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UNDP is the UN's global development network, advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. UNDP is on the ground in 135 developing countries, working with them on their own solutions to global and national development challenges.

Editors: Phil Matsheza, Anga R Timilsina and Aida Arutyunova
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Over the past decade, impressive progress has been made towards meeting the global commitments outlined in the Millennium Development Goals (MDGs). Legal frameworks, systems and processes are in place, and aggregate public spending on social services such as education, health, water and sanitation has increased in many countries. However, disaggregated data on MDG achievements present a picture of uneven progress across regions, between and within countries.

The reason for insufficient progress is not just due to a failure to address entrenched disparities and inequalities or the lack of financial resources generated within and/or flowing to developing countries, but also from the major bottlenecks such as systemic corruption that result in diversion of valuable resources. The poor and vulnerable sections of the society are ultimately the ones to suffer the consequences of corruption.

The outcome document of the 2010 MDGs Review Summit has identified corruption as the major barrier for achieving the MDGs. It calls for decisive steps to be taken to combat corruption in all its manifestations. This requires an understanding on how corruption manifests itself and where corruption risks exist in different sectors, in order to devise strategies to address the underlying governance and anti-corruption bottlenecks impeding MDG progress.

This UNDP-sponsored study presents methods, tools and good practices to map corruption risks, develop strategies and sustain partnerships to address challenges and tackle corruption in the education sector. It complements UNDP's MDG Acceleration Framework (MAF), which has been endorsed by the UN Development Group and enables governments and development partners, within established national processes, to identify and systematically prioritize the bottlenecks to progress toward achieving the MDGs, and then devise ways to overcome them.

The study brings together UNDP's efforts to support countries to develop frameworks to accelerate their efforts to meet the MDGs, as well as successfully meet the commitments of the UN Convention against Corruption. It also specifically takes forward UNDP's agenda to develop sectoral approaches to address corruption in different sectors.

While all the MDGs are interlinked and the achievement of one has an impact on the achievement of others, it is widely recognized that meeting the education goal is critical for reducing poverty, empowering women, and improving health, sanitation and environment targets.

This study is the first of its kind to review and map existing literature, methods, tools and initiatives in tackling corruption in the education sector. Most importantly, it highlights growing interest, across regions and among citizens, in improving access to quality education - possibly due to the increasing value placed on education as a key for individual and societal development. The study presents concrete evidence for building multi-stakeholder partnerships, including with direct beneficiaries of public education sector, to address corruption in the education sector.



FOREWORD

We sincerely hope that this study will inspire further analysis of the corruption risks in the education sector at a country level. We also expect that the methods, approaches and good practices presented in this study will serve as a useful resource for building sustainable partnerships to develop and implement country-level anti-corruption interventions to promote accountability and improve efficiency in service delivery.

Sincerely,

A handwritten signature in black ink, reading "Geraldine J. Fraser-Moleketi".

Geraldine Fraser-Moleketi
Director, Democratic Governance Group
Bureau of Development Policy, UNDP

A handwritten signature in black ink, reading "Selim Jahan".

Selim Jahan
Director, Poverty Reduction Group
Bureau of Development Policy, UNDP



| | |
|-------|---|
| CEF | Commonwealth Education Fund |
| CSO | Civil society organization |
| DFID | UK Department for International Development |
| EFA | Education for All |
| EMIS | Education management information system (see Glossary) |
| GIZ | Deutsche Gesellschaft für Internationale Zusammenarbeit (formerly, GTZ: German Technical Cooperation) |
| IMF | International Monetary Fund |
| IT | Information technology |
| MDG | Millennium Development Goal |
| MTEF | Medium-term expenditure framework |
| NGO | Non-governmental organization |
| NORAD | Norwegian Agency for Development Cooperation |
| PETS | Public expenditure tracking survey |
| PTA | Parent-teacher association |
| SMC | School management committee |
| SWAp | Sector-wide approach |
| TI | Transparency International |
| TMIS | Teacher management information system (see Glossary) |
| UNDP | United Nations Development Programme |
| UPE | Universal primary education |
| USAID | United States Agency for International Development |



EXECUTIVE SUMMARY

Commissioned by UNDP in 2010, this is a report of the findings of a desk review of approaches, tools and methods to tackle corruption in the education sector. The aim is to assist in identifying the conditions for good practices and their replication.

Most of the documents reviewed pertained to the formal public education sector, covering primary, secondary and post-secondary education, including reports of anti-corruption interventions from a range of agencies, academic papers and manuals and guidelines from agencies and civil society organizations (CSOs). The review did not consider broader governance initiatives at macro or national level or explore the special circumstances of post-conflict and fragile states.

The report begins with a review of some of the international contexts and categories of corruption risks that have framed anti-corruption work in education. The report then focuses on four main categories of interventions drawn from a review commissioned by the Norwegian Agency for Development Cooperation (NORAD):¹

- rule of law (control and sanction);
- public administration and systems (corruption prevention);
- transparency and accountability (duty bearers and rights holders, non-state actors, information, awareness); and
- capacity development (individual, organizational and institutional capacity-building).

Rule of law

Although anti-corruption laws do not always directly address the education sector and their administrative agencies might have little connection with line ministries, the legislative framework is a necessary condition to tackle corruption and an indication of government willingness to do so. The lack of sanction, however, is highlighted in the literature.

In many countries codes of conduct for educational staff have been revised or established in recent years to improve professional behaviour and performance and tackle particular issues of absenteeism, private tuition and sexual harassment. The need for consultation, involvement of teacher unions, effective dissemination and enforcement mechanisms has been acknowledged.

Public administration and systems

Better financial systems. Strengthening financial management has been particularly supported by donors, including through the introduction of medium-term expenditure frameworks (MTEFs) and associated mechanisms. Where macro-level budget transparency procedures are in place, oversight of spending at lower levels is critical. Improved electronic systems for reconciliation of expenditures and reporting are important to allow data to be shared and inspected.

1 NORAD (2008). 'Anti-corruption approaches: a literature review'.



Disbursement of school grants has received increased international attention in the context of decentralisation. The literature reports a range of experiments to manage school grants, from the use of a third party agency to the generalisation of school bank accounts and more robust practices around returns and liquidations. Information transparency is a critical measure, particularly concerning the funding formulae and disbursement procedures of grants.

Independence and externality. Audit and other external oversight bodies have a potential role in exposing cases of corruption in education. Their independence, level of authority to investigate cases, and reporting lines to elected Parliaments and the judiciary are vital. Overburdened, these bodies often struggle to undertake sustained sectoral investigations, especially when more financial responsibilities are shifted to lower administrative levels.

The creation of external bodies to handle the allocation of specific allowances such as scholarships, to supervise university admissions and entry examinations, or to oversee teachers' examination and appointments has resulted in corruption deterrence for these specific risk areas. The increased role of parents in school management might prevent some corrupt practices around schools, but there are important issues about their capacity and readiness.

IT systems. Robust information systems and the use of information technology (IT) in the areas of teacher registration and management, examination and access to university have proven efficient in some countries with regard to addressing challenges such as ghost teachers, patronage/rent-seeking in career progression and plagiarism.



UN Photo/Eskinder Debebe



EXECUTIVE SUMMARY

Transparency and accountability

Advocacy and awareness raising anti-corruption campaigns are often complementary measures to education reform processes.

Anti-corruption education. The education sector has proved to be a useful entry point for anti-corruption education, be it delivered through projects or embedded in curricula. Measuring the results of such interventions presents methodological challenges, although it is understood that they are part of longer-term strategies to change both perceptions and behaviour.

Open and transparent procurement processes are explored in the literature, particularly around the development of integrity pacts between suppliers and commissioners.



UN Photo/Milton Grant

Participatory monitoring and social accountability initiatives have been flourishing in the past decade. Such initiatives include the enhanced role of school management committees in monitoring the disbursement of school grants to budget tracking and monitoring interventions undertaken by community members, sometimes children, which are coordinated by CSOs at school level. Scorecard methodologies have been helpful in raising local awareness on service delivery issues and identifying corruption risks.

Information and the use of media, building on information laws and free access to public information, have helped reduce leakages, particularly around school grants.

Accountability mechanisms around teacher absenteeism, including community monitoring and other initiatives such as the use of incentives in curbing the phenomenon, have also been researched in some countries.

Surveys. Public expenditure tracking surveys and quantitative service delivery surveys are two common diagnostic tools used in the education sector. Although they have contributed to the identification of leakages and corruption areas, they remain expensive exercises that provide limited understanding of the socio-political contexts within which corruption happens and contribute little to the elaboration of consensual solutions to tackle corruption.



Capacity development

Documented initiatives include organizational and individual capacity-building as part of large or specific technical assistance projects complementing donor sector support and Education for All's Fast Track Initiative funds. Training of parliamentarians on education budgeting and among parents and school management committees on basic budgeting and school management procedures are deemed useful.

The literature specifically addressing anti-corruption in the education sectors is thin, with comprehensive case studies repeatedly cited but overall few documented examples of good anti-corruption practices (including methods and tools) in the education sector. Given this limited background, this study tries to define what a good anti-corruption practice in the education sector should look like (please see the TOR in the annex).

The other major finding of this study is that national initiatives by governments and CSOs are rarely disseminated when international agencies are not involved. The description of approaches and tools too often lacks analysis of the national education and broader political and social context within which they happen and of parallel or preparatory work that has contributed to their implementation. This limits opportunities to identify enabling and constraining factors that would inform the replication or the generalisation of such initiatives. Most anti-corruption approaches in the sector have not been independently evaluated or only as part of broader large-scale sectoral evaluations. This suggests the need for more focused research and analyses of anti-corruption initiatives in the education sector.



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW



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1.1 About this report

This report is the result of a desk review of approaches, tools and methods to tackle corruption in the education sector undertaken in August and September 2010. Commissioned by the UNDP Global Thematic Programme on Anti-Corruption for Development Effectiveness (PACDE), it is one of three such sector studies—the other two focusing on the health and water sectors. The review aims to inform a series of regional/national studies on anti-corruption practices in the education sector and to inform an analysis of the drivers and conditions for good practice and their replication.

1.2 Methodology and scope of report

Research for the report included a desk review of documents, including reports of anti-corruption interventions, academic papers and others, and consultations with an expert group.



The document review included methodologies and anti-corruption initiatives within the education sector, with the term 'education sector' meant to include primary,² secondary and post-secondary education in the formal and informal, public and private sectors.³ Most of the material reviewed pertained to the formal public sector because it has been the main focus of development regarding the Millennium Development Goals (MDGs). Moreover, although the emphasis is on the MDGs, and therefore mostly on primary education, the review encompasses methods and approaches used at secondary and tertiary level.

The review does not consider initiatives that have sought to improve governance at macro or national level, such as improved procurement laws or national anti-corruption agencies, which normally result from separate legislation or regulation without sector-specific focus. The review does, however, consider national level initiatives that have taken specific steps to address corruption in education, including sector-specific responses to overarching corruption legislation, for example.

The review does not seek to explore the special circumstances of post-conflict and fragile states in which the focus is on developing the organizational and institutional capacity to deliver education.

No time period was specified for the review, but in the end little material dating from before 2000 was identified in the documentation; this alone underscores how the area of study and discussion has grown since then.

1.2.1 Analysis and organization of documentation reviewed

Types of documents

The documents gathered fall into four main categories:

- reports and studies from multilateral and bilateral agencies, UN agencies, foundations, funds and NGOs,
- academic and research papers,
- presentations from a range of agencies, and
- manuals and guidelines from agencies and civil society organizations (CSOs).

Annex 2 lists all main references.

Categorization

The documents were categorised using two dimensions: categories of anti-corruption approaches and education sector. Each is discussed below.

2 Early childhood education is not within the scope of this review.

3 Potentially relevant documentation was collected and catalogued taking advantage of several 'consolidating' websites (listed in Annex 2). This step and follow-up of primary references in key publications have provided around 100 documents that include academic papers, agency strategies, methods and practices, and experiences reported from specific projects or countries.



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW

Dimension 1: categories of anti-corruption approaches

Different categorisation systems of approaches and tools are used by different agencies, mostly articulated around the concepts of integrity, transparency, capacity, participation and accountability. For the purpose of this study the authors have adopted the classification used in a literature review commissioned by the Norwegian Agency for Development Cooperation (NORAD),⁴ which sought to synthesise and rationalise the range of analytical tools in the literature into the following four main categories:

- **rule of law (control and sanction);**
- **public administration and systems (corruption prevention);**
- **transparency and accountability (duty bearers and rights holders, non-state actors, information, awareness); and**
- **capacity development⁵ (individual, organizational and institutional capacity-building).**

Types of interventions were defined according to the description of approaches in the documentation. The terms below therefore span the tools and approaches found in the literature and arose from a heuristic list from the review. They are organized in Table 1 below according to the above broad categories. Some documented interventions combine action in several of these areas.

Table 1: Categorization of anti-corruption approaches in education sector

| Rule of law | Public administration and systems | Transparency and accountability | Capacity development |
|---|---|---|---|
| Policy Legislation Codes of conduct | <ul style="list-style-type: none">■ Whistle-blower/ complaint procedures■ Innovations addressing teacher absenteeism■ Systems' improvement – finances and accounts■ Systems' improvement – independence and externality■ Systems' improvement – technologies■ Systems' improvement – open procedures | <ul style="list-style-type: none">■ Public expenditure tracking surveys (PETS), service delivery and other surveys■ Information – use of the media and information technology■ Information – systems■ Participatory monitoring and social accountability■ Partnerships and alliances■ Anti-corruption education (in education or about the education sector)■ Advocacy and awareness-raising campaign■ Women's participation | <ul style="list-style-type: none">■ Institutional reforms■ Organisational development■ Training |

⁴ NORAD (2008). 'Anti-corruption approaches: a literature review'.

⁵ NORAD used the term 'capacity-building', but in keeping with recent practice the authors use 'capacity development' instead.

1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW



Dimension 2: Education sector

Many interventions and approaches, especially those driven by general good governance concerns, cover more than one education area. The categorisation is shown schematically in Table 2 below, although some details are omitted for clarity.

Table 2. Categorisation framework: Anti-corruption interventions

| Education areas | Rule of law | | | Public admin and systems | | | Transparency and accountability | | | Capacity development | | |
|---|-------------|-------------|------------------|---------------------------------------|-------------------------------------|----------------------|---------------------------------|--------------------------|------|-----------------------|----------------------------|----------|
| | Policy | Legislation | Codes of conduct | Whistle-blower/ complaints procedures | Innovations for teacher absenteeism | Systems improvements | PETS and other surveys | Participatory monitoring | etc. | Institutional reforms | Organisational development | Training |
| Education finance (school level upwards) | | | | | | | | | | | | |
| Procurement (textbooks, infrastructure, etc.) | | | | | | | | | | | | |
| Teacher certification, recruitment and deployment | | | | | | | | | | | | |
| Institution accreditation | | | | | | | | | | | | |
| Information systems | | | | | | | | | | | | |
| Allocation of specific allowances | | | | | | | | | | | | |
| School grants | | | | | | | | | | | | |
| School management (general) | | | | | | | | | | | | |
| School personnel behaviour | | | | | | | | | | | | |
| Education aid | | | | | | | | | | | | |
| Examinations, diplomas, access to university | | | | | | | | | | | | |



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW

1.2.2 Limitations

The literature specifically addressing anti-corruption initiatives in the education sector is thin (especially in comparison with analyses of corruption risks). While there are comprehensive case studies, and these are repeatedly cited, there remain few documented examples of methods or tools from which to generalise.

There is of course a recognised difficulty in finding quantitative information about corruption and its impact, and about anti-corruption measures and their impact. However, this apparent shortage of evidence concerning methods and tools in the education sector suggests the need for more research and analyses of anti-corruption initiatives. Other notable limitations include the following:

Independent initiatives. The document search found few reports of national initiatives by governments or CSOs other than those that have been reported and disseminated by international agencies. Small, technical anti-corruption measures, such as changing the recruitment procedures for teachers, would be of particular interest to this study, but documentation to the necessary level of detail is not widely available.

Context. The description of anti-corruption approaches and tools in the available literature too often lacks analysis of the national educational context within which they happen. Variances in the level of decentralisation, arrangements for teacher management and resource provision provide substantially different opportunities or incentives for corruption. Parallel or preparatory initiatives that have contributed to the anti-corruption work need to be identified. Without them it is difficult to analyse the enabling and constraining factors that would inform further research or replication of the initiatives.⁶

Evaluations and impact assessment. The majority of anti-corruption approaches and tools that have been used in the education sphere have not been the object of specific independent evaluations. Rather, they have been included as one of the many interventions of education programmes in large-scale evaluations, which means there are limited opportunities to learn from their specificities and effectiveness. As a result, there are few comprehensive analyses of the impact of certain interventions. While this is a limitation for this study, it is also an important finding to consider during further work.

1.3 Corruption and key education-related development goals

Corruption hinders efforts to achieve Education for All (EFA) goals (Box 1) and the education-based MDGs (Box 2) by diverting resources away from investments in infrastructure and institutions and distorting incentives for quality service delivery.

⁶ The widely reported gains following the PETS in Uganda in 1991-1995 and 2001 have been reviewed to show capacity-building and regulatory changes that contributed to the reported gains.



Box 1. Education for All goals⁷

1. Expand and improve comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children.
2. Ensure that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete, free and compulsory primary education of good quality.
3. Ensure that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes.
4. Achieve a 50 percent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults.
5. Eliminate gender disparities in primary and secondary education by 2005, and achieve gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality.
6. Improve all aspects of the quality of education and ensure excellence of all so that recognised and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills.

The MDGs are central to assistance frameworks and programmes, including poverty reduction strategies, and have framed development cooperation including in the education sector since 2000. MDGs 2 and 3 are directly related to education. The indicators for Goal 2, target 2A focus on the enrolment and completion rates for primary education and to some extent on the quality of education (literacy rate of 15-24 year olds), while those for Goal 3 include eliminating gender disparities in education, with a 2005 target for primary and secondary education.

Box 2. The eight MDGs

1. Halve extreme poverty and hunger
2. Achieve universal primary education
3. Promote gender equality and empower women
4. Reduce child mortality
5. Improve maternal health
6. Combat HIV/AIDS, malaria and other diseases
7. Ensure environmental sustainability
8. Create a global partnership for development

7 As cited on the World Bank's website at <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTEDUCATION/0,,contentMDK:20374062~menuPK:540090~pagePK:148956~piPK:216618~theSitePK:282386,00.html>.



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW

In most countries the education sector is one of the largest beneficiaries of public finance and employer of public servants, and thus the potential impact of corruption is high.

Goal 2 of the MDGs—achieving universal primary education—often requires increasing the capacity of the school networks with facilities and learning resources, tackling disincentives to enrolment (particularly the costs), and ensuring that quality services are delivered. Education systems require increased financial commitments for expansion and operation, additional teachers and administrators, and effective outreach strategies for marginalized groups. Increased procurement, staff employment and deployment as well as additional demands on any systems for oversight increase the risks of corrupt

practices even as they increase the likelihood that the MDGs will be achieved.

In most countries the education sector is one of the largest beneficiaries of public finance and employers of public servants; it is therefore a sector at higher than average likelihood of at least some corruption. The potential impact of corruption is therefore high.

At the same though, the goals of universal education, the EFA initiative and the MDGs have increased the prioritisation, including funds, directed to education by development partners. Harmonisation and partnership initiatives arising for the Paris Declaration have increased the external imperatives to demonstrate proper use of funds and management of facilities and personnel. Partners have become more willing to recognise and discuss corruption openly and develop approaches to tackling it.



UN Photo/Shehzad Noorani



1.4 Defining governance and corruption

In policy-making discussions regarding the MDGs—and in particular the creation of a global partnership as stipulated in MDG⁸—broadly defined ‘good governance’ has been recognised as an important (even necessary) pre-condition for the achievement of EFA and the education-specific MDGs.⁸ Governance concerns the way that those with the power and responsibility exercise it: in regards to commitment to democratic processes, accountabilities, administrative efficiency, the rule of law, participation and fairness. Definitions vary slightly (Box 3), but interestingly none mention corruption per se although all encourage a state of affairs inimitable to corrupt practices by government and its agents.

Box 3. Some definitions of governance

“Governance is the exercise of political, economic and administrative authority to manage a nation’s affairs. It is the complex mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights and obligations, and mediate their differences.” (UNDP⁹)

“Governance is the manner in which power is exercised in the management of a country’s social and economic resources for development. Governance means the way those with power use that power.” (Asian Development Bank¹⁰)

Governance is “... the traditions and institutions by which authority in a country is exercised for the common good. This includes i) the process by which those in authority are selected, monitored and replaced, ii) the capacity of the government to effectively manage its resources and implement sound policies, and iii) the respect of citizens and the state for the institutions that govern economic and social interactions among them” (World Bank¹¹)

The wording of definitions of ‘corruption’ has proved problematic, particularly in formal and legal documents.¹² The UNDP Anti-Corruption Practice Note of 2004, referring back to a policy paper approved by the Executive Committee in 1998, defines corruption as: “the misuse of public power, office or authority for private benefit—through bribery, extortion, influence peddling, nepotism, fraud, speed money or embezzlement. Although corruption is often considered a sin of government and public servants, it also prevails in the private sector.”¹³

8 The 2009 EFA Global Monitoring Report, published by UNESCO, provides the most thorough exploration of the issues. Online: <http://unesdoc.unesco.org/images/0017/001776/177683e.pdf>.

9 See <http://mirror.undp.org/magnet/policy/glossary.htm>.

10 See www.adbi.org/discussion-paper/2005/09/26/1379.governance.indonesia.comments/definition.of.governance/.

11 See <http://web.worldbank.org/WBSITE/EXTERNAL/WBI/WBIPROGRAMS/PSGLP/0,,menuPK:461645~pagePK:64156294~piPK:64156292~theSitePK:461606,00.html>.

12 See for example the discussion in UNODC (2004). ‘The global programme against corruption: UN anti-corruption toolkit’, 3rd edition.

13 See www.uneca.org/itca/governance/Documents/Anti%20Corruption%20Note%20FINAL%20VERSION%20031704.pdf.



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW

More recently, UNDP began to use the broader definition of corruption to accommodate corruption in the private sector. Corruption is now commonly defined as the ‘misuse of entrusted power for private gain’ (UNDP Primer on Corruption and Development 2008). Transparency International uses a simple definition to broadly cover its overall work: “the abuse of entrusted power for private gain”. Both of these definitions are adequate for this review of the education sector.

Corruption in the education sector takes many forms and may occur at national, sub-national and institutional levels. Corruption in the sector is defined as follows: “the systematic use of public office for private benefit whose impact is significant on access, quality or equity in education”.¹⁴ The examples of corrupt practices in different areas of educational planning and management in Table 3 are not exhaustive, but they nevertheless show the range of risk and locus of corrupt practice that have been identified by observers.¹⁵

Table 3. Corrupt practices in the education sector¹⁶

| Areas | Corrupt practices |
|--|--|
| Finance | <ul style="list-style-type: none">■ Transgressing rules/procedures■ Inflation of costs and activities in budget estimates■ Embezzlement |
| Specific allowances (fellowships, subsidies, etc.) | <ul style="list-style-type: none">■ Favouritism, nepotism■ Bribes■ Bypassing criteria■ Discrimination (political, social, ethnic) |
| Construction, maintenance and school repairs | <ul style="list-style-type: none">■ Fraud in public tendering■ Collusion among suppliers■ Embezzlement■ Manipulating data■ Bypass of school mapping■ Ghost deliveries |

14 Hallak & Poisson, 2001.

15 A more extensive list of governance risks in a recent Asian Development Bank guidance note juxtaposes these corruption risk areas within other sector governance concerns. See Asian Development Bank (2010). ‘Guidance note: education sector risk assessment’. Online: www.adb.org/documents/Guidelines/Education-Sector-Risk-Assessment/Guidance-Note-Education-Sector-Risk-Assessment.pdf.

16 The source for the information in this chart is the following: Hallak, J. & Poisson, M. (2007). ‘Corrupt schools, corrupt universities: what can be done?’ IIEP UNESCO.

1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW



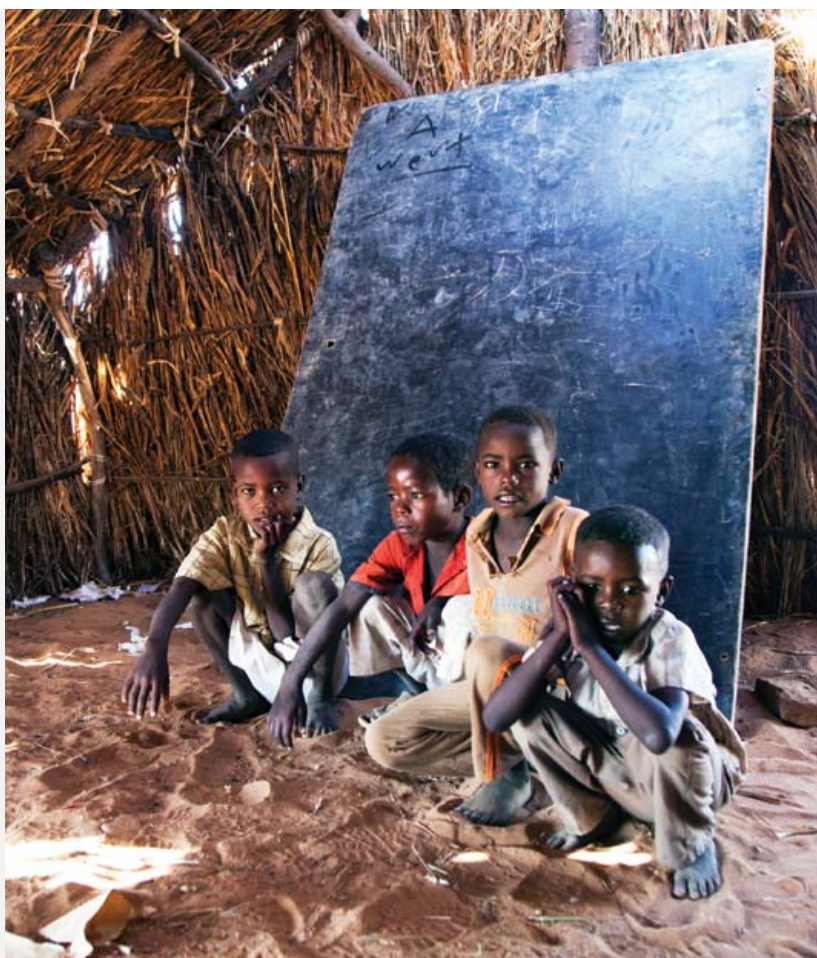
| Areas | Corrupt practices |
|---|---|
| Distribution of equipment, furniture and material (including transport, boarding, textbooks, canteens and school meals) | <ul style="list-style-type: none"> ■ Fraud in public tendering ■ Collusion among suppliers ■ Siphoning of school supplies ■ Purchase of unnecessary equipment ■ Bypass of allocation criteria ■ Manipulating data ■ Ghost deliveries |
| Writing and assigning of textbooks | <ul style="list-style-type: none"> ■ Fraud in the selection of authors (favouritism, bribes, gifts) ■ Bypass of copyright law ■ Students forced to buy materials copyrighted by instructor |
| Teacher appointment, management, payment and training | <ul style="list-style-type: none"> ■ Fraud in the appointment and deployment of teachers (favouritism, bribes, gifts) ■ Discrimination (political, social, ethnic) ■ Falsification of credentials/use of fake diplomas ■ Bypass of criteria ■ Pay delay, sometimes with unauthorised reductions |
| Teacher/school staff behaviour (professional misconduct) | <ul style="list-style-type: none"> ■ Ghost teachers ■ Absenteeism ■ Illegal fees (for school entrance, exams, assessment, private tutoring, etc.) ■ Favouritism/nepotism/acceptance of gifts ■ Discrimination (political, social, ethnic) ■ Private tutoring (including use of schools for private purpose) ■ Sexual harassment or exploitation ■ Bribes or favours during inspector visits |
| Information systems | <ul style="list-style-type: none"> ■ Manipulating data to misrepresent ■ Selecting/suppressing information ■ Irregularity in producing and publishing information ■ Payment for information that should be provided free |



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW

| Areas | Corrupt practices |
|---|--|
| Examinations and diplomas, access to universities | <ul style="list-style-type: none">■ Selling exam information■ Examination fraud (impersonation, cheating, favouritism, gifts)■ Bribes (for high marks, grades, selection to specialized programmes, diplomas, admission to universities)■ Diploma mills and false credentials■ Fraudulent research, plagiarism |
| Institution accreditation | <ul style="list-style-type: none">■ Fraud in the accreditation process (favouritism, bribes, gifts) |

Corruption in education sector is defined as the systematic use of public office for private benefit whose impact is significant on access, quality or equity in education.



UN Photo/Albert Gonzalez Farran



1.5 Other notable background issues for this review

Formal vs. non-formal education¹⁷

The MDGs have focused attention on formal schooling, which is normally provided in the public sector. However, much education is offered by non-formal providers, especially for pre-school and out-of-school children. The review found no documented analysis of specific corruption risks or anti-corruption measures outside the formal schooling system and academic tertiary education. The administrative and governance contexts of these sub-sectors vary between countries: in many cases, non-formal education is outside the purview of national and local governments, is subject to limited oversight and, in most cases, has been marginalized in development initiatives since the MDGs, which have focused on formal schooling.

Similarly the review found no documented analysis of the risks of corruption, or the presence of targeted anti-corruption measures, in private schools. In view of the expansion of private education provision in many countries, of the increasing ideological support for privatisation in education development discourse, and of the tighter relationships between the public and private spheres, private provision merits more attention where public subsidy is directed to private providers.

Decentralisation

The education sector has witnessed substantial initiatives, often driven by development partners, to decentralise management responsibilities, decision-making and financial administration to sub-national and institutional levels. Much of the literature of good governance in education, and that of more explicit anti-corruption approaches, is within the context of decentralisation in general and the introduction of block or capitation grants to schools more specifically. Such grants provide financing—a fixed lump sum or an amount proportional to student numbers, respectively—to be used as schools decide (usually in keeping with a participatory school plan).

The World Bank has strongly promoted this modality as part of its larger governance agenda for community accountability and participation. It assumes that decentralisation reduces leakage and improves performance in other risk areas because local oversight and accountability systems tend to be more effective. In that sense, educational decentralisation and school-based management are perhaps the most common

The decentralized management of education sector reduces leakage and improves performance because local oversight and accountability systems tend to be more effective. However, decentralization is no panacea if parent and communities groups are captured by corrupting forces or lack the capacity to monitor.

¹⁷ Informal education may be offered with flexible hours, with a tailored/flexible curriculum in various settings, and focused on responding to the particular needs of specific groups of children or adults.



1. SETTING THE CONTEXT: BACKGROUND AND OVERVIEW

approaches to reducing corruption in the allocation and utilisation of educational finance, and to ensuring appropriate teacher behaviour. However, decentralisation is no panacea: parent and communities groups can be captured by corrupting forces or may lack capacity to exercise an effective oversight function.

Politicised corruption

As a major public service, education is a focus of political concern and influence (as it should be). However, political allegiances can corrupt transactions, for example as a requirement in appointments or promotions, or to distort sanctions for corrupt behaviour (although this is not peculiar to the education sector per se). Such interference is widely reported in Bangladesh, for example, with its highly politicised bureaucracy.¹⁸

18 See for example Wood, J., Hye, H. & Shrivastava, A. (2003). 'Bangladesh: developing a risk-reduction strategy for financial management and governance in PEDP2'.

2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES



UNDP Photo / Photographer Name



2.1 Rule of law/integrity

Documented initiatives in this category include procurement (of facilities and teaching and learning materials) and staff conditions of service. Methods and tools include recruitment legislation, sanctions and teachers' codes of conduct.

2.1.1 Legislation

An adequate legislative framework is a necessary condition for tackling corruption. Because corruption has usually been addressed as a cross-cutting issue—as it is, for example, in the United Nations Convention against Corruption (UNCAC)—anti-corruption legislation is generally not sector specific, although it may make specific provision. In Viet Nam, for instance, the 2005 anti-corruption law specifically mandates transparency in enrolment and examinations and public disclosure of public funds used in educational institutions¹⁹. The impact of this law has not been evaluated.

¹⁹ UNDP (2008). 'Preventing corruption in the education sector: international experiences with civil society involvement'. UNDP Policy Note, UNDP Viet Nam.



2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES

Information on the impact of anti-corruption legislation on education outcome is rarely available; however, the introduction or renewal of anti-corruption legislation is often considered to reflect a government's willingness to address corruption and has a certain level of impact on public discourse on the topic.

There is no evidence in the literature of evaluation of anti-corruption legislation and its impact on education. However, the introduction or renewal of anti-corruption legislation is often seen as an indication of a government's willingness to address corruption and of the impact of a certain level of public discourse and pressure on the topic. Development partners have often encouraged and facilitated such legislation.

Legislation may establish anti-corruption institutions with powers to investigate corrupt practices. Respondents have reported the logical progression in which general legislation is followed by sector-specific responses, including for the education sector. For instance, in Sierra Leone the Anti-Corruption Commission produced a document that assessed risk in the education sector and proposed mitigation measures.²⁰

Anti-corruption laws tend to be administered by anti-corruption agencies, and there is usually little direct connection with line ministries. However, in Nigeria the anti-corruption body maintains offices in the line ministries, including education, with established rights to be present in working meetings and to review documents.

Issues for future country studies on the impact of anti-corruption legislation on education:

- Where there is anti-corruption legislation, has it been mediated and specifically operationalised within the education sector?
- Has the education sector proved particularly problematic in regards to introducing and implementing new legislation for any reason?

²⁰ Anti-Corruption Commission (2009). 'From the abyss back to the Athens of West Africa: a report on systems review of Ministry of Education'. Ministry of Education, Sierra Leone.

2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES



2.1.2 Sanctions

As reported in the literature review, elements of criminal sanctions and disciplinary measures aimed at deterring corrupt practices in education include:

- independent complaints systems,
- investigators with authority and access to relevant information,
- criminal sanctions according to the nature and level of malpractice,
- disciplinary measures (non-judicial),
- the publication of lists showing firms or individuals guilty of corrupt practices (e.g., blacklists for procurement contracts), and
- increased powers of oversight of schools.

The literature emphasises the general lack of sanction for non-compliance with regulations, even in relatively severe cases for which criminal or disciplinary measures would seem appropriate. Transgressions are not classified as corruption as per guidelines of the education sector, which normally operates under some form of the Education Act. Penalties in the education sector following identified corruption are usually less severe than those in the anti-corruption laws.

Issues for future country studies on sanctions and disciplinary measures

- What are the sanctions for corrupt practices? Have they have changed and have they been used? A specific focus might be on whether staff has been dismissed for corrupt practices—and if so, whether the charges were specifically anti-corruption or more general misdemeanours under the Education Act.
- To what extent is the anti-corruption agency monitoring corruption in the education sector?

2.1.3 Codes of conduct

The literature shows how codes of conduct for education personnel (including head teachers, inspectors, education authority staff, teachers and ancillary staff) contribute to improving professional behaviour and performance.²¹ The International Institute for Educational Planning (IIEP) recently has been working on a toolkit for teachers' codes of conduct.²² Development agencies and NGOs working on school management issues and on school-based violence, including violence against girls in schools, have also been advocating for the review or development of codes of

21 van Nuland, S. & Khandelwal, B. (2006). 'Ethics in education: the role of teacher codes in Canada and South Asia'. UNESCO IIEP.

22 Poisson, 2009; <http://teachercodes.iiep.unesco.org>



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conducts. In countries where malpractice and misconduct from the teaching force were increasingly reported in the media (for instance in the Gambia), teacher unions have been instrumental in the development of such codes.

Codes of conduct for education personnel can be effective if the teachers and community members are involved in developing them, the information and expectations in the codes are widely available to and understood by all stakeholders, and effective mechanisms are in place to enforce the codes.

In addition to the Gambia, Sierra Leone is another example of a recent development of a code of conduct with strong inputs from teacher unions and significant support from agencies, and particularly NGOs. Fact sheets on the development process can be found in a recent publication by the United Nations Children's Fund West and Central Africa (UNICEF WCARO), Plan West Africa Regional Office (WARO), Save the Children Sweden and ActionAid,²³ with a focus on how these initiatives can contribute to curbing violence in schools and sexual exploitation of children. The same publication also highlights how school-based codes of conducts, developed with the participation of children, teachers and community members (e.g., Côte d'Ivoire through Save the Children's Rewrite the Future programme²⁴) address teacher absenteeism

specifically, although they seem not to address issues of sexual harassment or 'sex for grades'.

Success factors identified by these initiatives include mainly the strong involvement of teacher unions (through a bottom-up process in the case of the Gambia) and extensive collaboration between education ministries and unions. Remaining challenges pertain to the enforcement of the codes and the establishment of bodies responsible for administering sanctions. There are however countries where specific mechanisms or bodies have been established to ensure enforcement of the codes, with Canada and Hong Kong being two examples.²⁵

The dissemination of the codes and understanding of their content and implications by education staff are critical. All the above-mentioned initiatives have emphasised the need for consultation, validation and information dissemination at national, regional, local and school levels, including among children, teachers, local education authorities and parents.

Results

The impact of codes of conduct on teacher absenteeism has been reported, but there is no data on how (or if) codes may be curbing sexual harassment and abuse by education personnel. The impact of codes may be affected by their lack of dissemination, the difficulty of understanding them, lack of knowledge among students and the community of complaints procedures in case of non-compliance, and the general lack of enforcement mechanisms.²⁶

23 Antonowicz, L. (2010). 'Too often in silence: a report on school-based violence in West and Central Africa'. UNICEF, Plan West Africa, Save the Children Sweden West Africa and ActionAid. Online: www.unicef.org/wcaro/VAC_Report_Directory.pdf.

24 Ibid.

25 van Nuland, S. & Khandelwal, B. (2006). 'Ethics in education: the role of teacher codes in Canada and South Asia'. UNESCO IIEP.

26 Antonowicz, L. (2010). 'Too often in silence: a report on school-based violence in West and Central Africa'. UNICEF, Plan West Africa, Save the Children Sweden West Africa and ActionAid. Online: www.unicef.org/wcaro/VAC_Report_Directory.pdf.

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Issues for future country studies on codes of conduct

- Where codes of conduct are in place:
- How were they developed?
- What aspects of behaviour do they cover?
- What are the enforcement mechanisms?
- How have enforcement mechanisms been used?
- Ghost teachers and teacher absenteeism can be tackled by involving communities. To what extent are communities engaged in the development and enforcement of codes of conduct?
- How are codes of conduct linked to formal disciplinary processes?
- What is the impact of scorecards where communities rank schools performance?

2.2 Public administration and systems reforms

Documented initiatives in this category cover systems improvement (better financing and accounting systems, increased use of independent and external bodies, use of software and technology to prevent corruption); information systems; community participation; and oversight of school finance and management, policy development and women's participation.

Although initiatives in this category focus mainly on the education system in general, specific education areas addressed include education aid, education finance, school grants, procurement, teacher certification, recruitment and deployment, examinations, and entrance to university and schools.

Box 4. Constructing Philippine education, one school building at a time: the Bayanihang Eskwela story

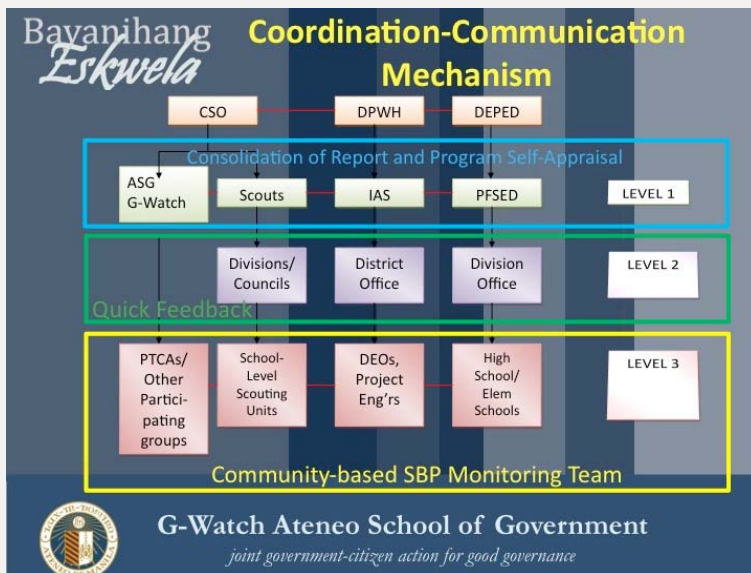
The Government Watch (G-Watch) of Ateneo School of Government has implemented Bayanihang Eskwela since 2005. The programme is a community-based monitoring of the Philippines government's school-building projects that aims to ensure that high quality school-building projects are implemented at the right time where they are needed most. The programme has mobilized over 700 community-based monitors in its three rounds, who have ensured that 133 classrooms costing 122.8 million Philippine pesos (US\$2.8 million) were constructed according to standards. The programme has been officially adopted by the Department of Education as the community-based monitoring component of its school-building programme that ensures transparency and accountability in programme execution. This social accountability experience has generated rich lessons in preventing anomalies and corruption in service delivery, thereby improving effectiveness of services, through citizen engagement in governance.

Bayanihang Eskwela follows the G-Watch social accountability approach, which includes innovative features that respond to limits and gaps of previous examples of civil society engagement in



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governance. *Bayanihang Eskwela* is designed in a way that from the preparation to the actual monitoring to the processing of results, representatives from the government and civil society constructively engage on tasks and responsibilities critical to the success of the project. It includes a coordination-communication mechanism between and among civil society and government actors and participants that facilitates exchange of information, problem-solving and quick response. This makes *Bayanihang Eskwela* a joint government-civil society monitoring initiative, which underscores how distinct it is from other monitoring efforts.



Bayanihang Eskwela also follows G-Watch's approach to curbing corruption, which is preventive and pre-emptive. By clarifying standards in the implementation of school-building projects and monitoring the compliance to these standards, deviation and corruption are prevented. The monitoring of compliance to standards becomes a stimulus that encourages responsible actors to behave as expected.

Key to the design of *Bayanihang Eskwela* is the participation of

the community and the conduct of the monitoring at the community itself. This ensures stakeholders' ownership of the initiative and cuts the cost of monitoring since the monitors no longer incur transportation costs. Community-based monitoring teams are created in each school, composed of the principal, the project engineer, scouts and representatives of parent-teacher associations and NGOs.

At the heart of *Bayanihang Eskwela* is its easy-to-use and simple monitoring tool. The tool is a checklist with yes-or-no questions basically asking whether standards are followed in the school-based project implementation. During the first and second rounds of *Bayanihang Eskwela*, the tool was mainly looking into school-building construction specifications and the mandatory activities before and after the construction that ensure the participation of key stakeholders and the transparency of the process. On the third round, the *Bayanihang Eskwela* monitoring tool was revised to also consider whether the schools are built where there is acute classroom shortage (i.e., demonstrating responsiveness to need) and whether the classrooms are conducive to learning. In this regard, the tool covers factors such as ventilation, lighting, space, sanitation and safety of location as well.

Finally, the monitoring results of *Bayanihang Eskwela* are backed up by evidence, which include official documents, recordings and photos. Monitors are taught the importance of gathering evidence to support the results of their monitoring and ensure the objectivity of the monitoring conducted.

The approach has proven to be replicable as it has been adopted for G-Watch's monitoring of textbooks and human rights compliance, particularly the right to suffrage of persons deprived of liberties and right

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to food of internally displaced people. Currently, G-Watch is testing the application of the approach in the service delivery of local government units, particularly in regards to health, education, agriculture, infrastructure and the environment.



UN Photo/L. Rajaonina

2.2.1 Better financial systems

Financial management

Strengthening financial systems has been one of the anti-corruption methods used by donors and governments to combat corruption in the education sector and improve financial planning and management overall. Development partners have supported public financial management (PFM) and public expenditure management (PEM) to establish sound budget systems and ease account generation and consolidation of expenditures. Financial capacity is central in considering budget support and similar financial modalities, as well as sector-wide approaches (SWAp).

Medium-term expenditure frameworks (MTEFs) are “multi-year public expenditure exercises that are used to set out the future budget requirements for existing services and to assess the resource implications of future policy change.”²⁷ They have been introduced in the past decade as a way to strengthen and rationalise budget processes. MTEFs are rolling programmes based on a three- to five-year planning and budgeting framework, with annual fixed budgets. They improve predictability of funds, efficiency and accountability because implications of policy decisions must be costly. Lastly, MTEFs can give priority to budget expenditures that are pro-poor.

27 Pearson, M. (2002). ‘Medium-term expenditure budget frameworks: an introduction’. DFID Health Systems Resource Centre.



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In Bangladesh, a medium-term budgetary framework (the most basic type of MTEF) is being piloted with seven ministries, including the Ministry of Education, with support from the UK Department for International Development (DFID), the World Bank and the International Monetary Fund (IMF) to address some of the identified fiduciary risks. This has enabled ministries to ensure consistency of allocations with fiscal and policy objectives and to strengthen some of their financial capacities. In Bangladesh for instance, this led to improved speed in generating accounts and to the publication of monthly fiscal reports by the government.²⁸

UNESCO Asia and the Pacific Regional Bureau for Education also commissioned a series of in-depth studies on education financial planning in Asia (Mongolia, Nepal, the Republic of Korea, Thailand and Viet Nam), focusing on MTEFs.²⁹ These publications do not necessarily tackle anti-corruption per se but nevertheless provide useful information on MTEFs as they apply to education, implementation challenges, and clarity over allocation rule per type of education inputs.

Elsewhere the literature mentions how external expert ratings of budget performance are also being tested at the sector level, including education, to track budget credibility and institutional performance.³⁰

While such macro-level methods help increase budget transparency and may reduce the opportunities for education funds to be misused and diverted at the national level, it is in the management of

their disbursement, reconciliation of expenditures and oversight of spending at the lower levels where opportunities persist for both mismanagement and corruption. The most useful intervention in this regard is improved electronic systems and use of the banking system, rather than cash, to make payments for teacher salaries or school grants. PFM initiatives, including the one in Bangladesh cited above, work towards national systems with shared records, etc. Important steps at the technical level include integrating financial systems for reconciling payments made, based on standardised coding and increased use of electronic systems that allow financial data to be shared and inspected.

It is acknowledged that such practices may not specifically address corrupt practices identified at national level, but may instead contribute to the overall good governance agenda at government and ministry

levels. There seems to be a contradiction between introducing electronic financial management and devolving financial function down to institutional level, where skills and infrastructure may not be available.

While macro-level interventions to increase budget transparency reduce the opportunity for education funds to be misused, the disbursement of funds, reconciliation of expenditures and oversight of spending at the lower levels provide opportunities for both mismanagement and corruption.

28 World Bank (2006). Program document for a proposed Second Programmatic Education Sector Development Support Credit to the People's Republic of Bangladesh. Human Development Sector, South Asia Region.

29 See www.unescobkk.org/unit-archive-folders/epr-archive-folder/education-planning-and-financing-portal/country-case-studies/country-examples-of-education-mtef/.

30 Lewis, M., Pettersson, J. (2009) Governance in Education: Raising Performance, 22 December 2009.

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Results

The search found no evaluations of direct impact of these financial management processes on the reduction of corruption, or of the specific type of corruption in education that might be addressed. Overall, however, the literature refers to increased financial capacity of government and line ministries and to better systems creating an enabling environment for good governance. Where budgetary information has been generated in shorter cycle, there have been potentially more opportunities for external oversight. This is perhaps due to the absence of baseline information, and to the multiple objectives of such interventions in terms of better governance.

Issues for future country studies on financial management systems

- What is the level of introduction of accounting systems, at sub-national offices and agencies?
- Have robust financial management mechanisms been introduced with a specific corruption reduction goal? If so, what were the nature, the size and the location of the risks?
- For the introduction of new financial management mechanisms:
 - Who is involved?
 - What are the drivers at government level?
 - What administrative structure needs to be in place to enable such mechanisms to have an impact?

School grants disbursement

School grants have become increasingly common in the past two decades, driven by a portfolio agenda for improved local responsiveness, decentralisation and the explicit anti-corruption aim for funds to be subject to oversight of beneficiaries and main stakeholders (pupils and parents).

The literature presents a range of parameters to be taken into account when devising school grants disbursement systems, in particular around the allocation formulae and the possible disbursement channels. Anti-corruption approaches within them have included the following.

Use of a third party for disbursement. In Sierra Leone, two routes were compared for grant disbursement from central to school level, through education secretaries and district education offices (2001-2002) and through the use of a third party, namely KPMG (a global auditing firm), in 2002-2003. The second method resulted in almost no leakage compared with the first, with 98.6 percent of the funds transferred to KPMG reaching schools in contrast to only 45 percent of the funds when disbursed centrally.³¹ This system has however ceased to exist. With the Local Government Act of

31 Lewis, M. & Pettersson, J. (2009). 'Governance in education: raising performance'. World Bank.



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UN Photo/Albert Gonzalez Farran

2004 and the devolved function of primary education to local councils, grants are now disbursed from the central government to local councils, and from the councils to school bank accounts.

Textbook grants transfer to schools. In Kenya, textbook grants were transferred directly to school bank accounts for purchasing textbooks locally. According to a follow-up audit, little leakage was discovered.³² (Centralised textbook procurement and distribution is a recognised corruption risk in many countries, and this transfer of the responsibility and funds to schools is a rare example of a method that might address that risk.)

School bank accounts. Most countries introducing block or capitation grants have requested schools to open bank accounts in order to avoid full disbursement of the grant in cash. In most instances there are three signatories to the account: the head teacher, the school management committee (SMC) chair and a treasurer or a local education officer.

Returns and liquidations. Grants tend to be disbursed at different periods across the school year, usually per term. There are financial processes to be followed by schools to justify their spending of the funds before being entitled to the disbursement of the second or third tranches of the grants. This is the case

32 Ibid.

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in Sierra Leone, for instance, where the grants for primary education are disbursed every term by local councils to school bank accounts. Schools have to account for all their expenses and provide receipts to the councils. Failure to do so results in the non-disbursement the following term.

Other methods. The literature shows other approaches to ensure proper disbursement and utilisation of school-grants. They include:

- **systems to improve validity and timeliness of information about schools within national education management information systems to ensure grants (especially formulae-driven grants) match schools' needs; and**
- **active attempts to ensure public awareness of grants and community oversight of school finances.**

These methods are discussed later in the context of information, transparency and participatory oversight.

Results

The literature indicates that positive results in terms of reduced leakage due to a given intervention in financial management flows may not mean the problem is eradicated but, rather, that it may be transferred, with leakages happening at another level when systems have curbed them in other places.

Examples documented in the literature include:

- **When school grants in Sierra Leone were disbursed via a third party (KPMG), the process ensured the grants reached schools. However, this process could not control possible leakages at the school level itself.**
- **In Cambodia, the formula-based allocation method and the programme budget structure in place around grants for schools ('Priority Action Programme 2.1 funds') resulted in funds mostly reaching schools. However, the 2005 Public Education Tracking Survey raised concerns that the tighter control and monitoring procedures around the grants had shifted corruption to other budget lines—in particular the budget line that covers work-related travel, equipment and accommodation for education officials.³³**

Another issue raised in the documentation is that public accounting procedures (record keeping and supporting documentation) can conceal financial mismanagement or corrupt practices when accounts 'on paper' do not correspond to the reality of funds' usage.³⁴

33 World Bank Group (2005). 'Cambodia – public expenditure tracking survey (PETS) in primary education'.

34 Hallak, J. & Poisson, M. (2007). 'Corrupt schools, corrupt universities: what can be done?' IIEP UNESCO.



2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES

Issues for future country studies on school grants disbursement

- Where there have been grants to schools:
- How are grants disbursed?
- How are schools being held to account for the grants?
- Do approaches anticipate the changes of the introduction of a new financial or disbursement system onto others? How is this done?
- What is the role of school level governance (school committees or parents associations) in approving expenditure and accounting and how open is such school-level financial oversight?
- Evaluation of good practices should look not only at results in the area targeted by anti-corruption, but also widely to ensure no improper transfers have taken place.
- Are data-collection systems in place to complement financial management/ accounting practices to corroborate what is on paper?

2.2.2 Better systems: independence and externality

Education in general

At the initiative of governments, with some pressure from development partners' governance agendas, countries have taken steps to set up and strengthen independent audit bodies. The literature alludes to the work undertaken by these but lacks detail on its impact on corruption

deterrence, beyond the investigation of cases that led to actions against corrupt officials and to dismissals of ministers or corrupted civil servants. The most commonly cited issues refer to the financial independence of these audit bodies, their non-reliance on government for administrative decisions, their level of authority to investigate cases and contracts, and their reporting lines (to Parliament and the judiciary in particular).

National institutional arrangements for public audits across sectors lack the human or financial resource capacity (or both) to provide adequate audit oversight of education institutions. That situation is aggravated as more responsibility is being delegated to institutions and sub-national administrative units. In the literature surveyed, there are no reports of any initiatives to shift national

audit and oversight functions to decentralised systems. Also, at school level the reliance is usually on community oversight.

In many developing countries, national institutional arrangements lack the human or financial resource capacity to provide adequate oversight of education institutions, including important monitoring functions. In most cases, responsibilities for audit and oversight are delegated to sub-national administrative units.

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Beyond audit bodies, other mechanisms can be used to scrutinise public finances and increase transparency and accountability. This is the case for instance of the Public Accounts Committee (PAC) in Nepal. The PAC is “one of the select committees of the present Legislature-Constituent Assembly. Its main function is to examine the public accounts and the report of the Auditor General to reduce misuse and abuse of public funds. It is empowered to direct concerned departments to explain financial irregularities, and also to pursue the clearance of arrears, that might have been specified in the report of the Auditor General.”³⁵ Following a probe by the Parliament’s Public Accounts Committee on the minister of education, and with support from donors, the minister resigned over corruption charges in early 2010. This occurred in a context of increased public awareness of corruption and how it affects service delivery as a result of civil society and media pressure. The successful probe was also fostered by the fact that the PAC holds open deliberations which receive extensive media coverage.³⁶

Issues for future country studies on general oversight and monitoring

- The existence of audit bodies as well as their status, role and level of authority should be investigated in the country studies. Examples of investigations by such bodies in the education sector should be analysed.
- Do the results of audits lead to sanctions, if deemed appropriate?
- Do parents play a role in reviewing education boards, including scrutinizing accounts and tracking expenditures?
- How are discrepancies reported?

School grants

Independent entities have also been used to assess compliance and monitor disbursement of scholarships and school grants. The literature refers to the example of the Central Independent Monitoring Unit (CIMU), set up to monitor school grants and investigate complaints in Indonesia.³⁷ The CIMU, which was established at the recommendation of development partners, independently reviews the school and district grants that were introduced as part of a major decentralisation initiative. By design, the CIMU was headed by an international consultant deemed more able to resist the pressures to which the CIMU might be subjected. The CIMU exposed a number of cases of misuse and diversion of funds, thus publicizing the issue.

Issues for future country studies on monitoring school grants

- Are there independent bodies with responsibility for anti-corruption oversight and action for the education sector? How are they constituted and their independence maintained?
- What is role of parents’ associations and school boards?

35 Asian Development Bank (2009). ‘NEP: governance risk assessment report prepared for the Nepal Country Partnership Strategy (2010–2012)’.

36 Ibid.

37 Baines, S. (2005), ‘Towards more transparent financial management: scholarships and grants programmes in Indonesia’. UNESCO IIEP.



2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES

Examinations, diplomas and entrance to university

Although tertiary education is not a specific target of the MDGs, the development of the tertiary system and its ability to 'produce' graduates is critical for the education sector in general, and the achievement of the MDGs in particular. Universities and other tertiary education institutes such as teacher training colleges have a key role to play in both access to and quality of education. Without teachers in the classroom countries that have committed to free and compulsory primary education cannot hold their promise to provide access for all. Similarly, teachers who have not been properly trained cannot deliver an education of quality. Educational prospects may also play a role in a family's decision to support the education of girls and boys from primary school onwards, and is critical in transition from primary to junior secondary. As a result, the review extended its coverage to include tertiary education.

Corruption at university entrance has been well described, for instance in ex-Communist states. Corruption risks are particularly high where the relevant examinations and tests are conducted internally.

The literature mentions how the creation of external bodies to handle and supervise university admissions and entry examinations, such as the State Student Admissions Committee appointed by the Government of Azerbaijan³⁸ or the National Assessment and Examination Centre in Georgia,³⁹ has reduced corruption in university admissions.⁴⁰

Issues for future country studies on corruption risk in tertiary education

- Identify the existence, status and remit of examination or student commissions in a country, and articulate their role.
- What is the role of student associations and parents' boards in tertiary education?

Teacher certification

The literature provides examples of independent bodies in charge of dealing with teachers' examination and appointments, as part of an effort to overcome political patronage or nepotism in recruitment. In Bangladesh for instance, the Non-Government Teacher's Registration and Certification Authority (NTRCA) has since 2005 had a remit to conduct teachers' registration examinations for the selection of competent teachers for non-government junior high schools, secondary schools, colleges, madrasahs, technical schools and vocational institutions in a bid to ensure that school management committees and college governing bodies could not appoint teachers without the required skills.

In parallel, the high risk area of primary teacher recruitment in Bangladesh has been affected by the implementation of measures to reduce corruption such as decreasing the importance of the interview mark (more prone to corrupt practices) in comparison with the examination mark in the recruitment process.⁴¹

38 Chapman, D. (2002). 'Corruption and the education sector'. Sectoral Perspectives on Corruption, USAID.

39 Meier, B. & Griffin, M., eds. (2005). 'Stealing the future: corruption in the classroom: ten real world experiences'. Transparency International.

40 Chapman, D. (2002). 'Corruption and the education sector'. Sectoral Perspectives on Corruption, USAID.

41 Bangladesh Ministry of Primary and Mass Education: Governance Report 2008

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Issues for future country studies on teacher certification

- In critical points for recruitment and promotion, are there any opportunities for external oversight of procedure?

School level

There is some evidence in the literature that devolution of power to parents and communities to run schools has reduced corruption. In El Salvador for instance a pilot project established that close parental control of schools had an impact on detecting and preventing corrupt behaviours.⁴² However, there are a range of factors to be considered when entirely devolving school management to parents, including those related to community willingness, readiness and capacity to undertake such a task.

Issues for future country studies on school management

- How are parents involved in the oversight of schools and do they have opportunities to act against corrupt practices?
- What is the role of different parents' associations in regards to such issues?

2.2.3 Better IT for administration

The literature mentions how software and the use of information technology (IT) can reduce corruption, in particular in the areas of teacher registration and payment, student records, examinations and access to university.

Teacher deployment and payment

The literature provides example of how reliable educational management information systems (EMIS) and teacher management information systems (TMIS) bolster the fight against corruption. Better information systems can reduce opportunities for corruption in teachers' payment and appointments. Examples include the information systems in Colombia⁴³ and payroll management tools in Zambia.⁴⁴ Payroll clean-up through random physical verification in schools was also used in Uganda.⁴⁵ Although in Uganda there was a reduction in the number of ghost teachers, the literature cannot attribute this development solely to the payroll clean-up and teachers' census. The involvement of parents or boards that can detect ghost teachers has also contributed.

Another example from the Gambia highlights how a detailed TMIS system that records a range of skills and competences of teachers can provide information to support teacher assignment

42 UNDP (2008). 'Preventing corruption in the education sector: international experiences with civil society involvement'. UNDP Policy Note, UNDP Viet Nam.

43 Hallak, J. & Poisson, M. (2007). 'Corrupt schools, corrupt universities: what can be done?' IIEP UNESCO.

44 U4 Anti-Corruption Resource Centre (2006). 'Corruption in the education sector'. U4 Issue 4

45 Lewis, M. & Pettersson, J. (2009). 'Governance in education: raising performance'. World Bank.



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to schools according to their needs and provide the basis to challenge decisions based on rent-seeking, favouritism and nepotism.⁴⁶

Unfortunately, though, there are no impact evaluations of these promising initiatives and the documents referring to them currently provide scarce information. Therefore this report cannot elaborate on these examples.

Higher education

IT has been used to tackle recognised corruption risks in higher education. For example:

- **Software to fight plagiarism has been developed and is being widely used in academic institutions in many developed countries.**⁴⁷
- **With the use of IT, admission processes can be automated. This limits the opportunity for manual manipulation,⁴⁸ especially when governments pay fees directly to universities for some of the students they are sponsoring.**

Issues for future country studies teacher deployment and payment

- Are EMIS or TMIS used? Do they allow teachers and/or third parties to make reality checks?
- Are there IT systems in place that can be used to validate the administrative and financial processes that are at risk?

2.3 Transparency and accountability

Documented initiatives regarding transparency and accountability in the education sector include advocacy campaigns; awareness-raising and anti-corruption education; the use of media in information dissemination; PETS, service delivery and other surveys; community oversight; children's monitoring; innovative approaches to reduce teacher absenteeism; and more open procedures.

The main education areas to which these approaches are applied are education finance, school grants, school management, school personnel behaviour, and procurement.

Local and appropriate tools, such as financial reporting on school notice boards can inform local oversight.

⁴⁶ Chapman, D. (2002). 'Corruption and the education sector'. Sectoral Perspectives on Corruption, USAID.

⁴⁷ Eckstein, M. (2003). 'Combating academic fraud: towards a culture of integrity'. UNESCO IIEP.

⁴⁸ UNESCO IIEP (2006). Advanced training workshop on 'Resource leakage and corruption in the education sector in Kenya: capacity-building for KESSP investment programme managers'.

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Box 5. Anti-Corruption Participatory Monitoring (ACPM) in Armenia

The implementation of the Anti-Corruption Participatory Monitoring (ACPM) project in Armenia aimed to assess the impact of anti-corruption initiatives and measures in the education sector through community monitoring.

The effort consisted of a three-tiered monitoring system that tracked and evaluated systemic issues, corruption risks and manifestations of corruption through four intertwined and complementary aspects: quality of access to services, finances and shadow monetary circulations, rights and legality, and administration and functions.

While community monitoring principles are well known, the project first needed to develop specific tools to ensure quality control, such as guidelines on responsibilities of a community group's members, norms of ethics, and ground rules and instruments for conducting observations, expert interviews, focus groups and in-depth interviews. Community groups engaged to carry out the monitoring were thus equipped with the necessary tools and knowledge to undertake the effort, even if some of them had no previous relevant experience.

The monitoring was carried out from April to October 2007 in Yerevan, the capital, and 10 other towns and cities in different regions of the country. A total of 44 educational institutions were reviewed.

The project outputs described the baseline situation in the education sector, in particular corruption risks and manifestations in various aspects and levels of education system (basic, secondary, etc.). On this basis, recommendations for systemic changes were developed and communicated to the responsible State authorities and Prime Minister's Office. In the end, a majority of the project recommendations were accepted and included in the new national anti-corruption strategy.

Source: <http://europeandcis.undp.org/uploads/public1/files/ACPN/I%20Report%20Findings%20of%20the%20Anti-Corruption%20Participatory%20Monitoring%20conducted%20in%20the%20health%20and%20education%20sectors%20by%20civil%20society%20anti-corruption%20groups%5B1%5D.pdf>

2.3.1 Advocacy and awareness-raising

The literature mentions a few stand-alone 'anti-corruption in education' advocacy campaigns (Mali, Peru). Campaigning, which is usually an accompanying measure to other anti-corruption approaches, can increase buy-in and mobilise public 'eyes and ears' for anti-corruption initiatives.

Lessons can be learned from the 2006 advocacy campaign in Peru, the objective of which was to make anti-corruption an essential component of educational reform.⁴⁹ The campaign, which was jointly supported by Proética, Transparency International's chapter in Peru, and the ombudsman's office (Defensoría del Pueblo), aimed to expose areas prone to corruption in the education sector by analysing complaints of corruption at regional level. The campaign led to an increased number of complaints and increased awareness of teachers, parents, children and local communities of

⁴⁹ U4 Anti-Corruption Resource Centre (2008). 'Corruption-free education: lessons from a state and civil society joint initiative in Peru.'



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corruption issues in the sector. This resulted in i) some of the cases being referred to the competent authorities and dealt with, ii) the government's commitment to set up a commission to develop a probity policy for the education sector as well as multi-stakeholder anti-corruption forums, and iii) the review of regulations pertaining to the investigation of teachers involved in acts of corruption.

Factors that contributed to the success of the campaign included: i) the enabling political environment (including new education legislation passed two years before the campaign and ongoing decentralisation); ii) the window of opportunities provided by the implementation of this legislative change; iii) the readiness of the public already engaged in discussions on education; and iv) a strong partnership between civil society and a public institution. The main limitation of the campaign was that it lacked direct links with change processes in the education sector, and this impeded attempts to turn the campaign's success into transformative actions.

In Mali, the advocacy campaign 'Eradicate corruption in education' was led by the Association of Journalists against Corruption with the support of USAID (2002-2004). It worked with national and school stakeholders from the Ministry of Education to teacher unions to parent-teacher associations (PTAs) to raise awareness about the drastic effects of corruption on the education system. The campaign resulted in the establishment of a more transparent student evaluation system, including exams, and in less opacity in the scholarship process and award criteria.⁵⁰

Measuring the impact of advocacy and awareness-raising campaigns is always a challenge, and campaigning organizations tend to put a positive light on their results to generate additional support. Moreover, the context and enabling environment should not be underestimated when trying to determine the contribution of campaigns to tangible results and changes.

Given that advocacy and awareness is one of the important aspects of the prevention chapter of the UNCAC, donor partners including GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit, formerly, GTZ: German Technical Cooperation) and UNDP are advocating for youth education on corruption.

Issues for future country studies on advocacy and awareness-raising

- Enabling and hindering environment of the campaign (political, social, economic, cultural context)
- Modality, strengths and weaknesses of partnerships
- Linkages between campaign outputs and transformative actions

2.3.2 Anti-corruption education

Most anti-corruption awareness and education activities discussed in the literature focus on anti-corruption generally rather than on specific sectors. However, many of the anti-corruption awareness

50 USAID (2004). 'Fighting corruption in Mali's education system'. Online article: http://africastories.usaid.gov/search_details.cfm?storyID=277&countryID=14§orID=0&yearID=4.

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activities are implemented in the education sector, whether through specific modules or embedded in subjects such as moral education or citizenship education. This results in corruption in the education sector being a particularly useful entry point to discuss corruption in general. It may allow students to reflect upon experiences of corruption in their environment, and it offers a unique opportunity for discussing corrupt practices in the education sector and how they affect students' education rights.

The partnership between GIZ and the anti-corruption commission in Sierra Leone is one recent example of such an approach.⁵¹ From 2005 to 2008, GIZ worked with the commission to curb the negative political and socio-economic impacts of corruption, which were cited as one of the factors of civil strife and conflict in recent years. The project combined awareness-raising through radio and TV programmes and educational material for young people with supporting teacher aids (cartoons, posters, etc.). Six 'integrity clubs' in secondary schools were also piloted, with students taking an active role in raising awareness on corruption among their fellow students and the wider education community.⁵²

Results of such interventions are not analysed in depth in the literature. Although the argument that anti-corruption education leads to greater self-discipline and awareness of the rights and duties of citizens,⁵³ including children and young people, is well articulated, studies lack evidence that specific anti-corruption education initiatives have resulted in behaviour and attitude change or led to a reduction in corruption in education.

In a human rights-based approach, anti-corruption education provides a sound basis for rights holders to claim their education rights and demand accountability and transparency from the government and other education stakeholders. When anti-corruption education is presented as 'moral education', with the emphasis on the individual and his or her own behaviour, such interventions may not be as relevant or effective, particularly in contexts where corruption is endemic and embedded in the power structures.

Such anti-corruption education initiatives may be based in the national curriculum or managed as extra-curricular additions; the latter option, however, is more risky in regards to sustainability.

Issues for future country studies on anti-corruption education

- Where awareness campaigns and anti-corruption education initiatives complement anti-corruption interventions in the education sector, they should be analysed to assess their value and identify lessons learned to help guide their use.

2.3.3 Open and transparent procurement

The literature captures some of the key steps towards open and transparent procedures in procurement. A well-documented case study is the procurement of textbooks in Argentina.⁵⁴ A

51 GTZ UNCAC Project (2008). 'Anti-corruption in education: supporting the Anti-corruption commission in Sierra Leone'.

52 See <https://www.gtz.de/en/weltweit/afrika/senegal/15258.htm>.

53 See the work of Hong Kong's Independent Commission Against Corruption (ICAC) in that area.

54 Meier, B. & Griffin, M., eds. (2005). 'Stealing the future: corruption in the classroom: ten real world experiences'. Transparency International.



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range of combined and simultaneous strategies were used to address allegations of corruption in the textbook tendering process: i) transparency in the selection process of the National Advisory Committee members, with published profiles of experts and a communication line opened for publishers to comment on the proposed experts and identify possible conflicts of interest; ii) open discussion on procurement criteria and bidding documents with publishers, and iii) an integrity pact between publishers and the Ministry of Education regarding the procurement process that was formalized with a signed declaration by all stakeholders. Each strategy led to specific results: i) the exclusion of unsuitable experts from the National Advisory Committee, ii) refined procurement criteria to accommodate publishers' feedback, and iii) signature of the integrity pact by 48 publishers.

Some observers highlighted the lack of sanctions in the integrity pact, but others have stressed the positive effect that the new procedures have had on the process and on the quality of the products purchased. Even with these important changes, however, textbook procurement remains a high cost and high risk activity in regards to corruption.

Issues for future country studies on procurement

- What steps have been taken to introduce better procurement systems?
- What is done to reduce the risks, especially around textbook supply?

2.3.4 Participatory monitoring and social accountability

The literature reveals a range of participatory monitoring and social accountability initiatives with various degrees and modalities of participation. The stated objectives of these methods may explicitly seek to address corruption, but more often they are seen as part of broader good governance agendas that aim to improve oversight and accountability on the part of community stakeholders that are properly organized and supported to provide it.

Role of school management committees

In line with decentralisation processes, the decentralisation of funds from central governments to schools has been increasing in the past 20 years, especially in developing countries. This has led to the establishment of school management committees (SMCs)—also known as school boards, or boards of governors in secondary schools—with responsibility for oversight of school planning, school budgeting and school finances. SMCs typically have a membership prescribed by law or decrees; among the 6 to 10 members are the head teacher (principal), an SMC chair and a treasurer. The membership may include representatives from community organizations, religious groups, local education authorities, and local councils or assemblies. In most cases SMCs include at least one woman. Although student membership is not yet widespread, it has become a trend in some countries.

The impact of SMCs' involvement in school monitoring varies across countries and regions. While in some countries there are reports of increased oversight and better usage of school funds, in others SMC chairs and head teachers appear to have dominated committees and rarely allowed

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other members to oversee finances or raise their concerns.⁵⁵ This may be especially likely in SMCs where the only literate members are the head teacher and the chair, and where people have limited understanding of accountancy and finances.⁵⁶

The literature provides a range of examples of increased transparency as a result of parental involvement through SMCs. For instance in Bangladesh, the reformulation of the role and the composition of the SMCs—increasing parental participation and the participation of women in particular—led to a reduction in the proportion of students asked to pay bribes to benefit from a government stipend scheme to support poor children, a scheme the students were entitled to.⁵⁷ In Indonesia, parents' involvement in school management has also reduced opportunity for corruption around school grants.⁵⁸

Box 6. Women and corruption

Women's participation in public life and politics as a mean to reduce corruption has been debated in the past decade without any clear conclusions being reached. There is some indication, though, that women are less susceptible to bribes.^{59, 60} There is no evidence pertaining to the education sector specifically, but women's participation is described in some documentation as a possible tool to fight corruption in this sector.⁶¹

A potential area of investigation could be whether there are gender-related correlations in the level of corruption at school level. For example, is corruption less common when head teachers and/or SMC chairs are female? And if so, why?

Issues for future country studies for participatory monitoring and social accountability

- What is the membership of SMCs in primary and secondary education?
- How are their capacity development needs assessed and addressed?
- What role do they play in overseeing finances?
- Are there examples of SMCs that have exposed the wrongdoings of school management?

55 Lugaz, C. & De Grauwe, A. (2010). 'Schooling and decentralisation, patterns and policy implications in Francophone West Africa'. IIEP/ UNESCO.

56 Antonowicz, L., Lesné, F., Stassen S. & Wood, J. (2010). 'Good governance lessons for primary education' in Africa Education Watch series. Transparency International.

57 World Bank (2006). Program document for a proposed Second Programmatic Education Sector Development Support Credit to the People's Republic of Bangladesh. Human Development Sector, South Asia Region.

58 Chapman, D. (2002). 'Corruption and the education sector'. Sectoral Perspectives on Corruption, USAID.

59 Azfar, O., Knack, S., Lee, Y. & Swamy, A (1999). 'Gender and corruption'. Working paper 232, IRIS Center.

60 A discussion of the issue, including references, may be found at www.u4.no/helpdesk/helpdesk/queries/query98.cfm

61 Chene, M. (2009). 'Gender, corruption and education'. U4 Expert Answer, U4 Anti-Corruption Resource Centre and Transparency International.



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Budget tracking and monitoring

One of the distinctive features of budget-tracking interventions is the involvement of CSOs; budget tracking has been promoted by several such groups, including the Commonwealth Education Fund (CEF).⁶² Their ability to participate effectively is not always guaranteed, however. The literature highlights the importance of establishing an enabling environment for budget tracking by NGOs and CSOs to get recognition and support when undertaking this type of work.⁶³

A good example is provided by a CEF project that was funded by DFID between 2002 and 2008 and jointly managed by ActionAid, Oxfam and Save the Children. The project sought to enhance local community participation in monitoring education budgets and expenditures at local and national level. It was undertaken in Bangladesh, Cameroon, the Gambia, Ghana, India, Kenya, Lesotho, Malawi, Mozambique, Nigeria, Pakistan, Sierra Leone, Sri Lanka, Pakistan, Uganda, the United Republic of Tanzania, Zambia and Zimbabwe. CEF through various partnerships at national and local level with NGOs and CSOs piloted a range of tools and approaches and learned many lessons. Tools and manuals have been fine-tuned to enable genuine participation from parents, and procedures have been developed for independent board monitors (such as working in groups to avoid bribes).⁶⁴ Positive impact on good governance and better quality education has been reported, as has the recovery of some misappropriated funds.⁶⁵ However, the long-term impact of such initiatives is said to be limited due to the lack of follow-up of exposed cases of corruption.

Scorecards

There is evidence that community scorecards or report cards are used in a range of countries, including Armenia⁶⁶, Ghana⁶⁷, Tanzania⁶⁸, Sierra Leone⁶⁹, Ukraine and Bangladesh (regarding textbook distribution)⁷⁰. Report cards are seen as flexible and are considered useful in helping build local awareness of service delivery issues and perhaps identifying mismanagement and corruption. They are used by CSOs working with communities to provide the perspective of the users/beneficiaries.

Community scorecards are a tool used to structure the way that responsibility for 'tracking' is delegated to beneficiaries and may be undertaken over a longer period. However, some documentation provides a cautionary note that a necessary pre-condition is that the beneficiaries care enough to do the work required, and are not constrained by fear of reprisal should their scorecards reveal

62 For examples, see: www.commonwealtheducationfund.org/budget.html.

63 U4 Anti-Corruption Resource Centre (2009). 'Confronting corruption in education: advancing accountable practices through budget monitoring'. U4 Brief 7.

64 Anyuru, M. (2006). 'Experiences of the Apac Anti-Corruption Coalition (TAACC), CCF Acenlworo Children and Family Programme, and Uganda Adult Education Network (UGAADEN)'. Best practices in budget and anti-corruption work, Commonwealth Education Fund Uganda.

65 Hart, J. (2008). 'Education budget work: civil society action against corruption'. Commonwealth Education Fund, presentation at the 13th International Anti-Corruption Conference, Athens, Greece.

66 World Bank (2005). 'Social accountability and participatory monitoring approaches in Armenia: experiences and opportunities'.

67 Robinson, L. (2004). 'Community scorecards'. Module 1: facilitating the community scorecard'. Northern Ghana Network for Development.

68 Twaweza (2008). Program Components. Tanzania.

69 National Accountability Group (2006). 'Participatory service delivery assessment of the activities of local councils in the mental health and sanitation, agriculture and educational sectors in Sierra Leone', a citizen report card on 19 local councils.

70 Ochse, K. (2004). 'Preventing corruption in the education sector: a practical guide'. GTZ.

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bad practice and mismanagement.⁷¹ The arrangements by which scorecards are analysed and put into action are therefore critical to their effectiveness. Much experience is based on pilots in which external agencies lead this role, rather than it being institutionalised.

Box 7. Monitoring the integrity of the Romanian higher education system⁷²

In response to perceived high levels of corruption in higher education, a coalition of NGOs in Romania—the Coalition for Clean Universities—launched an initiative to define and enforce a set of integrity principles that should govern the sector.

Academic integrity was defined and evaluated according to the following four key categories and their indicators, for a possible total of 100 points:

- Administrative transparency and probity: publication/public access to documents such as accounting and procurement records; income declarations and declarations of interests; documents attesting that the individual staff member had not been involved with the Communist political police (30 points)
- Academic fairness: plagiarism, performance in research and teaching, efficacy of complaints mechanisms (20 points)
- Quality of governance: nepotism, students' participation in decision making, promotion and reward practices (35 points)
- Financial management: discretionary expenditure, procurement processes (15 points)

The assessment of universities was carried out by five teams of external evaluators, each composed of a senior scholar and a student, using a standard instrument—a questionnaire developed for the project. Special attention was paid to the independence and objectivity of the assessors, in particular by ensuring that they had no links with the institutions they were evaluating.

The initiative evolved in phases, with the first, pilot phase (October 2007 to May 2008) designed to define and test the monitoring methodology in a select number of institutions. The initial effort was followed up by a broader national project during the academic years 2008-2009 and 2009-2010, which included the monitoring and evaluation of 42 public universities in Romania.

The initiative is seen to have had a decisive impact in establishing integrity standards for higher education in Romania, many of which were later reflected in the policies of governmental bodies responsible for educational reform in the country.

71 Banerjee, A. & Duflo, E. (2006). 'Addressing absence' *Journal of Economic Perspectives*, 20(1): 117–132.

72 See also full account by author of the methodology: Alina Mungiu-Pippidi (Hertie School of Governance), 'Civil society and control of corruption: assessing governance of Romanian Public Universities', in *International Journal of Educational Development*, March 2011; online at http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1790062.



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Issues for future country studies on budget tracking and monitoring

- Are there examples of tracking initiatives that have also included strategies to ensure case follow-up and enforcement of legislation?
- Are there initiatives for local oversight of services and/or finances?



UN Photo/Bikem Ekberzade

Children's monitoring

Although many NGOs have engaged in participatory community oversight of school finances and education budget tracking, few have sought children's participation in such processes. Child participation in school management has been encouraged as a contribution to good governance. A well-documented case-study in Uganda^{73, 74} demonstrates the role that students can play in monitoring school grants and contributing to school management. Children's monitoring was perceived as positive for reporting teachers' absences and inappropriate behaviours. Identified cases of corrupt head teachers and of school staff impregnating girls were reported to the authorities.

73 Anyuru, M. (2006). 'Experiences of the Apac Anti-Corruption Coalition (TAACC), CCF Acenlworo Children and Family Programme, and Uganda Adult Education Network (UGAADEN): Best practices in budget and anti-corruption work, Commonwealth Education Fund Uganda.

74 Hart, J. (2008). 'Education budget work: civil society action against corruption'. Commonwealth Education Fund, presentation at the 13th International Anti-Corruption Conference, Athens, Greece.

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For such interventions to be successful there needs to be strong political will at the local level and a readiness among communities to listen to children's voices. Key challenges pertain to law enforcement and the follow-up of cases by authorities (be they educational or judiciary), but also to the possible manipulation of children and their exposure to potentially dangerous situations when reports identify malpractice.

Issues for future country studies on children's participation in monitoring

- Are there attempts to empower children, and to provide ways that their voices and knowledge can be mobilised against corruption?

2.3.5 Information and the use of media and information technology

The literature underlines the importance of engaging with the media in anti-corruption work. Most projects undertaken in the last decade included a media component with strategic partnerships for information dissemination, training on investigative journalism and reporting, etc. The case of Uganda is analysed at length, with regards to the role played by information dissemination in the PETS and the reduction of leakages around school grants.⁷⁵ National and local newspapers published information about the size of the grants that were to be paid to schools, and this step was associated with a reduction in losses (through corruption and mismanagement).

While some argued that public access to information in Uganda was strongly correlated with the reduction in capture of school funds,⁷⁶ others have established that despite the key role played by public access to information, positive results in terms of corruption reduction would not have been achieved if other factors had not proved influential at the time of the media intervention. Among those factors were restructuring of grants and the introduction of universal primary education,⁷⁷ as well as other associated capacity development activities.

With the emergence of new media and the Internet, opportunities for information dissemination and public scrutiny of public expenditure have increased. Examples of publicly accessible procurement systems to enable public scrutiny are found in the literature, but the impact of such practices has yet to be fully articulated.⁷⁸

It is important that media coverage is not limited to the exposure of corruption. Sustained relationships with the media are necessary to ensure a constant flow of information on corruption issues that contributes to accurate public knowledge, reduces public tolerance of corrupt practices in the education sector, and leads to action or behavioural change.

75 Hubbard, P. (2007). 'Putting the power of transparency in context: information's role in reducing corruption in Uganda's education sector'. Center for Global Development Working Paper Number 136.

76 Reinikka, R. & Svensson, J. (2004). 'The power of information: evidence from a newspaper campaign to reduce capture'. Policy Research Working Paper No. 3239, World Bank.

77 Hubbard, P. (2007). 'Putting the power of transparency in context: information's role in reducing corruption in Uganda's education sector'. Center for Global Development Working Paper Number 136.

78 Hallak, J. & Poisson, M. (2007). 'Corrupt schools, corrupt universities: what can be done?' IIEP UNESCO.



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Issues for future country studies on the role of media

- Assess how feely and completely media outlets report on corruption and act to increase public awareness around corruption in education.

2.3.6 Initiatives to curb teacher absenteeism

Teacher absenteeism is acknowledged to be a major management concern for education in many countries. When teachers are absent without legitimate reason they divert public resources to their own purposes to the detriment of the education of their pupils.

Beyond participatory monitoring interventions which usually focus on monitoring teachers' presence in schools, CSOs have piloted a range of initiatives designed to curb absenteeism. The initiatives emphasize the role of direct incentives for teachers. Two expert observers, Banerjee and Duflo,⁷⁹ explore further the role of incentives by comparing approaches and conclude that better attendance results are obtained through systems mechanically and systematically implemented rather than systems involving headmasters who may, for a variety of reasons, manipulate teacher attendance records. Their conclusions are based on two initiatives. The first one required teachers to take a picture of themselves in front of the classroom at the beginning of every day of the week with a digital camera with date and time functions. Regular checks helped determine when teachers had not been in schools, and unexplained absences resulted in salary loss for days not worked. The second initiative entrusted head teachers to monitor teachers' presence and to offer a bicycle to teachers with a good attendance record.

Monitoring of both experiments took place with control schools. The first initiative showed a positive difference in teacher attendance between schools using and not using cameras. The second initiative did not show a significant difference, which the authors explain by stating that "when human judgment is involved in a system where rules are often bent, incentives may easily be perverted."

Issues for future country studies on teacher absenteeism

- What are countries doing to ensure teachers' attendance and reduce absenteeism?
- What is the evidence at the school level?

2.3.7 Surveys

The types of surveys encountered in anti-corruption work include public expenditure tracking surveys (PETS), quantitative service delivery surveys, and other types of diagnostic surveys or social audits.⁸⁰ Although such surveys are not anti-corruption interventions per se, their results can be

79 Banerjee, A. & Duflo, E. (2006). 'Addressing absence'. *Journal of Economic Perspectives*, 20(1): 117–132.

80 Ochse, K. (2004). 'Preventing corruption in the education sector: a practical guide'. GTZ.

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used to assess the potential impact of specific interventions (e.g., a change in disbursement of funds, or a procedure to disburse funds), and to raise awareness and disseminate quantitative evidence on corruption in a given sector in a given country.⁸¹ They also provide a shared starting point for analysing risks and points of potential action.

No rigorous comparative data was found on the impact of PETS. One reason is that some of the surveys are too recent to have been evaluated. However, there is increasing consensus that PETS may be useful only in certain circumstances, especially in contexts where consensus can be achieved to act on results. The early rush of enthusiasm has been tempered and it is increasingly recognised that the novelty of PETS is not an innovative tool per se. Yet at the same time, it seems that PETS can help overcome shortcomings in administrative/financial data.

Other commentators note the following regarding PETS:⁸²

- **PETS do not tend to provide a process or strategy by which the technical recommendations that are provided can be implemented.**
- **They do not necessarily trigger a public debate. Beyond the Ugandan experience (see below) in which there was political will for education and strong development partnership, there is little evidence of PETS capturing the public imagination or leading to concerted pressure for reform.**
- **Essentially, a PETS does not 'do' anything. It is merely a survey, and it is only useful if its findings are acted upon. It is therefore important that a PETS is seen as only one part of a larger strategy.**
- **Although this might seem obvious, it is striking how little attention is paid to the need for (and possible difficulty of) follow-up action in policy discussions leading to decisions to conduct a PETS.**

These limitations are noteworthy in regards to the two PETS case studies that receive substantial attention in the existing literature: Uganda and Tanzania.⁸³ The Uganda PETS in education has been much quoted as identifying the level of leakage in the distribution of school grant funds and stimulating action, most notably the pro-active information about grant amounts discussed in Section 2.3.5.

The Tanzania PETS is reported to have been less immediately successful and demonstrates lessons about the need for common understanding and agreements about methodologies, especially where development partners are the main drivers of the study. In the Tanzania case, the PETS identified concerns regarding the overly complex financial structures and lack of information, but did not lead to consensus and action. The government was critical of the methodology (which was described by others as 'robust') and no response to the final study was made

81 Reinikka, R. & Smith, N. (2004). 'Public expenditure tracking surveys in education'. IIEP/UNESCO.

82 Sundet, G. (2008). 'Following the money: do public expenditure tracking surveys matter?' U4 Issue 2008:8.

83 U4 Anti-Corruption Resource Centre (2007). 'Public expenditure tracking surveys: lessons from Tanzania'. U4 Brief 14.



2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES

Issues for future country studies on surveys

- Has there been a PETS or survey with intention to identify leakage or risks?
- What happened to the results?



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2.4 Capacity development

Documented initiatives in the literature on anti-corruption approaches focusing on capacity development cover institutional, organizational and individual capacity using technical assistance and training as the two main implementation strategies.

Initiatives commented upon in the literature tend to be components of wider education programmes and interventions. This is for instance the case in Honduras, where the GIZ programme to support the quality of basic education in the framework of the EFA Fast Track Initiative provided technical assistance to the Transparency Department of the Ministry of Education, and also assisted in training teachers' unions, PTAs and CSOs on corruption issues in the education sector.⁸⁴ Similarly, the Commonwealth Education Fund project described in Section 2.3.4 was active in building the capacity of CSOs, parents and children in monitoring and tracking budgets.⁸⁵ This work reported impact on the national coalition's ability to discuss education budgets with education ministries, and (in best cases) with finance ministries.

84 Teggemann, S. (2010). 'Anti-Corruption in sectors: good practices and lessons learned from country experiences'. Conference of the Arab Anti-Corruption and Integrity Network, Sana'a, Yemen. PowerPoint presentation. GTZ.

85 Perry, V. (2008). 'Civil society engagement in education budgets: a report documenting Commonwealth Education Fund experiences'. Commonwealth Education Fund.

2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES



Parliamentarians are also targeted by training on education budgeting, of which anti-corruption may be a sub-component. Training initiatives focusing on Parliaments have been reported in Kenya⁸⁶ and Tanzania among other places; in both cases, efforts focused on building the capacity of Parliament Education Committees to scrutinise budgets and ensure they are in line with education policies.

But it is within the context of decentralisation and increasing responsibility and accountability of head teachers and SMCs that most training and capacity-strengthening programmes have been framed to address these actors.

The role of head teachers is critical in school management, yet in many countries, especially in sub-Saharan Africa, head teachers tend to be teachers promoted after a number of years in service, and through processes that may be subject to patronage. Their terms, conditions and career management rarely reflect the increased responsibilities that are being delegated to them. Head teachers do not normally receive any management training before beginning their new jobs. Building their capacities in school management and finance has been recognised as a priority in a number of countries, with a focus on their accountability roles in decentralisation initiatives. These, however, are new skills; existing evidence shows a wide gap between expectations and impact (for example in Transparency International's Africa Education Watch survey).

Issues for future country studies on capacity development in the education sector

- What capacity development initiatives have contributed to anti-corruption efforts in the education sector?
- What have been the different capacity development methodologies used (target groups, implementation strategies, activities, sustainability elements, etc.)?

2.5 Development aid to education

Multilateral and bilateral agencies have prioritised the corruption agenda over past 10 years; they have been driven by concerns regarding wastage of development aid, the distortions caused by corruption, and increasing criticisms from their own constituencies. The EFA goals and the MDGs for education have, along with the global harmonisation agenda, provided a context to increase and share accountability for aid and its results. In extreme and high profile cases, such as in response to high-level corruption in Kenya, agencies have halted disbursement of funds to governments.⁸⁷ Action by donors against corrupt suppliers is ongoing, and procedures to reduce risks are under constant development.⁸⁸

Agencies act by exerting their agendas in programme development to include anti-corruption (or more often 'governance') initiatives in programme design, by introducing national anti-corruption

⁸⁶ U4 Anti-Corruption Resource Centre (2006). 'Corruption in the education sector' U4 Issue 4.

⁸⁷ See for example: www.nation.co.ke/News/-/1056/820998/-/item/0/-/109gea5z/-/index.html.

⁸⁸ See for recent example: www.telegraph.co.uk/finance/newsbysector/mediatechnologyandtelecoms/media/7683139/Macmillan-admits-to-bribery-over-World-Bank-Sudan-aid-deal.html.



2. FINDINGS FROM THE DESK REVIEW OF ANTI-CORRUPTION TOOLS AND PRACTICES



UN Photo/Olivier Chassot

programmes and by working to reduce the risks of mismanagement of the concerned funds. Thus, for example, NORAD has three main approaches to tackle educational financing and corruption:

- anti-corruption clauses in development cooperation agreements,
- support and participation in public expenditure reviews/PETS, and
- financial reviews.⁸⁹

⁸⁹ Norad (2006). 'Educational financing and-corruption'. PowerPoint document.



3.1 Gaps in the reporting

Most existing anti-corruption approaches and tools address transparency and accountability and public administration and system reforms. There are few examples of initiatives seeking to strengthen the rule of law or building capacity to combat corruption in the education sector. This might be explained by the fact that anti-corruption legislation often addresses the macro level rather than sectors individually, and that anti-corruption issues are mainstreamed in capacity-building activities rather than being the main focus of specific capacity initiatives.

Most education-related interventions have prioritized education finance, school grants and school management in general. Surprisingly, the literature does not present many tools for known risk areas for corrupt practices, such as teacher accreditation, appointments, deployment and payment, or procurement of infrastructure. Most importantly, interventions are reported without precise information as to the magnitude/level of risk of the education area or transaction they address, or the reasons why these are so prone to corruption in comparison with others. Where impact measures do exist, they often provide little help in identifying the impact of interventions on inputs or outputs.⁹⁰

To date, anti-corruption interventions in education sectors have primarily targeted the areas of education finance, school grants and school management in general, and have placed comparatively less focus on initiatives aimed at addressing the corruption risks related to the teacher accreditation, appointments, deployment and payment, or procurement of infrastructure.

To date, anti-corruption interventions in education sectors have primarily targeted the areas of education finance, school grants and school management in general, and have placed comparatively less focus on initiatives aimed at addressing the corruption risks related to the teacher accreditation, appointments, deployment and payment, or procurement of infrastructure.

Although this review has focused on anti-corruption interventions, it appears that the majority of interventions described as anti-corruption initiatives are, in fact, about wider governance aims—such as integrity, transparency, participation, accountability and capacity—that do not explicitly discuss corruption. Is this simply a case of overlapping categories or of expectations that these important elements of good governance are implicitly considered part of the toolkit for anti-

⁹⁰ UNDP (2008). 'A user's guide to measuring corruption'. See http://www.undp.org/oslocentre/docs08/users_guide_measuring_corruption.pdf.



3. CONCLUSIONS

Contexts are important to understanding current situations and attempting to replicate success stories. One approach for anti-corruption interventions in the education sector would be to highlight the conditions that create an enabling environment for anti-corruption work in a particular area of the education system.

corruption? Or is the discourse of governance being used to avoid discussing 'corruption' directly? It is not easy or simple to know how to respond to these questions.

An area which is not explored by the literature is how anti-corruption interventions of different types and in different education areas combine to have a greater impact. Also not known in this regard is which combination of interventions is most effective, and at what level such interventions are likely to result in the most significant improvement.

Moreover, as some examples have shown, anti-corruption initiatives may lead to the migration of corruption from the targeted area to one or more other areas.

3.2 Context matters

The drivers and conditions for change are frequently overlooked in the literature, although it has been established that corruption is linked to power dynamics among groups, behaviours of elites and individuals, and the political context. Drivers and pre-conditions for change should therefore be investigated within the context in which anti-corruption initiatives take place. Contextual information might include:

- **national, historic and political context regarding corruption;**
- **education system (level of decentralisation, level of government involved in school funding, etc.);**
- **governance systems, including legislative and regulatory frameworks, the functionality of court systems and enforcement mechanisms, norms and customs, and financial flows;**
- **the level of press freedom and journalist ethics, and the overall role of the media;**
- **analysis of each risk and the power dynamics, values and cultural practices that are embedded in individuals' and groups' attitudes towards risks areas and corruption; and**
- **political will.**



Education management information system (EMIS)

The ways in which management data on the education sector are collected, analysed and made available to administrators, policy makers and others. Normally uses computerised data storage and transmission and sometimes the term is used to describe the replacement of manual systems.

Formal, non-formal and informal education⁹¹

Formal education: the hierarchically structured, chronologically graded 'education system' running from primary school through university and including, in addition to general academic studies, a variety of specialised programmes and institutions for full-time technical and professional training.

Non-formal education: any organized educational activity outside the established formal system—whether operating separately or as an important feature of some broader activity—that is intended to serve identifiable learning clienteles and learning objectives.

Informal education: the truly lifelong process whereby every individual acquires attitudes, values, skills and knowledge from daily experience and the educative influences and resources in his or her environment—from family and neighbours, from work and play, from the market place, the library and the mass media.

Parent-teacher association (PTA)

Normally used to describe a group with less management responsibility than an SMC but which nevertheless provides a forum for discussion on school practices and for parents to organize support to schools.

School management committee (SMC) and school boards

Normally used to describe a group with management and oversight responsibilities for schools, which may include planning and financial oversight. Characteristically representative of the overall school community, including parents and, increasingly, children. Roles and representativeness vary enormously among countries.

Teacher management information system (TMIS)

Refers to the ways in which management data for teachers is collected and used, including for payment and career assessment.

Universal primary education (UPE)

Refers to situations in which all children attend primary school. Commonly used to identify policy actions, notably the abolition of fees, intended to encourage full enrolment.

91 For more in-depth discussion of these essentially administrative definitions, see, for example: www.infed.org/biblio/b-nonfor.htm.



ANNEX 2. INTERNET SOURCES

The following websites include information and resources regarding anti-corruption in education. Several of the websites have cross-linkages as well as links to unique URLs for academic papers in journals. Several collected documents are sourced via bibliographies of these pages or their resources.

| Name | URL | Comments |
|--|--|---|
| UNDP anti-corruption Web page | www.undp.org/governance/focus_anti-corruption.shtml | Includes overview and links to top-level UNDP anti-corruption publications and newsletter, Anti-Corruption Guidance Note and Asia-Pacific HDR 2008 |
| UNDP anti-corruption portal | www.anti-corruption.org | Portal with U4, UNDP and UNESCO resources on education and corruption including country-specific data. Requires username and password. |
| IIEP UNESCO | www.iiep.unesco.org/information-services/publications/ethics-and-corruption.html | Wide-ranging resources, especially on teacher codes of conduct and academic fraud (e.g., examinations, plagiarism). |
| IIEP ETICO database | http://databases.unesco.org/etico/etico_eng.htm | Resources on ethics and corruption in education. Links to Transparency International's CORIS Web portal. World Bank, Transparency International and academic papers included. |
| World Bank's governance and anti-corruption site | www.worldbank.org/wbi/governance | Empirical diagnostic surveys and resources focusing on state-level interventions—judicial reform, public sector governance. Some resources by sector, including education. |
| World Bank's education site | http://go.worldbank.org/GMDMICVFF0 | Information on school-based management, finance and expenditures in education. |
| IMF | www.imf.org/external/research/index.aspx | IMF research searchable page with various papers on good governance and anti-corruption, including linked to education. |



| Name | URL | Comments |
|--|--|--|
| OECD's bribery and corruption site | www.oecd.org/topic/0,3373,en_2649_37447_1_1_1_1_37447,00.html | Focus on bribery and governance; some resources connecting corruption with the education sector. |
| OECD' regional anti-corruption programmes site | www.oecd.org/document/58/0,3343,en_2649_37447_41803642_1_1_1_1,00.html | Links to regional pages of general anti-corruption data including some on education sector. |
| USAID | www.usaid.gov/our_work/democracy_and_governance/technical_areas/anti-corruption/ | Including USAID's anti-corruption strategy and description of programmes. |
| Organisation for Security and Cooperation in Europe (OSCE) | www.osce.org/ | Includes best practices in combating corruption. |
| Open Society Foundation's Education Support Programme | www.espsshare.org/display/TAAinGE/Documents www.soros.org/initiatives/esp/about | Overview of OSI-supported anti-corruption initiatives in education |
| U4 Anti-Corruption Resource Centre | www.u4.no/ | Wide-ranging collection of resources including 'expert answers' on anti-corruption and education. |
| Governance and Social Development Resource Centre (GSDRC) | www.gsdr.org/go/gateway-guides/anti-corruption | Gateway to general, thematic and regional resources across the web, including links to NGOs, UN agencies and donor Web pages. |
| Global Integrity Report | http://report.globalintegrity.org/ | Assessment of national anti-corruption systems across tens of countries. Overview of national issues gives indication of issues but not education sector specific. |
| Transparency International | www.transparency.org/global_priorities/other_thematic_issues/education | Education theme page with several anti-corruption in education reports, many school and community level. |
| Freedom House – Countries at the Crossroads | www.freedomhouse.org/template.cfm?page=139&edition=8 | Survey and data on governance, including anticorruption and transparency, in 70 countries. |



ANNEX 2. INTERNET SOURCES

| Name | URL | Comments |
|---|--|---|
| Overseas Development Institute's resource section | www.odi.org.uk/resources/ | Working papers and opinion papers on anticorruption in education, particularly in humanitarian and post-war contexts. |
| Eldis | www.eldis.org/go/topics | Searchable database with U4, IEP, Transparency International, NGO, donor and academic reports and articles |
| Regional Anti-corruption Initiative | www.rai-see.org/home.html | Small library of regional anti-corruption resources; focuses on Southeast Europe. |
| Anti-corruption Student Network in South East Europe | http://see-corruption.net/ | Information on student initiatives to fight corruption in higher education in the region. |
| iKnow Politics | www.iknowpolitics.org/homepage | Information on women and corruption. |
| Information portal on governance and corruption in Africa | www.ipocafrika.org/ | Conference reports, charters and acts from southern Africa related to corruption. Focus on legislation. |



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Background

Corruption hinders efforts to achieve the MDGs by reducing access to services and diverting resources away from investments in infrastructure, institutions and social services. Success in meeting the MDGs will therefore largely depend on the 'quality' of governance and the level of effectiveness, efficiency and equity in resource generation, allocation and management.

As highlighted by UNESCO in its Education for All Global Monitoring Report 2009, good governance matters for education. This implies not just transparency and accountability, but also a commitment to equal opportunity for all citizens. Failure to tackle corruption has particularly damaging consequences for the poor. When resources do not reach schools, or when schools levy unauthorised fees, it is the poor who are least able to pay. In the absence of good governance, parents and communities face education provision that is unresponsive to their needs and ineffective in raising learning achievements. It leaves communities and regions with children sitting in classrooms lacking basic teaching materials, and supervised by untrained and demotivated teachers. In some cases, bad governance also means that financial resources allocated to schools do not arrive; teacher quality declines even if the teacher-student ratio increases; resources are spent ineffectively because of lack of mechanisms to monitor and assess the impact; and most of all, weak decentralised strategy and accountability structures ultimately hinder progress.

A literature review conducted internationally reveals that anti-corruption initiatives in the education sector are not well documented or reported upon. Opportunities for sharing learning on best practice across countries and agencies are scarce. Moreover, the literature review establishes the need to increase the understanding of the enabling environment for anti-corruption work in education, and to more systematically evaluate anti-corruption interventions to gauge their results on corruption reduction, their value added for the education sector in general, and their sustainability.

Purpose and scope

The field research should look at methods and tools that have been used and describe them in detail. Taken in consideration should be their contexts, enabling and constraining factors, and to the extent possible, their success and impact on corruption reduction.

Investigation questions

Core questions

- What are the contextual parameters of corrupt practices and anti-corruption initiatives?
- What anti-corruption interventions have been initiated?
- What were the drivers?
- What specific corruption risks have they addressed?
- What has been the approach of the anti-corruption intervention?
- Through what implementation partnership was the intervention conducted?
- How have activities tackled the diverse range of factors of the identified corrupt practice or risk?



ANNEX 4. PROPOSED TERMS OF REFERENCE FOR COUNTRY CASES STUDIES ON ANTI-CORRUPTION IN THE EDUCATION SECTOR

- What have been the results of the anti-corruption intervention? Supported by what evidence?
- What have been the enabling and hindering factors of the anti-corruption intervention's results? How have constraints and obstacles been overcome during intervention implementation?
- What sustainability mechanisms were built into the anti-corruption intervention? Have these been effective?
- What lessons can be drawn from the anti-corruption intervention?
- What elements of replicability could be singled out from the intervention?

Issues to be explored in field work:

Legislation

- Where anti-corruption legislation exists, has it been mediated and specifically operationalised within the education sector?
- Has the education sector proved to be a particularly problematic sector in which to adopt and implement new legislation for any reason?
- How consultative has been the process leading to anti-corruption legislation?
- What are the enforcement mechanisms in place? Is there evidence of their effectiveness?
- Do sanctions for corrupt practices exist? If so, have they changed and how have they been used?
- Is information available as to whether staff have been dismissed for corrupt practices?

Codes of conduct

- Where codes of conduct for education staff and civil servants are in place:
- How were they developed (political will, consultation process, leadership, etc.)?
- What aspects of behaviour do they cover?
- What are the enforcement mechanisms?
- How have enforcement mechanisms been used?

Better financial systems

Financial management

- What is the level of introduction of accounting systems, at sub-national offices and agencies?
- Have robust financial management mechanisms been introduced with a specific corruption reduction goal? If so what were the nature, the size and the location of the risks?
- In regards to the introduction of new financial management mechanisms:
- Who is involved?
- What are the drivers at government level?



- What administrative structure needs to be in place to enable such mechanisms to have an impact?

School grants disbursement

Where there have been grants to schools:

- How are grants disbursed?
- How are schools being held to account for the grants?
- How are central and district levels accountable to schools regarding grant disbursement?
- Do approaches anticipate the changes of the introduction of a new financial or disbursement system onto others? How is this done?
- Have evaluations of good practices looked at results in the area targeted by anti-corruption? Have they also looked widely to ensure that no transfers have taken place?
- Do data collection systems complement financial management / accounting practices to corroborate what is on paper?

Better systems—independence and externality

- The existence of audit bodies, their status, role and level of authority is to be investigated in the country studies. Examples of investigations by such bodies in the education sector are to be analysed.
- Focus on whether audit comments are followed through and lead to sanctions, in any cases.

Examination, diplomas and entrance to university

- Identify the existence, status and remit of examination or student commissions in country, and articulate their role.
- Identify strengths and weaknesses in these.

Teacher certification, deployment and salaries

- Are there any opportunities for external oversight of procedure in critical points for recruitment and promotion?
- What mechanisms are in place to ensure teachers receive their full salary?

School level

- How are parents involved in the oversight of schools?
- Do parents have opportunities to act against corrupt practices?

Better information technology (IT) for administration

- Are there systems in place? If so, are they being used to validate the administrative and financial processes that are at risk?



ANNEX 4. PROPOSED TERMS OF REFERENCE FOR COUNTRY CASES STUDIES ON ANTI-CORRUPTION IN THE EDUCATION SECTOR

- Are EMIS and TMIS being disseminated in a way that third parties may be able to use them and make reality checks?

Transparency and accountability

Advocacy and awareness-raising

Elements to consider include:

- Enabling and hindering environment of the campaign (political, social, economic, cultural context)
- Partnership: modality, strengths and weaknesses
- Linkages between campaign outputs and transformative actions

Anti-corruption education

This is not a priority area for investigation. However, where awareness campaigns and anti-corruption education initiatives complement anti-corruption interventions in the education sector, they should be reported and analysed to articulate their value added and learn lessons on how best to use them.

More open and transparent systems or procedures

- What steps have been taken to introduce better procurement systems?
- What is done to reduce the risks, especially around textbook supply?

Participatory monitoring and social accountability

Role of SMCs

A potential area of investigation could be whether there are correlations in corruption survey at school level between female head teachers or female chair of SMCs and reduced perception of corruption in comparison to male-led schools.

Budget tracking and monitoring

- Scorecards
- Examples of initiatives that have also included strategies to ensure case follow-up and enforcement of legislation?
- Are there initiatives for local oversight of service and/or finance?

Children's monitoring

Are there attempts to empower children, and to provide ways that their voice and knowledge can be mobilised against corruption?



Information and the use of media and information technology

Assess how freely and completely the press reports on corruption and acts to increase public awareness around corruption in education.

Initiatives to curb teacher absenteeism

- What are countries doing to ensure attendance of teachers?
- What is the evidence at the school level?

Surveys

- Has there been a PETS or survey with intention to identify leakage?
- What happened to the results?

Capacity development

- What initiatives have contributed to anti-corruption efforts in the education sector?
- What have been the different methodologies used (target groups, implementation strategies, activities, sustainability elements etc.)?



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The aim of these case studies is to document good anti-corruption practices in the education sector in sub-Saharan Africa that can be used to inform reforms elsewhere and contribute to the acceleration of the attainment of the MDGs.

These case studies focus on identifying key issues and documenting good practices and lessons in a number of countries in sub-Saharan Africa. Limited consultations have been undertaken where possible; however, they have largely been desk-based, with the majority of information sourced online and from accessible materials. Poor documentation and the paucity of updated online materials on most institutional websites in Africa has limited the scope and quality of the research. It is recommended that country studies and evaluations be undertaken at a later stage to obtain first-hand insights and updates on issues and lessons learned from good practices.

These cases highlight good practices of community involvement and participation in budget monitoring in Uganda and Malawi and public expenditure tracking in Ghana as examples of good anti-corruption practice in the education sector in Africa.

1. Uganda Case Study: Budget Tracking of Resources in the Education System

1.1 Introduction: access to education

The Uganda education sector, which comprises primary, secondary/tertiary and university levels, has made remarkable progress with substantial increases in coverage in both rural and urban areas. Until the early 1990s the education system remained unchanged with disparities in enrolment, gender, dropout rates, performance and general attainment arising from historical and cultural

⁹² These cases studies were commissioned by UNDP and prepared by AVID Development Ltd in March 2011. The desk research was conducted by Allen Asimwe with assistance from Ashaba Ahebwa and Victor Agaba.



factors. However, a shift was evidenced in the mid-1990s with the inclusion of education as a basic right under the Constitution.⁹³

Following the liberalization of the education sector and the introduction of universal primary education (UPE) in the 1990s, enrollment at all levels has increased tremendously. For instance, enrollment at primary level doubled from about 3.5 million in 1997 to over 7 million by the end of 2010. The subsequent introduction of universal secondary education in 2006 has led to a dramatic increase in enrollment levels at secondary level.

This has created great opportunities for private investors in the post-primary education sub-sector so as to enhance absorption capacity. For instance, a total of 512,057 candidates registered for the primary leaving examinations in 2010, with 84.2 percent of them coming from UPE schools and the remaining 15.8 percent from private schools. This massive growth has had its attendant challenges largely in the poor quality of education, low retention rates and low absorption capacity within institutions. For instance, the capacity in public-sector secondary schools is only 200,000 students, a limit that has created not only a challenge but also an opportunity for the private sector to help meet demand.

1.2 Reforms in the education sector

A number of reforms have been instituted across government, some of them specific to the education sector. Reforms include:

- *A clear education-specific legal and policy framework* based on the 1992 Government White Paper on Education and the 1995 constitutional provisions on the basic right to education
- *Holistic approach to planning and management*—as articulated in the Education Sector Strategic Investment Plan 2004- 2015, which incorporates as key targets those commitments in the MDGs and the Education for All campaigns.
- *Equitable access to UPE* in 1997 and later introduction of universal secondary education in 2006
- *Increased participation of the public through decentralisation* under the Local Government Act of 1997, which transfers authority to formulate, approve and execute development plans for service delivery in key sectors including health, education, and agriculture to the districts. For instance, registration for UPE children, distribution of textbooks and monthly remittances for schools from central government are all channelled through district administrations.
- *Clear institutional and management framework* through the sector-wide approach, in which roles and responsibilities of key actors in the education system are clear
- *Stable sector financing regime* and a more comprehensive and coherent approach to aid management. Under the School Facilities Grant (SGF), the Government covers the cost of tuition fees and basic school operational costs while families still need to provide writing materials, uniforms and lunches.
- *Clear and coordinated monitoring, evaluation and reporting framework* that culminates in the Joint Government/Development Partners Sector Review (JSR) forum held annually to carry out

93 Article 30 and 34 of the Constitution of the Republic of Uganda, 1995



ANNEX 5. CASE STUDIES FROM GHANA, MALAWI AND UGANDA: MAPPING GOOD ANTI-CORRUPTION PRACTICES IN SUB-SAHARAN AFRICA

a comprehensive review of the performance of the sector as per agreed undertakings based on four parameters of access, equity, quality and efficiency.

These reforms have contributed to the progress evidenced in the education sector. According to Uganda's third progress report on the MDGs status,⁹⁴ the MDG on access to education has been achieved as enrollments rates have increased to over 90 percent and there is gender parity between boys and girls in primary education. However, the rates of completion of a full course of primary education have stagnated in recent years, particularly for girls. A number of factors are responsible for this state of affairs, including poverty and a poor political environment and facilities to support education; poor quality of the education system; mismanagement and extensive corruption.

1.3 Corruption in the education sector

Given the large volume and scale of investments through the Schools Facilities Grant and the Poverty Action Fund, the opportunities for corruption have mushroomed. Massive wastage and leakages have characterized the education sector and it has been found to be one of the corrupt sectors in various national surveys including the National Integrity Survey 2008 and the National Services Delivery Survey 2008. At one time, it was reported that on average only 13 percent of central government allocations for nonwage costs reached Ugandan schools between 1991 and 1995.⁹⁵

Massive corruption cases involving billions of shillings have been reported in the education sector, particularly in the construction of school facilities; recruitment and inclusion on the payroll of ghost teachers; procurement and distribution of school materials; and leakages in the transfer of resource and materials from the Ministry of Education to the districts and schools.

Box 1. High risk areas in the education system

- Leakages in the transfer of resources and materials from the Ministry of Education to the districts and schools
- Lengthy supply chain and delays in the transfer of resources under the School Facilities Grant and Poverty Action Fund
- Procurement of supplies; bidding for construction of facilities
- Infrastructure/construction of buildings (schools, teachers' accommodation)
- Recruitment and inclusion of teachers on the payroll
- Teacher absenteeism estimated at approximately 30 percent

94 Millennium Development Goals Report for Uganda 2010: Special theme: Accelerating Progress towards improving maternal health. Ministry of Finance, Planning and Economic Development, September 2010.

95 UN Millennium Tracking Project (2005). Towards Universal Primary Education: Investments, Incentives and Institutions.



Over the years, corruption in the education sector has manifested itself in various ways including at a grand level. Delays⁹⁶ and leakage of funds from the Ministry of Education to the districts, and embezzlement of funds intended for teaching materials, school buildings, etc., have resulted in sub-standard educational materials being purchased due to manufacturers' bribes, instructors' copyrights, etc. Ghost teachers are on the pay roll, and high levels of absenteeism persist. Schools have also monopolized provision of basic services such as meals and uniforms, resulting in low quality and high prices.

Petty corruption has largely manifested itself through payment of illegal fees such as charges levied on children's school admission forms even though education is supposed to be free; use of school materials for private and commercial purposes; school places 'auctioned' out to the highest bidder; good grades and exam passes obtained through bribes to teachers and public officials; and poor students frequently marginalized because compulsory topics are addressed only in private tutoring sessions.

1.4 Ongoing reforms to tackle corruption in the education sector

A number of anti-corruption reforms are ongoing at national level largely through enactment of key laws such as the Anti-Corruption Act 2008 and the Whistle-blowers Protection Act 2010; and institutional strengthening of key anti-corruption agencies such as the Inspectorate of Government and the Anti-Corruption Division of the High Court.

At sectoral level, the Ministry of Education has passed a number of by-laws to address issues of absenteeism and petty corruption focusing on increasing students and teachers' attendance and prohibition of private coaching. There have also been initiatives to reduce leakages of transfers through budget tracking undertaken by the Ministry of Finance in partnership with the Ministry of Education. In the 1990s, the central government launched a transparency drive and began announcing its monthly budget transfers in various media outlets including newspapers and radio, and schools were required to post their receipt of funds. As a result of these and other measures, the flow of funds leapt to 90 percent in 1999, reflecting the importance of transparency and of community oversight of schools.⁹⁷

In 2010, a commission of inquiry headed by a senior judge was appointed by the president to investigate allegations of corruption in the education sector with specific focus on the universal primary education. Currently, inquiries are ongoing at national and sub national level.

These reforms have, however, largely been driven by the government with limited engagement from the public; they have therefore had limited impact on minimizing leakages at district level. In recent years, there have been efforts to increase public participation and oversight through public

96 The Budget Monitoring and Analysis Unit of the Ministry of Finance, Planning and Economic Development reported that there were delays in transfer of money and materials from the center and discrepancies in reporting by the central ministry and the receiving education institutions at district level. BMAU report October-December 2009; March 2010.

97 UN Millennium Tracking Project (2005). Towards Universal Primary Education: Investments, Incentives and Institutions.



ANNEX 5. CASE STUDIES FROM GHANA, MALAWI AND UGANDA: MAPPING GOOD ANTI-CORRUPTION PRACTICES IN SUB-SAHARAN AFRICA

expenditure monitoring. In this case the public is mobilized through CSOs to track the transfer of resources and materials from the central government to the districts and eventually to the primary schools. They do so by detecting and highlighting bottlenecks, inefficiencies and corruption thereby increasing transparency, openness and accountability in the delivery of services.

A number of NGOs including the Uganda Debt Network, Forum for Women in Democracy and NGO Forum focus on budget analysis, monitoring, advocacy and anti-corruption activities. A Civil Society Budget Advocacy Group (CS-BAG) was also established to coordinate the activities of all NGOs in this area and monitor government progress in meeting the goals of the UPE programme and addressing gaps in service delivery (De Renzio, P., Azeem V. & Ramkumar V., 2006).

1.5 Community monitoring of public expenditure in primary schools: TAACC project

Public expenditure monitoring by the citizens at district level was organized and supported by The Apac Anti-Corruption Coalition (TAACC).⁹⁸ This coalition was part of the CS-BAG coalition, funded by the Commonwealth Education Fund (CEF), and has employed budget monitoring as a tool to combat corruption in local schools in the Apac District of northern Uganda.⁹⁹

The overall objective of this initiative was to ensure that public funds allocated for education were used according to plans developed by communities, and not misappropriated by individuals for their own personal use. The TAACC trained monitors who have been successful in drawing attention to corruption in the education system, exposing corrupt district education officials and head teachers (U4 Brief, 2009). Monitors drawn from the communities were often members of various community-based organizations involved in monitoring government programmes.

TAACC employed a number of approaches:

- Sensitizing communities through radio discussions, community events and public demonstrations on their constitutional responsibility in monitoring the implementation of public programmes and on the negative impact of corruption on service delivery.
- Training independent budget monitors (IBMs), elected by local communities, in understanding the various education grants remitted by the government—including the universal primary education capitation and school facilities grant—as well as budgeting processes at both national and local levels and conducting monitoring of the education sector budget. The IBMs were tasked with verifying whether these grants were being properly used by district education offices.
- Documenting and exposing corrupt practices at the district through use of simple tools, e.g., photographing poorly constructed buildings and the absence of materials in libraries.

TAACC's budget tracking and anti-corruption work led to the investigation, interdiction, and dismissal of district education officials and head teachers who had misappropriated funds. They also

⁹⁸ TAACC is an umbrella anti-corruption CSO operating in northern Uganda and affiliated with the National Anti-Corruption Coalition of Uganda (ACCU).

⁹⁹ It should be noted that similar budget tracking exercises were carried out by CSOs in a number of districts countrywide. For instance, the Acenlworo programme of the Christian Children's Fund (CCF) involves primary pupils in school governance by allowing them to take responsibility for monitoring UPE grant expenditures in their schools.



were able to expose ghost schools and teachers. The IBMs also identified fraudulent contractors, and communicated their findings to the relevant government institutions responsible for blacklisting and legal redress.

Key success factors

The following factors and activities helped ensure the success of the project:

- *Engagement of the local communities* in monitoring transfer and utilization of funds meant for education and other government programmes at the community level.
- *Capacity building and awareness raising for community monitors* on the various aspects of the education sector, the budget process.
- *The emergence of an enabling political environment for anti-corruption work* in Uganda. During the period of the budget tracking initiatives, the Directorate for Ethics and Integrity in the Office of the President was conducting integrity promotion workshops for local government officials, and emphasizing the role of CSOs in fighting corruption. The workshops attended by CSOs in the area resulted into the formation of district integrity forums with TAACC as an active member (DEI Progress Report, 2008). As a result, TAACC gained the support of the Apac District Council, which passed a resolution in support of the coalition's work.
- *Building strategic partnerships with stakeholders at the district level*: the close relationship with the district council enabled TAACC to successfully lobby the council for an independent forensic audit of the district finance department (U4 Brief, 2009).

A challenge for TAACC and the IBMs has been to prosecute corrupt officials through the justice system. TAACC's efforts have been thwarted by the absence of a well-resourced investigative arm of government to effect proper investigations into reported cases of corruption (Anyuru, 2006). Hence, corrupt practices that were exposed have in most cases not been successfully investigated and prosecuted, a situation that has contributed to growing levels of impunity at the community level.

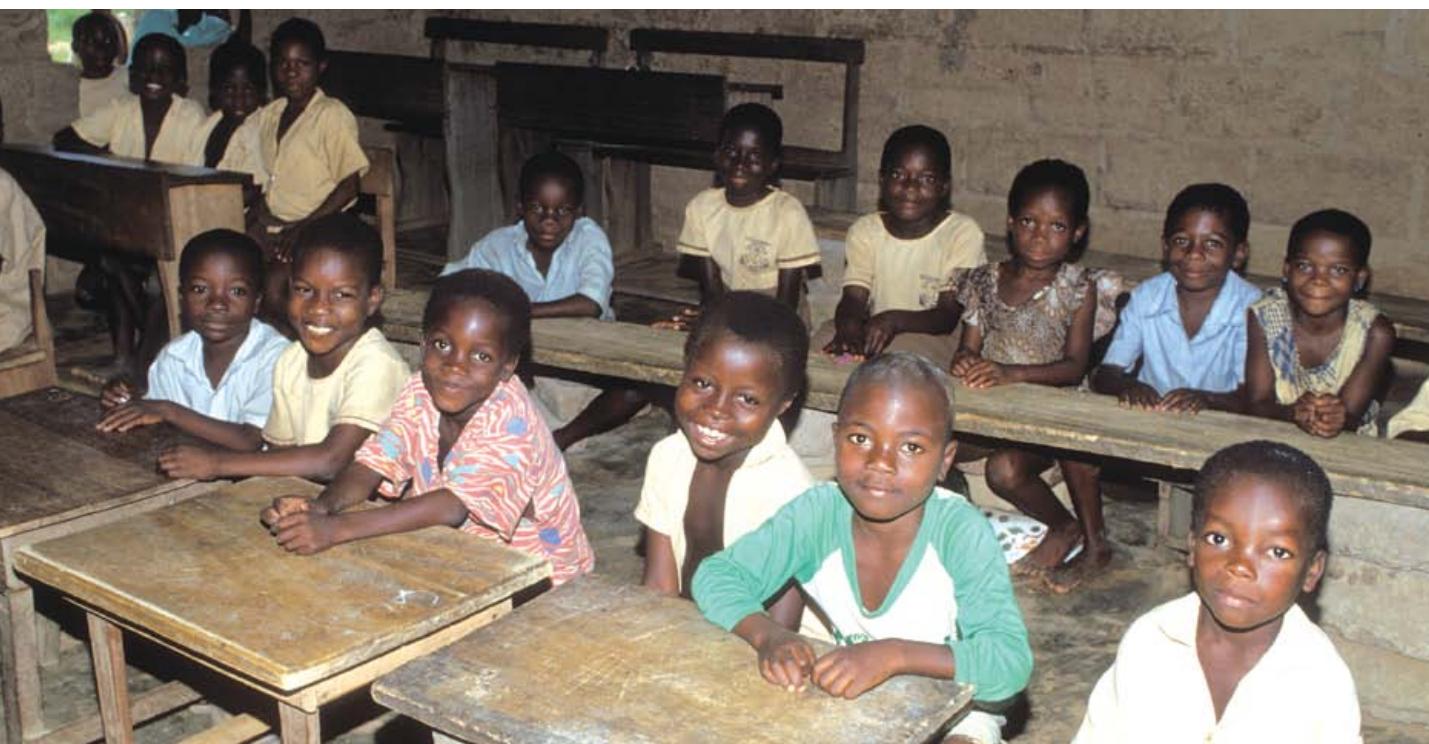
2. Ghana Case Study: Using Scorecards to Monitor Education Service Delivery

2.1 Overview of the education system

Ghana has developed a decentralized political and administrative system in primary schools with legal guarantees of free primary education. These reforms are largely in response to the international commitments to Education for All (EFA) at the Dakar Conference in 2000, and the MDGs. To compensate schools for the elimination of fees and to give them some financial control, Ghana introduced a system of school block grants, known as 'capitation grants', which are transferred directly to schools by the State and are proportional to the number of students enrolled. Such grants are an important part of the decentralization process, and are viewed as one way in which a part of the operational funding of schools can be subjected to greater local oversight and used to respond to locally determined demands. The Ghanaian government claims that capitation grants contribute to improved equity by reducing costs to the poor and by ensuring that schools serving the poorest communities receive at least minimum resources (TI African Education Watch, 2010).



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World Bank / Curt Carnemark, 1993

Ghana also introduced school-based, participatory planning that is supposed to help stakeholders to share information within the local community on school improvement plans and their associated budgets. Ghana implements a sector-wide approach (SWAp) to education development with priorities contained in an agreed strategic plan and with pooled financial support. The SWAp provides an opportunity for development partners and governments to establish shared agendas and procedures; among the shared objectives are a drive for increased school community participation, and for tackling mismanagement, corruption and issues relating to overall fiduciary risk.

As a result of the above initiatives, schools in Ghana have taken over responsibilities for administering school finances. Part of the rationale for the increased fiscal decentralization is that it will increase responsiveness to local needs and, critically, subject schools to more effective local oversight and make them more accountable to the community. Decentralization in schools is therefore designed to change the locus of, and persons involved in, decision-making and execution of responsibilities (TI, 2010).

There have been significant efforts, primarily through reducing direct costs to parents, to increase primary school enrolment and to improve the efficient and proper use of public funds through reducing waste, mismanagement and leakage. An assessment by UNESCO¹⁰⁰ shows that in a number of countries surveyed in the region the gross intake rate of students in primary education increased by 22 percentage points in between 1999 and 2006 (from 90 percent to 111 percent), although educational inequalities persist and there are about 35 million out-of-school children in the region.”

100 Transparency International and African Education Watch (2010), ‘Good governance lessons for Anti-corruption’. (Lessons from Ghana, Madagascar, Morocco, Niger, Senegal, Sierra Leone and Uganda).



The amount of resources at stake in the education system is relatively high. As part of the government's commitment to ensure UPE, teaching and learning materials were to be provided to both public and private schools free of charge, to cover a cycle of basic education (six years of primary education and the first three years of junior secondary school). The government also allocated a capitation grant of Ghc 30,000 (US\$3) per child per year for primary education, with the intention of reducing the financial burden on parents of accessing education for their children.

Despite these commitments, the UPE programme has been challenged by poor infrastructure, insufficient teacher numbers, and inadequate learning support materials. Poor school governance and a lack of parental and community involvement are also seen as key hindrances to the attainment of UPE goals.

2.2 High risk governance areas

High risk areas that impact governance in decentralized education systems, including Ghana's, include the following:

- *Multiple sources of primary education resources* including the central government, decentralized administrations, NGOs, the private sector or individual donations and parents. The resources may be cash or equivalent (e.g., grants), or 'in kind' (e.g., textbooks, human resources, school supplies, equipment, food, fuel, or labour). The financial coding systems used by schools do not map onto those used by the districts, which means that budget consolidation and reconciliation is at risk because of coding errors.
- *Weak financial and professional capacity at sub-national levels* to manage and oversee the capitation grants leading to low absorption capacity and opportunities for leakage.
- *Risk of rent-seeking* in teacher recruitment and deployment.
- *The potential for leakages for any major procurement programmes*, including textbooks.
- *Poor record keeping* by schools and districts.
- *Low parent involvement* in local accountability and management structures.
- *Insufficient access to information*, such as regarding time of release and amount of capitation grant and other planning processes. For example, the a 2010 Africa Education Watch (AEW) report concluded that the School Performance Improvement Plan (SPIP) provides a forum that could be a driver for parental participation, but in practice few parents are aware of its existence.

2.3 Corruption in primary education

Transparency International identifies many instances of unethical behaviour, corruption and abuse of entrusted power for private gain in many schools in countries surveyed, including Ghana (TI, 2010). They include asking for fees to enrol in schools where such fees have been waived by the State, or selling textbooks that are supposed to be distributed for free. Bribes are paid to obtain services that the bribe receiver is prohibited from providing, such as changing exam results. Table 1 below summarizes the forms corruption in education in Ghana takes.



ANNEX 5. CASE STUDIES FROM GHANA, MALAWI AND UGANDA: MAPPING GOOD ANTI-CORRUPTION PRACTICES IN SUB-SAHARAN AFRICA

Table 1. Forms of corruption in Ghanaian primary schools

| |
|--|
| Illegal charges levied on children's school admission forms which are supposed to be free |
| School places 'auctioned' out to the highest bidder |
| Children from certain communities are favoured for admission, while others are subjected to extra payments |
| Good grades and exam passes obtained through bribes to teachers and public officials. The prices are often well known, and candidates are expected to pay upfront |
| Examination results only released upon payment |
| Overcoming the consequences of failing exams by (re-)admitting students under false names |
| Embezzlement of funds intended for teaching materials, school buildings, etc. |
| Sub-standard educational material purchased due to manufacturers' bribes, instructors' copyrights, etc. |
| Schools monopolizing meals and uniforms, resulting in low quality and high prices |
| Private tutoring outside school hours given to paying pupils, which reduces teachers' motivation in ordinary classes and compulsory topics are addressed only in private tutoring sessions (and thus not available to pupils who do not or cannot pay) |
| School property used for private commercial purposes |
| Pupils carrying out unpaid labour for the benefit of the staff |
| Staff exploiting and abusing pupils in many different ways (physically, sexually, etc.) |
| Teacher recruitment and postings influenced by bribes or sexual favours |
| Exam questions sold in advance |
| Ghost teachers persist: salaries are drawn for staff who are no longer (or never were) employed for various reasons (including having died). This affects de facto student-teacher ratios, and prevents unemployed teachers from taking vacant positions |
| High absenteeism, with severe effects on de facto student-teacher ratios |
| Licenses and authorizations for teaching obtained on false grounds via corrupt means |
| Inflated student numbers (including numbers of special-needs pupils) quoted to obtain better funding |
| Bribes to auditors for not disclosing the misuse of funds |
| Embezzlement of funds raised by local NGOs and parents' organizations |
| Politicians allocating resources to particular schools to gain support, especially during election times |

Source: U4 Anti-corruption Resource Centre Docs

Corruption often increases transaction costs, reduces the efficiency and quality of services, distorts the decision-making process, and undermines social values. In some cases, corrupt or unethical practices have become a way of life and are tolerated by the communities—e.g., absenteeism, acceptance of bribes to awarding better grades and/or to access school entrance, charging of fees for students' access to textbooks, and the utilization of school property for private commercial purposes. (TI, 2010).



For decision-making and the management of educational systems to improve, efforts must be made to integrate governance and corruption concerns in educational planning and administration (IIEP, 2005). Public participation and oversight is key to monitoring education budgets and assess service delivery; in Ghana, this has been evidenced through the use of community scorecards.

2.4 Using community scorecards to monitor budgets in schools

The Ghanaian NGO Integrated Social Development Centre for Budget Advocacy (ISODEC) and the Pan-African Organization for Sustainable Development (POSDEV) participated in budget processes at both national and local levels; among priority activities, they conducted budget analysis and expenditure tracking, in addition to building the capacity of communities to do budget monitoring. ISODEC provided technical support to the Northern Ghana Network for Development (NGND) and to the Ghana National Education Campaign Coalition (GNECC), as well as to the Northern Network for Education Development (NNED) and to Action for Rural Education (ARE), to expand their budget work programmes in the education sector.

These CSOs, all of which had operations at a local level, sought to increase public debate around the education goals and promote greater transparency in education budgets. They did this by adopting similar strategies which involved:

- community awareness and mobilization,
- community capacity-building,
- budget tracking,
- service delivery monitoring, and
- lobbying local authorities and leaders.

2.5 NGND project

The Ghana Network for Development (NGND) is an umbrella organization of NGOs operating in three northern regions of Ghana. The three regions are known for high levels of poverty, as well as for having the highest illiteracy rates in the country. The aim of the project undertaken by NGND and three of its partners across four districts was to increase community involvement in school governance by strengthening accountability and transparency among communities and the Ghana Education Service and other stakeholders, including parent-teacher associations (PTAs), school management committees (SMCs) and head teachers.

NGND concentrated its efforts on the challenges in education service delivery encountered at community level, many of which were related to the resource allocations as part of the Free Compulsory Universal Basic Education (FCUBE) programme. NNED and GNECC sought to build the capacity of budget monitors—District Education for All Teams (DEFATS)—to create community awareness of FCUBE and ensure community involvement in school governance, as a means of monitoring FCUBE implementation at district level. Education delivery issues were addressed on community scorecards, which were designed to track education budgets and assess service delivery by monitoring of education budgets and service delivery.



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The community scorecard project was developed to examine education expenditure and service delivery at local level. Findings from the project were used at regional and national levels for advocacy work with government officials. The community scorecard project was also intended to enable service users (e.g., parents and children) to assess the performance of service providers (e.g., education officials, teachers and SMCs), and to provide the opportunity for service users to discuss the concerns and challenges they encountered directly with service providers

A pilot project was designed and implemented in 16 communities in the Bongo district and Tamale metropolitan areas of Ghana. The project was later expanded to two other districts in the northern region. Each of the districts was selected on the basis of differing socio-economic conditions: the Bongo district is recognized as being the least resource-endowed district in Ghana, while Tamale is the only town within the three northern regions. Communities within the districts were selected on the basis of their geographical diversity and the government's intended interventions.

The **key activities** of the scorecard project included:

- building capacity of communities to monitor education service delivery;
- using the scorecard by the community to examine education expenditure;
- assessing the school needs, as well as the impact of inputs into the primary education sector; and
- improving the flow of information between the various actors within the education system.

School authorities and teachers were also asked to evaluate their performance in terms of involving the community in planning and budgeting processes while the service users provided information on the nature and quality of service received. Community members evaluated the outputs and outcomes of primary education against pre-determined criteria, such as whether funds transferred to schools had been used for the intended purposes.

2.5.1 Implementation of the NGND project

The implementation process took several phases. At the start, stakeholder meetings were held with the Ministry of Local Government and Rural Development, the Ministry of Education, and the Ghana Education Service—at national and regional levels—to gain support for the project. They were encouraged to demonstrate their support by composing a letter to district education directorates that would allow volunteers from NGND community-based organizations to access school and district education records. Although this did not mean that the relevant information on budget allocations and expenses, or on the availability of teaching and learning materials, was always easy to obtain, it did facilitate the process.

Volunteers were trained as community facilitators to support the community interventions. The NGND and community facilitators held a general meeting in each community, which involved key education stakeholders to outline the objectives and plan for the project and to enable community members to identify themes and indicators for assessing the quality of education service provision



in their respective communities. Common themes identified during these meetings that related to the school budget included:

- the capitation grant allocated per child,
- items the capitation grant was spent on, and
- community involvement in the school planning and budget processes.

Subsequently, a number of focus groups were established to assess the quality of education service delivery in their respective communities, based on the indicators developed. The focus groups allocated scores to the indicators, based on the following rating:

3 = Good

2 = Average (in need of improvement)

1 = Poor (in need of urgent attention).

The community facilitators also held a series of self-assessment workshops for head teachers intended to create an opportunity for service providers to assess their own services, and to conduct an input tracking workshop on the school input tracking scorecard. Score points were awarded according to a framework provided in that tracking scorecard, as indicated in Table 2 below:

Table 2. Input tracking scorecard for a primary school

| Indicator | Score | Remarks |
|---|-------|--|
| Was the total amount budgeted actually disbursed for the construction project? | 1 | The approved budget for the project was Ghc 100 million, but only Ghc 50 million was disbursed. |
| Site inspection: Are the stated expenditures for the school block realistic? | 1 | The existing structure could have been built for Ghc 20 million, but Ghc 50 million is reported to have been spent. |
| Average number of teachers per student: Does our school compare favourably with the district average? | 3 | Our school has more teachers per student than the district average. The number of teachers known to us agrees with the official staff roles: thus there are no ghost teachers. |

*Source: NGND (2004) community scorecards module 1: Facilitating the community scorecard, Tamale: Northern Ghana Network for Development, p.17*Preparation Community Scorecard Project – Seven

Budget information relating to allocations and expenditure on textbooks and other learning materials was used to monitor school budgets. The final phase of the community interventions involved bringing together both service users and providers—PTAs, SMCs and education circuit supervisors—to ensure that the community scorecards represented an accurate reflection of the situation. This provided an opportunity for community members and education providers to debate education service delivery concerns. The outcome was to have consensus on the overall scoring of the quality of education delivery in their communities.



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In summary, the scorecard project included the following seven steps:

Step 1: Preparatory work

| Action |
|--|
| ■ Create awareness of the project among service providers |
| ■ Collect supply side information |
| ■ Select participating communities |
| ■ Train facilitators |
| Stakeholders |
| ■ Ministry of Local Governance and Rural Affairs, Ministry of Education, Ghana Education Service |

Step 2: Community interventions — first meeting

| Action |
|--|
| ■ Community members identify themes and indicators |
| Stakeholders |
| ■ PTAs, SMCs, circuit supervisors, district education directorate officials, |
| ■ District assembly members |

Step 3: Community interventions — focus groups

| Action |
|--|
| ■ Establish focus groups |
| ■ Decide scores according to indicators—create input tracking card |
| Stakeholders |
| ■ Head teachers, teachers |

Step 4: Community interventions — interface meeting

| Action |
|--|
| ■ Focus group presents scorecards to service providers |
| ■ Potential solutions discussed and agreed |
| Stakeholders |
| ■ PTAs, SMCs and circuit supervisors |



Step 5: Synthesis workshop

| |
|---|
| Action |
| ■ Compile results |
| ■ Plan district-level multi-stakeholder forum |
| Stakeholders |
| ■ Focus groups, beneficiaries, PTAs, SMCs |

Step 6: District-level multi-stakeholder forum

| |
|--|
| Action |
| ■ Presentation of scorecard findings |
| ■ Reactions from service providers |
| Stakeholders |
| ■ Ghana Education Service officials, district education directorate officials, beneficiaries |

Step 7: Dissemination and advocacy

| |
|---|
| Action |
| ■ Publish report on scorecard results |
| ■ Disseminate to media |
| ■ Feed results into policy and advocacy processes |

Source: Assessing education delivery: the community scorecard project

2.5.2 Key findings and advocacy activities associated with the NCNB project

Despite the government commitment to abolish school fees under the FCUBE programme, the NCNB community scorecard project found that the cost of accessing education continued to lie largely with parents, which presented a barrier for increased educational enrolment and retention. The scorecards showed that there were hidden costs to schooling, including the purchase of school uniforms and textbooks; the printing of examination papers; and other charges levied by the schools. In some cases, children had been dismissed for non-payment of school fees with the schools arguing that the FCUBE capitation grant was insufficient to cover the cost of educating these children. As a result of the scorecard project parents held school meetings to demand explanation from school administrators, and it was agreed that children who had been dismissed would be allowed to return to school.

In some cases, it was found that the capitation grant was not spent as intended, but was instead used to fund head teacher travel to the district education office to report on capitation grant expenditure. Each of these visits would cost on average as much as Ghc 30,000 (US\$3), and meant that more than 10 pupils' capitation grants were used for transport each year.



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These scorecard findings were used in advocacy with the national government, but the capitation grant was not increased, as the Ministry of Education claimed that a lack of revenue meant it was unable to increase the capitation grant (GNECC and NNED, 2007). NGND and other CSOs in the education sector argued for a more equitable distribution of resources that takes into account the socio-economic status of children and their families.

Findings were **disseminated** through a variety of forums, including:

- A synthesis workshop to collate and share information collected from the communities and to plan for the district level multi-stakeholder forum, where findings were shared with regional, district and school level education officials, as well as with community organizations, parents and children.
- The district forums provided stakeholders with the opportunity to comment and give their feedback on the findings before the final reports were published. This was also an opportunity for community members to raise and debate education service delivery concerns with the service providers, who had to give immediate feedback on these concerns.
- A final report of the findings was compiled and disseminated annually to the various stakeholders involved in the scorecard project. Findings were used by community organizations in support of their FCUBE advocacy work with government officials at district and national levels.

2.5.3 Achievements of the NCNB project

The NCNB scorecard project has had especially important impact in the areas and primary school where it has been used. The findings have enabled parents and children to assess the performance of education officials, teachers and school management committees, and have provided them with a platform to voice their concerns over aspects of service delivery in their communities and to engage with service providers.

The community scorecard project determined the outcome of resources allocated to primary education. Budget information relating to allocations and expenditure on textbooks and other learning materials were used to monitor school budgets. The project has worked to improve the flow of information between stakeholders.

Key success factors for the NCNB project included the following:

- **Way of work:** Over the last decade, budget work has become an increasingly important tool for holding governments and non-state actors accountable for their policy commitments, budget allocations and expenditure. CSOs have adopted budget work as a key part of their advocacy for changes in government policy or performance in recognition that democratic principles are essential for the achievement of human development goals (Robinson, M., 2006).
- **Access to information:** without the necessary knowledge and information on the budget and the budget process, public participation is meaningless (Foster, M. & Fozzard, A., 2000).
- **Participation:** ensuring that communities were empowered to share their knowledge and experiences of education service delivery within their communities.



- Ownership: ensuring that communities took ownership during the initial stages of the project by involving them in the planning, fieldwork, and advocacy in partnership with other stakeholders.

3. Malawi Case Study: Using Budget Tracking to Ensure Quality Service Delivery in Primary Schools



3.1 Overview of the education system

Since the 1990s Malawi has been carrying out a number of reforms in order to institute good governance and democratization. In 1994, the government instituted free universal primary education (UPE) as part of an effort to meet global commitments in 2000 to improving human development in the areas of health, education and gender equality (CEF, 2010), the MDGs and the Education for All goals.

The country pursued a decentralization policy and as part of the reforms district and school level managers took over responsibility for administering school finances (mainly from school grants). The rationale was that this would increase responsiveness to local needs and, critically, subject schools to more effective local oversight and make them more accountable to the community (TI, 2010).

As a result, the number of schools increased from 3,706 in 1995 to 5,055 in 2000, with enrollment rising to approximately 5 million in 2010 from fewer than 3 million in 1995. The rate of illiteracy fell to below 40 percent in 2009, down from more than 48 percent in 1990 (MoES&C, 2001; Education Statistics, 2003 SACMEQ reports, 2009). Opportunities to attend secondary schools were limited during the long presidency of Hastings Banda (which ended in 1993), during which only the rich, the best, and the brightest were encouraged to attend secondary school while the rest were pushed to tertiary technical institutions.



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Expansion of the primary sub-sector due to free education has however put pressure on the secondary and tertiary sub-sector to expand rapidly to accommodate primary school graduates. By 2003, there were 103 conventional secondary schools, 636 community day secondary schools, 246 private secondary schools, six teacher training colleges, four technical colleges and two universities. The government increased education funding to over 14 percent out of the targeted 20 percent and is regarded as the highest of all other sector budget allocations. Development partners also significantly increased their support to the education sector, with NGOs and religious organizations playing a critical oversight role.

These reforms have however been hampered by a number of factors. Malawi is one of the poorest countries in the world. Half of its population is below the age of 15, thus presenting a huge dependency burden and a dire need for basic education. High illiteracy rates persist, especially in rural communities where up to 80 percent of women can neither read nor write. In addition, the objectives of the reform programmes have been frustrated by challenges such as rampant corruption and abuse of office (TI, 2010; CEF, 2010).

3.2 Risks and challenges to governance in the education system

The key risks to governance in the education system in Malawi have included:

- *Un-planned programmes.* Many of the changes that have taken place in the past decade have been largely unplanned; instead, they have been responses to local political expediency and other emerging challenges and not part of a well-designed national strategy based on clearly articulated policies. As such, the demand associated with the rapid expansion of basic education has left the sector seriously underfunded despite the huge budgetary allocations.
- *Poverty and high illiteracy rate.* Primary education is free, but the more than 60 percent of Malawians who live below the absolute poverty line cannot afford the other costs associated with education. As a result, literacy in Malawi is still extremely low and continues to be a stumbling block along the road to development and modernization
- *Low public participation.* Most community members have not been adequately mobilized to take their roles as members of PTAs or SMCs.
- *Lack of information.* The Open Budget Index Score for Malawi in 2010 of 47 percent, compared with 28 percent in 2008, indicates that despite the democratization process government officials are still reluctant to provide the public with minimal information on the central government's budget and financial activities during the course of the budget year.
- *Delays in payment of teachers' salaries,* which had led to low teacher morale and thus affected teaching performance and outcomes for pupils.
- *Inequitable distribution* of teaching and learning materials to schools.

A **number of ongoing reforms** seek to minimize these risks and enhance good governance in the education system. The cornerstones of these reforms include:

- *greater fiscal discipline* and fiduciary reforms;
- *a clear education policy framework* that lays emphasis on equal opportunity for both boys and girls in enrolment, retention, and performance in primary education;
- *increased participation of the public* through decentralization; and



- *a coordinated CSO monitoring, and reporting framework* through the Civil Society Coalition for Quality Basic Education (CSCQBE) with the broad focus on the quality of education.

3.3 Corruption in the education system

Malawi has in the past been ranked as one of the most corrupt countries globally but has progressively improved from 11th most corrupt among more than 30 countries surveyed in Africa in 2002 to 85th out of 178 countries in 2010 (Transparency International Corruption Perception Index, 2010). Between 1997 and 2004, MK 22 million (US\$130,000) is said to have been lost each year through corruption, payments to ghost teachers, and rentals for ghost houses and funding for ghost projects. Corruption in the education system in Malawi takes various forms and is both grand and petty. In 2007, the Budget Work Coalition exposed a diversion of colossal sums of money meant for procurement of teaching and learning materials for primary schools by the Ministry of Education to service a MK 1.8 billion (US\$11 million) debt.

Within the schools, corruption takes the forms of illegal charges levied on children's school admission forms which are supposed to be free or places in schools being 'auctioned' out to the highest bidder; embezzlement of funds raised by local NGOs and parents' organizations or politicians allocating resources to particular schools to gain support, especially during election times.

3.4 Budget tracking in primary schools

Malawian CSOs have a rich history of budget tracking work stemming from their engagement with the international campaign on debt cancellation for developing countries, which started in the mid-1990s. The Civil Society Coalition for Quality Basic Education (CSCQBE) is the only national network of CSOs focusing on primary education in Malawi and has been able to monitor government policy and financial commitments school budgets and to call public officials to account.

CSCQBE has 75 members consisting of local, national and international CSOs, and also works with over 20 district education networks set up in conjunction with district education officials and other stakeholders from SMCs, PTAs and other key structures. CSCQBE conducted public expenditure tracking surveys (PETS) three times between 2002 and 2007 to survey education expenditures, improving its methodology in each round. The main aim was to:

- verify that resources allocated to primary education were sufficient to meet the policy objectives and targets,
- ensure that resources were used for what they were meant to be used for, and
- hold the government to account for its commitments.

3.4.1 Monitoring and tracking processes¹⁰¹

CSCQBE first set up 13 district networks to decentralize the monitoring of education budgets. (The number was later increased to 20). The networks in turn support school budget monitoring

101 Also see Ramkumar, V. (2008). International Budget Partnerships.



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by school-based or community-based groups, such as the school board or a PTA first trained by the coalition. CSCQBE then provides these networks with technical assistance to strengthen their capacity to support local efforts. CSCQBE selected a representative sample of 500 schools (roughly one-tenth of those in the country) for its surveys, including both rural and urban schools. The community-based members of CSCQBE administered a series of standardized questionnaires to teachers and education officials around the country. Questionnaires administered to the head teachers cover information on students (enrollment, exam pass rates, drop-out rates, etc.); teachers (qualifications, teacher shortages, housing, etc.), salary distribution (teachers' salaries are often made in cash, especially in rural areas); availability of teaching and learning materials; the quality of facilities; and supervision and accountability.

CSCQBE also collected data from district assemblies, district education offices, division offices, the Education Supplies Unit, and teacher training colleges. District commissioners are given a questionnaire that seeks information on the amount of funding requested from the Finance Ministry for recurrent expenditures, the amounts subsequently allocated to the district, and the actual amounts the district received and sent on a monthly basis (including the purposes for which they were spent).

The main approach taken was through **budget analysis research**, which included pre-budget analysis, post-budget analysis and annual school budget and performance monitoring (Chimombo, J., 2007). Since 2002, CSCQBE has conducted three budget analysis research outputs, all of which were interlinked and fed into each other—e.g., the post-budget work was used as a foundation of key issues to explore in the annual school budget and performance monitoring for that particular year. The **pre-budget analysis** produced recommendations on primary education policy in relation to teaching and learning materials, infrastructure support, expenditure at national and district level, teacher performance and training, and HIV/AIDS and gender.

The **post-budget analysis** critically examined the budget in relation to education in general and primary education in particular. It examined the allocations for the Ministry of Education; looked at how those allocations would be divided between the various programmes and transferred to the districts; and made recommendations for changes to the budget. The post-budget report was presented in a simplified manner to ensure that the education budget is understood by everyone. The simplified version enabled parliamentarians to comment, debate, change and approve the budget.

The annual school budget and performance monitoring groups tracked budget resources and programme implementation at district level using standard questionnaires and examining:

- budget allocations received by schools from districts,
- the demand and supply for teaching and learning materials in the schools,
- teacher availability and training,
- overall enrolment figures, including with specific regard to gender,
- school infrastructure,
- policy awareness, and
- school governance in general, and specifically regarding SMCs and PTAs.



The coalition's secretariat conducted capacity-building for district education networks on how they should undertake the fieldwork of the school survey (including data keeping); advocate for quality education; and mobilize resources in their communities.

A draft report was then circulated among CSCQBE organizations and discussed at a special meeting with ministry officials, parliamentarians, development partners, and the media during the annual parliamentary budget deliberation. CSCQBE then held district meetings during which district assembly officials, district education officials, representatives of NGOs, and school officials had the opportunity to discuss the results and, if necessary, formulate action plans to address problems. Subsequently, a final report was produced. The report received news coverage in newspapers and on radio and television. CSCQBE also gave copies of the report to key stakeholders such as ministers, the office of the president, and donors, and mentioned that it sought commitments regarding how all stakeholders will respond to the issues raised.

The findings of the annual education survey were shared with the Ministry of Education, the Ministry of Finance, as well as with development partners. It was also disseminated to the Parliament's Finance and Budget Committee and Education Committee, and among PTAs and SMCs to discuss the findings that are of relevance to their district, and to prompt them to develop action plans to address particular concerns.

3.4.2 Summary of findings

Findings from the 2007 education survey report showed that:

- Overall, Malawi is lagging behind in achieving the EFA goals for 2015 because although the 2006/07 education budget had increased in real terms, its share of the national budget was only 14 percent.
- Despite national guidelines mandating their participation, head teachers, SMCs and teachers were not involved in the procurement of textbooks.
- Transfers for education delivery by district assemblies were made in a timely manner and all allocations to each district were made publicly available.
- Most districts did not have funding for infrastructure development.

Achievements: The first budget monitoring survey in 2004 covered fewer than 300 out of 5,040 primary schools and the last conducted in 2007 targeted 500 primary schools, five teacher training colleges, 32 district education offices and 28 district assembly offices. Key achievements include:¹⁰²

- The exposure of the Ministry of Education's diversion allocations for teaching and learning materials for schools to service a MK 1.8 billion (US\$11 million) debt; and the decline in national budget allocations for education from 28 percent in 1990s to 13 percent in the 2005/06 financial year and how that affected schools.
- The information generated from the analyses has been used by parliamentarians in debates on the education budget and plans. As a result of the coalition's budget work, the education sector's share of the national budget increased to 14.2 percent in 2006/07, although it remained below the

¹⁰² Also see International Budget Partnerships, 2008 and 2010.



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recommended 20 percent share needed for the achievement of the EFA goals (FTI, 2006).

- The government is seeking to address the educational disparities between rural and urban areas. It plans to introduce incentives to attract teachers to rural areas and to construct housing for rural teachers.
- There has been increased dialogue and closer partnerships between the education managers and network members, with communities having more input in planning and resource allocation.
- CSCQBE has worked closely with international organizations such as the World Bank, UNESCO, the Global Campaign for Education, and the Africa Network Campaign for Education for All. It also has been invited to participate in government meetings and working groups on education. The coalition has used these experiences to help widen civil society's space and influence in Malawian society and enhance its capacity for monitoring and evaluation.

Key challenges and lessons learned included the following:¹⁰³

- The coalition faced difficulties in accessing information from district education officials. For instance, in the 2007 survey, 32 district education offices were targeted but only 18 responded; similarly, 28 district assembly offices were targeted and only 18 responded (Chimombo, J., 2007). Officials were reluctant to share information on budget expenditure, and often asked why the networks needed this information. They often provided incomplete information especially budget and expenditure data. The coalition had to get a letter from the Ministry of Education instructing district education offices and district assemblies to share information with district education networks.
- Many coalition members have only limited technical capacity to analyze education budget data. The need for training in budget and expenditure data was realized relatively late in the process, but efforts were nevertheless made to train coalition members as the different PETS were undertaken.
- Coalition members are busy with multiple commitments and can invest only limited time in the PETS process; this often affected collection and analysis of survey data and eventually the quality of the reports submitted. The need for dedicated resources (human and financial) to ensure quality surveys was noted.

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