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PROJECT PERFORMANCE ASSESSMENT REPORT

INDIA

UTTAR PRADESH BASIC EDUCATION PROJECT (CREDIT-2509)
SECOND UTTAR PRADESH BASIC EDUCATION PROJECT (CREDIT-3013)
DISTRICT PRIMARY EDUCATION PROJECT (CREDIT-2661)
DISTRICT PRIMARY EDUCATION PROJECT II (CREDIT-2876)

June 30, 2007

Sector Thematic and Global Evaluation Division
Independent Evaluation Group

Currency Equivalents (annual averages)

Currency Unit = Indian Rupees (Rs)

1993-94	US$1.00	Rs. 31.37
1994-95	US$1.00	Rs. 31.39
1995-96	US$1.00	Rs. 33.44
1996-97	US$1.00	Rs. 35.50
1997-98	US$1.00	Rs. 37.16
1998-99	US$1.00	Rs. 41.30
1999-00	US$1.00	Rs. 43.10
2000-01	US$1.00	Rs. 46.37

District Primary Education Project

Exchange rate effective March 1994	US$1	Rs. 32
At the end of the project:	US$1	Rs. 45

District Primary Education Project II

Exchange rate effective average over life of project	US$1	Rs. 43.7

Abbreviations and Acronyms

ASER	Annual Status of Education Report
AWPB	Annual Work Plan and Budget
BAS	Baseline Assessment Study
BRC	Block Resource Center
CRC	Cluster Resource Center
DIET	District Institute of Education and Training
DISE	District Information System for Education
DO	Dropout
DPEP	District Primary Education Project
EdCil	Education Consultants India Limited
EFA	Education for All
EFAPB	Educational for All Project Board
EMIS	Education Management Information System
GER	Gross enrollment ratio
GOI	Government of India
GOUP	Government of Uttar Pradesh
ICDS	Integrated Child Development Services
ICR	Implementation Completion Report
IDA	International Development Association
IDF	Institutional Development Fund
IEG	Independent Evaluation Group
JRM	Joint Review Mission
MAS	Mid-term Assessment Survey
MHRD	Ministry of Human Resource Development
MIS	Management Information System

MLL	Minimum Levels of Learning
NCERT	National Council of Educational Research and Training
NEP	National Education Policy
NER	Net enrollment ratio
NFE	Nonformal Education
NIEPA	National Institute of Educational Planning and Administration
PAD	Project Appraisal Document
PPAR	Project Performance Assessment Report
PRI	*Panchayat Raj Institutions* (local government)
SC	Scheduled Caste
SCERT	State Council of Educational Research and Training
SIEMAT	State Institute of Educational Management and Training
SSA	*Sarva Shiksha Abhiyan* (Elementary Education Project)
ST	Scheduled Tribe
SWAp	Sector Wide Approach
TAS	Terminal Assessment Survey
TSG	Technical Support Group
UP	Uttar Pradesh
UPBEP	Uttar Pradesh Basic Education Project
VEC	Village Education Committee

Fiscal Year

April 1 – March 31

Director-General, Evaluation	:	Mr. Vinod Thomas
Director, Independent Evaluation Group, World Bank	:	Mr. Ajay Chhibber
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IEGWB Mission: Enhancing development effectiveness through excellence and independence in evaluation.

About this Report

The Independent Evaluation Group assesses the programs and activities of the World Bank for two purposes: first, to ensure the integrity of the Bank's self-evaluation process and to verify that the Bank's work is producing the expected results, and second, to help develop improved directions, policies, and procedures through the dissemination of lessons drawn from experience. As part of this work, IEGWB annually assesses about 25 percent of the Bank's lending operations through field work. In selecting operations for assessment, preference is given to those that are innovative, large, or complex; those that are relevant to upcoming studies or country evaluations; those for which Executive Directors or Bank management have requested assessments; and those that are likely to generate important lessons.

To prepare a Project Performance Assessment Report (PPAR), IEGWB staff examine project files and other documents, interview operational staff, visit the borrowing country to discuss the operation with the government, and other in-country stakeholders, and interview Bank staff and other donor agency staff both at headquarters and in local offices as appropriate.

Each PPAR is subject to internal IEGWB peer review, Panel review, and management approval. Once cleared internally, the PPAR is commented on by the responsible Bank department. IEGWB incorporates the comments as relevant. The completed PPAR is then sent to the borrower for review; the borrowers' comments are attached to the document that is sent to the Bank's Board of Executive Directors. After an assessment report has been sent to the Board, it is disclosed to the public.

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Outcome: The extent to which the operation's major relevant objectives were achieved, or are expected to be achieved, efficiently. The rating has three dimensions: relevance, efficacy, and efficiency. *Relevance* includes relevance of objectives and relevance of design. Relevance of objectives is the extent to which the project's objectives are consistent with the country's current development priorities and with current Bank country and sectoral assistance strategies and corporate goals (expressed in Poverty Reduction Strategy Papers, Country Assistance Strategies, Sector Strategy Papers, Operational Policies). Relevance of design is the extent to which the project's design is consistent with the stated objectives. *Efficacy* is the extent to which the project's objectives were achieved, or are expected to be achieved, taking into account their relative importance. *Efficiency* is the extent to which the project achieved, or is expected to achieve, a return higher than the opportunity cost of capital and benefits at least cost compared to alternatives. The efficiency dimension generally is not applied to adjustment operations. *Possible ratings for Outcome:* Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, Highly Unsatisfactory.

Risk to Development Outcome: The risk, at the time of evaluation, that development outcomes (or expected outcomes) will not be maintained (or realized). *Possible ratings for Risk to Development Outcome:* High Significant, Moderate, Negligible to Low, Not Evaluable.

Bank Performance: The extent to which services provided by the Bank ensured quality at entry of the operation and supported effective implementation through appropriate supervision (including ensuring adequate transition arrangements for regular operation of supported activities after loan/credit closing, toward the achievement of development outcomes. The rating has two dimensions: quality at entry and quality of supervision. *Possible ratings for Bank Performance:* Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, Highly Unsatisfactory.

Borrower Performance: The extent to which the borrower (including the government and implementing agency or agencies) ensured quality of preparation and implementation, and complied with covenants and agreements, toward the achievement of development outcomes. The rating has two dimensions: government performance and implementing agency(ies) performance. *Possible ratings for Borrower Performance:* Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, Highly Unsatisfactory.

Contents

This report was prepared by Dean Nielsen who assessed the project in August 2005. The report was edited by Bill Hurlbut, Pilar Barquero and Marie-Jeanne Ndiaye provided administrative support.

PRINCIPAL RATINGS

Uttar Pradesh Basic Education Project (UPBEP I)

	ICR*	ICR Review*	PPAR
Outcome	Highly Satisfactory	Satisfactory	Moderately Satisfactory
Sustainability	Likely	Likely	Highly Likely
Institutional Development Impact	Substantial	Substantial	Substantial
Bank Performance	Highly Satisfactory	Highly Satisfactory	Highly Satisfactory
Borrower Performance	Highly Satisfactory	Highly Satisfactory	Highly Satisfactory

Second Uttar Pradesh Basic Education Project (UPBEP II)

	ICR*	ICR Review*	PPAR
Outcome	Highly Satisfactory	Satisfactory	Moderately Satisfactory
Sustainability	Likely	Likely	Highly Likely
Institutional Development Impact	Substantial	Substantial	Substantial
Bank Performance	Highly Satisfactory	Highly Satisfactory	Highly Satisfactory
Borrower Performance	Highly Satisfactory	Highly Satisfactory	Highly Satisfactory

District Primary Education Project (DPEP I)

	ICR*	ICR Review*	PPAR
Outcome	Satisfactory	Moderately Satisfactory	Moderately Satisfactory
Sustainability	Likely	Likely	Highly Likely
Institutional Development Impact	Substantial	Substantial	Substantial
Bank Performance	Satisfactory	Satisfactory	Satisfactory
Borrower Performance	Satisfactory	Satisfactory	Satisfactory

District Primary Education Project II (DPEP II)

	ICR*	ICR Review*	PPAR
Outcome	Satisfactory	Moderately Satisfactory	Moderately Satisfactory
Sustainability	Likely	Likely	Highly Likely
Institutional Development Impact	Substantial	Substantial	Substantial
Bank Performance	Satisfactory	Satisfactory	Satisfactory
Borrower Performance	Satisfactory	Satisfactory	Satisfactory

* The Implementation Completion Report (ICR) is a self-evaluation by the responsible Bank department. The ICR Review is an intermediate IEGWB product that seeks to independently verify the findings of the ICR.

KEY STAFF RESPONSIBLE

Project	*Task Manager/Leader*	*Division Chief/ Sector Director*	*Country Director*
Uttar Pradesh Basic Education Project			
Appraisal	John Middleton	Richard Lee Skolnik	Heinz Vergin
Completion	Edward H. Heneveld	Emmanuel Y. Jimenez	Edwin Lim
Second Uttar Pradesh Basic Education Project			
Appraisal	Adrian Verspoor	Richard Lee Skolnik	Heinz Vergin
Completion	Edward H. Heneveld	Emmanuel Y. Jimenez	Edwin Lim
District Primary Education Project			
Appraisal	John Middleton	Richard Skolnik	Heinz Vergin
Completion	Prema Clarke	Charles C. Griffin	Michael F. Carter
District Primary Education Project II			
Appraisal	Adrian Verspoor	Richard Lee Skolnik	Heinz Vergin
Completion	Susan E. Hirshberg	Charles C. Griffin	Michael F. Carter

PREFACE

This is a Project Performance Assessment Report (PPAR) on four interrelated education projects in India:

- **Uttar Pradesh Basic Education Project** (UPBEP I; Credit 2509) for US$165 million, which was approved in FY93 and compelled on schedule on September 30, 2000;

- **Second Uttar Pradesh Basic Education Project** (UPBEP II; Credit 3013) for US$59.4 million, which was approved in FY98 as a complement to UPBEP I, and completed on schedule together with UPBEP I on September 30, 2000;

- **District Primary Education Project** (DPEP I; Credit 2661) for US$206.3 million, which was approved FY95 and completed after a 15 mo. extension on June 30, 2003;

- **District Primary Education Project** (DPEP II; Credit 2876) for US$425.2 million, which was approval FY96 as complement to DPEP I and was completed on time, together with DPEP I, on June 30, 2003.

The PPAR findings are based on the following sources: a review of the projects' files and the Implementation Completion Reports (ICRs); review of published and unpublished literature on the projects and related educational topics in India; interviews with current and previous task managers, project staff and technical advisors, central, provisional, and district officials in the Ministry of Human Resource Development and Project Offices; nongovernment organizations (NGOs); field visits to New Delhi and two states (Uttar Pradesh and Karnataka) during an IEG mission held in June and July of 2005; and a reanalysis of selected data on learning outcomes. Data was collected from two states, the northern state of Uttar Pradesh, where the UPBEP was implemented, and the southern state of Karnataka, one of the six original DPEP I/II states. In each state two districts were visited, one near the capital and one more remote. And in each district 2-3 schools were selected at random for spontaneous visits (schools were not informed in advance). In the end, ten schools were visited, all from relatively poor areas (given the UPBEP/DPEP focus on low literacy districts), but covering a wide variety of social and cultural contexts. (see Annex D for a list of schools.)

The original Uttar Pradesh Basic Education Project (UPBEP) was not numbered, but to distinguish it from UPBEP II it will be referred to in this review as UPBEP I. Likewise, the first DPEP project was unnumbered, but to avoid confusion, it will be referred to herein as DPEP I. When the terms UPBEP and DPEP are used, they refer to the pair of related projects or to their concepts.

This PPAR was one of a series which was undertaken during 2004-2005 to provide in inputs into a larger IEG evaluation on World Bank support for primary education. In light of that purpose, relatively more material has been presented in this "enhanced" PPAR than is the IEG standard (in particular, the Section 7, "Realizing Education for All.") As a contributor to the

larger primary education study, this PPAR will appear on that study's webpage (www.worldbank.org/ieg/education).

The author was assisted during the field work phase by a local consultant from New Delhi, Suman Sachdeva, Ph.D., whose important contribution is gratefully acknowledged. The author also expresses his appreciation to all of those who made time for interviews and provided information.

Following standard IEG procedures, copies of the draft PPAR were sent to government officials and agencies for their review and comments. However, no comments were received.

SUMMARY

India was a major participant in the 1990 World Conference of Education for All held in Jomtien, Thailand which was organized to heighten national and international commitment to improved basic education enrollments and outcomes. At that time India harbored the world's largest number of out-of-school children (around 25 million) and witnessed huge disparities between males and females and between the mainstream and lower castes in enrollments, completion and learning outcomes. Four years before (1986) the country had already reoriented its national education policy towards primary education. Jomtien and a 1992 Program of Action added urgency to the agenda and opened the country to large scale financial assistance from major donor agencies.

Prior to this period the World Bank had not provided any financial support to Basic Education in India. The initial breakthrough came in 1992 when the Bank agreed to a Social Safety Net Adjustment Credit to help India recover from a balance of payment crisis which had forced reductions in government expenditures on social services. The credit included planning for a "centrally sponsored (subsidized) scheme" that was eventually called the District Primary Education Program (DPEP). Totally planned by Indian educators and managers, based on small-scale efforts at innovation and reform, the scheme was to channel funding and technical assistance to state and district governments for both expanding access to primary education and improving its quality. Increases in external financial support for primary education also began at this time, with the provision that it all be coordinated by the GOI under the DPEP banner.

The first Bank-supported project under this program was mounted in the state of Uttar Pradesh, the country's most populous state (population 165 million) and an underachiever in education (see paragraph 6.1), but blessed with dynamic educational leadership. The Uttar Pradesh Basic Education Project (UPBEP I; IDA credit of US$165 million) was launched in 1993 and was followed in 1997 by a companion project (UPBEP II), which added about US$60 in IDA credits to cover increased infrastructure, teachers and textbooks in the original UPBEP I districts, given much higher than expected new enrollments there (see paragraph 2.2). Reassured by the viability of UPBEP I, the government launched (in 1994) the large District Primary Education Project (DPEP I; IDA credit of US$260.4 million) in another six states, This was also known as DPEP Phase I, since other phases were expected to follow covering additional districts and states, the preparation of which was covered in Phase I. In 1996, Phase II was launched (DPEP II; IDA credit of US$425.2 million), which expanded both the number of districts in the original DPEP states but also the number of states covered (from 6 to 9). These four primary education projects were eventually followed by four additional Bank-supported DPEP projects in other states, two state-based education adjustment projects, and finally, the country-wide 2004 Elementary Education Project (SSA), using a sector-wide, which brought DPEP to scale in the entire country.

The design features of the four projects (two pairs) were similar, given they all followed the general DPEP model, constructed in the early 1990s. Their objectives included: a) improving access to primary education; b) improving school retention (or, in other words, reducing dropout); c) improving student learning outcomes (achievement test scores); d) improving institutional capacity to manage basic/primary education at the national (DPEP I/II only), state and district levels; and e) enhancing community participation in primary education. The two

pairs of projects were organized somewhat differently, but both included the following main components: a) improving school access by building schools and creating alternative education programs for the difficult to reach children; b) improving school retention and learning outcomes by creating new primary school curricula and learning materials, providing inservice training and professional support to teachers, rehabilitating school facilities, and encouraging community participation in primary education; and c) building institutional capacity through strengthening institutional structures and improving information flows, research and evaluation, and planning. In both pairs of projects the project design was considered by the mission to be have generally relevant for the attainment of objectives, except that *school dropout* needed more specific and focused interventions related to root causes of dropout (both supply- and demand-side), and *learning outcomes improvement* needed a stronger focus on changes at the classroom level (intermediate outcomes, such as improved teacher attendance, more time devoted to learning, and improved teaching methods), and improved *institutional development capacity* needed more of a focus on outcomes (sustainable institutional change instead of just output).

Attainment of project objectives were generally evaluated in relation to key performance indicators (where they existed), and these varied across the two pairs of projects. UPBEP I/II aspired to improve access in terms of district capacity to enroll 100 percent of 6-10 year olds and 75 percent of 11-13 year olds, levels which were not quite reached, especially if net enrollment ratios – the appropriate measure in this case – are used. The goal for student retention was a 50 percent reduction in student dropout, which turned out to be difficult to assess, given limitations in data, but the best indicator (a real cohort analysis in a sample of districts) revealed actual changes were closer to 35 percent. Learning outcomes were to have been improved by 50 percent over baseline levels, and although this was alleged in the ICR to have been accomplished, the validity of the test was called into question by the same ICR. Institutional capacity building did not have good outcome measures, but there was evidence of positive changes in a number of important management domains. On community participation, the project activated village education committees in most locations, but it was unclear how many became “fully functional” or even what that meant.

In DPEP I/II improved access was assessed in terms of the reduction in enrollment gaps between girls and boys and disadvantaged groups and the mainstream. Results show this was accomplished in 6 of 7 states in DPEP I, but only 6 of 10 in DPEP II. Enrollment of children of scheduled castes came basically into line with their share of the population but not that of the scheduled tribes, which remained underserved. Reducing dropout to below 10 percent was only accomplished in the DPEP I districts of Kerala state (where DO was already low); in DPEP II districts this was accomplished in only 16 percent of districts. The target of improving learning outcomes by 25 percent appears to have been met in the aggregate, but between 13 and 39 percent of districts (depending on grade level and subject) did not reach the goal. Also there are serious questions about the validity of the DPEP achievement tests. As in UPBEP I/II there were no good outcomes measures to use in assessing the fulfillment of capacity building at the national, state, and district level, but a body of evidence exits to show that meaningful improvement was attained at all levels. On community participation, all states activated village education committees (in various formats), but as in UPBEP I/II but a large proportion of them could not be assessed as having become fully functional.

Outcomes ratings for the projects are based on their efficacy (see above), relevance and efficiency. The two projects in each pair had the same ratings. Outcomes ratings for both

UPBEP and DPEP projects are **moderately satisfactory,** even though the pattern of achievement across the different sub-objectives is different**.** The sustainability of both pairs of project is rated **highly likely**, given the fact that most of the projects' design features have been spread to all districts in the country where they are taking root. Institutional development is **rated substantial** for both pairs of projects. Bank and borrower performance are rated **highly satisfactory** for UPBEP and **satisfactory** for DPEP, with the difference coming largely in the extent to which project components were fully implemented.

Many lessons have been learned in the course of UPBEP I/II and DPEP I/II implementation, the main ones being:

- More concerted effort is needed to provide access and better learning outcomes among tribal children and the disabled;
- The information-based planning and decision making approaches promoted by UPBEP/DPEP are only as good as the data available to them; there is an urgent need for higher levels of quality control in the government's education information and assessment systems.
- The main constraint to the GOI's reaching its goal of universal primary school completion by 2010 is no longer school access but high student dropout; stronger commitment to dropout reduction and more effective interventions (based on local research on causes) are needed, targeting locations where the problem is particularly serious.
- There is an urgent need for strategic thinking and decision making concerning the deployment of "para teachers," taking into consideration equity issues, cost-effectiveness, sustainability and its long term impact on the teaching profession;
- There is a need for a clear understanding of the reasons and consequences of the rapid growth of unrecognized private schools, and sharpened government responses;
- Improving student learning outcomes needs more than just setting goals and mobilizing inputs; it needs coherent changes in intermediate outcomes at the classroom level.

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Vinod Thomas
Director-General
Evaluation

1. BACKGROUND AND CONTEXT

1.1 The Uttar Pradesh Basic Education Projects and the District Primary Education Projects were prepared in the early 1990s in the context of a major Indian reform movement in basic education. In 1986 the country enacted its New Education Policy (NEP), renewing government commitment – both financial and technical -- to primary education. In 1992 the nation's Central Advisory Board on Education revised the NPE and added a Program of Action, which included a decentralized approach to the planning and execution of Education for All. The World Conference on Education for All (EFA) held in 1990 added to the Government's sense of urgency to attain universal primary education and opened the possibility of large scale financial assistance from major donor agencies. The sense of urgency was well founded: at the time India harbored the world's largest number of out-of-school children (around 25 million), and huge disparities existed between males and females and between mainstream and lower castes in enrollments, completion, and learning outcomes.

1.2 During the 1980s to early 1990s the central and state education programs had already benefited from small-scale programs of external support for innovation and reform in primary education (e.g., that provided by DfID, Netherlands, SIDA, and UNICEF). In 1992 a balance of payments crisis in India forced the government to reduce expenditures for social services, prompting the World Bank to provide a US$500 million Social Safety Net Adjustment Credit, which included planning for a large "centrally sponsored scheme" called the District Primary Education Program (DPEP), which would become the focal point of expanded external financial support. Totally planned by Indian educators and managers and built on the earlier small-scale programs, the scheme was to channel funding and technical assistance to state and district governments for both expanding access to primary education and improving its quality.

1.3 The first Bank-supported project under this program was mounted in the state of Uttar Pradesh, the country's most populous state (population 165 million) and an underachiever in education (see paragraph 6.1), but endowed with dynamic educational leadership. The Uttar Pradesh Basic Education Project (UPBEP I; IDA credit of US$165 million) was launched in 1993 and was followed in 1997 by a companion project (UPBEP II), which added about US$60 in IDA credits to cover increased infrastructure, teachers and textbooks in the original UPBEP I districts, given much higher than expected new enrollments there (see paragraph 2.2). Reassured by the viability of UPBEP I, the government launched (in 1994) the large District Primary Education Project (DPEP I; IDA credit of US$260.4 million) in another six states.[1] This was also known as DPEP Phase I, since other phases were expected to follow covering additional districts and states, the preparation of which was covered in Phase I. In 1996, Phase II was launched (DPEP II; IDA credit of US$425.2 million), which expanded both the number of districts in the original DPEP states but also the number of states covered (from 6 to 9).[2] The design features of DPEP II were also similar to DPEP I. By 1997 UPBEP I and II and DPEP I/II were supervised through "joint review missions," which meant that feedback, reflection, and program adjustment involving GOI actors and major donor agencies were mainly undertaken at the national level.

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1. The states were Assam, Haryana, Karnataka, Kerala, Maharastra, and Tamil Nadu. A seventh state, Madhya Pradesh is included in government descriptions, but its external was from the European Commission not IDA.

2. The new IDA supported states under DPEP II were Himachal Pradesh, Orissa, and Uttar Pradesh. West Bengal and Gujarat were also involved in DPEP II but their external funding came from DfID and Netherlands, respectively.

1.4 The two groups of projects were completed in 2000 and 2003 respectively, but Bank support for universal primary education in India continued under additional District Primary Education Projects, two related development policy projects (Andhra Pradesh), an IDF Grant (Karnataka), and nation-wide project, taking a sector wide approach, the Elementary Education Project (Sarva Shiksa Abhiyan or SSA), approved in 2004. The full set of Bank supported projects covering primary education is as follows:

Table 1.1. Bank-Financed Projects Covering Primary Education in India

Project Name	States	Districts	Approval Date	Closing Date	US$ millions
Uttar Pradesh Basic Education Project	1	17	06/10/1993	09/30/2000	165
Second Uttar Pradesh Basic Ed Project	1	17 (same)	12/04/1997	09/30/2000	59.4
District Primary Education Project	7*	42	11/22/1994	06/30/2003	260.3
District Primary Education Project II	7** + 5	92	06/06/1996	06/30/2003	425.2
District Primary Education Project III (Bihar and Jharkhand)	2	17	12/04/1997	09/30/2006	152
Rajasthan District Primary Ed Project I	1	10	06/08/1999	12/31/2005	85.7
Uttar Pradesh District Primary Ed Proj III	1	42	12/16/1999	03/31/2006	182.2
Rajasthan District Primary Ed Project II	1	9	06/21/2001	12/31/2006	74.4
Improving Public Expenditure in Education in Karnataka	1		01/21/2004	05/24/2007	0.5
Andra Pradesh Economic Reform Proj II	1	14	02/10/2004	08/14/2004	6.6
Elementary Education Project (SSA)	28 + 7 union territories	600	04/20/2004	12/31/2007	500

* Includes the original 6 states which received IDA funding plus a 7th funded by the EC.
**Covers additional districts in the original DPEP states

2. PROJECT DESIGN AND IMPLEMENTATION

PROJECT OBJECTIVES

2.1 The two pairs of primary education projects, UBBEP and DPEP, were created in the early 1990s by Indian educators and government officials as vehicles for realizing the country's Education for All (EFA) agenda. The objectives of the four projects (two BEP and two DPEP) are shown in Box 2.1.

Box 2.1. Project Objectives (as per Development Credit Agreement)

Uttar Pradesh Basic Education Project (UPBEP I): *To assist Uttar Pradesh in increasing enrollment in, and completion of, basic education and to improve its quality. To this end, the Project would also aim to strengthen institutional capacity in Uttar Pradesh for planning and management of basic education.*

Second Uttar Pradesh Basic Education Project (UPBEP II): *To assist Uttar Pradesh in increasing enrollment in, and completion of, basic education and to improve its quality.*

District Primary Education Project (DPEP I): *To build national, state, and district level managerial and professional capacity for sustainable primary education development, decrease drop out rates, increase learning achievement, and improve access of children to primary education, in particular for female students as well as scheduled caste and tribal students, and enhance community participation in primary education in primary education in the Project States and Project Districts. .*

Second District Primary Education Project (DPEP II): *To build national, state, district and sub-district level managerial and professional capacity for sustainable primary education development in the Project States, and, with respect to Project States and Project Districts, to decrease drop out rates of children from primary education, increase learning achievement of children receiving primary education, improve access of children to primary education, in particular for female students as well as scheduled caste and tribal students and children with disabilities, and enhance community participation in primary education.* (Underlined phrases are those unique to DPEP II.)

UPBEP

2.2 The two UPBE Projects had the same main objectives, given that the second was designed as a way to expanding resources for the first.[3] The second, however, did not include the objective of strengthening institutional capacity at the state and district levels, since this was already a goal in the first and no new states and districts were added. The two projects were supervised as one (once the UPBEP II came on line in 1998) and used the same outcomes measures to determine fulfillment of their shared objectives. The UPBEP I development credit agreement[4] contained the following delineation of terms used in the objectives: "completion" was defined as reduction in school dropout and repetition, and "improvement of quality" as changes in learning achievement. Basic education covered both lower (grades 1-5) and upper primary schooling (grades 5-8).

3. Given the fact that the UPBEPI was carefully planned, including projections of future student enrollments and beneficiary assessments of demand, it is curious that enrolment increases were seriously underestimated. This must be considered a design flaw. However, the strategy taken to overcome this flaw appears reasonable: since UPBEP I was already at its limit of proportion of funds to be allocated for infrastructure and new personnel, the creation of a expansion project provided a way to add such resources. Not having done so would have created much more overcrowding than actually occurred and would have seriously undermined the quality improvement objectives.

4. World Bank, Development Credit Agreement, Uttar Pradesh Basic Education Project (CR 2509-IN), July 7, 1993.

DPEP

2.3 DPEP I and DPEP II had basically the same objectives, but served different districts and states. There were minor differences: DPEP II added "children with disabilities" to the list of disadvantaged groups to be served by the project and it explicitly included the sub-district level in its capacity building agenda (but this was implicit in DPEP I's goal to build block and cluster resource centers and village education committees). Also, DPEP I/II were different from UPBEP I/II in their objective to build capacity at the national level, given the fact that they included more than one state. Also, the DPEP projects included enhancing community participation among their objectives while the UPBEP projects did not, but again this goal was included in the projects' performance indicators. Finally, while UPBEP covered both lower and upper primary education, DPEP covered only lower primary education.[5]

Both UPBEP and DPEP

2.4 The convergence of the four projects on objectives is largely based on the fact that design features and experiences in the first UPBEP project fed into the design of the DPEP projects; in addition, by 1997 seventeen Uttar Pradesh districts became a part of DPEP II, meaning that UPBEP and DPEP were being implemented side by side in the state, leading to considerable cross-learning. Also, by 1997, UPBEP and DPEP projects were all supervised together using a common set of project guidelines.[6] This and the explanations above make it possible to assess the four projects in this PPAR in relation to the same five objectives:

- Improving access to primary education, especially for female children and those from scheduled castes and tribal areas (DPEP II added "children with disabilities');
- Reduce primary school dropout;[7]
- Improve student learning outcomes;
- Improve institutional capacity (DPEP covers national in addition to state, district and sub-district); and
- Enhance community participation in primary education (only explicitly mentioned in DPEP, but implicit in UPBEP).

Performance Indicators

2.5 Performance indicators for these objectives varied somewhat across the two sets of projects (see Annex C, Figures C.1 and C.2 for a full listing). UPBEP initially defined increased access as a 50% reduction in the proportion of school girls not in school and the increase in both school and nonformal education places, but after mid-term review redefined it as capacity to enroll all 6-10 year olds and 75% of 11-13 year olds. DPEP defined increased access as a five percent reduction of disparities across gender and social groups. Concerning drop-out, UPBEP

5. This terminology can be confusing. In UPBEP I/II basic education is defined as lower and upper primary education. Thus, the term primary education could also be used to refer to it. In DPEP, the use of the term primary education referred only to the lower primary cycle (grades 1-4 or 1-5, depending on the state).

6. In at least of one DPEPs (DPEPII) IDA credit negotiations included an agreement that the Project would not "make any changes to the DPEP or DPEP guidelines" (World Bank, 1996).

7. UPBEP also committed to reducing student repetition of grades. However, repetition was not seriously tracked (one ICR indicated there was no baseline data for this) and can be subject to teacher manipulation (automatic promotion), so this indicator is not considered here (see also Section 4: Monitoring and Evaluation).

called for a 50% reduction, whereas DPEP specified reduction to less than 10%. On learning outcomes, UPBEP projects aspired to a 50% improvement in grade 5 test scores (over baseline) and DPEP called for a 25% improvement. On institutional capacity, neither set of project provided outcomes indicators for the objective; instead they committed to specific outputs under the capacity building component of the projects (e.g., the establishment of offices, the production of materials, the provision of so much training, and the conduct of so many evaluation and research studies). To evaluate this objective, this PPAR drew selectively from the outputs indicators as well as other evidences of improved institutional capacity. Finally, on community participation, the two pairs of projects called for fully functional school/community organizations for at least 50% of schools in Project districts.

PROJECT COMPONENTS

2.6 To reach their objectives, project designers developed a set of components. components. The projects in the two sets had basically the same components and subcomponents, except as noted. Components costs, both estimated and actual, are also noted.

UPBEP

- *Improving Access* (estimated and actual costs – UPBEP I: US$91.38 million, US$91.16 million; UPBEP II: US$23.8 million, US$23.38 million). This was to be accomplished through: a) a community school construction and maintenance program; and b) (for UPBEP I only) expanding and improving non-formal education. The latter was phased out after the mid-term review showed little demand for it. It was not included in UPBEP II.

- *Improving Quality and Completion* (estimated and actual costs – UPBEP I: US$83.68 million; US$80.73 million; UPBEP II: US$51.9 million; US$50.83 million). The projects were designed to support UP government in intensifying and expanding the following program in project districts: a) strengthening community participation (through Village Education Committees); b) improving readiness to learn (through early childhood education and development activities); c) improving teacher and staff performance (through training, and additional teachers and other personnel); d) improving curriculum, textbook and teaching materials; e) improving school management, and f) rehabilitation of school facilities. Beginning with UPBEP II Village Education Committees were to receive grants to cover school improvements and teachers grants for the purchase or construction of teaching aids.

- *Building Institutional Capacity* (UPBEP I only) (estimated and actual costs: US$18.71 million; US$20.12 million). This covered: a) improving institutional structures (state EFA office, State Institution for Educational Management and Training (SIEMAT); District Institute for Education and Training (DIET); and Block Resource Centers); b) improving information flows, research, and planning (including school mapping and micro-planning (based on household surveys); management information system development; assessment of learning achievement (for project districts and state-wide), and research and evaluation studies.

DPEP

- *Improving quality and access in primary education* (estimated and actual costs - DPEP I: US$225.1 million, US$226.84 million; DPEP II: US$483 million; US$471.2 million). This was

to include: a) building district institutional capacities through construction of district project offices, strenthening DIETs, carrying out pilots studies to strengthen school supervision); b) reducing dropout by strengthening school-community organizations, expanding or improving facilities, carrying out awareness campaigns, c) improving learning achievement through enhanced inservice teacher training, use of improved learning materials and teaching aids, targeted interventions for girls, SC/ST students and (in DPEP II) children with mild to moderate disabilities); and piloting early childhood education programs; and d) improving access thought the provision of approximately 470,000 new student places (DPEP I; no target for DPEP II) in new schools and classrooms, and support for alternatives to formal school for isolated small communities and for working children.

- *Building National Institutional Capacity* (estimated and actual costs - DPEP I: US$20.5 million, US$20.41 million; DPEP II: US$1.4 million; US$1.3 million). This included two subcomponents: a) national management, and b) national technical assistance programs.

- *Building State Institutional Capacity* (estimated and actual costs - DPEP I: US$24.8 million, US$24.0 million; DPEP II: US$7.3 million, US$6.7 million. This was designed for: a) strengthening state program management structures; b) improving instructional materials development and production; c) improvement in teaching and inservice training (through state level institutions such as State Councils for Research and Training (SCERT)); d) improvement of educational, planning, management and monitoring (through state level institutions such as SIEMAT; and e) improvement of educational research and evaluation.

- *Distance Education Program* (DPEP II only) (estimate and actual costs: US$4.3 million, US$4.1 million). This was to cover the development of state-based services to support ongoing inservice and other training activities.

3. IMPLEMENTATION AND COSTS

UPBEP

3.1 *Costs and Financing*. Despite detailed preparation and planning, school construction and front-loaded activities started slowly, leading to a disbursement rate of 6 percent during the first two years (compared to a planned 30 percent). This was attributed to confusion over unfamiliar building designs, insufficient technical support for community-based civil works, delays in staffing state and district support agencies (e.g., SIEMAT and DIETs), and the unexpected bifurcation of districts (from 10 to 17), requiring additional preparation efforts.

3.2 Despite slow disbursement at the beginning, both UPBEP I IDA and GOI funds were fully disbursed. UPBEP II also disbursed near one hundred percent of IDA commitments (99.6) and 92.4 percent of Government funds. IDA accounted showed less than estimated spending for “improving quality and completion” (87.3 percent) and more for “improving access” (110 percent). In fact, higher than anticipated enrollment expansion led in turn to the hiring of more teachers than expected and higher the anticipated expenditures for teacher salaries (54 percent of total compared to SAR estimate of 39 percent).

3.3 *Project Restructuring*. UPBEP I's mid-term review in late 1996 revealed some needs for restructuring. As mentioned above, the higher than expected increase in enrollments led to the overcrowding of schools (in many places pupil teacher ratios in excess of 60:1) and the need for UPBEP II. This allowed for the quick expansion of school numbers and the hiring of 17,000 new teachers, almost 6000 of whom were locally-recruited contract teachers over half of whom were placed in one-teacher schools (an UPBEP innovation during its final year).[8] When UPBEP II was launched the two projects revised its access targets to "capacity to enroll" **all** 6-10 year old project district children and 75% of 11-13 year olds. In addition, a new feature was added which was expected to motivate better teacher performance: annual grants (Rs 500) to them for purchasing and making learning materials.

3.4 The mid-term review also noted that planned expansion of conventional non-formal education centers (catering to youth) was well below target, and thus decided to phase this out, in favor of more innovative programs (e.g., NGO-run bridging programs to formal schooling) that were being developed under the recently launched District Primary Education Project (DPEP). Just prior to the mid-term review (October 1996), Uttar Pradesh launched its own participation in DPEP (DPEP II), involving 18 districts. This, in turn, led to the creation of a third district primary education project (UPDPEP III), covering 42 districts, in 1999. By the close of UPBEP I/II most of the state's 84 districts were involved in either UPBEP or DPEP, which according to one knowledgeable informant (Ayyar, 2005), created a condition for more effective implementation in the state compared to most other states involved in the DPEP.

3.5 *Changes in UPBEP Service Delivery*. UPBEP was designed to support the piloting of 1000 Early Childhood Case and Education centers attached to schools. During the course of implementation a decision was made to begin with strengthening existing Integrated Child Development Services (ICDS), providing staff training and educational materials to enhance school readiness of participating children, and changing location and hours of ICDS so that older girls could attend school instead of needing to mind younger siblings (who could be left at ICDS centers). Positive experience with this led to a state policy to locate all new ICDS centers on school premises. Concerning regular teacher professional support, the creation of a chain of services, from the state resource (SIEMAT) to the district training institutes (DIETs) to Block and Cluster Resource Centers to the school was a long (yet to be optimized) trial and error process. Early on it became clear that the pre-planned inservice curriculum that was to be delivered was not appropriate; instead professional support was provided on the basis of need (e.g., teaching for basic skills acquisition -- reading and math, and the use of multigrade teaching).[9]

3.6 With respect to project-generated learning materials, the project began with its conventional approach to textbook revision, but soon, at the urging of some participating teachers, moved to the creation of more attractive, user-friendly, teacher-influenced materials,

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8. The use of contract or "para" teachers has become a controversial issue. Although it was originally set up to allow communities having teachers shortages to recruit local secondary school graduates as teachers (after minimal training), it has expanded to the point that some districts are hiring contract teachers for mainstream schools as a way to reduce teacher costs. Govinda and Josephine (2005) claim that this is eroding professional standards for teachers and creating a second tier relegated mostly to the poorer areas.

9. It is not clear how needs-based the revised approach was, since virtually all block centers visited during the PPAR were covering the same topics.

including supplements conveying regional and cultural themes. This set the pace for both UPBEP I/II and DPEP I/II. Likewise the Project mobilized community resources, such as Woman's Collectives, to create incentives, curricular revision, and teacher sensitization with respect to improved girls' participation and treatment in schools. A special project component supporting experimentation with innovations and pilot projects led to some new initiatives for community libraries, double shifting and work-experience programs for girls, but no major reform effort or movement came from it.

DPEP

3.7 *Costs and financing*. Both DPEP I and DPEP II disbursed all IDA funds in terms of Special Drawing Rights (SDR); in terms of US dollars, there is an appearance of underspending, but this is due to the devaluation of the India Rupee against the US dollar. In both projects spending for books and learning materials was far below budget, due to overestimation of costs at appraisal. Also, spending for consultants was below expectations, especially for international consultants, which were sparingly used. Finally, procurement of civil works was designed to be mostly through national competitive bidding, but since in reality construction was largely managed by Village Education Committees, local shopping (by communities) became the dominant means of procurement for construction. Although an effective means of encouraging the development of local capacity, such reforms were often accompanied by weaknesses in financial management. A review of fiduciary responsibility in DPEP II shows numerous cases in which the state project officers were unable to reconcile the amounts of outstanding advances to local entities (blocks) with their statements of expenses. Numerous audit reports brought out such weaknesses, but some states were slow in responding to such issues. Overall, it seems that training of local staff in financial management (accounting, reporting and internal controls) was inadequate.

3.8 Already in the first year of DPEP I, preparation for DPEP II began. As with DPEP I preparation for DPEP II was detailed, involving the use of beneficiary and design studies in 40 new districts in the original Phase I states and in 3 new states with their 30 project districts. DPEP II became effective in October of 1996. Eventually, DPEP I was extended for an additional year, allowing it to close at the same time as DPEP II, which closed on time.

3.9 *Implementation Progress*. The Projects were implemented according their designs; there was no restructuring of either objectives or components. Relatively smooth implementation was attributed to the fact of little turn over among Project managers at the national, state and district levels, the strong sense of national and regional ownership of the Project, and the availability of skilled and committed personnel at all levels in most states. Unexpected interruptions came in 1996, 1998 and 1999 when general elections were held (normally only once in five years), drawing school personnel into election duty. State counterpart funding was generally provided at agree amounts and in a timely fashion, except in Assam and Orissa, where it caused delays. Funding flows from the center government was also delayed especially in the early years, causing some turmoil.

4. MONITORING AND EVALUATION

4.1 This section will focus on three aspects monitoring and evaluation in and by the UPBEP and DPEP projects: a) the monitoring and evaluation design; b) the implementation of monitoring and evaluation in the projects; and c) the utilization of monitoring and evaluation results.

MONITORING AND EVALUATION DESIGN

UBBEP

4.2 Since no logical framework was provided in the UPBEP project documents,[10] this review gathered information from various sections of the two Staff Appraisal Reports, e.g., for UPBEP I, "Goals and Objectives" and Annex 21, and for UPBEP II, Block 1 and Annex 1. In the PPAR these are presented in a single matrix (see Annex C, Figure C.1) and include project objectives, performance indicators and targets, data collection methods, and end of project status.

4.3 For the first three objectives, those concerning access, dropout and learning outcomes of students, the M&E design appropriately includes outcomes indicators with measurable targets. A weakness in the assessment of *access* was the use of both gross enrollment ratios (all children enrolled, irrespective of age, in relation to the school-age population) and the creation of new student places. (The latter is more appropriate as an output target). Also, when under UPBEP II the enrollment goals changed to the "capacity to enroll 100 percent of 6-10 year-olds and 75 percent of 11-13 year olds" (as indicated by *gross* enrollment ratios of 100 and 75, respectively), a more appropriate indicator would have been *net* enrollment ratios (which removes over- and under-age children from the ratio calculation). Also, the revised enrollment goals did not specify targets for the disadvantaged groups, undermining the possibility of showing equity improvement.[11] Improving student *learning outcomes* was appropriately addressed by conducting a sample-based mid-term and final assessment and comparing the outcomes with baseline results. However, it would also have been useful to have indicators of intermediate outcomes, such as the time spent by students on academic tasks, and teacher attendance and performance (pedagogical skills), all essential immediate conditions for improved learning (see discussion in Section 6 on relevance). One common weakness in the assessment of all three objectives was the lack of a counterfactual, namely control group data that could be used in attributing results to project interventions. Without them, it is not clear whether the positive changes are being influenced by the Projects or other factors also influencing non project schools (see Section 6, relevance).

4.4 On the *capacity building objective*, indicators were created for each UPBEP capacity building sub-objective at the state and district levels; however, almost were output indicators (number of teachers trained, etc.). A more robust design would have been to use more outcomes indicators, such percent of schools in a district making certain improvements or specific changes in trainer/ teacher/manager/VEC performance. Also, as with the other objectives, there was no use of the counterfactual (whether similar management changes were taking place in non-project

10. UPBEP I was designed before logframe analysis was required in project documents.

11. A GER of 100% does not mean full access for all, since the GER can go above 100%. For example, one hundred percent could break down into 110% for boys and 90% for girls, a 20% enrollment gap.

districts), nor (as pointed out by Ayyar, 2005) any comparison across project districts on improved institutional capacity (i.e., which districts were improving the most/least and why). Given a lack of outcomes measures, it would have been more appropriate for capacity building to have been specified a *means* to project objectives (e.g., as a component) rather than an objective itself.

4.5 Finally, concerning *enhancing community participation in primary education* (mentioned as a goal under "improving quality and completion"), the design was to assess the percent of villages having *fully functional* Village Education Committees, with a target of 50 percent. Although this appears to be a reasonable indicator, creating a good definition and measure of "fully functional" was challenging.

DPEP

4.6 The main M&E design features of the DPEP I/II were articulated in Annex 5 of the SAR in both projects and in passages of SAR text. These design features are summarized by this review in ANNEX C (Figure C.2). *Improving access* in both DPEPs is operationalized in terms of reduced enrollment disparities across gender and social groups (SC/ST) – to below 5 percent. While this treats the equity aspects of access, it fails to treat the expansion part (disparities could be reduced by boys' enrollments going down). For this DPEP would have needed to show if enrollments were increasing, and not just in absolute terms but in relation to population (generally indicated by gross [or perhaps better net] enrollment ratios). On *reducing primary school dropout* DPEP set an absolute standard (reduction to below 10 percent). Given the wide variations in baseline status on this across states and districts, it would have been more appropriate to put this in relative terms (an x% decline in dropout), as was done in UPBEP I/II.[12] And on *improving student learning outcomes*, the comment about the lack of intermediate outcomes related to learning (e.g., improved teaching behavior) mentioned for UPBEP I/II is also relevant here.

4.7 The evaluation of *institutional capacity building* at the national, state, and district levels was constrained by the projects' reliance on a long list of output indicators (around 45). As with UPBEP I/II, this was not an appropriate design for documenting the fulfillment of the capacity building objective, for outputs such a "functional" office or hours of training delivered do not necessarily lead to improved capacity. Also, many of the indicators targets were vague (not involving hard evidence). Finally, for the fifth objective, *enhancing community participation in primary education*, the indicator was the same as for UPBEP I/II and had the same limitations.

IMPLEMENTING MONITORING AND EVALUATION IN PROJECTS

UPBEP

4.8 UPBEP I/II saw the pioneering of the new computerized educational management information system (EMIS), and thus an improvement in the accuracy and timeliness of student access and completion data, at least for lower primary education (upper primary was not covered

12. This is not to deny the importance of eventually eliminating dropout, a necessary condition if the school system is to reach the millennium development goal of universal primary school completion. However, the time required for this will vary from district to district, and in the short run this could be accommodated by the more flexible target.

by EMIS during project years). Nevertheless, there were still problems with data quality at the source (data entry) and in the calculation of change scores, since most baseline data was badly flawed. Measuring changes in student dropout was constrained by the faulty baseline data and also by EMIS's lack of coverage of the growing number of unrecognized private schools (shifts to which were often counted as dropouts). Uttar Pradesh's SIEMAT eventually addressed this weakness by doing a sample survey of dropout using a real cohort method in six districts (SIEMAT), but it is not clear how representative the outcomes were. For learning outcomes assessment, baseline and time series data were apparently collected in all project districts, but serious questions were raised in the ICR about data reliability (scores were skewed in unrealistic ways) and the final results were not reported in that review.

DPEP

4.9 The monitoring of expanded access in DPEP the project included tracking changes in enrollments in project districts but did not relate this to population change, so it was not clear whether access was improving or not. The main explanation for this was that age disaggregated population data from the 2001 census were not available at the time of Project closing (and the writing of the ICR). It might have been possible to compute enrollment ratios from the National Family Health Survey of 1998/99 which had household data on education, but the project did not do this. This gap will filled by the external study by Jalan and Glinskaya (2002) using household data from 93/94 and 99/00. Concerning gender and social group disparities, this was tracked for gender and for scheduled castes, but data for tribals was incomplete. On learning outcomes, there were problems comparing baseline and end-of-project results since they used different instruments.[13]

4.10 For the objective of building institutional capacity, progress on many of the 46 outputs indicators was not reported out in the ICRs and, according to PPAR informants, was not fully tracked. Allegedly, the complex M&E design in the Staff Appraisal Report (SAR) was not fully "bought into" by Project management, which shaped Joint Review missions. Management generally used the government's DPEP guidelines to shape its monitoring efforts and not all of the SAR indicators were in those guidelines. For example, the commitment to "a multivariate analysis of achievement data using school effectiveness models" did not appear on the GOI agenda nor did "improved classroom teaching processes for 50% of trained teachers." Likewise, many features of "establishing programs for Reading Skills and Comprehension Enhancement and for Mathematics Activities" were not documented, including outcomes assessments for both using an experimental design.

UTILIZATION OF MONITORING AND EVALUATION RESULTS

4.11 The two main "products" of the monitoring and evaluation programs in both pairs of projects were the management information system (EMIS), used mostly for monitoring progress

13. This problem arose at mid-term when the test was revised based on the new curriculum. The new test was also administered at the termination of the project. This allowed for a direct mid-term to terminal comparison (MAS to TAS). To check on changes in the early years (start-up to mid-term) the project drew a 5 percent sample of schools at the midpoint of the project and re-administered the original baseline test to them: thus creating a BAS1 to BAS2 comparison. Strictly speaking there is no capacity in the test data to show changes in test scores over the entire length of the project: BAS to TAS. Nevertheless, the Project has, inappropriately, added BAS1-BAS2 and MAS-TAS change scores to determine whether the overall 25 percent increase in learning achievement was achieved.

in access and retention, and the student learning assessments, used in evaluating learning outcomes. In both pairs these products were invaluable to policy makers and program managers in their ability to document progress. In the case of EMIS, timely and user-friendly "reports cards" (state and district) were ultimately produced containing 400 variables (summarized on one sheet!) and made available within the year of data collection.[14] These have been sent to all states and districts in hard copy and digital form (CDs) and meetings are held to solicit feedback. In addition, a thousand copies are sent to universities and research institutions each year, which are encouraged to use the reports and the raw data for research. Demand for the reports by school system managers are acknowledged to be rather modest, although growing. Also, reports from the districts have shown that the use of the data by schools and Village Education Committees in their annual plans is not widespread (see outcomes section on "management and planning" for evidence of this).

4.12 It is not clear how widespread the use of the learning outcomes measures has been. It is clear, however, that they have not been extensively mined for trends and insights. For example, The DPEP report on Phase 1 student achievement devotes only one page to describing the differences among states and districts. In the analysis there is no attempt to connect performance (e.g., high or low) with the characteristics of the location or Project Management, nor any attempt to connect it to DPEP inputs, service delivery, or intermediate outcomes such as teacher or student classroom behaviors (e.g., active learning). Moreover, what is analyzed is simply the average district test score and not *percent change*, the main learning progress indicator of the Project.

5. ACHIEVEMENTS OF PROJECT OBJECTIVES

5.1 This section examines the outcomes of the UPBEP and DPEP projects by Project Objective. The objectives are those which were found to be common to the two sets of projects (see section 2), namely: a) improving access to primary education, b) reducing primary school dropout, c) improving student learning outcomes, d) improving institutional capacity, and e) enhancing community participation in primary education. The examination weighs reports in self-evaluations (ICRs and attached "national reflection papers" by the GOI), aide-memoires from supervision missions, information in subsequent project design papers (e.g., new phases of DPEP or of SSA), reflections in papers and publications written about the projects, and direct observations by the PPAR mission. Outcomes on each objective will be discussed by project. They are also presented in Annex C, in the two figures (C.1 and C.2) portraying the project M&E design.

IMPROVING ACCESS TO PRIMARY EDUCATION

UPBEP

5.2 In original UPBEP I outcomes indicators for improvement in access were gross enrollment ratios (overall and SC/ST, boys and girls) and a decrease the percent of girls found to be out of school. The overall targets were for primary: 85 and 71 percent for boys and girls,

14. The technical name for this information created for UPBEP/DPEP by NIEPA is the District Information System for Education (DISE).

respectively; and for upper primary: 76 and 64 percent. The targets for SC were 109 and 71 percent for boys and girls (primary) and 43 and 22 percent for upper primary. (None were specified for scheduled tribes).[15] These targets were reached or exceeded by the end of the project, especially those for scheduled castes, but caution is needed especially with respect to the upper primary outcomes, given the fact that they are based on flawed administrative data and not the EMIS. Also, with UPBEP II came a reframing of the outcomes to the "capacity to enroll *all* 6-10 year-olds and 75 percent of 11-13 year-olds." Indicators for this were set as 100 percent gross enrollment ratio for lower primary in project districts and 75 percent for upper primary. These were not reached: GER for lower, based on EMIS data was 93 percent in 2000; for upper primary Directorate data shows 71 percent, based on administrative data which is most likely inflated. Actually, since the goal is enrollment of an age group, net enrollments would have been a more appropriate measure and these were not reported (but by definition would be lower than the GER), further reinforcing the conclusion that the target capacity was not fully reached. Further evidence is the fact that during appraisal of the Uttar Pradesh 3rd District Primary Education Project (UPDPEP III), prepared a year before the completion of the Basic Education Projects (2000), it was estimated that there were "about 3,102 unserved habitations in all project districts entitled to have a school building as per the state norm, but were still unserved" (World Bank, 1999).

5.3 The reduction in percent of girls out of school (by 50 percent) could not be accurately tracked, because baseline enrollment data was highly flawed. Nevertheless, relatively reliable EMIS data, collected in UPBEP/DPEP districts since 1997, showed a girls' gross enrollment rate of about 91.4 in the final year of the Projects (2000). Assuming a 10 percent error in the baseline data in one direction or the other would still make the percent reduction well above the target. Also, given that the GER for boys was 94.4 in that year, it is clear that the gender gap had narrowed to below 5 percent, an accomplishment perhaps even more important than the original target of a 50 percent reduction in those out of school.

5.4 The output goals for this objective were creating new primary school and upper primary school places. The combined goals for UPBEP I and UPBEP II for primary were 900,000 new places and for upper primary 350,000 new places. These goals were exceeded at both levels (estimated final status were 981,000 and 365,000, respectively), with overfulfillment being especially noticeable during UPBEP I. The increase in places in UPBEP I was largely due to lower than estimated unit costs of the new schools, which were *built to new, economical BEP design specifications.* Underfulfilment of the NFE target of providing 150,000 new places (at their peak in 1997 NFE centers enrolled only about 5000) led to Project restructuring and the redesign of this subcomponent under DPEP, in which the state developed a wide range of "alternative school" programs, for example, the demand-driven Education Guarantee Scheme for remote areas which had been pioneered in Madhya Pradesh.[16]

5.5 The connection between increasing school places and improvements in enrollment ratios is still a tenuous one. Within the project there was no way to document whether the

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15. The neglect of scheduled tribes in Uttar Pradesh is explained by the fact that there is only a small pocket of them (around 35,000 people) in a state having a total population of over 150 million. This being the case, the specification of scheduled tribes as a project target group was a design flaw.

16. In the *16th Progress Overview* of DPEP, Aggarwal (2001) shows that by then Uttar Pradesh had about 7000 Alternative School centers, serving more than 250,000 children.

increases in enrollments were due to increased number of places or some other reasons (e.g., mid-day meals which were provided in all schools). This is because there were no control districts to be used to demonstrate the counterfactual (what would have occurred without the project). There are some recent figures showing higher increases in primary school enrollments over 6 years (91/92 to 97/98) in UPBEP districts than in non-Project districts: 32 percent versus 22 percent (PAD, UPDPEP III, 1999). Since UPBEP districts were selected on the basis of their relatively low literacy levels, it is not clear whether the comparison districts are, in fact comparable. Also, the baseline data for both groups of districts were of questionable value. Thus, although there is a hint that enrollments increased in UPBEP districts because of the intervention, the data need to be used with caution. (In DPEP the attribution issue was eventually sorted out through an impact evaluation in which districts were match by a computer model (see next section)). Overall, achievement of this objective was substantial.

DPEP

5.6 The sole DPEP outcome indicator for improved access was "the reduction in access disparities among gender and social groups to less than 5 percent."[17] Figures from the DISE database show that in DPEP I the average gender gap across all project districts, after 7 years of implementation, was below 5 percent in 6 of 7 states; in DPEP II, after 5 years, it was below 5 percent in 6 of 10 states,[18] indicating that the goal was not reached in many locations.

5.7 Enrollment of children from scheduled castes has come basically into line with their share of the population (Ayyar and Bashir, 2004; Pandey, 2000), but not those among children of scheduled tribes, who are still underserved. Concerning scheduled tribes, DPEP capacity building plans included a study at the national level on ST education development, but this is not listed as a Project output. Also, this PPAR shows little follow-through on the development of textbooks in tribal languages.[19] It has also been noted that ST parents are under-represented in Village Education Committees or, when present, generally silent participants (EdCil, 2003); that micro-planning for primary education sometimes overlooks ST communities (Vasavi and Chamaraj (2001)); that textbooks still contain biases against lower castes and tribals, and that teachers sometimes perpetuate biased perceptions about them, even to the point of seating them separately (Jha and Jhingran, 2002).

5.8 DPEP II also included children with mild to moderate disabilities as a social group to be provided improved access by the Project. Although the strategy for doing this was never clearly articulated, there is evidence that improved access for this group did occur during DPEP implementation. According to the "National Reflection Paper" appended to the DPEP II implementation completion report (ICR), about 276,000 children (in eight of 12 DPEP states) were identified as being disabled, and over the Project about 212,000 (77 percent) were mainstreamed in primary school classrooms. In this there was wide variation across states: in Assam the proportion mainstreamed was reportedly 25 percent, while in Haryana, Himachal

17. The District Primary Education *Program* (to which the *Project* contributed) had a broader set of access objectives, including "universal access."

18. It is not clear why DPEP II appears to have been less successful than DPEP in closing the gender gap. However GOI (2003) data shows that the gap in DPEPII states (12 percent) was higher at entry than in DPEP states (8 percent). Also, in the end the average gap in DPEP II was 8 percent, not too far from the 5 percent goal.

19. In an interview with a senior manager of NIEPA, the mission was told that despite DPEP goals those using minority languages are still at a disadvantage.

Pradesh, and Kerala the proportion was at or near 100 percent.) This is encouraging, but is should be noted that one third of the DPEP states are silent on the matter. Also, it is not clear what kind of support is available to those who are mainstreamed. The PPAR mission observed several mainstreamed disabled children in schools who appeared to be marginalized, i.e., having no special programs or support to help them overcome their learning disability.

5.9 The impact of DPEP I on enrollment rates (along with other outcomes) has been investigated (Jalan and Glinskaya, 2003), through the use of propensity score matching techniques to create an appropriate control group (needed because DPEP districts were not selected at random, but were those having the lowest literacy levels). Their conclusion is that DPEP I had a small positive impact on the enrolment rate of 6-10 year olds and a moderate-sized one on 11-13 year olds, once other factors are accounted for. This is not the resounding impact that the robust increases in enrollment figures had led stakeholders to expect, but it must be acknowledged that besides DPEP many other government interventions affecting enrollments had been implemented (which were not controlled for in the Jalan and Glinskaya study); and conversely, the catalytic effects of DPEP on educational improvements went far beyond the narrow confines of participating districts. Overall, achievement of this objective was substantial.

REDUCING DROPOUT

UPBEP

5.10 In UPBEP the Project outcomes indicator was a 50 percent reduction in primary and upper primary dropout (DO). Concerning DO at the primary level, EMIS data revealed rates of 27.4 and 27.9 for boys and girls at the end of the Projects, compared to a baseline of 60 and 40 percent, yielding percent change estimates of 54 and 30 percent, respectively). However, since the baseline data is based on faulty school (administrative) records (the EMIS was not operational yet), the change scores cannot be considered reliable. Even the EMIS end-of-project DO data should be considered flawed, since they were based on "reconstructed" (not true) cohort study methods, and since EMIS did not track enrollments in unrecognized primary schools to which substantial numbers of students had been moving. SIEMAT conducted a household survey in 1999 in 24 blocks in 6 of 17 UPBEP districts, and in that the DO rate was determined to be about 32 percent (SIEMAT, 1999). Although this still does not include a computation of percent reduction (again, due to poor baseline data), it is clear that dropout is still a major problem in project districts. One of the issues identified by the mission was that the problem had not been fully researched prior to project start-up (e.g., reasons for drop out, both supply and demand side) and thus no specific evidence-based solutions had been put into place. The assumption appeared to have been that if the schools were improved and teachers were trained, children would be much less likely to drop out, which did not turn out to be the case.[20] Overall, achievement of this objective was modest.

DPEP

5.11 In DPEP an absolute level of dropout (less than 10 percent) was set as the outcomes indicator. In none of the Project districts, except for those in Kerala (where these levels already

20. Recently a study of DO in UP (SIEMAT 2005) was completed and it has led to intensified efforts to mobilize parents and the community in child attendance tracking.

existed at the outset), was this goal met. In DPEP I end of project rates were between 20 and 40 percent in the states of Haryana, Maharastra, Karnataka, and Tamil Nadu; in Assam they were over 40 percent. In DPEP II only 16 percent of districts ended up with DO rates below 10 percent (state averages being between 10 and 40). Evaluators and commentators have suggested that it was inappropriate to apply the same standard to all states and districts, irrespective of starting points (pointing to the fact that Kerala, which already had DOs below 10 percent, easily reached the goal). However, valid data on DO did not yet exist at the beginning of the projects, so percent change would have been hard to track. Perhaps more realistic would have been differentiated time lines for each state, depending on baseline conditions, with all states having similar low drop-out aspirations in the long run. Again in DPEP there was little in the way of diagnosis and rigorous measurement of DO, and few strategies beyond vague notions of improved quality and community support for pressing drastic reductions.[21] Overall, achievement of this objective was modest.

IMPROVING LEARNING ACHIEVEMENT

UPBEP

5.12 The main UPBEP performance indicator for its quality improvement objective was a 50 percent improvement in grade 5 learning achievement over baseline achievement levels. According to the ICR this goal was surpassed (based on a comparison of Terminal Assessment Scores to Baseline and Mid-term scores). However, some questions have been raised about the methodology of the assessment, particularly with respect to the extremely skewed distribution of outcome scores.[22] Mid-term learning outcomes compared to baseline were presented in the UPBEP II PAD and whereas these showed some modest improvements in language learning (but not math) the differences were not statistically significant. Reasons cited for little change was the fact that project inputs had been delivered only shortly before mid-term testing. Overall, achievement of this objective was modest.

DPEP

5.13 The main student learning indicator in DPEP I/II was an "improvement of learning achievement by 25 percent over the baseline." As mentioned in Section 4, change over the life of the project could not be directly determined given the fact that the achievement test was changed at midterm. Table 5.1, based on data from the ICR, gives the percent change in student scores over all project districts for the baseline to midterm (using one test) and midterm to end-of-project (called the terminal assessment) using the other. These results show strong positive changes in both subjects and at both grade levels in DPEP I and DPEP II. Whereas technically the scores from the two phases (baseline to midterm and midterm to terminal) cannot be added, there is a strong impression that the 25 percent improvement target was met. Also notable was the disappearance of significant differences between girls/lower caste children and the others on achievement scores, but this could not be said for children of scheduled tribes whose scores remained significantly lower.

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21. At the launching for the country-wide SSA project (2004) DO rates were still very high across districts and states, but curiously DO reduction did not become one of the Project's objectives.

22. Data from this achievement testing could not be obtained by the mission, so these findings could not be validated.

Table 5.1. Percent Change in Average Test Scores for DPEP I and DPEP II[a]

Grade	Subject	DPEP I		DPEP II	
		Baseline to Midterm[b]	Midterm to Terminal[c]	Baseline to Midterm[b]	Midterm to Terminal[c]
1	Language	11	20	23	12
	Math	28	20	40	13
3 or 4	Language	19	35	15	16
	Math	13	45	18	23

[a]Includes all DPEP I/II districts, even those not covered by IDA projects.
[b]Based on baseline test results given to a full sample prior to project start up and to a small sample at midterm.
[c]Based on a new test given both at midterm and at end of project (Terminal)

5.14 When the results are disaggregated to the district level, a somewhat different picture emerges (see Table 5.2).[23] As can be seen, the percent of districts where results reach the 25 percent improvement goal was between 61 and 87, depending on the subject and grade level. The average was about 73 percent; thus in about ¼ of DPEP I/II districts the target was not reached. Why this discrepancy between the student level analysis and the one based on district averages? One explanation is that the student level analysis includes data from all states implementing DPEP, including those with relatively good results like Madha Pradesh, whereas the district level analysis only covered those states in DPEP I or II covered by Project funds.

Table 5.2. Percent of Districts Reaching Learning Improvement Goal

Grade	*Subject*	*DPEP I**	*DPEP II***
		(N=23)	(N=78)
1	Language	57	78
	Math	61	87
3 or 4	Language	87	68
	Math	65	81

* Excludes Madhya Pradesh and Chhatisgarh (which split from MP)
** Excludes Andhra Pradesh and West Bengal, missing Kerala
Adapted from: S S.K.S Gautam, Student Achievement Under TAS: An Appraisal in Phase I States, NCERT, 2002 and S.K.S Gautam, Synthesis Report on Student Achievement Under TAS: An Appraisal in DPEP States, NCERT, 2003.

5.15 As impressive as the changes in student learning outcomes appear, they can also be challenged on the basis of attribution. The DPEP assessment included no control group data, so it is not possible to establish empirically whether the changes are attributable to the projects. One way to overcome this would be to look at performance over time. If DPEP treatments were influencing the direction of achievement scores, one might have expected consistency across the

23. This table was created by IEG based on GOI synthesis reports. It takes district averages for the two time periods (baseline to midterm and midterm to terminal) and estimates whether there was a 25 percent improvement over the project period. It includes only the districts covered by the DPEP I and II.

two testing periods, baseline to midterm and midterm to terminal. However, this is far from the case in many districts. In DPEP I districts about in only about half of the districts are is there consistency (near the goal in both time periods), and in DPEP II districts there is consistency in only 1/3 of districts in language and only ¼ in mathematics. In many of these districts the change during one period is negative and in the other positive. It is not clear why there is so little correlation in the changes across the two periods, but one possible explanation is the validity of the tests.

5.16 The basically positive slant of the DPEP I/II assessments has been questioned by some independent evaluators. The Bangalore-based Azim Premji Foundation did a review of the "Status of Learning Achievement in India" (2004) and found many small-scale, in-depth studies in DPEP states that showed low mastery levels in language and math among school children. In most cases outcome showed findings nowhere near DPEP's terminal assessment averages in grade 1 language and math of around 80 percent. A recent survey in rural areas by the NGO Pratham of simple reading and math skills revealed pervasive weaknesses, for example, in the proportion of rural children who could read a simple paragraph.[24][25] It is important that the country reconcile these findings with those coming out of DPEP (which also mostly covered rural, low literacy districts).[26] In the mean time, Azim Premji and others are questioning whether the DPEP's paper and pencil approach to assessment is the most appropriate way to measure student learning outcomes. At this point, the main conclusion that can be drawn is that while there has been some improvement in average learning outcomes under DPEP I and II, despite rapid increases in enrollments, the absolute levels of basic knowledge and skills in project (mostly rural) districts (as determined by criterion referenced tests) is still very low in most locations. Overall, achievement of this objective was substantial.

BUILDING INSTITUTIONAL CAPACITY

UPBEP

5.17 The improvement of institutional capacity for the planning and management of basic education was a major objective of UPBEP I. Prior to the state supported schemes of UPBEP and DPEP the management of basic education had been of marginal interest to state and district education officials. Big changes in this were envisioned by the projects, but in their designs capacity building was never clearly defined, and, as mentioned in Section 4, no outcomes indicators were specified. In contrast, many outputs indicators were specified, but these often just showed the formal changes (establishment of an office) or the delivery of inputs (such as hours of training) and not improvements in institutional or managerial performance. Nevertheless, there is some evidence of new institutional capacity having been built and this will be presented briefly in relation to five main management domains: planning and change management; curricular reform and materials development; professional development of teachers

24. Pratham's *Annual Status of Education Report (2005).* The report was based on a national random sample in 485 rural districts (9000 households) in which volunteers had 7-14 year olds read simple paragraphs at the first and second grade level and solve simple math problems during a home visit. It was found that 48 percent of 7-10 year-olds could not read the first-grade level paragraph fluently.

25. Similar observations were made by the PPAR mission: in six rural schools visited in Karnataka and Uttar Pradesh most of the second graders tested could not read a first grade textbook passage fluently; somewhat over half of the 5th graders could.

26. One insight is that the DPEP I/II reading tests were about 50 percent word recognition, which could be considered less demanding than reading a passage (the Pratham test).

and local managers; management of educational information; and research and evaluation related to basic education.

- *Planning and change management*. Before UPBEP there was no systematic planning for basic education at the state and district levels. The UP EFA Society, which managed UPBEP I/II at the state level, initiated a program of annual work plan and budget planning (based on existing data) at the state level and helped to build capacity for this at the district level. Not all plans are carefully constructed upon the existing data (some became a bit ritualistic),[27] but plans are used as a basis for annual financial allocations. Village Education Committees have also are involved in school level planning, including planning for the use of an annual grant. The EFA Society also completed a state-wide EFA plan, which became the basis for expansion of UPBEP/DPEP to 60 of its 84 districts, and by the end of the century four "sustainability studies." One concern is the fact that the EFA Society is an autonomous body not embedded in the educational bureaucracy and it is not clear how much of its planning and leadership expertise is being transferred to the state government offices.

- *Curricular reform and materials development*. With the help of consultants the project built a new curriculum for basic education and created a new generation of student friendly textbooks and supplementary materials. During the course of this effort, state curricular developers learned how to draw upon teachers and try out materials in the field (new skills). The State Council for Educational Research and Training Capacity became engaged in these activities, but was still not fully capable of leading it and moving it ahead.

- *Professional development of teachers and local managers*. UPBEP I/II created a new infrastructure to teacher development, first by establishing the State Institute of Educational Management and Training (SIEMAT) and, at the district level supporting a more proactive role for the District Institutes of Education and Training (DIETs), and setting up teacher resource centers at the block and cluster levels. Whereas prior to the project teachers rarely received any inservice training at all, under the project most received 6 to 10 days a year and attended a meeting at the cluster center and/or are visited by a resource person from the cluster center once a month. Block and cluster resource centers spread to non-project districts even before they were sponsored state-wide by the 2001 Elementary Education SWAp (SSA). Teachers also started receiving modest annual grants for use in purchasing or making teaching aids, a pattern which is expected to continue. SIEMAT has become a productive agency, directing training and managing studies; the DIETs have a more checkered record; and the resource centers have generally been active, although their effectiveness varies from district to district. Evidence of improved teaching has not been systematically documented, but some qualitative studies (supported by PPAR observations) have shown an increase in student-centered learning and student-friendly classrooms. Old fashioned pedagogy and rote learning are still evident everywhere, however, so there is still a long way to go.

- *Management of educational information*. With the help of the National Institute of Educational Planning and Administration the state set up a new Educational Management Information System (described in this report's Section 4). It became computerized and operational at the state level and all project districts and has provided the basis for improved planning. Data is still flawed in many places, given low-level skills at the subdistrict level,

27. Based on PPAR mission observations.

where data entry takes place, and the rapid turnover of district managers (requiring some functions to be out-sourced). Its use in planning at the school level is still quite rare, but the culture of data-based planning and management is beginning to be established.

- *Research and evaluation for basis education*. One of the first tasks to be undertaken by SIEMAT was to establish a student learning assessment system for the state, but this did not come to fruition. SIEMAT has undertaken some useful research (such as the real cohort study of student dropout) but much of its output is of uneven quality. The state EFA society sponsored a total of 63 studies, but these too were of uneven quality and relevance (World Bank, 2003a).

5.18 Achievement of objective: even though the evaluation design for this objective was flawed there was enough evidence for improved institutional capacity to be assessed as substantial**.**

DPEP

5.19 One of the main objectives of DPEP I/II was to "build national, state, and district capacity to plan for and manage primary education." Determining whether this objective was fulfilled was not a straightforward task, given the lack of outcomes indicators. There is some evidence of change, however, which will be compiled around the same themes as in the UPBEP assessment, namely: planning and sub-sector management; curricular reform and materials development; professional development of teachers and local managers; management of educational information; and research and evaluation related to primary education.

- *Planning and change management.* The national BPEP Bureau and its technical support group were highly motivated and proactive managers of the many changes introduced by DPEP. Continuity in its leadership and senior staff was one key to this. State and district project offices were also generally fully staffed and motivated, but there was some turnover. The main planning vehicle at all levels was the Annual Work Plan and Budget, a bottom-up planning system that has taken root and changed the way needs are determined and resources allocated. The capacity for needs- and performance-based planning varied widely from state to state and district to district.[28] However, there has been no systematic evaluation of district planning capacity, or even a "comparative descriptive account" of planning and management performance across districts (Ayyar, 2005).

- *Curricular reform and materials development.* Curriculum revision and learning materials production was successfully implemented in all DPEP I/II states in the same innovative manner employed by Uttar Pradesh, largely a result of the strengthening of state agencies, support from the center, and cross-fertilization.[29] States varied in the extent to which their resource institutions were fully capable of driving this such pedagogical renewal, but at least one

28. Evaluation studies reviewed by the World Bank (DPEP Review, 2003) show that AWPBs were rarely based on assessed needs and performance but more on simple lists of activities and their funding requirements (DPEP Review, 2003). This was confirmed by the PPAR mission in its visit to Hardoi district in Uttar Pradesh, where the district personnel admitted that planning exercises are mostly reduced to a "game of numbers" with not much thought given to the current year's strategies, which resemble those of other districts. In the early years of DPEP, when the Project was fresh, there was alleged to be more meaningful and context-specific planning.

29. According to Ayyar and Bashir (2004), "renewing pedagogical content and processes could be the single most important contribution of DPEP, shifting from a teacher to a learner-centered pedagogy through revised curricula, curricular materials and a huge teacher training network."

institution, the DSERT of Karnataka (visited by the mission), had continued to innovate in curricular and materials development.[30] One disappointment was in the area of tribal language use. There was no evidence of DPEP I/II having created textbooks in tribal languages as envisioned.[31]

- *Professional development of teachers and local managers.* One of the important legacies of DPEP I/II has been the establishment of an operational in-service teacher training network. During DPEP this network was able to provide 6-10 full days to each teacher per year, plus regular teacher meetings at cluster resource and school visits by a mentor teacher. During the Project training content became increasingly needs oriented (although the PPAR mission observed only a limited number of subjects being covered, such as multigrade teaching and English). The PPAR mission confirmed that, at least in Karnataka, this system was still operational two years after the close of DPEP I/II. The quality and impact of the training has not been well documented; however, as in Uttar Pradesh, there were small-scale qualitative studies showing improved teaching skills in some locations.[32] The only evidence of local management capacity building was amount of management training delivered.

- *Management of educational information.* By project completion the educational management information system (EMIS) was operational on a computer format in all Project districts (and by extension to many non-DPEP districts, too). A host of district level database managers were trained to start up and maintain the system, nevertheless there are still quality control issues and low demand for the data in decision making.

- *Research and evaluation related to primary education.* Most issues have already been covered in Section 4, Monitoring and Evaluation. DPEP I/II have clearly mobilized much more interest in studying and evaluating primary education than existed in the past. At least 180 studies were undertaken under the two projects.[33] However, interest is not the same as capacity. Given the poor quality of much of the research, capacity building could still be considered a work in progress.

Overall, achievement of the objective was substantial.

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30. See new "trimester curricular system" developed by DSERT in 2005.

31. According to a NIEPA administrator this is one of the reasons that tribal students were still disadvantaged by the end of DPEP I/II.

32. During unannounced school visits to 9 schools in Karnataka, PPAR mission members observed one school not using any project emphasized "active learning" approaches, five using some (especially in lower grades), and three using an abundance. Concerning more specific skills, there was less evidence of training impact: for example, of the nine schools visited eight used multigrade teaching, but only four used any kind of multigrade teaching strategy, despite the fact that all teachers had received training in it. Discussions with teachers and trainers revealed that in their districts there is little connection between training provided and follow-up at school, both by school management (head teachers) and by visiting mentors. The latter rarely check to see if training was understood or implemented, nor do they provide hands-on assistance to make sure that teachers master new innovative instructional methods.

33. According to Ayyar (2005) no other program in India has generated the volume of research and evaluation in education that DPEP has. A conference on the impact of DPEP on Primary Education in 2003 saw the compilation of 491 study abstracts, 152 on evaluation studies (p. 49).

ENHANCING COMMUNITY PARTICIPATION IN PRIMARY EDUCATION

UPBEP AND DPEP

5.20 Both UPBEP and DPEP had a single outcome indicator for this, namely that fully functional Village Education Committees would be established in 50 percent of schools in project districts. As mentioned in the monitoring and evaluation section, this indicator presents a rather limited view of community participation in primary education, and even for the Village Education Committees the failure to spell out in detail what "fully functional" meant, leaves the evaluator without much hard evidence of fulfillment. Nevertheless, for UPBEP it was shown that in most project villages VECs were established and given two rounds of three day trainings. The extent to which they were fully functional was not well established, but a high proportion was at least partly functional, supporting construction and enrollment drives. A Panchayati Raj Act passed at the state level eventually reduced members to 5 (including the mayor and the school head, ex officio), limiting the extend of community participation in the committee.

5.21 The community empowerment concept is powerful and its potential to improve school accountability and local planning is high; however, there is still not much evidence that the VECs made effective contributions to school quality, and where so, under what circumstances, thus, achievement of objectives is assessed as modest for both UPBEP and DPEP.

6. RATINGS

OUTCOMES

6.1 Relevance: UPBEP I/II. UPBEP I/II support for universal primary education was built upon the country's 1986 National Education Policy which mandated a renewed focus on access to basic education, especially for the underserved, and the related Plan of Action of 1992, which called for central government support to state and district offices for improved primary education, buttressed by external financing. The core educational project objectives of *improving access* and *reducing dropout* among girls and the poor were relevant to that those policy positions. National concerns about building a solid basic education foundation and baseline assessments during preparation showing alarmingly low student achievement scores, led to the addition of an objective on improving learning outcomes. The three core objectives were particularly relevant to the state of Uttar Pradesh, an underachiever in basic education. At the time of project preparation the state had showed a gross enrollment ratio of below 65 percent compared to near 90 percent in other parts of the country, with those for girls and scheduled castes even lower. Nearly half of those enrolled were dropping out before completing grade 5. Baseline surveys during preparation found learning levels in participating UP districts to be among the lowest in the country. Concerning the *capacity building* objective, relative neglect of primary education by local government officials had resulted in weak managerial capacity and commitment in the educational bureaucracy, which the project aimed to overcome. It is questionable, however, whether capacity building was appropriate as a project objective, especially since there were no good outcomes measures for it in the design (see Monitoring and Evaluation Section). The way it was treated was more as a means to the core primary education objectives (and their related outcomes) than as an objective itself.

6.2 In 1993, the year of project approval, the IDA strategy for India was to support investments in the social sectors, including public education, and to provide access to them for the poor. The 1998 Country Assistance Strategy for India in place at project completion continued that theme, supporting investments in primary education, especially for girls, as a key to poverty alleviation and sustainable economic growth.

6.3 The design of UPBEP I/II was distinguished by high levels of government ownership and extensive preparation activities, which were summarized in 18 project document annexes and cited in 1994 by IEG (then OED) as best practice. Nevertheless, there were some weaknesses in the design. A main concern was in the single component related to two objectives of improved learning and increased school completion rates (called *Improved Quality and Completion*). The assumption was that improved school inputs would help students learn better *and* stay in school through completion. However, this overlooked some important considerations. For example, for improved school completion (or reduced school dropout) both supply factors (what the school provides) *and demand factors* (what the family needs and/or can afford) are at play. The design (project subcomponents and indicators) did not focus very heavily on the immediate causes of student dropout, especially those from the demand side.[34] Likewise for student learning improvement: in UPBEP I there was little explicit emphasis the classroom (immediate) conditions for improved learning (such teacher attendance, effective use of classroom time, and improved instructional methods), all of which are links between inputs (textbooks, training, and supervision) and student learning outcomes.[35] UPBEP II did add one such a feature, an intermediate outcomes indicator of "improved methods introduced and impact learning" to be assessed through a "special study," but this came four years after UPBEP I started and does not appear to have been emphasized. Finally, having no control groups or other ways of establishing a counterfactual the projects were limited in their capacity to demonstrate project impact. Nevertheless, given the high relevance of the project objectives, overall relevance for UPBEP projects is rated as substantial.

6.4 Relevance: DPEP I/II. DPEP I became effective just 17 months after UPBEP I did. Because of the time proximity to UPBEP I and similarity of its design, its objectives were relevant to country policies and states needs in the same ways. Also, given the equity features of government policies and UPBEP/DPEP objectives (reaching the poor and socially disadvantaged), it is notable that the states and districts covered are those among the poorest in India.[36] It is also relevant to the 1993 IDA strategy of increasing investment in the social sectors and extending them to the poor, and the more recent CAS of moving towards universal primary education, including among girls and the underserved.

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34. This is a matter of emphasis and scope. Whereas the supply side interventions (increases in school places, teachers and books) were everywhere, the demand-side interventions were often more localized and less visible. Nevertheless, there were some good examples of such, for example: a) the local use/upgrading of madrasahs or maqtabs for those reluctant to enter conventional schools; b) flexible school timing catering to the needs of children needing to help parents at certain times of the year; c) and expanded hours for early childhood programs, allowing female sibling caregivers to stay in school longer.

35. The design appears to have kept what happens in the classroom in the "black box," resting on the assumption that if classrooms received improved textbooks and teachers were provided with a modest amount of inservice training and technical support, then classroom instruction would improve. The small number of observational studies that have been conducted seem to show that old classroom routines are more difficult to break than expected.

36. An exception to this was the inclusion of districts of some of India's southern states that were selected on the basis of their strong participation in a total literacy campaign.

6.5 In retrospect the project design for DPEP also contained some weaknesses. Like UPBEP it included few, if any, evidence-based interventions for bringing down student dropout, and there were there no design elements for directly tracking and improving teacher classroom behavior and time on task (leaving them in the "black box" – see above). Other weaknesses are in the specification of indicators (see also the Monitoring and Evaluation section): the failure to use enrollment ratios (enrollment compared to population) for tracking access and the problems with using a single standard for improved dropout in all states and districts (to below 10 percent) despite vast difference across districts in starting conditions. Like UPBEP I/II, the DPEP projects were also limited by having no controls groups in their designs. Given the high relevance of objectives, however, the overall relevance is rated as substantial.

6.6 Efficacy: UPBEP I/II. In the UPBEP projects the outcomes ratings on the five objectives are summarized as follows:

- Improving access to primary education: substantial;
- Reducing primary school dropout: modest;
- Improving student learning outcomes: modest;
- Improving institutional capacity: substantial;
- Improving community participation in education: modest**.**

Overall, efficacy is assessed as modest.

6.7 Efficacy: DPEP I/II. For DPEP I/II outcomes ratings on the five objectives were:

- Improving access to primary education: substantial;
- Reducing primary school dropout: modest;
- Improving student learning outcomes: substantial;
- Improving institutional capacity: substantial;
- Improving community participation in education: modest**;**

Overall, efficacy is assessed as substantial**.**

6.8 Efficiency: UPBEP I/II. The Projects did not track efficiency in the use of resources or any cost effectiveness ratios. However, in the Project many examples of improved efficiency can be identified. For example, innovations in school design led to a reduction in the unit costs of classrooms, meaning that up to 75 percent more classrooms could be constructed within the original classroom construction budget. In addition, the hiring of 5700 "para teachers" in the last year of the project, at average salaries of around 1/5 of those received by appointed teachers and with relatively low teacher education expense, has brought economies.[37] In a perverse way, the rapid expansion of student numbers and the resulting increase in the pupil-teacher ratio to around 60:1 is an economy, but one to back away from, since it works against student learning gains. Expected savings from a 50 percent reduction in student dropouts did not come to full fruition, since reductions did not reach that level, but even with more realistic reductions of 30-35%, there

37. This is at least in the short-run. It is still not clear how long these salary conditions will affect teacher morale and perseverance in the longer term.

were savings. The one area where cost-effectiveness is still unclear is in inservice teacher training. Large expenditures were made to set up block and cluster resource centers and to provide 6-10 days of training per year to each teacher, but the outcomes, in terms of improved instruction, have so far not been strong. The rating for efficiency is substantial.

6.9 Efficiency: DPEP I/II. In DPEP efficiencies are not as obvious. There were no new savings on unit costs of construction but the project still benefited from UPBEP's more efficient school designs. Also, planned efficiencies from reducing student dropouts below 10 percent were not realized in most locations - in fact, the extent of the reduction, if any, was never computed, since baselines were unclear. There were likely to have been some efficiencies based on the use of contract teachers, but as above, it is not clear how sustainable these might be. Finally, there are the same concerns as above about the cost-effectiveness of teacher training, which has yet to borne as much fruit as hoped for in changed teacher behavior. Efficiency or cost-effectiveness were not analyzed at appraisal nor were they treated in the ICR. The efficiency rating for DPEP is modest.

INSTITUTIONAL DEVELOPMENT IMPACT

6.10 In both UPBEP and DPEP institutional development was to occur through two channels: direct implementation of *capacity building* project components, and the more indirect *process of diffusion*, from the Projects to the education bureaucracy.[38] The section on capacity building above revealed project accomplishments (and a few weaknesses) in establishing innovative organizational structures and procedures, and in strengthening management capacities (planning, supervising, monitoring and evaluating, etc.) of state and district project offices. Beyond capacity building, the Projects managed incentives so as to motivate key personal (like state and district project officer managers) to do earnest work and to motivate others.[39] The Projects were seen as holistic in scope, but in fact there were some awkward gaps in them. For one thing, UPBEP/DPEP never dealt with schools as units (and teachers as a team); never focused on school supervision or quality assurance, and stayed out of teacher management, all potential contributors to the Projects' instructional improvement agenda. Sticking to their Project agendas and operating through a separate administrative network, UPBEP/DPEP were seen by many as setting up a dual management structure, which limited capacity building in the education system mainstream.

6.11 But then there was the diffusion channel. It was assumed that by exemplifying good practice that UPBEP/DPEP would influence regular educational departments and offices by example or by diffusion. How successful was this? There are two ways for framing the answer: structural and behavioral. In terms of **structure**, the mainstream ended up adopting many of UPBEP/DPEP structures and processes. Project pioneered approaches to curriculum and curricular materials developed were generally adopted for state-wide use; the EMIS system created for the Projects was diffused to all districts; block and cluster resource centers have spread to virtually all districts, and, through SSA the processes of decentralized planning have

38. According to the original designer of DPEP, "DPEP is not an enclave project, it seeks to restructure and improve the system of primary education as a whole" (see Ayyar (2005).

39. One crucial move was to staff project office management positions with members of the elite Indian Administrative Service, persons whose upward mobility depended on good job performance.

been adopted nation-wide. Also under SSA, at least at the district level, Project Offices have been merged with the Department of Education offices, eliminating dual management.

6.12 Project influence on **behavior change** is harder to document. The case for diffusion of pedagogical processes is quite strong. Project pioneered pedagogical renewal is everywhere, to the point of becoming what some consider to be *paradigm shift*. Transformation of management behavior, however, appears to be more limited. [40] In fact, in some cases the process of *reverse osmosis* seems to be occurring: as structures like Block Resource Centers become mainstream, they begin to take on routine bureaucratic functions, such as school "inspection" and data collectors. "Going to scale" often presents this risk: as innovations move into the mainstream they lose their cutting edge.[41] Perhaps the greatest challenge to SSA Project managers is to transform the system before the system transforms them. Overall, institutional development impact for both UPBEP and DPEP is rated as substantial.

SUSTAINABILITY

6.13 Project sustainability is more secure now than could have been expected in the beginning. UPBEP I led quickly to UPBEP II and these fed into DPEP, phase 1, covering seven states. Eventually six more DPEP projects were created, covering 18 states and 271 low literacy districts (around 45% of the all districts). Before the last DPEP projects had closed the GOI initiated the Elementary Education Project (SSA), which embraced all of India's states/territories and their districts, and, as a System Wide Approach (SWAp), brought together all donors and centrally funded projects in a single national effort to achieve universal elementary education and acceptable levels of learning. Throughout this expansion the original UPBEP/DPEP objectives of increasing access, especially for the disadvantaged, and improving student learning outcomes were maintained; remarkably also, most of the original Project structures and processes were retained and brought to a national scale.

6.14 **Domestic financing** in support of this effort has also been forthcoming: over 1993 to 2002 public expenditures on elementary education rose from 1.7 to 2.1 percent of GDP, accounting for more than 60 percent of the growth in public expenditure on education for this period (Wu, Kaul and Sankar, 2005). Average per pupil expenditures increased from $25 to $44, despite dramatic increases in enrollment. In 2004 domestic financial support of SSA poured another $3.5 billion into basic education improvement, and this has been met by external agency contributions of more than one billion dollars (WB $500 million). In 2005 a new 2 percent "cess" for basic education was introduced into the national budget, a major source of new financing for SSA. The transfer of federal funds to states for DPEP and SSA (covering 85% and 75% of Project costs, respectively) has been predicated upon a state's commitment to maintain its own spending for elementary education in real terms. This condition was included to prevent

40. Ayyar (2005) writes, "The efforts to build policy planning capacities at the state level and to locate district plans within an overall framework for the development of primary education within the state appear to be relatively limited" (p. 56).
41. In one district visited by the mission, it appears that the process of annual planning has become totally mechanical and routine. In another, now under SSA management, the number of schools covered by one of the clusters visited was 51, compared to the ideal of 8-10 under DPEP. The district is creating some new clusters, but the plan is to make the average about 20 schools per cluster, well above the number in the original concept, and probably more than a single cluster coordinator can serve effectively.

substitution of funds and ensure that Central grants were truly additional. During UPBEP and DPEP states did, in general, adhere to these conditions, at least for recurrent costs.[42]

6.15 **Program ownership** is also firmly in the hands of domestic actors, who have done all of the major planning and designing for program expansion. In addition, the influence of other stakeholders is significant and growing, including that of major NGOs, and most importantly, parents and community members through their involvement in village education committees.[43] Legal support for sustainability, at least until the government has succeeded in achieving universal completion of elementary education, is assured, given the passage in 2001 of an amendment to the national constitution making the attainment of a quality elementary education a fundamental right of every child. Given this course of expansion and institutionalization since the close of the two set of projects, sustainability is rated as highly likely.

BANK PERFORMANCE

6.16 UPBEP. For UPBEP the Bank designed an experience Task Team Leader who was resident in India, who was joined in Project preparation by a professional from inside and outside the Bank. The Bank team was first invited to brainstorm on best practice in primary education development across the world and then in the latter part of 1992 to appraise a proposal prepared by the government of Uttar Pradesh (GOUP) and the government of India (GOI). The Bank team appreciated this fully-owned and well developed proposal, which was subsequently strengthened through joint analytical work and workshops. Throughout, the borrower took the lead in framing the Project's design, and the Bank team was flexible and responsive to the government's positions. Ultimately, project preparation was rated as best practice in OED's annual review of project economic analysis of 1994.

6.17 Bank supervision of the Project was also carried out from its New Delhi office where the Task Team was stationed. This strengthened the partnership between the GOUP implementation team and the Bank's task management during the life of the project. Supervision missions included regular biannual supervisions as well as interim ones focused on specific themes. It was said that the Bank's presence in the Joint Review Missions added status to the event and made officials pay attention to them and the UPBEP enterprise. In 1997 when the DPEP was launched cover 17 districts in UP, the Task Team agreed to fold the supervision of UPBEP into the joint supervision mechanism for DPEP. This reduced the frequency of visits to the state somewhat, but enriched certain quality aspects through cross sharing. When in UPBEP an unanticipated surge in enrollments created a surge in demand for new classrooms and schools, the Bank team responded with a sense of urgency and supported the preparation of UPBEP II.

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42. There was some difference in the way the GOI and the Bank interpreted this agreement. In its DPEP guidelines the GOI specified that *total* state government expenditures (development plus recurrent) were to have been maintained in real terms, but in the World Bank's SAR it is recorded that the states should maintain real levels in *development* ("plan") expenditures. *Total* costs mostly covered teacher salaries and these were, in fact, generally maintained or increased by states. *Development* costs, however – those covering system expansion and/or quality improvement – were, in actual practice, subject to considerable fluctuation from year to year. (See Ayyar and Bashir, 2004).

43. In recent years the GOI has devolved many government functions, including the provision of basic education, to local government or Panchayat Raj institutions (PRI). Most states under DPEP (and now SSA) have created statutory connections between village education committees (VEC) and PRI; in other words, the VEC has become a legalized subcommittee under local government institutions. Of course, there is variability in the extent to which parents and other community members have actually been empowered through VECs to influence the direction and quality of primary schools.

Such responsiveness contributed to community confidence in GOUP's new educational programs. Supervision of financial management brought up some irregularities in construction quality and tendering, but these were all resolved satisfactorily; routine aspects of financial management were monitored regularly. Overall Bank performance is rated as highly satisfactory.

6.18 DPEP. Bank support for preparation of DPEP was similar to that for UPBEP, including assuring GOI ownership and initiative on design features and working jointly to supplement the proposal with relevant analytical and policy development work. Continuity in Bank team members assured that there was a smooth transition from UPBEP to DPEP. Strengths of the Bank team during preparation included: (i) the continuity of staff and consultants who had worked on the program over time; (ii) the ability of Bank staff to recognize the strengths and capacities of the GOI counterparts, GOI policy, and lessons learned; (iii) the good balance and high level of technical expertise provided; and (iv) the simultaneous in-depth sector work to learn from early interventions, improve sector knowledge, and adapt the program accordingly.

6.19 Early in DPEP's history, the GOI, the Bank and other contributing development agencies agreed to a joint supervision strategy, with rotating leadership responsibilities among partners. Subsequently (in 1998) Joint Supervision Missions were renamed Joint Review Missions in 1998 in recognition of the collegial, supportive nature of these visits to the states and to differentiate the roles of GOI and its funding partners: supervision was the role of the former, while the latter participated to confirm and verify the supervision results.[44] National, state and district officials universally praise the process followed by the JRMs with its clear objectives. The Bank's presence in the event again appears to have brought some stature to the event and the Projects. Some concerns were expressed, however, that the impact of the JRM weakened over time, for example in depth of coverage and appropriateness of the terms of reference. Difficulties also emerged from the Bank's perspective in meeting its fiduciary requirements since the JRM did not allow for the review of procurement, disbursements and financial management. This may have contributed to some issues raised in project audits. Overall the Bank performance is rated as satisfactory.

BORROWER PERFORMANCE

6.20 UPBEP. The Government of Uttar Pradesh (GOUP) took the lead in preparing UPBEP with technical assistance from the GOI, private consultants (e.g., a new concept for carrying out baseline beneficiary assessment surveys and focus group discussions with the stakeholders) and the Bank's team. As this was the first district-based project which followed participatory methodology, project preparation took about two years. The capacity for undertaking such an exercise with stakeholder's participation was low, especially at the district level, but during the preparation process it improved. During the length of the Projects, the GOUP provided an enabling policy environment for effective project implementation, including the timely release of funds to the Project and the posting of senior and committed official to staff positions. In many ways, the pioneering efforts of this group began the process of putting primary education "on the map," where before it had been neglected

44. Government officials acknowledged to the PPAR mission that it was the involvement of external agencies like the Bank in the joint review missions that gave the Project special status and commanded attention.

6.21 The State Project Office, EFAPB, was established even before Board's approval of the project. It executed its responsibilities with a high level of effectiveness, largely due to its capacity to respond flexibly to feedback from the field, to network with capable individuals and institutions within and outside the state, follow through on plans and promises in a visible manner, and effectively use reporting systems and open communications. Perhaps its most significant contribution was the close working relationships it established with the regular structures and institutions of the state, which ultimately resulted in improving chances of sustainability of the programs and inputs after project completion. Overall the performance of the borrower is rated highly satisfactory.

6.22 DPEP. Full and proactive country ownership of DPEP was one of the main ingredients of its positive influence on the course of primary education in the country. This was not just a central government effort, but involved active engagement by all participating states and districts. This participatory process, plus the added prestige brought by the buy-in of major development agencies (including the Bank), had the effect of lifting the stature of primary education in the country and created widespread commitment to the Project's dual goals of improving access and improving learning outcomes. The central DPEP Bureau and its Project Board gave strong and consistent leadership to this effort and solid technical assistance was provided by Project's Technical Support Group. The central government was also skillful at channeling most external assistance to primary education through the DPEP program (a precursor to a sector-wide approach or SWAp), and created a system of harmonized project supervision (review) epitomized by the semi-annual joint review missions. Two negative consequences of this system were that DPEP did not become as open to fresh ideas from the outside as originally envisioned, and opportunities for Bank capacity building at the state level (through policy dialogue and mentoring) were limited.

6.23 At the state level, in fact, performance in managing the Project varied considerably. In some states (e.g., Karnataka and Madhya Pradesh) there was strong commitment and impressive institutional strengthening, but in others recurrent problems were found, including frequent staff turnover, vacancies left unfilled, and delays in transferring funds. In the early years of DPEP 1 there were also some problems with financial management and accountability (mostly overcome). On the delivery of services, some states and districts provided training and technical assistance consistent with DPEP's high expectations, whereas others did not. Given this uneven terrain, it would have been useful if DPEP had provided targeted support to states and districts found to be underperforming, but this rarely happened. Nevertheless, given strong national leadership and the way that the projects changed the face of primary education in the country, the overall borrower performance is rated as satisfactory.

7. REALIZING EDUCATION FOR ALL

7.1 During the time that this PPAR was being prepared, IEG was also undertaking a global evaluation of World Bank support to primary education.[45] Since one purpose of a PPAR is to contribute to such studies, it was decided that all 2004-06 PPARs on projects featuring primary

44. The finished product is *From School Access to Student Learning Outcomes: An Unfinished Agenda. An Evaluation of World Bank Support to Primary Education*, World Bank, IEG, 2006.

education should be enhanced to address country progress towards EFA. This section was included for that purpose and an early draft used as an input to the larger study.

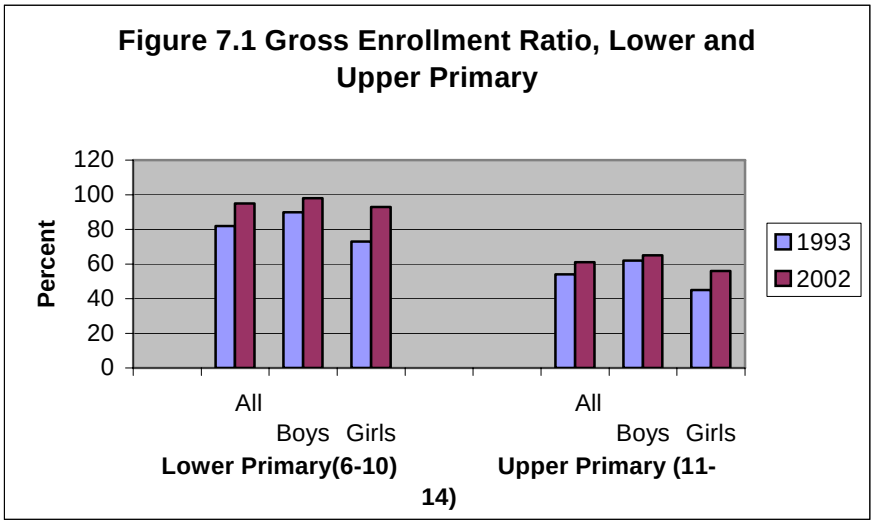
7.2 Whereas UPBEP I/II and DPEP I/II were launched to set the country on the road to Education for All, more recent projects, especially Elementary Education Project (SSA), supported by India's first Sector-Wide Approach (SWAp), were set up to finish the job. The GOI's goals for SSA, which began in 2001, were for: a) all 6-11 year olds to complete five years of primary schooling by 2007; and b) all 6-14 year-olds to complete eight years of elementary schooling by 2010. The SWAp, which featured joint support by UK's DfID, the European Union, and IDA (together committing more the $1 billion over the period 2004 to 2007) had as its overall objective to assist the Government of India in its implementation of the SSA Program, by:

- Reducing out of school children by at least 9 million, with an increase in enrollment thus moving towards universal elementary education;
- Narrowing existing gender and social gaps, so that enrollment of girls will reach near parity with boys; enrollment of children of scheduled castes and scheduled tribes will be near parity with that of other groups; and enrollment of children with disability will increase;
- Enhancing the quality of education for all students so that transition rates from primary (Grades 1-5) to upper primary stages of education (Grades 6-8) and corresponding learning levels will be improved.

CURRENT EFA STATUS

7.3 Given continued problems with data reliability, it is not fully clear how much progress the country has made in school access. Ministry records summarized in Figure 7.1 above show the changes in Gross Enrollment Ratios over the past ten years.

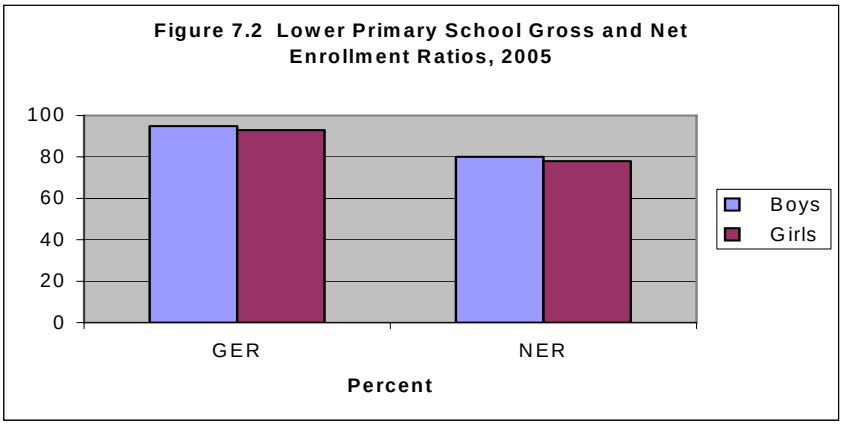
Figure 7.1 Gross Enrollment Ratio, Lower and Upper Primary



7.4 As seen in the figure, government figures, as far as they are reliable, show significant improvement in the national GER, to near 100 percent for boys and well above 90 for girls. Girls' rates improved more than boys over the ten-year period, such that the male-female gap went from 17 points in 1993 to 5 points in 2003. GER for upper primary was shown to increase less rapidly (from 54 to 61 percent), but the increase was faster for girls than for boys. The latest

Joint Review Mission for SSA (January-February 2006) shows primary school gross and net enrollment ratios for boys and girls as of 2004/2005 (see Figure 7.2).

7.5 On the positive side, the figure reveals a male-female enrollment gaps even narrower than in 2002, but on the negative, net enrollment ratios that are around 15 *percentage points below the GER*. One contributor to this differential is student dropout, which the JRM found to be still unacceptably high (in excess of 50 percent in some states).[46] If the NER was only around 80 percent in 2005, it is highly unlikely that the GOI will reach its SSA target of universal completion by 2007. The GOI goal for SSA of reaching 100 completions among 6-14 year-olds by 2010 seems even more remote, since as of 2002 the GER for upper primary was only about 61 percent.



7.6 The Pratham sponsored *Annual Status of Education Report 2005*, mentioned above, covering the results of a national household survey of rural districts, reported more positive findings: 93.4 percent of 6-14 year-olds were found to be in school as of late 2005 (95.4 percent of 6-10 year-olds and 90.8 percent of those 11-14). Unlike government statistics, ASER takes into account enrollment in all kinds of private schools (including unrecognized), and does not concern itself about which level of schooling the child is enrolled in.[47] Of course, it is not clear how many of the more than 90 percent of 6-11 year olds who are currently enrolled will complete lower and upper primary school. Good household surveys, including information on school completion, will ultimately be needed in order to determine for sure whether the country is nearing or has reached its universal completion goals.[48]

7.7 Current projections are that the SSA Project will be successful in reaching its enrollment targets (a reduction of 9 million out of school children – a benchmark already attained), but that

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46. It might be confusing to consider such high dropout rates in light of near 100 percent gross enrollment ratios. One explanation lies in the fact that student recruitment efforts in the past decade have brought in many formerly out-of-school, overage children (the presence of whom would increase the GER). If there had been low dropout during the period, the GER would have been well over 100 percent, as it is in many Latin American countries.

47. A NER of below 60 percent in upper primary does not necessarily mean that over 40 percent of the age group are out of school. In today's India a substantial number of the age group for upper primary (11-14) are "overage" lower primary school enrollees. The current government MIS format makes it hard to sort this out.

48. During the 3rd SSA Joint Review Mission the MHRD revealed that it had commissioned an outside body to conduct a household survey to study out-of-school children (475,000 households) and the findings reportedly "confirmed the government's estimation of OOSC" (Aide-Memoire, 3rd Joint Review). However, for some reason the survey numbers were not reported. It would be important to know which results they reflected more: the Government's GERs/NERs or Pratham's more positive findings.

the country will fall far short of its goal of universal primary school completion by 2007 and 2010 for lower and upper primary, respectively. The main barrier to attainment of the completion goal is high student dropout. Dropout reduction *was not even an objective* in the SSA project and has, according to JRM reports, not received the urgent attention it deserves.[49] Until that is the case, universal primary completion will be an elusive goal.

STUDENT LEARNING OUTCOMES

7.8 In the course of SSA implementation, a nation-wide survey of 5th grade student achievement in mathematics and language was undertaken in 2002 to serve as a baseline for measuring improved learning outcomes under the Project. (This was the first nation-wide assessment of this sort; those conducted before and reported on above were for only DPEP districts.) The results, shown in Table 7.1 below, reveal low levels of learning in government schools. The results are norm referenced on a hundred point scale. Results were better for language than for mathematics, and slightly better for boys than for girls, although the differences were not significant. Rural-urban differences were found in language outcomes. Large differences were found across states and districts, as indicated by the high standard deviations.

Table 7.1 Gender wise and Area wise Achievement of Grade 5 Students, 2002

Subject	Gender	Rural		Urban		Total	
		Mean	SD	Mean	SD	Mean	SD
Mathematics	Boys	46.72	21.11	47.36	21.53	46.9	21.24
	Girls	45.54	21.21	47.29	21.61	46.09	21.35
	Total	46.15	21.17	47.32	21.57	46.51	21.3
Language	Boys	57.95	18.00	61.36	18.43	58.94	18.19
	Girls	57.37	18.18	61.89	18.51	58.79	18.41
	Total	57.67	18.09	61.63	18.47	58.87	18.3

Source: "Learning Achievement of Students at the End of Class V"; Department of Educational Measurement and Evaluation, National Council of Educational Research and Training, 2003.

7.9 Across the states (see Annex B, Table B.5), average language scores above 70 were found in Manipur, Tamil Nadu and West Bengal; below 50 in Assam, Chhatisgarh, Himarchal Pradesh, and Jammu and Kashmir; on average math scores, above 60 were Bihar, Manipur, and West Bengal, and below 38 were Goa, Himachal Pradesh, Jammu and Kashmir, Kerala, Uttar Pradesh, and Pondicherry. Some of the poor performers, like Goa and Kerala, are states with high rates of enrollments and low standard deviations on the achievement tests, suggesting a policy of spreading learning opportunities widely. Conversely, states like Bihar show relatively good outcomes, but enroll a relatively low percent of the primary school cohort.

49. Reason for high dropout (50 percent or more) in many places have not been well researched and there have been few specific remedies developed. The third SSA Joint Review Mission reported: "Given that the First JRM recommended that greater emphasis should be given in future to attendance rates rather than merely enrollment rates in monitoring performance and setting targets, it is disappointing to note there has been only limited follow-up action in this area. The mission recommends …steps… to intensify efforts aimed at retaining more children in the education system and thus reducing dropout," p. 15

7.10 These norm referenced tests do not provide a clear insight into how well students are performing against a standard. For this, Pratham's *Annual Status of Education Report 2005,* has provided sobering insights, reported on section 5 above (for more complete data, see Annex B, Table B.6). These findings reveal that a majority of rural students in India are not acquiring basic reading and math skills at an early age. This reveals another questionable design feature of SSA: it's established of a very vague learning outcomes target ("learning will be improved"). There is a growing awareness in the World Bank and other bodies that teachers and managers need specific learning goals to work towards (see Abadzi et al, 2005), such as xx percent of second graders will be read passages from primary 1 textbooks fluently.

FUNDING SUPPORT FOR EFA

7.11 Over the past two decades India has seen consistent increases in funding for education in general, and basic education in particular (see Figure B.1 in Annex B). Education expenditures as a percentage of GDP have risen from below 1 percent in the early fifties to above 4 percent in 2000-2001. Also, as seen in Annex B (Figure B.2), there has been a doubling in primary education's share of government allocations in five year plans from the mid-1980s to the current Ninth Plan. Increased support for primary education has been particularly pronounced at the central government level, given a change in policy in the mid-1980s favoring federal subsidies through pro-poor "centrally sponsored schemes" (see Annex B, Figure B.3). Most states have also increased their funding for primary education during the past ten years.[50] In addition, average funding per student has increased across the nation from about $25 in 1993 to $44 in 2002, a period of rapid expansion of enrollments, showing a determination not to expand at the expense of per capita spending.[51] With more than 10 million children still out of school in 2006 and consistently high dropout and low achievement outcomes, spending for education will still need to increase. A new tax assessment ("cess") in 2005 of 2% allocated to basic education is expected to provide an additional boost.

EXTERNAL AGENCY SUPPORT

7.12 India has taken advantage of donor agency interest in supporting Education for All over the past three decades. Prior the beginning of Bank support, small scale projects in various states were being supported by agencies like UNICEF, SIDA, and ODA (now DfID). With UPBEP/DPEP the government pressed for coordinated donor support, requesting that all donor contributions to basis education be made through these two programs, either through parallel projects (EU support for Madhya Pradesh's participation in DPEP; UNICEF's support of EMIS), or co-funding (Netherland's funding of Gujarat under DPEP II). In these Projects the donors and the GOI agreed on joint supervision arrangements. SSA was negotiated as a SWAp, in which major co-financing agreements have been made between DfID, the EC and IDA. Besides using

50. Ayyar and Bashir (2004) point out that state increases in funding under DPEP were influenced by formal agreements to maintain real expenditures on elementary education at levels extant in the first year of joining the Project (instead of using Project funds to substitute for their own funding). This has generally been done, but, as mentioned in Section 6, this was mostly for maintaining recurrent cost spending on salaries and not for development expenditures. There has been a risk that DPEP programs and funding would displace some state-level quality improvement features, a problem found by Clarke and Jha (2006) in Rajasthan (not among the original DPEP I/II states).

51. Per student expenditures in primary education (2002) varied widely from state to state, from $16 in West Bengal to $68 in Himachal Pradesh, depending on conditions (terrain), commitment to spending, and the proportion of the cohort enrolled (lower proportion often resulting in higher expenditure per capita, as in Bihar).

the joint supervision system laid down in DPEP, this has also entailed harmonization of procurement and other donor requirements. Given the recent increase in domestic funding for primary education (through tax assessment), it is not clear whether the government will continue to seek external funding. However, the government has found that having international partners like IDA in its review missions adds stature and clout to mission events and their agreements.

8. LESSONS LEARNED

8.1 Many lessons have been learned in the course of UPBEP I/II and DPEP I/II implementation, which apply to both pairs of projects, the main ones being:

- *More concerted effort is needed to provide access and better learning outcomes among tribal children and the disabled*. One problem has been the frequent grouping of scheduled tribes (ST) with scheduled castes (SC), groups whose needs and conditions are vastly different. The use of tribal languages in textbooks and classroom instruction (including recruiting teachers who can use the languages) are still unfulfilled promises. For the disabled, practitioners have noted the need to move beyond the current medical model to a social model of disability, which would include help to teachers on how to assist those with special needs.

- *The information-based planning and decision making approaches promoted by UPBEP/DPEP are only as good as the data available to them.* Both the education management information system created and the learning assessments undertaken during UPBEP I/II and DPEP I/II produced data of questionable quality, creating a crisis of confidence in any conclusions based on them. *There is an urgent need for higher levels of quality control in the government's education information and assessment systems. Also, any evaluation program set up to show program effectiveness or impact needs appropriate control group information.*

- *The main constraint to the GOI's reaching its goal of universal primary school completion by 2010 is no longer school access but high student dropout.* In many project areas the student dropout rate is still above 50 percent, despite goals for drastic reduction. Curiously, reducing dropout was not an objective in the ongoing SSA project. *Stronger commitment to dropout reduction and more effective interventions (based on local research on causes) are needed, targeting locations where the problem is particularly serious*.

- *There is an urgent need for strategic thinking and decision making concerning the deployment of "para teachers," taking into consideration equity issues, cost-effectiveness, sustainability, and the program's long term impact on the teaching profession.* Para teachers have been recruited in many states under DPEP/SSA for various reasons (difficulty finding teachers for remote areas; budgetary constraints; need for speed in hiring) and under different conditions. In the short-term this has solved many teacher shortage problems, but there are questions about sustainability and equity (is there a growing second tier of teachers mostly assigned to low income areas?). Is the use of para teachers a temporary stop-gap measure or it is here to stay? How effective is their teaching, compared to fully trained and certified teachers? What are the career track possibilities for them? Can/should they be "regularized,"

and under what conditions? These are questions that need to be addressed at the state and national level through additional policy research and dialogue.

- *There is a need for a clear understanding of the reasons and consequences of the rapid growth of unrecognized private schools, and sharpened government responses.* An increasing number of parents, urban *and rural*, appear to be sending their children – for quality reasons – to private schools, but this is happening below the education system's radar, since unrecognized schools are not covered by EMIS. This leaves it unclear as to how many of the alleged dropouts are actually just transfers to such private schools. Also, the PPAR mission observed that a high proportion of students in such schools are boys. Is it possible that the female parity that has been achieved in primary education enrollments is in part an artifact of more girls being left in the lower status government schools? There is a need to investigate the possibility that gender inequity, once a factor in state schools, has now migrated to higher-status and higher-priced private schools. Also, given the growing popularity of such schools, it essential that this movement be carefully studied: are such schools really providing better instruction, are they biased against girls, do they have characteristics which could/should be brought into state schools, and how can state schools "win back" students that have been shifted to these schools?[52]

- *Improving student learning outcomes needs more than just setting goals and mobilizing inputs; it needs coherent changes in intermediate outcomes at the classroom level.* This implies opening up the black box of learning improvement efforts and a focus on change at the classroom level. More specifically, it means not only recording the amount of training teachers receive but the impact of it on teaching and learning processes. UPBEP/DPEP have created a solid structure for increased teacher professional development opportunities, but so far changes in classroom behavior have been below expectations. One factor in this could be the lack of coherence in the various parts of the system: teachers receive training in certain active learning methods (e.g., multigrade teaching), but the meetings they attend at the cluster centers do not follow up on this, nor do the coaching sessions that they receive from visiting mentor teachers; thus, they do not master or internalize the new techniques (as evidenced by classroom performance, when it is observed). More coherence among its parts could go along way towards improving the system's impact.

52. It is not that state schools are to be preferred over private schools for ideological reasons, but that families have been promised free public education of good quality. The PPAR team visited some unrecognized fee-bearing private schools which were bursting at the seams, but it did not appear that they were as advanced as the DPEP schools in improving teaching and learning processes. Some of the features that appeared to make them attractive to parents (at least in Karnataka) were relatively good teacher attendance, the provision of "free" school uniforms, and the teaching of English from grade 1.

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ANNEX A. BASIC DATA SHEET

UTTAR PRADESH BASIC EDUCATION PROJECT (CREDIT-2509)

Key Project Data *(amounts in US$ million)*

	Appraisal estimate	*Actual or current estimate*	*Actual as % of appraisal estimate*
Total project cost	193.77	192.02	99.09
Loan amount	**165**	**163.5**	**99.09**
Cancellation			

Project Dates

	Original	*Actual*
Board approval	06/10/1993	06/10/1993
Signing	07/07/1993	07/07/1993
Effectiveness	10/05/1993	10/05/1993
Closing date	**09/30/2000**	09/30/2000

Staff Inputs

Stage of Project Cycle	*Actual/Latest Estimate*	*Stage of Project Cycle*
	N° Staff weeks	
Identification/Preparation	NA	Ident:04/15/90 – Prep: 02/21/93
Appraisal/Negotiations	NA	Apprai: 02/22/93 – Neg:05/10/93
Supervision	19.09	US$297,400 (06/10/93 – 09/30/2000)
ICR	13.79	US$27,612.76 (ICR SECBO 04/12/2001)
Total	32.88	Total

Note: Given the age of the project, it was very difficult to get data on SW. Data used to be retrieved from FACT, but this database is not used any long at the Bank. SAP is not pulling the information for FY prior to 2000. SW listed for supervision cover FY2000 and part of FY2001 only (SW cost for those two FY is US$32,143.06), as for supervision budget it covers FY98, FY99, FY00, F01. SAP could not provide specific on BB for FY prior to 98. Overall BB (SW and VC) actual as shown in SAP is US$1,066,689.73 brokendown as follows: LEN: US$571,910.15 and SPN: US$494,779.22.

Mission Data

	Date (month/year)	*No. of persons*	*Specializations represented*	*Performance rating*	
				Implementation Progress	Development Objective
Identification/ Preparation	November-December 1992	11	1 Education Planner,2 Economists, 1 Social Development Specialist, 3 Educationists, 1 Architect, 2 Management Specialists, 1 Financial Analyst		
Appraisal/Negotiation	February-March 1993	10	2 Education Planners, 2 Economists, 1 Social Development Specialist, 1 Educationist, 1 Architect, 2 Management Specialists, 1 Financial Analyst		
Supervision	January 1994	6	1 Education Planner, 1 Economist, 1 Educationist, 1 Architect, 2 Management Specialists	S	HS
	June 1994	7	2 Education Planners, 2 Educationists, 2 Architects, 1 Management Specialist	S	HS
	February 1995	5	1 Education Planner, 3 Educationists, 1 Architect	S	HS
	July 1995	5	1 Education Planner, 3 Educationists, 1 Architect,	S	HS
	March 1996	6	1 Education Planner, 2 Educationists, 1 Architect, 2 Management Specialists	S	HS
	December 1996 Mid Term Review	9	1 Education Planner, 3 Educationists, 5 Architects	HS	S
	September 1997	8	2 Education Planners, 1 Economist, 3 Educationists, 1 Architect, 1 Management Specialist	S	S
	March 1998	3	1 Education Planner, 1 Social Development,1 Educationist	S	S
	October 1998	7	1 Education Planner, 6 Educationists	S	S
	April 1999	7	1 Education Planner, 6 Educationists	S	S
	November 1999	8	1 Education Planner, 1 Economist, 6 Educationists	S	S
	March 2000	8	2 Economists, 6 Educationist	S	S
ICR	December 2000	10	2 Economists, 1 Social Development Specialists, 1 Education Planner, 3 Educationists, 1 Architect, 1 Financial Management Specialist, 1 Procurement Specialist	HS	HS

Second Uttar Pradesh Basic Education Project (Credit-3013)
Key Project Data *(amounts in US$ million)*

	Appraisal estimate	*Actual or current estimate*	*Actual as % of appraisal estimate*
Total project cost	75.70	74.21	98.03
Credit amount	**59.4**	**58.6**	**98.7**
Cancellation			

Project Dates

	Original	*Actual*
Board approval	12/04/1997	12/04/1997
Signing	03/03/1998	03/03/1998
Effectiveness	06/01/1998	03/30/1998
Closing date	**09/30/2000**	09/30/2000

Staff Inputs (staff weeks)

Actual/Latest Estimate		
Stage of Project Cycle	*N^{o} Staff weeks*	*US$ ('000)*
Identification/Preparation	NA	NA
Appraisal/Negotiations	NA	NA
Supervision	14.16	US$43,813.42
ICR	12.56	US$29,909.08
Total	26.72	

Note: Given the age of the project, it was very difficult to get data on SW. Data used to be retrieved from FACT, but this database is not used any long at the Bank. SAP is not pulling the information for FY prior to 2000. SW listed for supervision cover FY2000 and part of FY2001 only (SW cost for those two FY is US$23,372.42), as for supervision budget listed above it covers FY98, FY99, FY00, F01. SAP could not provide specific on BB for FY prior to 98. Overall BB (SW and VC) actual as shown in SAP is US$160,689.58 brokendown as follows: LEN: 50,235.62 and SPN: US$110,453.96.

Mission Data

	Date (month/year)	*No. of persons*	*Specializations represented*	*Performance rating*	
				Implementation Progress	Development Objective
Identification/ Preparation	March 1996	3	1 Educationist, 1 Educational Planner, 1 Architect		
Appraisal/Negotiation	June 1997	3	3 Educationists		
Supervision	September 1997	8	2 Education Planners, 1 Economist, 3 Educationists, 1 Architect, 1 Management Specialist	S	S
	March 1998	3	1 Education Planner, 1 Social Development, 1 Educationist	S	S
	October 1998	7	6 Educationists, 1 Education Planner	S	S
	April 1999	7	6 Educationists, 1 Education Planner	S	S
	November 1999	8	6 Educationists, 1 Education Planner, 1 Economist	S	S
	March 2000	8	6 Educationists, 2 Economists	S	S
ICR	December 2000	10	2 Economists, 1 Social Development, 1 Education Planner, 3 Educationists, 1 Architect, 1 Financial Management Specialist, 1 Procurement Specialist	HS	HS
	April 1996	5	Research Specialist (1); Management (1); Staff development & Training (1); Civil Works (1); Implementation Specialist (1)	S	S

District Primary Education Project (Credit-2661)

Key Project Data *(amounts in US$ million)*

	Appraisal Estimate	*Actual or current estimate*	*Actual as % of appraisal estimate*
Total project cost	310.50	265.25	85.42
Credit amount	260.3	251.6	93[1]
Cancellation			

[1] The difference between the figures can be explained by a devaluation of the Indian Rupee from Rs. 45 to Rs. 32 that occurred between project Appraisal and project closing.

Project Dates

	Original	*Actual*
Board approval	11/22/1994	11/22/1994
Signing	12/22/1994	12/22/1994
Effectiveness	03/22/1995	03/28/1995
Closing date	03/31/2002	06/30/2003

Staff Inputs (staff weeks)

	Actual/Latest Estimate	
Stage of Project Cycle	*N° Staff weeks*	*US$('000)*
Identification/Preparation	NA	NA
Appraisal/Negotiations	NA	NA
Supervision	62.69	US$436,675.93
ICR	13.34	US$16,096.39
Total		

Given the age of the project, it was very difficult to get data on SW. Data prior to 2000 used to be retrieved from FACT, but this database is not used any long at the Bank. SAP is not pulling the information for FY prior to 2000. SW listed for supervision cover FY2000 and part of FY2003 only (SW cost for those two FY is US$98,788.93), as for supervision budget listed above it covers FY98-F03. SAP could not provide specific on BB for FY prior to 98. Overall BB (SW and VC) actual as shown in SAP is US$1,270,355.67 brokendown as follows: LEN: 520,973.33 and SPN: US$749,382.34.

Mission Data

	Date (month/year)	*No. of persons*	*Specializations represented*	*Performance rating*	
				Implementation Progress	Development Objective
Identification/ Preparation	08/06/1993	12	Mission Leader (1), Implementation Officer (1), Architects (2), Principal Sociologist (1), Social Development Specialist (1), Education Advisor (1) Management (2); Economist (3)		
Appraisal/Negotiation	3/28/1995	15	Education Advisor (1); Management (2); Gender/Tribal (1); Economist (3); Civil Works Specialists (2), Social Development Specialist (1), Sr. Implementation Specialist (1), Textbook Specialist (1), Education Specialists (2), Distance Education Specialist (1)		
Supervision	April 1995	5	Management (1); Gender/Trial specialist (1); Staff development & Training (1); Civil Works (2)	S	HS
	November 1995	5	Management (1); Gender/Tribal specialist (1); Staff Development &	S	S

	Date (month/year)	*No. of persons*	*Specializations represented*	*Performance rating*	
				Implementation Progress	Development Objective
			Training (1); Civil Works (2)		
	April 1996	5	Research Specialist (1); Management (1); Staff development & Training (1); Civil Works (1); Implementation Specialist (1)	S	S
	November 1996	5	Management (1); Gender/Tribal specialist (1); Staff Development & Training (1); Civil Works (2)	S	S
	April 1997	5	Management (1); Gender/Tribal specialist (1); Staff Development & Training (1); Civil Works (2)	S	S
	November 1997	5	Research Specialist (1); Management (1); Staff development & Training (1); Civil Works (1); Implementation Specialist (1)	S	S
	April 1998	5	Management (1); Gender/Tribal specialist (1); Staff Development & Training (1); Civil Works (2)	S	S
	November 1998	5	Research Specialist (1); Management (1); Staff development & Training (1); Civil Works (1); Implementation Specialist (1)	S	S
	April 1999	5	Management (1); Educational Planning (1); Education (2); Staff development & Training (1)	S	S
	November 1999	6	Management (1); Curriculum-Instruct (2); Sociology (1); Civil Works (1); Inst. Capacity Bldg (1)	S	S
	April 2000	6	School Based management (1); Planning and management (1); School Effectiveness (1); Early Childhood Edu (1); Curriculum & Instruc (1); Educational Research (1)	S	S
	November 2000	7	School.Based management (1); Planning & management (1); Teaching and Learning (1); Early Childhood Edu (1); School Effectiveness (1); School improvement (2)	S	S
	April 2001	8	School Improvement (3); Planning & Management (1); Special Education (1); Economics of Education (1); Economics of Education (1); School Administration (1)	S	S
	November 2001	7	School Improvement (2); Planning & Management (1); Early Childhood (1); Special Education (1); Education Economist (2)	S	S

	Date (month/year)	No. of persons	Specializations represented	Performance rating	
				Implementation Progress	Development Objective
	April 2002	8	School Improvement (2); Early Childhood (1); Special Education (1); Economics (2); Gender Issues (1); Assessment (1)	S	S
	November 2002	8	Teaching and Learning (1); Early Childhood (1); Disabilities (1); Economics (2); School Improvement (3)	S	S
ICR 05/05/2003		9	Pedagogy (1); School Improvement (2); Special Education (1); Education Economist (3); Civil Works (1); Institutional Analysis (1); Community Processes (1)		

District Primary Education Project II (Credit-2876)

Key Project Data *(amounts in US$ million)*

	Appraisal estimate	*Actual or current estimate*	*Actual as % of appraisal estimate*
Total project cost	534.40	483.30	90.43
Credit amount	**425.2**	**388.7**	**100**[2]
Cancellation			

Project Dates

	Original	*Actual*
Board approval	06/06/1996	06/06/1996
Signing	07/15/1996	07/15/1996
Effectiveness	10/13/1996	10/13/1996
Closing date	06/30/2003	06/30/2003

[2] The original principal amount of the Credit was fully disbursed (SDR 291.7 million). Difference between appraisal and actual project costs is due to the devaluation of the Rupee and the fluctuations in the exchange rate of the SDR vis-à-vis the US dollar between the time of appraisal of the project and the current date.

Staff Inputs (staff weeks)

Stage of Project Cycle	*Actual/Latest Estimate*	
	N° Staff weeks	*US$ ('000)*
Identification/Preparation	NA	NA
Appraisal/Negotiations	NA	NA
Supervision	82.785	297,810.25
ICR	13.342	16,096.39
Total		

Note:
Given the age of the project, it was very difficult to get data on SW. Data prior to 2000 used to be retrieved from FACT, but this database is not used any long at the Bank. SAP is not pulling the information for FY prior to 2000. SW listed for supervision cover FY2000 and part of FY2003 only (SW cost for those two FY is US$140,620.25), as for supervision budget listed above it covers FY98-F03. SAP could not provide specific on BB for FY prior to 98. Overall BB (SW and VC) actual as shown in SAP is US$1,078,486.85 brokendown as follows: LEN: 474,776.50 and SPN: US$603,710.35.

Mission Data

	Date (month/year)	*No. of persons*	*Specializations represented*	*Performance rating*	
				Implementation Progress	Development Objective
Identification/ Preparation	05/06/1995- 05/15/1995	5	1 Mission Leader, 1 WID Officer, 2 Education Specialists,1 Civil Works Engineer	S	S
	10/04/1995- 10/07/1995	5	1 Education Specialist, 2 Architects, 1 Principal Sociologist, 1 Social Development Specialist	S	S
	11/27/1955- 12/08/1995	13	1 Team Leader, 3 Civil Works Specialists, 1 Sr. Social Development Specialist; 1 Sr. Implementation Specialist, 1 Textbook Specialist, 1 Sr. Economist, 1 Sr. Education Specialist, 2 Education Specialists, 1 Distance Education Specialist, 1 Operations Assistant	S	S
Appraisal/Negotiation	02/18/1996- 03/08/1996	11	1 Team Leader/Education Adviser, 2 Civil Works Specialists, 1 Social Development Specialist, 1 Sr. Implementation Specialist, 1 Textbook Specialist, 1 Sr. Economist, 2 Education Specialist, 1 Sr. Education Specialists, 1 Distance Education Specialist	S	S
	04/18/1996- 04/26/1996	20	14 members of Government delegation, 6 Bank Staff team	S	S
Supervision	11/14/1996	6	1 Management Specialist, 3 Education Specialists, 1 Education Planning, 1 Civil Engineer	S	S
	03/26/1997	5	1 Management, 1 Educational Planning, 2 Education Specialists, 1 Staff Development and Training Specialist	S	S
	10/16/1997	8	3 Management Specialists, 1 Education		

	Date (month/year)	No. of persons	Specializations represented	Performance rating	
				Implementation Progress	Development Objective
			Specialist, 1 Educational Planning, 1 Staff Development and Training Specialist, 1 Civil Engineer, 1 Curriculum Renewal		
	03/27/1998	6	1 Management Specialist, 1 Curriculum and Instructional development Specialist, 1 Civil Engineer, 1 Institutional Capacity Building Specialist, 1 Educational Management/Social, 1 Education Economist	S	S
	11/06/1998	7	1 School Based Management Specialist, 1 Multigrade Teaching, 1 School Effectiveness, 1 Planning and Management, 1 Early Childhood Education, 1 Educational Research, 1 Curriculum and Instructional Development Specialist	S	S
	04/23/1999	7	1 School Effectiveness, 1 School Based Management, 2 School Improvement Specialist, 1 Education Management and Planning Specialist, 1 Early Childhood Education, 1 Learning and Teaching Specialist	S	S
	11/10/1999	10	1 School Effectiveness, 1 Team Leader, 1 General Educator, 1 Economist, 1 Educational Planning, 1 Early Childhood Education, 1 Pedagogy/Research, 1 Project Management, 1 Community participation, 1 Management Capacity Building	S	S
	05/10/2000	8	1 Team Leader, 1 Educator/Pedagogy, 1 Education Management, 1 Early childhood Education, 1 Economist, 1 Operations Analyst, 1 Research, 1 community participation	S	S
	11/12/2000	8	1 Team Leader, 1 School Improvement, 1 Teacher Development, 1 Education Management & Planning, 1 Education Finance, 1 Pedagogy, 1 Economist, 1 Education Administration	S	S
	04/29/2001	7	1 School Improvement,2 Pedagogy Specialists, 1 Education Management Specialist, 1 Child Development Specialist, 2 Education Economists	S	S
	11/19/2001	8	1 General Educator,1 Education Management, 1 Early Child Development Specialist, 1 Gender Specialist, 1 Education Economist, 1 Teaching and Learning Specialist 1 Education Finance Specialist, 1 Student Assessment Specialist	S	S
	03/11/2002	8	2 School Improvement Specialists, 1 Special Education, 1 Student Assessment Specialist, 2 Economists, 1 Early childhood Educationist, 1 Gender	S	S

	Date (month/year)	*No. of persons*	*Specializations represented*	*Performance rating*	
				Implementation Progress	Development Objective
			Specialist		
	05/06/2002	8	2 Learning and Completion Specialists, 2 Program Implementation Specialists, 2 Sustainability Specialists, 1 Education Management and Planning Specialist, 1 Equity Specialist	S	S
	12/23/2002	7	1 General Educator, 1 Early Childhood Education Specialist, 1 Institutional Capacity Building, 1 Pedagogy, 1 School Improvement, 1 Education Economist, 1 Project Management Specialist	S	S
ICR	05/05/2003	10	1 Team Leader, 1 Pedagogy, 1 Community Development, 1 Evaluation Expert, 1 Management & Planning, 2 Economists, 1 Architect, 1 FMS, 1 Procurement	S	S

Annual Financial Management and Procurement reviews by Bank specialists took place outside the JRM.

ANNEX B. PROJECT AND NATIONAL EDUCATION DATA

Table B.1. District Means scores on DPEP tests, Grade 1 (Phase 1 or DPEP I)

Phase 1	Language 1			Math 1		
State/DPEP District	BAS1-BAS2	MAS-TAS	Target	BAS1-BAS2	MAS-TAS	Target
Assam: Darrang	44.5%	11.5%	YES	23.6%	6.0%	YES
Dhubri	2.5%	20.4%	NO	0.1%	28.3%	YES
Morigaon	-9.8%	9.0%	NO	-5.0%	5.1%	NO
Karnat: Belgaum	14.5%	2.5%	NO	27.1%	6.1%	YES
Kolar	1.8%	10.9%	NO	36.5%	10.2%	YES
Mandya	26.4%	-0.7%	YES	37.6%	-1.7%	YES
Raichur	32.6%	-3.6%	YES	53.0%	-1.3%	NO
Kerala: Kasargod	42.1%	-1.8%	YES	43.0%	-2.2%	YES
Malappuram	76.2%	24.1%	YES	106.0%	14.5%	YES
Wayanad	56.7%	8.8%	YES	81.2%	1.6%	NO
Mahar: Aurangabad	53.0%	-11.5%	YES	63.5%	-11.3%	YES
Latur	-4.8%	4.6%	NO	7.2%	5.0%	NO
Nanded	11.4%	-1.3%	NO	39.8%	0.6%	YES
Osmanabad	-27.8%	11.0%	NO	-18.5%	10.0%	NO
Parbhani	22.5%	-3.6%	NO	41.2%	-4.3%	YES
Haryana: Hissar	-20.7%	34.2%	NO	41.0%	26.8%	NO
Jind	69.3%	48.8%	YES	72.3%	69.2%	NO
Kaithal	25.2%	6.0%	YES	48.7%	7.1%	NO
Sirsa	-18.3%	26.3%	NO	-6.7%	19.2%	NO
TN: Cuddalore	1.7%	35.0%	YES	65.5%	46.7%	YES
Dharampuri	13.0%	40.7%	YES	61.3%	55.3%	YES
Thiruvannamalai	19.0%	61.9%	YES	103.6%	78.2%	YES
Villupuram	31.1%	-4.1%	YES	125.4%	4.6%	YES
			13/23 YES			14/23 YES

Source: S S.K.S Gautam, Student Achievement Under TAS: An Appraisal in Phase I States, NCERT, 2002

Table B.2. District Means scores on DPEP tests, Grade 3 or 4 (Phase 1 or DPEP I)

Phase 1	Language 3/4			Math 3/4		
State/DPEP District	BAS1-BAS2	MAS-TAS	Target	BAS1-BAS2	MAS-TAS	Target
Assam: Darrang	37.3%	13.8%	YES	5.7%	14.1%	NO
Dhubri	30.2%	2.0%	YES	-9.9%	9.4%	NO
Morigaon	8.2%	21.1%	YES	-18.1%	20.3%	NO
Karnat: Belgaum	94.3%	19.7%	YES	62.3%	-2.1%	YES
Kolar	87.1%	11.3%	YES	48.1%	9.9%	YES
Mandya	64.4%	53.1%	YES	3.4%	34.7%	YES
Raichur	61.0%	-22.7%	YES	46.1%	-41.9%	NO
Kerala: Kasargod	25.5%	1.7%	YES	25.8%	13.4%	YES
Malappuram	19.6%	-1.3%	NO	26.9%	5.3%	YES
Wayanad	-2.7%	4.1%	NO	-9.5%	6.7%	NO
Mahar: Aurangabad	22.6%	-6.8%	NO	46.8%	3.3%	YES
Latur	46.1%	52.8%	YES	38.0%	103.9%	YES
Nanded	-5.0%	125.1%	YES	-2.1%	247.3%	YES
Osmanabad	38.8%	37.9%	YES	40.9%	70.5%	YES
Parbhani	20.8%	47.6%	YES	46.0%	90.9%	YES
Haryana: Hissar	-10.2%	53.0%	YES	9.0%	10.4%	NO
Jind	-11.1%	50.1%	YES	-26.8%	17.3%	NO
Kaithal	16.4%	13.3%	YES	11.1%	-0.6%	NO
Sirsa	48.9%	-5.0%	YES	56.2%	-1.1%	YES
TN: Cuddalore	19.5%	44.0%	YES	50.7%	77.9%	YES
Dharampuri	20.6%	60.2%	YES	35.4%	62.1%	YES
Thiruvannamalai	7.4%	110.6%	YES	7.3%	201.5%	YES
Villupuram	57.0%	32.3%	YES	85.8%	22.4%	YES
			20/23 YES			15/23 YES

Source: S S.K.S Gautam, Student Achievement Under TAS: An Appraisal in Phase I States, NCERT, 2002

Table B.3. District Means scores on DPEP tests, Grade 1 (Phase 2 or DPEP II)

Phase 2		Lang 1			Math 1		
State	District	BAS1-BAS2	MAS-TAS	Target	BAS1-BAS2	MAS-TAS	
Assam	Barpeta	104.5%	-22.55	YES	-5.31	109.16	YES
	Bongaigaon	59.3%	17.32	YES	13.83	29.98	YES
	Goalpara	105.0%	-7.17	YES	-13.68	119.57	YES
	Karbi-Anglong	69.3%	-31.16	YES	5.37	21.27	YES
	Kokrajhar	10.1%	1.01	NO	-0.08	16.25	NO
	Sonitpur	100.5%	0.75	YES	-12.55	82.06	YES
Chhatisgarh	Bastar	4.2%	-3.08	NO	9.97	14.99	NO
	Dantewada	4.2%	25.80	YES	23.99	14.99	YES
	Dhamtari	24.7%	-10.19	NO	-10.62	43.57	YES
	Kanker	4.2%	0.20	NO	-3.24	14.99	NO
	Mahasamund	24.7%	-14.40	NO	-11.15	43.57	YES
	Raipur	24.7%	-59.01	YES	-6.44	43.57	YES
Gujarat	Banaskantha	13.1%	35.53	YES	41.46	16.04	YES
	Dangs	27.4%	16.23	YES	12.12	21.89	YES
	Panchmahal	21.9%	11.41	YES	11.56	21.12	YES
Haryana	Bhiwani	38.4%	26.95	YES	39.74	51.41	YES
	Gurgaon	18.5%	-12.55	NO	-3.37	42.09	YES
	Mahendergarh	69.1%	12.34	YES	16.80	81.30	YES
Himachal Pradesh	Chamba	15.6%	-6.68	NO	-12.57	29.76	NO
	Kullu	17.4%	8.57	YES	-9.35	19.55	NO
	Lahauil-Spiti	9.8%	-0.55	NO	-12.52	23.91	NO
	Sirmour	8.3%	7.56	NO	-0.94	17.48	NO
Karnataka	Bangalore (rural)	2.2%	47.10	YES	21.86	66.69	YES
	Bellary	46.1%	35.12	YES	15.71	78.40	YES
	Bidar	40.7%	22.10	YES	32.18	14.19	YES
	Bijapur	-11.7%	60.78	YES	26.33	38.51	YES
	Dharwad	4.1%	60.94	YES	27.27	38.68	YES
	Gulbarga	1.1%	40.06	YES	25.12	12.78	YES
	Mysore	46.4%	25.63	YES	11.57	44.96	YES
Madhya Pradesh	Barwani	57.9%	4.18	YES	8.88	114.15	YES
	Bhind	67.6%	6.36	YES	8.18	104.90	YES
	Damoh	55.1%	27.18	YES	19.26	131.36	YES
	Datia	61.2%	46.32	YES	43.05	44.50	YES
	Dewas	47.6%	2.32	YES	12.90	53.97	YES
	Dindori	70.1%	51.41	YES	23.83	96.42	YES
	Jhabua	52.4%	32.84	YES	31.67	63.91	YES
	Khandwa	50.7%	17.01	YES	14.40	63.98	YES
	Khargone	57.9%	36.46	YES	32.92	114.15	YES
	Mandla	70.1%	51.54	YES	40.30	96.42	YES
	Morena	46.9%	16.26	YES	7.50	64.88	YES
	Seoni	72.5%	13.85	YES	8.19	98.00	YES
	Shajapur	50.5%	37.24	YES	32.16	109.15	YES

Table B.3. District Means scores on DPEP tests, Grade 1 (Phase 2 or DPEP II)

Phase 2		Lang 1			Math 1		
State	District	BAS1-BAS2	MAS-TAS	Target	BAS1-BAS2	MAS-TAS	
	Seopur	46.9%	30.06	YES	26.92	64.88	YES
	Shivpuri	154.4%	7.38	YES	6.64	163.45	YES
	Vidisha	52.8%	9.35	YES	9.98	27.56	YES
Maharashtra	Beed	21.1%	12.27	YES	12.05	28.62	YES
	Dhule	91.6%	2.28	YES	9.98	65.36	YES
	Gadchiroli	35.1%	7.44	YES	9.42	65.68	YES
	Jalana	11.6%	20.15	YES	16.61	3.29	NO
Orissa	Bolangir	43.1%	4.76	YES	9.54	20.58	YES
	Baragarh	71.5%	9.61	YES	15.87	97.78	YES
	Dhenkanal	29.0%	-6.28	NO	-3.67	26.01	NO
	Gajapati	7.5%	1.13	NO	77.21	-24.78	YES
	Kalahandi	67.9%	-1.66	YES	12.39	53.21	YES
	Keonjhar	29.2%	-4.58	NO	-5.38	33.52	YES
	Rayagada	-2.9%	10.32	NO	13.26	12.93	YES
	Sambalpur	12.3%	7.99	NO	3.15	24.08	YES
Tamil Nadu	Perambalur	69.6%	1.36	YES	8.86	136.48	YES
	Puddukottai	32.9%	15.48	YES	17.54	105.01	YES
	Ramnathpuram	25.9%	6.72	YES	10.28	83.21	YES
Uttar Pradesh	Badaun	77.9%	5.02	YES	3.48	109.09	YES
	Balrampur	29.0%	27.30	YES	0.68	72.41	YES
	Bareilly	44.8%	54.80	YES	57.51	118.88	YES
	Basti	4.9%	20.36	YES	14.88	41.34	YES
	Deoria	-10.5%	29.62	NO	11.47	4.82	NO
	Firozabad	25.9%	37.31	YES	19.97	100.33	YES
	Gonda	29.0%	34.29	YES	5.04	72.41	YES
	Hardoi	23.6%	47.63	YES	27.03	99.56	YES
	JP Nagar	37.1%	4.32	YES	3.39	118.04	YES
	Lakhmipur Kheri	27.0%	21.72	YES	31.60	73.32	YES
	Lalitpur	44.5%	16.21	YES	10.99	33.91	YES
	Maharajgani	-9.7%	23.46	NO	16.73	10.94	YES
	Moradabad	37.1%	0.81	YES	4.38	118.04	YES
	Pilihbhit	71.0%	18.29	YES	6.73	78.56	YES
	SK Nagar	4.9%	16.30	NO	12.92	41.34	YES
	Shahjahanpur	21.5%	25.48	YES	15.11	57.87	YES
	Siddharthnagar	5.5%	24.98	YES	16.02	31.62	YES
	Sonbhadra	-17.9%	57.82	YES	36.95	36.64	YES
				61/78 YES			68/78 YES

Source: S.K.S Gautam, Synthesis Report on Student Achievement Under TAS: An Appraisal in DPEP States, NCERT, 2003

Table B.4 District Means scores on DPEP tests, Grade 3 or 4 (Phase 2 or DPEP II)

Phase 2		Language 3/4			Math 3/4		
State	District	BAS1-BAS2	MAS-TAS	Target	BAS1-BAS2	MAS-TAS	Target
Assam	Barpeta	29.6%	-14.4%	NO	34.2%	-13.5%	NO
	Bongaigaon	11.7%	-0.4%	NO	20.4%	19.1%	YES
	Goalpara	54.5%	-29.5%	YES	58.6%	-19.4%	YES
	Karbi-Anglong	40.3%	-16.0%	NO	38.8%	-17.8%	NO
	Kokrajhar	1.6%	-11.1%	NO	-8.4%	15.2%	NO
	Sonitpur	30.1%	-4.3%	YES	48.1%	-16.9%	YES
Chhatisgarh	Bastar	-21.1%	86.4%	YES	-30.6%	92.7%	YES
	Dantewada	8.4%	3.8%	NO	7.9%	4.0%	NO
	Dhamtari	9.6%	12.4%	NO	2.1%	23.0%	YES
	Kanker	0.6%	27.1%	YES	5.7%	41.4%	YES
	Mahasamund	-20.7%	23.4%	NO	7.1%	39.3%	YES
	Raipur	17.6%	-2.1%	NO	62.6%	-13.9%	YES
Gujarat	Banaskantha	-2.6%	69.5%	YES	-21.1%	88.3%	YES
	Dangs	1.4%	46.5%	YES	-12.1%	66.8%	YES
	Panchmahal	-19.8%	42.0%	NO	9.2%	65.9%	YES
Haryana	Bhiwani	-6.6%	17.2%	NO	116.1%	-29.6%	YES
	Gurgaon	31.8%	-1.2%	YES	50.0%	6.3%	YES
	Mahendergarh	54.2%	-0.9%	YES	108.3%	2.2%	YES
Himachal Pradesh	Chamba	22.5%	7.7%	YES	9.7%	16.9%	YES
	Kullu	4.0%	32.6%	YES	4.7%	63.4%	YES
	Lahauil-Spiti	7.1%	-5.2%	NO	18.8%	-6.3%	NO
	Sirmour	7.1%	11.0%	NO	18.8%	-0.6%	NO
Karnataka	Bangalore (rural)	31.1%	-9.4%	NO	24.0%	0.6%	YES
	Bellary	7.1%	-8.5%	NO	18.8%	-7.1%	YES
	Bidar	31.1%	-2.5%	YES	24.0%	-1.9%	YES
	Bijapur	31.1%	1.5%	YES	24.0%	-22.4%	YES
	Dharwad	25.6%	11.5%	YES	10.3%	20.2%	YES
	Gulbarga	17.6%	-6.6%	NO	11.7%	-22.4%	NO
	Mysore	52.9%	13.0%	YES	39.5%	21.8%	YES
Madhya Pradesh	Barwani	40.7%	-31.3%	NO	39.4%	-22.0%	NO
	Bhind	37.8%	-19.5%	NO	11.4%	22.2%	YES
	Damoh	28.3%	-23.3%	NO	24.9%	4.2%	YES
	Datia	34.7%	-23.8%	NO	24.4%	9.9%	YES
	Dewas	15.1%	37.0%	YES	-3.7%	43.1%	YES
	Dindori	76.6%	0.9%	YES	95.4%	1.3%	YES
	Jhabua	110.3%	34.1%	YES	80.6%	69.3%	YES
	Khandwa	42.6%	47.6%	YES	-0.7%	89.0%	YES
	Khargone	14.3%	46.0%	YES	16.8%	85.1%	YES
	Mandla	47.8%	39.6%	YES	14.9%	77.1%	YES
	Morena	47.8%	9.7%	YES	6.2%	30.5%	YES
	Seoni	43.2%	18.6%	YES	39.1%	28.5%	YES
	Shajapur	15.1%	59.7%	YES	11.3%	136.4%	YES
	Seopur	47.8%	26.1%	YES	14.9%	56.9%	YES

Table B.4 District Means scores on DPEP tests, Grade 3 or 4 (Phase 2 or DPEP II)

Phase 2		Language 3/4			Math 3/4		
State	District	BAS1-BAS2	MAS-TAS	Target	BAS1-BAS2	MAS-TAS	Target
	Shivpuri	-7.9%	103.1%	YES	-24.7%	81.0%	YES
	Vidisha	63.5%	9.0%	YES	53.0%	28.4%	YES
Maharashtra	Beed	15.3%	33.1%	YES	2.5%	73.1%	YES
	Dhule	-7.9%	159.5%	YES	-26.3%	156.7%	YES
	Gadchiroli	106.6%	24.8%	YES	160.3%	0.3%	YES
	Jalana	57.6%	19.6%	YES	53.6%	23.0%	NO
Orissa	Bolangir	6.6%	-19.2%	NO	-2.2%	-3.1%	NO
	Baragarh	50.4%	-19.6%	YES	35.1%	4.9%	YES
	Dhenkanal	48.6%	-35.0%	NO	37.8%	-11.9%	YES
	Gajapati	57.1%	-35.0%	NO	25.0%	-13.1%	NO
	Kalahandi	9.5%	-10.5%	NO	7.0%	27.6%	YES
	Keonjhar	116.3%	-33.1%	YES	32.3%	12.9%	YES
	Rayagada	20.1%	-22.2%	NO	-0.2%	17.5%	NO
	Sambalpur	100.3%	-26.0%	YES	9.7%	1.8%	NO
Tamil Nadu	Perambalur	50.4%	13.1%	YES	24.5%	58.8%	YES
	Puddukottai	48.8%	-2.3%	YES	55.4%	-7.6%	YES
	Ramnathpuram	22.4%	18.1%	YES	5.8%	29.2%	YES
Uttar Pradesh	Badaun	14.7%	11.9%	YES	22.4%	19.1%	YES
	Balrampur	-11.1%	48.8%	YES	-13.8%	91.3%	YES
	Bareilly	24.4%	48.7%	YES	18.1%	92.5%	YES
	Basti	-7.9%	55.9%	YES	2.8%	69.3%	YES
	Deoria	-9.2%	8.0%	NO	2.9%	17.1%	NO
	Firozabad	7.3%	75.2%	YES	11.1%	81.9%	YES
	Gonda	-11.1%	40.4%	YES	-13.8%	77.2%	YES
	Hardoi	25.1%	27.1%	YES	19.3%	55.5%	YES
	JP Nagar	51.8%	7.8%	YES	49.9%	19.8%	YES
	Lakhmipur Kheri	-20.8%	70.3%	YES	-0.8%	51.2%	YES
	Lalitpur	14.5%	17.9%	YES	40.3%	10.0%	YES
	Maharajgani	-18.3%	70.4%	YES	-10.6%	44.7%	YES
	Moradabad	51.8%	4.3%	YES	49.9%	7.3%	YES
	Pilihbhit	11.9%	34.0%	YES	33.9%	45.4%	YES
	SK Nagar	-7.9%	49.2%	YES	2.8%	66.8%	YES
	Shahjahanpur	2.0%	47.1%	YES	29.4%	50.0%	YES
	Siddharthnagar	-34.2%	68.2%	YES	-19.2%	41.8%	NO
	Sonbhadra	-17.5%	60.0%	YES	-15.5%	57.5%	YES
				53/78 YES			63/78 YES

Source: S.K.S Gautam, Synthesis Report on Student Achievement Under TAS: An Appraisal in DPEP States, NCERT, 2003

Table B.5. Average Percent Correct of Baseline Assessment of Grade 5 Mathematics and Language, 2002

States	Mathematics		Language	
	% Mean	SD	% Mean	SD
Andhra Pradesh	43.53	20.98	54.83	17.11
Arunachal Pradesh	53.47	18.61	61.33	16.36
Assam	40.03	16.84	49.16	12.61
Bihar	62.62	23.25	65.22	18.95
Chhattisgarh	38.36	17.26	49.69	16.08
Delhi	48.2	19.75	63.15	16.88
Goa	30.48	13.49	44.68	14.31
Gujarat	48.36	19.12	56.18	18.09
Haryana	53.33	18.52	60.45	17.33
Himachal Pradesh	34.41	13.55	49.99	14.3
J&K	36.3	16.48	49.59	16.38
Karnataka	46.03	21.27	58.63	18.97
Kerala	35.9	14.64	54.99	14.46
Madhya Pradesh	49.03	22.68	58.25	21.91
Maharashtra	44.32	20.73	62.12	20.1
Mizoram	41.07	14.68	66.91	10.38
Nagaland	45.71	23.92	59.55	17.91
Punjab	49.37	20.83	58.05	15.77
Rajasthan	49.37	20.82	60.65	17.44
Sikkim	40.66	14.95	50.26	13.13
Tamil Nadu	58.37	22.81	71.09	17.5
Tripura	52.71	22.58	63.79	15.95
UP	37.81	19.74	50.2	19.24
Uttaranchal	38.83	16.82	56.35	17.62
West Bengal	60.11	21.94	70.67	15.31
A& N Islands	40.69	16.96	54.49	15.95
Chandigarh	44.98	13.81	55.99	15.33
Pondicherry	36.59	17.24	59.23	17.87
Total	46.51	21.3	58.57	18.3

Source: “Learning Achievement of Students at the End of Class V”; Department of Educational Measurement and Evaluation, National Council of Educational Research and Training, 2003

Table B.6 Rural Student Learning Outcomes from Annual Status of Education Report, 2005

	% Children who CANNOT read …		% Children who CANNOT solve numerical written sums of …	
	Level 1*	Level 2**	Subtraction or Division	Division
Age: 7-14 ALL	34.9	51.9	41.1	65.5
Age: 7-10 ALL	48.2	67.7	53.8	79.5
Age:11-14 ALL	17.2	31.0	24.3	47.0
Govt: Std II-V	43.9	65.3	49.7	77.9
Pvt: Std II-V	32.1	52.4	38.1	65.9
Govt: Std VI-VIII	9.3	22.2	17.0	40.0
Pvt: Std IVI-VIII	6.7	16.8	14.6	33.4

Source: Pratham: Annual Status of Education Report, 2005.

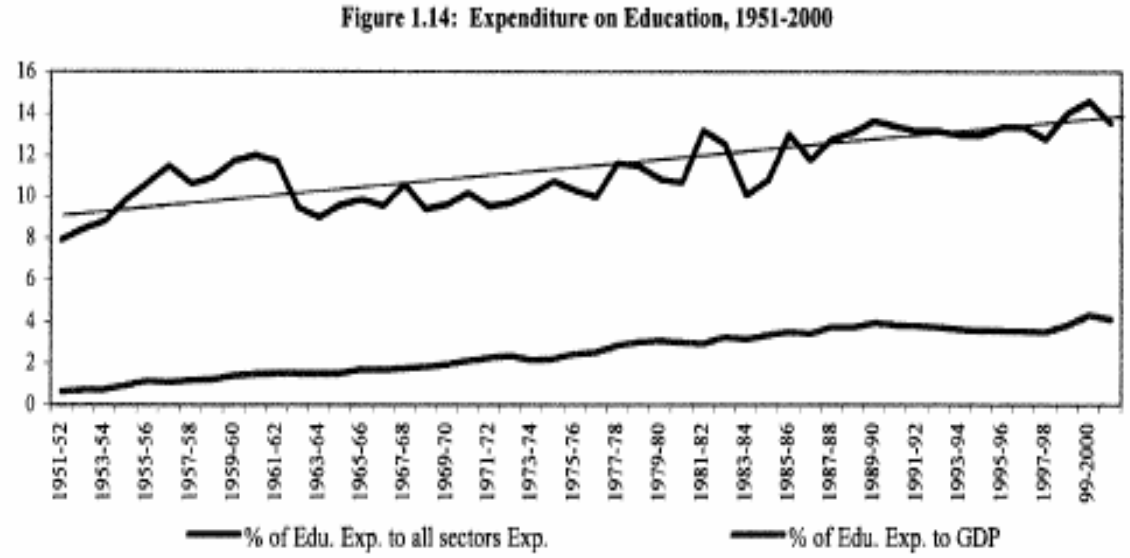
*__Level 1__: Ability to read a small paragraph with short sentences of std 1 level difficulty

**__Level 2__: Ability to read a "short" text with some long sentences of std 2 level difficulty

Subtraction: 2 digit subtraction w/ borrowing

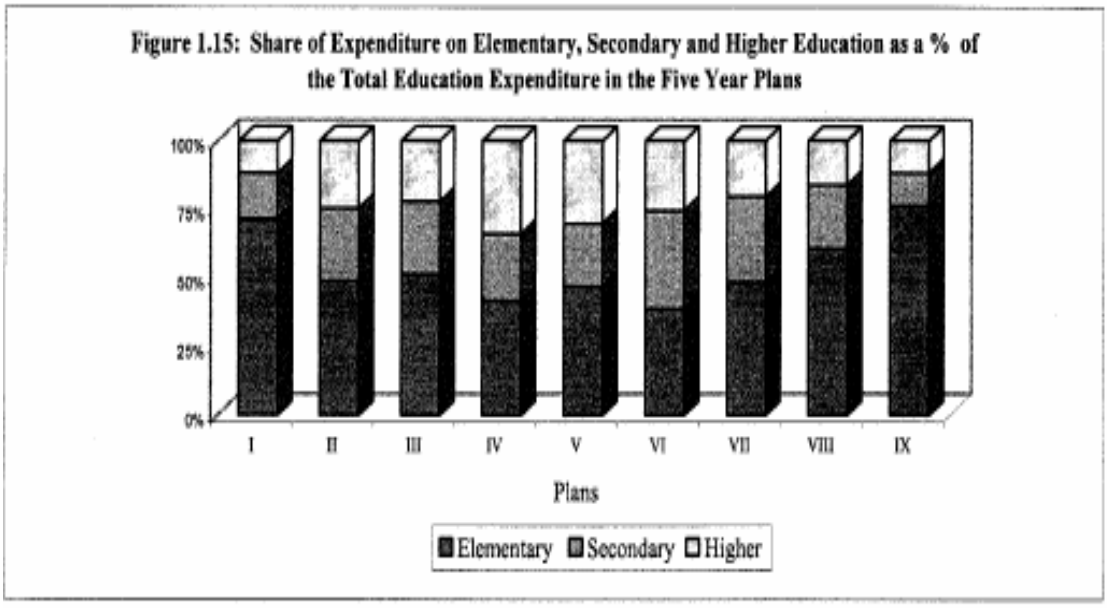
Division: 3 digits divided by one digit.

Figure B.1. Expenditure on Education 1951-2000



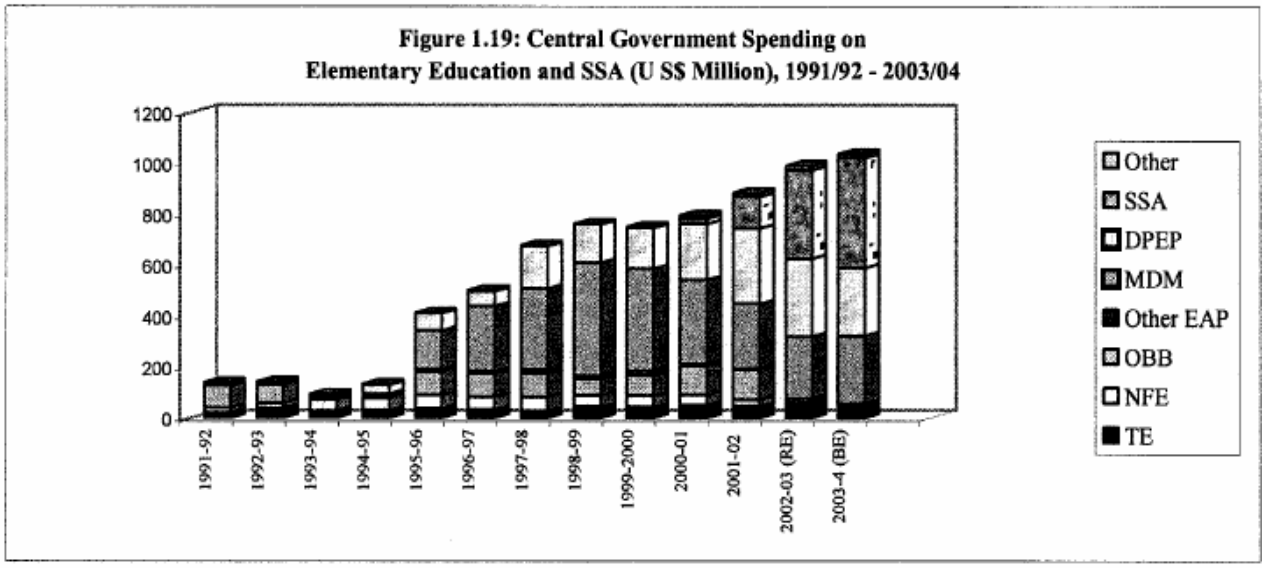
Source: Education Statistics, MHRD web site: www.education.nic.in as on February 20, 2004.

Figure B.2. Share of Expenditure on Elementary, Secondary and Higher as a % Of the Total Education Expenditure in the Five Year Plans



Source: Analysis of Budgeted Expenditure on Education, *various years*; Government of India, Ministry of Human Resource Development, (Department of Secondary and Higher Education), Planning and Monitoring; New Delhi

Figure B.3. Central Government Spending on Elementary Education and SSA (US $ millions), 1991/92-2003/04



Source: Analysis of Budgeted Expenditure on Education, *various years*; Government of India, Ministry of Human Resource Development, (Department of Secondary and Higher Education), Planning and Monitoring; New Delhi

ANNEX C. PROJECT OUTCOMES AND OUTPUTS

Figure C.1. IEG Summary of UPBEP I/II Project Objectives, Performance Indicators and Targets, Methods and End of Project Status

Project Objective	Outcomes/Outputs Incomes	Target	Method	End of Project Status
1. Improving Access to Primary Education	a. Enrollments (Male/Female/SC/ST[1]			
	Total)	50% decrease girls out-of-school (OOS)	EMIS/	GER 91% vs 50% baseline (82% decline)
	Primary	900,000 new places (no breakdowns)[2]	Proj data	981,000
	Upper Primary	350,000 new places (no breakdowns	Ditto	365,000
	b. Gr Enroll Ratio M/F/Tot)			
	Primary	UPBEP I: 85/71/?;UPBEPII:100 (Total)[3]		UPBEP I/II: M: 94.4; F: 91.4; Tot. 93.0
	Upper Primary	UPBEP I: 76/64/?; UPBEPII: 75 (Total)		UPBEP I/II: M: 78; F: 65; Tot: 71
	c. SC/ST Gr Enroll Ratio (M/F)			
	Primary	UPBEP I: 109/71/?; (No targets for ST)	EMIS/Dir	SC: M: 126; F: 118.6; Tot:~121
	Upper Primary	UPBEP I: 43/22/?; (No targets for ST)	Data	SC: M: 61; F: 53; Tot: ~58.
	d. NFE Enrollments	150,000 new recruits (dropped after Project mid-term review)	NFE records	At least 20,000 new students enrolled but eventually phased out.
2. Reducing primary school dropout	a. Dropout rate	-50% reduction compared to baseline estimates -UPBEPII: 90% of 1st graders complete 1st year of primary -No target		-Reduction by 45% (male: 30%; female: 54%) -No data
	b. SC/ST dropout rate.			DO rate: M: 32.5%; F: 31.8% (not chg rate)
3. Improving student learning outcomes	a. Learning achievement	-50% improvement over baseline (primary and upper)	Sample survey	-Allegedly targets surpassed but methods questioned -No data
	b. SC/ST learning achievement	-No target		-Improvement in student-teacher interaction and socio-emotional climate of classrooms (more student friendly) compared to baseline
	c. Teaching methods[4]	-UPBEPII: improved methods introduced and impact learning	Special study	

4. Improving Institutional Capacity	State Level		
	a. Status of EFA Society	Fully Functional	Fully staffed and equipped, appraised/approved annual work plans, monitored and evaluated UPBEP implementation and prepared state EFA plan.
	b. Status of SIEMAT	-Fully operational, providing 1000 person wks of trng per yr and completing 5 major studies per year.	-Established and functional: provided 1600 training per week per district; completed 23 research studies (but of variable quality).
	c. Status of State EFA Plan	-Completed, manifest in subsequent projects	-State plan was prepared and is manifest in subsequent projects (DPEP II and III)
	d. Status of MLL Curric Revision	-Improved procedures	-Teachers included in textbook preparation; textbook supplements produced having local content
	e. Status of SCERT Curric Devl. Proc	-Curriculum revised; textbooks in schools	-Curriculum revised; new generation of textbooks & supplements produced/ distributed.
	f. Status of MIS system	-Computerized; fully functional at the state level -Established	-A computerized system is functional at the state level; data quality is uneven
	g. Status of Assessment Systm	-No target specified	-Not developed at SIEMAT as planned
	h. Research/Evaluation Studies		-Committee supported a total of 63 research studies and findings shared (no quality indicator)
	District Level	-Fully operational; providing 1000 pers wks of training per year	-DIETs strengthened; BRCs provide 4300 wks of training per year per district; some DIETs do not reach desired level of effectiveness
	a. Status of DIETS and BRCs	-Computerized; fully functional in proj Districts	-A computerized system is functional in all Districts; data quality in uneven
	b. Status of MIS system	-Planning management teams trained	-District planning teams in place in initial districts but not in reserve districts (given lack of funds
	c. Status of District Planning		

Project Objective	Indicator	Target	Method	End of Project Status
5. Enhancing Community Participation in Primary Education	Percent of villages having fully functional Village Education Committees	50 percent of villages		

1. SC = Scheduled castes; ST = Scheduled tribes
2. These actually output (not outcomes) indicators. Actuals were computed from school/classroom construction data on assumption of 3 classrooms per school and 40 places per classroom.
3. UPBEPII: Capacity to enroll all 6-10 year olds; 75% of all 11-13 year olds.
4. Taken from UPBEPII Project Appraisal Document, 1997, “Monitoring and Evaluation Arrangements.”

Figure C.2. IEG Summary of DPEP I/II Project Objectives, Outcomes/Outputs Indicators, Targets and End of Project Status

Project Objective	Outcomes/Output Indicator	Target	End of Project Status
1. Improving access	Reduction of enrollment disparities by gender and caste/tribe	To less than 5 percent	- In DPEP (phase 1) for gender: below 5% in 6 of 7 states; in DPEP II below 5% in 6 of 10 states; for SC, Pandey (2000) reports social equity index to be 100 in all DPEP districts and for DPEP II above 95% in 80% of districts; for ST data incomplete but considered unmet.
2. Reducing primary school Dropout	Dropout rate	DO rate reduced to less than 10%.	- in DPEP dropout fell below 10% in Kerala districts only; Districts in Haryana, Maharastra, Karnataka, and Tamil Nadu have DO ranged from 20-40%; in Asam it was over 40%; in DPEP II only 16% of districts ended up with DO below 10%. State averages were 10% to 40% for project districts; overall average for project districts was 30%.
3. Improving student learning outcomes	a. Learning achievement	25% increase over baseline estimates in learning achievement in language and mathematics in final year of primary school (grade 4 or 5)	- In DPEP **grade 1**: 5% reach target in language; 61% in math; **grade 3-4** 8% in language an d65% in math; in DPEP II **grade 1**: 78% reached target in language and 87% in math; **grade 3-4** 68% in language and 81% in math.[55]
4. Improving Institutional Capacity	National Level a. DPEP bureau will be fully functional	 - 140 sub-projects appraised annually - 140 sub-projects supervised twice annually	 - No data on specific indicators - Ditto (ICR indicates "appraisal" (progress) reports provided 2x annually) - DPEP Bureau becomes a strong force in program management and primary education reform
	b. School Statistical MIS computerized to district level	- Software platform adopted and installed in all DPEP states - MIS facilities established and equipped (National MIS cell, 6 states, 23 districts) - Staff training for 50 system managers, 60 computer operators, 100 dist/ block supervisors, 10,000 school headmasters - Reports twice annually - MIS system effectiveness and efficiency: 85% accuracy of school statistics	- Completed - Completed - training undertaken but numbers not reported - Regular reports provided, but not clear if twice annually. Releasing annual "report card" (state and district) becomes the pattern. - No information about this: accuracy of school statistics is problematic.
	c. National Training Resource Group established to support state and district training activities for: teachers, head teachers; cluster resource teams; and master trainers.	- Number and quality of training designs, prototype training modules and master trainer program. - Impact of training on teacher performance: improved classroom teaching processes for more than 50% of trained teachers	- No data on these five specific indicators; data from BRCs/schools show teachers receiving 3 to 20 days of inservice training per year; most locations also have outreach (teacher meetings and/or school visits) from cluster resource centers (SRCs) around once/month. - Some qualitative studies undertaken by participating states show active teaching and learning in various locations, but given no baseline data attainment of target could not be determined.
	d. DPEP Program Evaluation Research and Studies established to assess DPEP program strategies and impact and build evaluation	-24 completed research training programs - Learning achievement studies of high quality completed in 3rd & 6th year of project in 23	- No data on indicator - Learning achievement assessed in grade 1 & grades 3 or 4 (penultimate prim grade) in all districts (baseline, midterm &

1. During implementation DPEP management decided to assess language and math skills in grade 1 and in the penultimate year of primary, which is in some states is grade 3 and in others grade 4.

Project Objective	Outcomes/Output Indicator	Target	End of Project Status
	research capacity in state institutions	districts; in additional districts joining the program - Multivariate analysis of achievement data using school effectiveness models - 50 research studies of good quality commissioned and completed in first, fourth and seventh year of project -researcher newsletter issued twice annually - 6 researcher conferences completed and results published	terminal); quality unclear - No evidence of multivariate analysis having been undertaken - 180 research studies supported by DPEP completed; quality uneven - No data on researcher newsletter - No data on reseacher conferences
	e. Program of Technical Assistance to States in Education Planning and Management established to develop capacity in the State Institutes of Educational Management and Training to train state and district officials.	- 10 prototype training modules completed and in regional languages (including micro-planning, state/distr prog management, schl supervision) -24 trainer training programs completed with counterpart state agencies	- No specific data on output; (Topdown planning of training generally abandoned in favor of needs-based training covering areas of difficulty (hard spots) in the schools in the states and districts. PPAR mission observes training events in districts but in limited numbers of topics.)
	f. Program for Reading Skills and Comprehension Enhancement established to: assess reading readiness for grade 1, identify best practice in India and internationally, develop reading research capacity, develop field tested exemplary reading materials; encourage exchange of materials among states; build capacity for reading prog dev't in state institutions	-Micro-analysis of baseline achievement data completed -Reading readiness study completed -Reading difficulties study completed -Prototype materials of package completed and of good quality -Development teams trained in each state -Regional language adaptations field tested and in use on 6 states -Evaluation studies using baseline assess- ment tests will show at least a 25% increase in reading comprehension and word knowledge in Grade 2.	Workshops were held at the national and state levels to discuss difficulties in teaching language and mathematics and to identify and share strategies being used by different states. The textbooks in all states were revised. No mention of studies on readiness and difficulties, development teams, and evaluation studies at grade 2.
	g. Mathematics Activity Program (MAP) established to: assess barriers to math achievement, identify best practices, develop prototype activities and materials, and build capacity in state resource institu- tions to adapt and further develop MAP activities and materials	-Best practices paper published -Complete MAP package of good quality field tested and published -Development team functioning in 6 states -MAP adaptations in use in regional language in 6 states -Evaluation studies using experimental design will show at least 25% increase in mathematics achievement in Grade 2	Workshops were held at the national and state levels to discuss difficulties in teaching language and mathematics and to identify and share strategies being used by different states. The textbooks in all states were revised. No mention of best practices paper, development teams, and evaluation studies at grade 2
	h. Program for Instructional Materials Renewal established to review existing curricula, design a new MLL curriculum; develop and test prototype textbooks, workbooks and teacher guides, and build capacity at state level.	-Curricula revised in 6 states -New textbooks, workbooks and teachers' gulides in use in schools in 23 dist., in service to prepare teachers -Each state textbook writing process includes - teachers as textbook writers - field trials followed by revisions -New materials have impact on learning achievement	- Curricula revised in all DPEP states - No data on use of textbooks and inservice training re textbooks - Textbook creation includes involvement of teachers and field testing in all states -No explicit information on impact of new materials on learning achievement

Annex C

Project Objective	Outcomes/Output Indicator	Target	End of Project Status
	i. Program of special emphasis for ST Education established.	- Increase in the number of tribal languages in which primary instructional materials available - Increase in the number of ST persons in training as teachers - Availability of evaluations and documentation of effective intervention strategies for ST learners	-No evidence of textbooks being produced in tribal languages but some supplementary materials produced - no specific evidence given - No information
	State Level (e.g., Karnataka) a. State Implementation Societies established (KPSVY)	- Average 90% of annual physical targets & expendit across state activities and districts - Supervision missions to districts 4 times annually - Reports submitted Quarterly from second year of project - Annual Work Plan and Budgets (AWPB) 100% on time	- No specific reports from States in ICR -Annual reports and Work Plans largely on time
	b. State School Statistics MIS established	-Software platform adopted and installed by end of project year I -MIS facilities established and equipped by end of project year 1 - Staff training, initial and refresher (6 admin; 6 programers/operators; 3 systems analysts - Quarterly reports submitted - 100 percent conformance with GOI data requirements.	
	c. DSERT capacity to develop and publish new MLL textbooks and related materials strengthened	- Textbook trialling; training completed for curric dev-pers, authors, editors, illustrators, evaluators, designers & prod/ distrib staff - Desktop publishing capacity installed & fully utilized; prod, stock and dist control systems computerized - New high quality MLL textbooks and auxiliary materials published & in use in all proj districts	-Completed as planned -Completed -Completed; schools visited during PPAR missions all had new MLL textbooks and some auxiliary materials (relative quality not discernable)
	d. DSERT capacity to improve pre-service teacher training strengthened	-Conference hall constructed and equipped' documentation center and library upgraded; computer unit est/equipped - NCERT materials adapted and tested; additional state-specific materials developed including those in minority lang - 25 master trainers trained and working in DIETs and BRCs	-DSERT building upgraded - Materials produced (not clear if minority language materials produced). -Master trainers trained and working in Diets; numbers not clear
	e. Strengthen DSERT capacity for educational research and evaluation by creating a network of research agencies and support research in universities.	- At least 15 research/evaluation studies commissioned by KPSVY completed involving at least 5 institutions - DSERT research coordination capacity strengthened: Database of research studies functioning in DSERT -University educational research output expanded: 10 doctoral studies completed	-No data - No data - No data

Project Objective	Outcomes/Output Indicator	Target	End of Project Status
	f. Establish network of institutions under the coordination of DSERRT to develop and implement management training	-Materials developed, tested and revised of good quality and in use. Five initial & refresher trng progs for 25 master trainers completed: for admin staff, headteachers and VEC members - Trng prgms provided to district and block education staff and trainers, heads of DIETs and primary tchrs trng instit., headtchrs & VEC members (tot 2000 persons, 50 courses - Ten research studies completed; 3 presented at national conferences - Learning achievement studies completed in 3rd & 6th year of project in 5 districts; studies in additional districts joining the program	-Training materials developed, tested and in use. DIET and BRC/CRC personnel trained by SCERT -Research studies cover new curricular materials, school development and monitoring committees, capacity building needs, and DIET evaluation; not clear whether number of studies reached target -State coordination of DPEP learning achievement studies in project districts;
	<u>District Level</u> a. District Proj Sub-Teams established b. Support for district/school level -Planning and management -Teacher inservice training -Development of teaching aids[56] -Program evaluation		- Established in all districts - Teams established and training provided - District networks set up by state agencies, consisting of DIET, BRC and CRC: varying degrees of readiness and effectiveness - Beginning with DPEP II, teachers have received an annual grant of Rs 500, which most have used for buying or making teaching aids. - EMIS built and student achievement surveys administered, but little attention to institutional development indicators
5. Enhancing Community Participation in Primary Education	Percent of villages having fully functional Village Education Committees	50 percent of project villages have fully functional Village Education Committees	

3. Project document says "learning materials"

ANNEX D: PERSONS AND ORGANIZATIONS CONSULTED

NEW DELHI

Ministry of Human Resource Development

Vrinda Sarup, Joint Secretary, Department of Elementary Education and Literacy
Dhir Jhingrn, Director
R. Meena, Deputy Secretary
R. S. Pandey, Former Head of DPEP Bureau (1995-1999)

National Center of Education Research and Training (NCERT)

Krishna Kumar, Director
Ved Prakash, Former Director (now Secretary for University Grants Commission)

National Institute of Educational Planning and Administration (NIEPA)

M. Mukhopadhyay, Head
Arun Mehta, Fellow, ORSM Unit
SMIA Zaide, Fellow and In Charge, Educational Planning Unit
Prancila Menon, Fellow and In Charge, Subnational Systems Unit
R. Govinda, Senior Fellow and Head, School and Nonformal Education Unit

World Bank Office

Venita Kaul, Senior Program Officer
N.K. Jangira, Consultant (previously Head, Department of Teacher Education and Special Education, NCERT

Non-Government Organizations

Rukmini Bannerji, Pratham

KARNATAKA (State)

T.M. Vijay Bhashar, Secretary to Government, Education Department (Primary and Secondary Education)
Sanjiv Kumar, Commissioner for Public Instruction
Raj Kumar Khatri, State Project Director, SSA
D. Jagannatha Rao, Director, Department of State Education Research and Training (DSERT)
K. Gurumurthy, Team Leader, Policy Planning Unit, DSEERT
Azim Premji Foundation
R.V. Vaidyanatha Ayyar, Visiting Professor, Indian Institute of Management Bangalore;
Formerly Joint Secretary, Department of Elementary Education and Literacy

Annex D

Field Visits

Kolar District
- District Project Office
- District Institute of Education and Training
- Block Resource Center in Kolar town
- Government Higher Primary School: Patna
    - Head teacher, teachers, students, and School Development and Monitoring Committee
- Government Lower Primary School: Pakarahally
    - Head teacher, teachers, students, and School Development and Monitoring Committee

Tumkur District
- District Project Office
- District Institute of Education and Training
- Block Resource Center in Gubbi
- Cluster Resource Center in Hebbur
- Government Lower Primary School: Heggere
    - Met with head teacher, teachers, students, and School Development and Monitoring Committee
- Government Lower Primary School: Mudigere
    - Met with head teacher, teachers, students
- Government Higher Primary School: Gulur
    - Met with head teacher, teachers, students, and School Development and Monitoring Committee

UTTAR PRADESH (State)

J.S. Deepak, State Project Director, SSA and Secretary UPEFA
Partha Sarthi Sen Sharma, Additional State Project Director, UPEFA
S.C. Srivastava, Additional Project Director
Sri Binod Singh, Administrative Officer
Krishna Mohan Tripathi, Director, State Institute of Education Management and Training
Najma Saxena, Researcher, SIEMAT
Neeta Mathur, Principal, English Language Teaching Institute, State Council of Educational Research and Training

Field Visits

Saharanpur and Muzafarnagar Districts
- District Project Officers
- DIET (Saharanpur and Muzafarnagar)
- Visit to Government Higher Primary School: Manaharpur (Saharanpur District)
    - Met with head teacher, teachers, students and Village Education Committee
- Visit to Government Lower Primary School: Barta (Muzafarnagar District)
    - Mete with head teacher, teachers, students and Village Education Committee

Hardoi District
- District Project Office
- District Institute of Education and Training
- Block Resource Center at Sursa
- Cluster Resource Center in Ahirohi Block
- Cluster Resource Center in Sandila Block
- Government Lower Primary School: Begumgunj
    - Met w/ head teacher, teachers, students (Village Education Com'tee not active)
- Government Lower Primary School: Khausikheda
    - Met w/ head teacher, teachers, students (Village Educ. Com'tee not available)

WASHINGTON, D.C.

John Middleton, former World Bank Task Team Leader, UPBEP
Ward Heneveld, former World Bank Task Team Leader, DPEP
Sajitha Bashir, Senior Education Economist, World Bank and former Technical Support Group Researcher (GOI)
Prema Clarke, former World Bank Task Team Leader, DPEP
Susan Hirshberg, former World Bank Task Team Leader, DPEP
Kin Bing Wu, Lead Education Specialist (World Bank), and former SSA Task Team Leader
Robert Prouty, Lead Education Specialist, World Bank