) No

14. Does the school provide any transport for students?

- 1) Yes

- i. School busses.....
 - ii. School vans.....
- 2) No

TOOL 3: CLASSROOM OBSERVATIONS (Any one or two class to be observed during the visit)

PART A: GENERAL

1. Class being observed
2. Subject being taught
3. What is the Teacher Pupil Ratio (TPR) in the class?(RTE norm is 1:30 for Grade 1-V, 1:35 for Grade V-VIII,)
 - 1) Within the norm
 - 2) Exceeds the norm
4. Boys: girls ratio
5. The seating arrangement was
 - 1) By rank/grade
 - 2) Sex segregated
 - 3) Boys and girls interspersed
 - 4) Any other (depict using a sketch below)
6. Classroom seating
 - 1) Benches and desks for students
 - 2) Seating on the floor
 - 3) Any other
7. Amenities/ equipment in the classroom
 - 1) blackboardyes/no
 - 2) chalk and duster.....yes/no
 - 3) adequate ventilation.....yes/no
 - 4) adequate lighting.....yes/no
 - 5) ceiling fan(s).....yes/no
 - 6) wastepaper basket.....yes/no
 - 7) charts and TLM.....yes/no
 - 8) any other.....

PART C: EQUITY DIMENSION

1. Is there any kind of segregated seating in class?
 - 1) Yes
 - 2) No
 - 3) Can't say

2. Does school provide midday meals to students?
 - 1) Yes
 - 2) No

3. Was any kind of work set aside for some children (by gender/ non-visible marker) only? (eg: cleaning the classroom, fetching things for the teacher)
 - 1) Yes
 - 2) No
 - 3) Can't say

TOOL 4: HM/TEACHER INTERVIEW/FGD

1. How will you describe SMC / MG / VEC engagement with school activities? What has been their contribution?

(Probe the following – insist on examples – note down the details, take photographs if necessary)

- I. In enrolment
- II. In attendance
- III. In arranging escort / transport for students with disabilities / other disadvantage
- IV. In preventing drop out
- V. In improving infrastructure
- VI. In midday meal
- VII. In ensuring entitlement to free uniforms / books /others
- VIII. In providing teaching learning materials
- IX. In teacher monitoring
- X. In fund generation
- XI. In academic activities
- XII. In special training
- XIII. In preparing School Development Plan
- XIV. In maintaining accounts
- XV. In grievance redressal for teachers / parents / students
- XVI. In engaging with the community

- XVII. In coordinating with GP
- XVIII. In child census
- XIX. In coordinating with higher authorities for ensuring proper school functioning
- XX. Any other

2. How will you describe:

SMC's capacity to handle the responsibilities

The SMCs overall manner of functioning

		Details	Why?*	How can it be improved? **
A	How frequent are meetings?			
B	How regular is attendance by all members			
C	Who are the most active members?			
D	Who are the least active members?			
E	Has there been any change in participation over time? How/what has changed?			
F	Are there efforts to include the larger community in its work? What are the mechanisms for the same? Examples?			
G	Have needs been raised by the larger community at any time? What are the mechanisms for that? If yes, how were they responded to?			
H	Is there any known conflict-of-interest of any of the members?			
I	Which member/s has access to the finances/signs the fund-related			

	bank transactions?			
J	Interpersonal dynamics within the SMC that promote/impede its functioning			
K	Relationship between yourselves (school functionaries) and the SMC			

***Probe and explain with examples / additional information like frequencies, key events, anecdotal accounts that substantiate the respondents' opinion. Note down the details here with reference to the appropriate section.**

Responsibility of PRIs with regard to different aspects of education in the 5 study-sates

	State	Gram Panchayat	Block (PanchayatSamiti)	ZillaPanchayat / Prishad
1	Andhra Pradesh	--	Management of elementary and higher elementary school, establishment of adult education centres and literacy centres (MandalPrajaParishad)	To establish, maintain and expand secondary, vocational and industrial school (ZillaPrajaParishad)
2	Bihar	Primary Education	i. Maintenance, management and improvement of elementary schools ii. Regulation and expansion of elementary education	To establish, maintain and expand, vocational and industrial schools
3	Jharkhand	Directorate of Primary Education, Government of Jharkhand, proposes a Gram ShikshaAbhiyan with Gram ShikshaSamitis (*Pratichi Study) under the aegis of the Panchayat	--	--
4	Odisha	Primary Schools (under obligatory functions), adult education	Planning, execution and supervision of primary education	--
5	Uttar Pradesh	Establishment of primary schools	Establishment and maintenance of primary schools (KshetraSamiti)	Construction and maintenance of schools above primary stage, and up to junior high schools, libraries etc.

Source: Jain, S P (2003), p.83, Decentralisation, Panchayati Raj and Education In Tilak, J B G (ed.) Education, Society and Development, New Delhi: NIEPA, pp.73-90