

2020



# **BUDGETARY ANALYSIS OF SAMAGRA SHIKSHA ABHIYAN**

A Case Study of Two Districts  
in Andhra Pradesh & Uttar Pradesh



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# Abbreviations

AMO	Academic Monitoring Officer	NCPCR	National Commission for Protection of Child Rights
APO	Additional Project Co-ordinator	NFHS	National Family Health Survey
AWP&B	Annual Workplan & Budget	NSO	National Statistical Office
BE	Budget Estimates	OOSC	Out of School Children
BEO	Block Education Officer	PAB	Project Approval Board
BRC	Block Resource Centre	PMS	Project Monitoring System
CABE	Central Advisory Board of Education	PTR	Pupil Teacher Ratio
CCEA	Cabinet Committee on Economic Affairs	RE	Revised Estimates
CRC	Cluster Resource Centre	RMSA	<i>Rashtriya Madhyamik Shiksha Abhiyan</i>
CRP	Cluster Resource Person	RTE	Right to Education
CWSN	Children with Special Needs	SC	Scheduled Caste
DEO	District Educational Officer	SCERT	State Council of Educational Research and Training
DIET	District Institute of Education and Training	SD	School Development
DIS	District Implementing Society	SDMC	School Development Management Committee
DPO	District Project Officer	SDP	School Development Plan
FM&P	Financial Management & Procurement	SHARDA	School Har Din Aaye
GCDO	Girl Child Development Officer	SIS	State Implementing Society
GER	Gross Enrolment Ratio	SMC	School Management Committee
GFR	General Financial Rule	SMSA	Samagra Shiksha Abhiyan
GOI	Government of India	SSA	Sarva Shiksha Abhiyan
HM	Head Master	ST	Scheduled Tribe
ICT	Information and Communications Technology	TE	Teacher Education
ILO	International Labour Organisation	TEI	Teacher Education Institution
KGBV	Kasturba Gandhi Balika Vidyalaya	TLM	Teaching Learning Material
LEP	Learning Enhancement Programme	UC	Utilisation Certificate
MHRD	Ministry of Human Resource Development	U-DISE	Unified District Information System for Education
MIS	Management Information system	UEE	Universalisation of Elementary Education
MMER	Management, Monitoring Evaluation and Research	VE	Vocational Education
NAS	National Achievement Survey		



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# 1

## Introduction

Education as a subject comes under the concurrent list, by virtue of which legislation related to it as well as its provisioning is the joint responsibility of the Centre as well as the State Governments. The Ministry of Education (Erstwhile Ministry of Human Resource Development) and its state counterparts are the key to education planning, management and delivery.

To implement the education policies on the ground, time to time, both Union and States have brought about various schemes that ensure equitable education for all. The larger aim of these schemes remains to improve access to education, promote equity and improve the basic quality of education. Among all the schemes, *Sarva Shiksha Abhiyan* (SSA) was one of the biggest and key flagship programme launched in 2000-01 with an objective of Universalisation of Elementary Education (UEE) in India. Its objective of UEE was further strengthened with the passage of the Right of Children to Free and Compulsory Education (RTE) Act, 2009 which gave a legal mandate to provide free and compulsory elementary education to every child in the age group of 6-14 years. While the SSA covered the elementary level (grades I-VIII), the *Rashtriya Madhyamik Shiksha Abhiyan* (RMSA) covered grades IX-X (IX-XII for certain components). RMSA was launched in 2009 with the objective to enhance access to secondary education and to improve its quality, ensure universal access to secondary education by 2017 (100 per cent Gross Enrollment Ratio (GER)) and universal retention rate by 2020. Centrally-Sponsored Scheme of Restructuring and Reorganisation of Teacher Education (TE) was launched in 1987, to create a sound institutional infrastructure for pre-service and in-service training of elementary and secondary school teachers and for provision of academic resource support to elementary and secondary schools.

While there was significant improvement at elementary level, with the expansion of elementary education, a growing need for expanding secondary education was also felt. At the national level, gross enrolment ratio at secondary level is 79.5 per cent and the transition rate from upper primary to secondary is 88.4 per cent for 2018-19 (U-DISE, 2019). A large number of children of age group 14-18 years are out of school. The incidence of drop out is starker for girl children. Around 39.4 per cent of adolescent girls in the 15-18 age group are not attending any educational institution, and around two third of them are either engaged in household activities, are dependents, or, are engaged in begging, etc. (NCPCR, 2017). A recent study by Young Lives has shown that women's educational level is negatively associated with the prevalence of child marriage and that completion of secondary education is significant in delaying the age at marriage (Young Lives, 2018). However, nearly 1.5 million girls in India get married before they turn 18. (NFHS-IV, 2015-16). While girls are more likely to be married early, or shoulder domestic responsibilities (a form of work not considered in child labour estimates), boys appear to face a greater risk to labour or employment (ILO, 2017). The absence of opportunities to secondary education tend to exacerbate this risk. Of the 22.87 million adolescents employed across sectors, 65 per cent are boys, as compared to 55 per cent boys in the age group of 5-14 years (Census 2011).

Yet, both at the State and District level, priority continues to be given to policy development and financial investments in elementary education to a greater extent than secondary education. Analysis of state budgets for school education shows that in most of the states, elementary education is getting priority over secondary education (CBGA-CRY, 2016, 2018).

The year 2018-19 saw a change in the schematic structure for school education. Government of India launched *Samagra Shiksha Abhiyan* (SMSA) for school education. The programme aims to treat education holistically as a continuum from pre-school to class XII. To achieve the same, the programme has been designed by subsuming three existing schemes –SSA, RMSA and TE in it. The main objective of adopting an integrated programme is improving school effectiveness measured in terms of equal opportunities for schooling and equitable learning outcomes.

SMSA aims to bring in a shift in focus from project objectives to improving systems, performance and level of outcome, all of which contribute towards Sustainable Development Goal 4 - Quality Education. The SMSA framework recognises gender as a critical cross cutting equity issue and is committed to Goal 4.1 which states that, “By 2030, ensure that all boys and girls complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes.” Bridging gender and social category gaps at all levels of school education is one of the major objectives of the scheme. The equity agenda, as reflected in Goal 4.5, is spelt out in the scheme and is a shift from incentives and provision-based approach to outcome-based approach. Accordingly, the same spirit needs to percolate to the State and District level so that the synergistic working of Department of School Education and *Samagra Shiksha* Society will provide maximum impetus to the functioning of the school education ecosystem.

### Objectives and Scope

As the programme is in its initial stage of implementation, it is important to look at how States are designing their resources under SMSA to promote education especially for adolescents; what kind of interventions have been taken to arrest the drop out or incidence like child marriage; whether secondary education has been given any priority in the scheme framework.

In this background, the study focuses on understanding the process of planning, budgeting, implementation and monitoring aspects of SMSA at state and district level.

The key objectives of this study are:

1. Analysing and documenting the institutional architecture of SMSA;
2. Analysing the fund flow mechanism under SMSA;
3. Analysing component wise expenditure pattern under SMSA by the Union government;
4. Identifying interventions under SMSA and analyse the component wise distribution of resources under SMSA, with a special focus on adolescent children;
5. To track and analyse the total budget for SMSA at district level;
6. To track and analyse the pattern of fund flow for elementary and secondary level in the select districts;

The study has been carried out for two states – Andhra Pradesh and Uttar Pradesh, with a special focus on one district from each state. The districts selected are Chittoor in Andhra Pradesh and Sitapur in Uttar Pradesh. Both the districts were identified as 'most backwards districts' of India in 2006.

## **Methodology**

The study is a combination of both secondary research (desk based) and primary survey. The secondary research includes a comprehensive analysis of SMSA guideline, Annual Workplan & Budget and State Budgets. The primary survey is done in coordination with relevant government institutions and officials for SMSA in the select districts. This study is a mix of quantitative and qualitative analysis.

The following methodology is adopted to address the proposed objectives of the study.

1. An in-depth analysis of the proposed framework of SMSA to understand the structure of the program in details.
2. A detailed analysis of minutes of Project Approval Board (PAB) meetings of SMSA for 2018-19 and 2019-20 for Andhra Pradesh and Uttar Pradesh to gauge the budgetary outlays approved for different interventions of education, especially for adolescent children.
3. Interaction with government officials responsible for implementation of SMSA like District Education Officer, Additional Project Coordinator - SMSA, Academic Monitoring Officer and Finance Officer for Chittoor district.

## **Limitations**

The study aimed to collect planning and budgeting related information for SMSA from Sitapur and Chittoor district. The other objective was perspective building on the functioning of the schemes and district specific challenges through bi-lateral discussions with district officials. However, in the first three months of 2020, due to a series of events like spread of swine flu, disturbance because of public protests and then outbreak of COVID-19, travel to Sitapur, which comes under Lucknow division of Uttar Pradesh, has not been possible. As an alternative strategy, officials were reached out through telephone and email. However, as all the education officials were roped in to monitor and implement different COVID measures, no discussion could be scheduled.

While the interactions with District education officials in Chittoor were fruitful in gathering information about the functioning of SMSA, they were not willing to share scheme-related expenditure data for the district. As a result, information on challenges related to fund flow and fund utilisation etc. under SMSA could not be corroborated.

## **Structure of the Study**

The study has been presented in six sections. After a brief introduction in Section I, Section II describes the planning process (State plan, District plan) under SMSA, budgeting and fund flow mechanism and monitoring process at different levels of governance and institutional architectures associated with it. Section III analyses how Union Government is financing SMSA. Section IV has two parts. The first part analyses the scheme for Andhra Pradesh, covering the planning and budgeting aspects for SMSA across different components; and how the State is allocating resources for the scheme. The second part of the Section IV exclusively focuses on educational profile of Chittoor and examine different aspects of SMSA like planning and budgeting in the district. A similar discussion for Uttar Pradesh and Sitapur has been steered in section V. Section VI presents the conclusion found through the analysis conducted across both States and Districts.



# Planning to Budgeting Stages of *Samagra Shiksha Abhiyan*

The rationale for the integration of the new schemes, as stated in the guideline, is 'addressing the issue of duplication of efforts and personnel towards implementing similar interventions and achieving similar objectives', which eventually will result in better allocation and optimal utilisation of budgetary and human resources (MHRD, 2018a). However, efficient allocation and utilisation are only achievable if there is perspective planning in designing of the scheme. Each district needs to prepare a perspective plan based on the data collected through household survey through a micro planning exercise. Keeping the Perspective Plan in view, Annual Workplan is prepared every year.

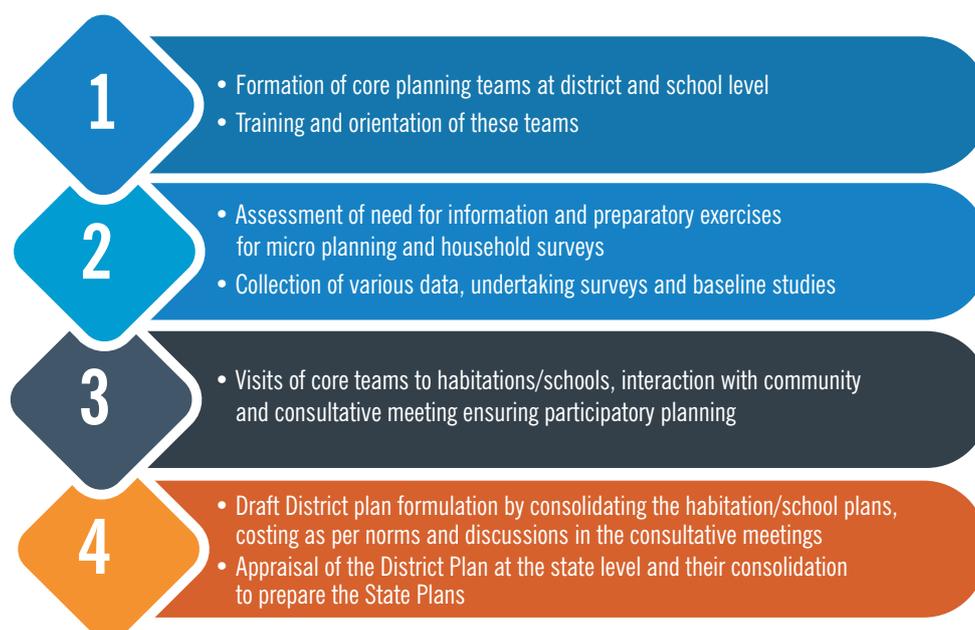
## Planning Process – SMSA

The integrated scheme is premised on a decentralised planning and implementation framework. As per the guidelines, the process of planning for SMSA starts at school level and the School Management Committee (SMC) members are responsible for preparation of school development plan. As a next step, aggregation of school development plans is carried out at block, district and state level respectively.

At the block level, the Block Education Officer (BEO) in coordination with Block Resource Persons (BRPs) and Cluster Resource Person (CRPs) decide upon the requirements and priorities and forward the same to District Education Society, which is responsible for preparing District Plan.

The following flow charts (Fig. 1 & Fig. 2) describe step by step planning process at district and state level.

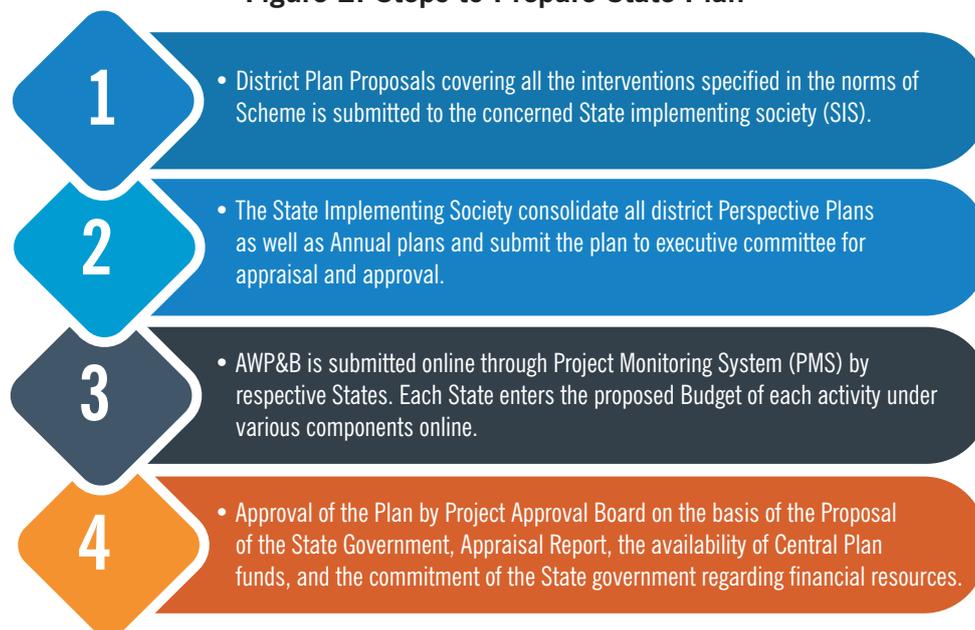
**Figure 1: Steps to Prepare District Plan**



The SMSA guidelines proposed constructing a core team of dedicated persons at the district level to formulate the plans. Ideally, this advisory body at the district level should have representatives of various departments like - Education, Health, Public Works, Social Welfare, Women and Child Development, Tribal Welfare, Public Health Engineering Department, NGOs etc. The team should have at least one member well acquainted with finance and procurement procedures, and in Government functioning especially in the field of education. Other members of the team should have an adequate knowledge of socio-educational scenario prevailing in the districts.

Like a District Plan, State Component Plan also have two components - Perspective and Annual plan. Annual plan is considered as a complement to the Perspective Plans.

**Figure 2: Steps to Prepare State Plan**



Source: MHRD, 2018a

### Budgeting Process - SMSA

Planning is followed by budgeting. As part of the preparation of Annual Work Plan and Budget (AWP&B), the following steps related to budgeting takes place.

1. Each district prepares the Annual Work Plan of action indicating the physical targets and budgetary estimates in accordance with the approved pattern of assistance under the scheme covering all aspects of the project activities for the period from April to March each year.
2. The budget proposal under SMSA is prepared in the form of AWP&B, covering all the interventions specified in the Scheme norms. The AWP&B proposals has two parts, the plan for the current financial year (fresh Proposal) and the balance of the approved activities proposed to be carried over to the current year from the previous year (spill over).
3. The costing sheet / budget for AWP&B is prepared online through Project Monitoring System (PMS) for all activities under various components of scheme.
4. Accordingly, the budget allocation for SMSA to the State is made considering the annual budget allocation for the scheme at central level and the viable proposals received from the States as per norms in the AWP&B.

## Fund Flow Mechanism - SMSA

SMSA is a Centrally Sponsored Scheme and hence the financial responsibility of implementation of the scheme is shared between the Union and the State Governments. The funds for the programme are released based on the approval of the plan by the PAB. The funds are released by Union Government based on the commitment for contribution by State Government. The financial management and plan process are issued in the Financial Management & Procurement (FM&P) manual released by the Ministry of Human Resource Development (MHRD)<sup>1</sup>- the nodal ministry for school education.

The current fund sharing pattern for State governments and UTs with legislature is 60(Centre):40(State). For North Eastern States (Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim, and Tripura) and the Himalayan States (Himachal Pradesh, Jammu & Kashmir<sup>2</sup> and Uttarakhand), sharing pattern between Centre and State would be 90(Centre):10(State).

**Table 1: Steps Describing Fund Flow Mechanism Under SMSA**

<b>Central share</b>	<ul style="list-style-type: none"> <li>I. MHRD (Dept. of School Education Literacy)</li> <li>II. Central treasury office</li> <li>III. State Treasury/ Dept. of Finance (from 2014-15 onwards)</li> <li>IV. SMSA State Implementation Society (SIS) (joint signatory bank a/c)</li> <li>V. District Implementation Society (joint signatory bank)/District or Sub Treasury</li> <li>VI. School Management Committee /School Development Management Committee (SMC/SDMC) (joint signatory bank)</li> </ul>
<b>State share</b>	<p>(Within 30 days of the receipt of the central contribution @ 60:40)</p> <ul style="list-style-type: none"> <li>I. State Education Department+ State Finance Department</li> <li>II. State Treasury</li> <li>III. SMSA State Implementation Society (SIS) (joint signatory bank a/c) (will release the funds to districts within 15 days of its receipt from Government of India and State Government)</li> <li>IV. District Implementation Society (DIS) (joint signatory bank a/c) (Districts would advance funds within 15 days of receipt from the State Society)</li> <li>V. School Management Committee /School Development Management Committee (SMC/SDMC) (joint signatory bank a/c)</li> </ul>
<b>Major Civil works beyond Rs. 30 lakh</b>	<p>GOI " State Govt. " SIS " DIS " External Agency or GOI " State Govt. " SIS " External Agency</p>

Source: MHRD, 2018a

<sup>1</sup> MHRD has been renamed Ministry of Education after the passing of National Education Policy, 2020.

<sup>2</sup> In 2019, Jammu & Kashmir has been converted to Union Territories from earlier status of State.

## Release of Fund

The release of funds under SMSA is guided by the following conditions:

1. After approval of Annual Plans by PAB, an ad-hoc amount of first instalment is released by Centre to the eligible States during April-May.
2. The release of central share of funds to all the States and UTs is subject to fulfilling the submission of documents, reports, financial statements as prescribed in the *Samagra Shiksha* FM&P manual.
3. State transfer the central share to State Implementing Society within 15 days of its receipt in the State Treasury.
4. The State share is released to the State Implementing Society within one month of the release of the central share.

The 2<sup>nd</sup> instalment is released only after:

1. Request letter is received from State for release of 2<sup>nd</sup> instalment.
2. Latest expenditure statement (Capital Head and General Head separately) of the SIS for elementary education, secondary education and teacher education components. Expenditure statement should indicate the release of Gol share from previous instalment to SIS from Treasury.
3. Final Utilisation Certification for the previous year for the elementary education, secondary education and teacher education components, along with consolidated Audited UCs separately for General Head and Capital Head, must contain General component, SC component and ST component-wise financial details.
4. Audit report of *Samagra Shiksha* for the previous year.

## Institutional Architecture

All releases by the Centre is subject to fulfilment of provisions of General Financial Rule (GFR) by the State. For procurements of items, the States need to follow the guidelines prescribed in the FM&P Manual.

**Table 2: Institutional Architecture for Implementation of SMSA at District Level**

		Planning	Coordination	Monitoring
<b>District</b>	District Collector	Guiding DEO in preparation of the District plans	<ul style="list-style-type: none"> <li>- With different departments for convergence in implementation of SMSA</li> <li>- with SIS regarding implementation and monitoring of the programme</li> </ul>	<ul style="list-style-type: none"> <li>- through MIS (UDISE)</li> <li>- utilisation of fund</li> <li>- Conducting review of the programme</li> <li>- Convening of the Disha meetings</li> </ul>

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		<b>Planning</b>	<b>Coordination</b>	<b>Monitoring</b>
<b>District</b>	District Education Officer	- Preparation of district AWP&B	- with State Executive Committee for approval of the District Plan and coordinate for fund releases - with District level committee to oversee the Project Implementation	- Monitor implementation of the Programme in the Districts - Monitor Progress and status of Project Implementation through U-DISE
<b>Block</b>	Block Education Officer (BEO)	- Preparation of Block Level Plan for the Project - Through BRC/CRC interact with SMC and identify the requirements specified in the School Development Plans (SDPs)	- with Head Masters (HMs), BRCs & CRCs for maintaining various relevant records at each level - Facilitate with DIET to conduct regular trainings to teachers for capacity development and Conduct workshops & trainings with subject teachers	- Oversee financial requirements and utilisation of funds - Conduct review and performance meetings with BRCs, CRCs, SMC and teachers regarding children's academic performance
<b>Village</b>	SMC/SDMC	- Preparation of the SDP	- with Local Authority for effective implementation of the scheme - Coordinate for grievance redressal at school level	- identification, enrolment and participation of out of school children and Disabled children - Updating the U-DISE software on regular basis - Social audit

Source: MHRD, 2018a

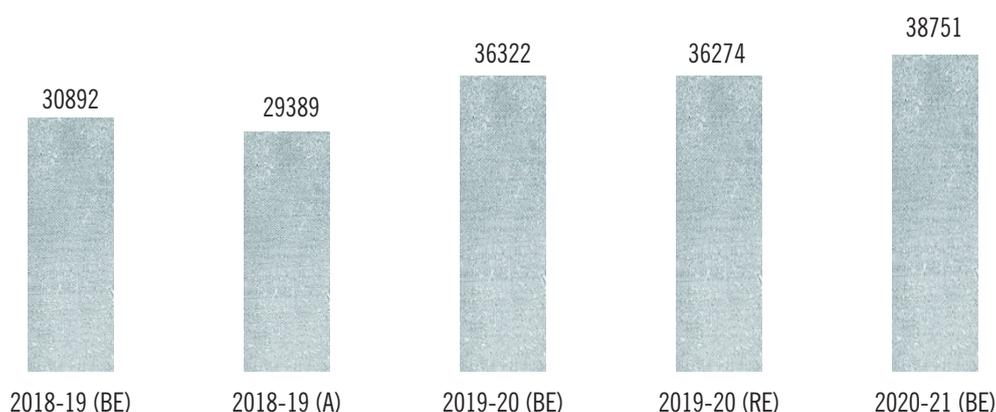


## Financing of *Samagra Shiksha Abhiyan*: Role of Union Government

The policy discourse regarding school education has seen the growth and development of elementary and secondary education separately instead of a holistic view starting from pre-primary to higher secondary level. As a result, though there has been expansion of schools and increase in enrolment both at elementary and secondary level separately, the retention rate from primary to secondary and then secondary to higher secondary shows a gradual decrease. At present, India has more than 15.5 lakh schools with over 25 crore students enrolled in Class I-XII (UDISE+, 2018-19), however, around 3.22 crore children in the 6-17 age group are out of school (NSO, 2019).

For ensuring free and affordable school education and arresting the dropout rate, the Central Advisory Board of Education (CABE) committee was constituted by MHRD in 2005. The committee recommended for universalisation of secondary education not later than 2006-07. In 2011, another CABE committee was formed to explore the possibilities of bringing pre-school and secondary education within the ambit of RTE Act, thereby expanding the range of free education for children across India (MHRD, 2013). Instead of bringing it under law, the Union government proposed holistic school education as a schematic intervention. The 2018-19 Union Budget announced holistic development of education system from pre-nursery to Class XII by removing the segmentation of pre-primary, primary, upper primary and secondary from the school education system. In this context, the MHRD's concept note was shared with the State Governments to merge *Sarva Shiksha Abhiyan* (SSA), *Rashtriya Madhyamik Shiksha Abhiyan* (RMSA) and Scheme of Restructuring and Reorganisation of Teacher Education (TE) for universalisation of elementary and secondary education. In the middle of 2018-19, Government of India launched *Samagra Shiksha Abhiyan* (SMSA) integrating SSA, RMSA and TE. It was expected that there would be a big-push of resources for SMSA in general and TE in particular in the Union Budget 2019-20. However, like SSA and RMSA, the SMSA remains severely underfunded from its very inception (Figure 3).

**Figure 3: Union Government's Expenditure on SMSA (Rs. crore)**



Source: Union Budget, various years

## BUDGETARY ANALYSIS OF SAMAGRA SHIKSHA ABHIYAN

The under-allocation is glaring compared to what MHRD has committed to allocate as central share for SMSA to States in Annual Work Plan and Budget. As per the Parliamentary Standing Committee reports, in the Project Approval Board meeting of SMSA, the Cabinet Committee on Economic Affairs (CCEA) had approved Rs. 34,000 crore, Rs. 41,000 crore and Rs. 45,934 Crore to MHRD for 2018-19, 2019-20 and 2020-21 respectively. Against this approval, Ministry of Finance allocated Rs. 30,892 crore, Rs. 36,322 crore and Rs. 38,750 crore in these three years respectively. This implies a shortfall of nine per cent, 11 per cent and 16 per cent fund from the total approved fund in 2018-19, 2019-20 and 2020-21 respectively (Table 3).

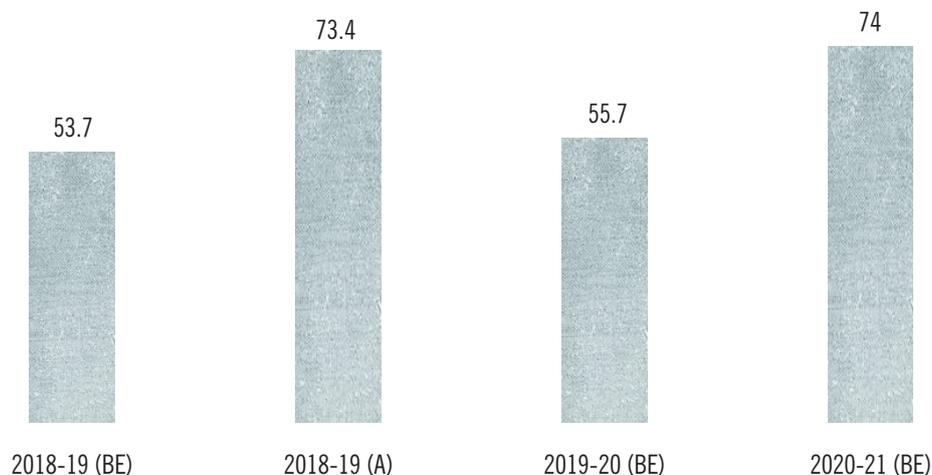
**Table 3: Funds Approved vis-a-vis Funds Allocated Under SMSA (Rs. crore)**

	Funds approved	Funds allocated	Shortfall
2018-19	34000	30892	3108
2019-20	41000	36322	4678
2020-21	45934	38750	7184

Source: Parliamentary Standing Committee report no. 309 and 312

Over the last decade, the major chunk of government financing of elementary education had been through education cess. The Department of School Education and Literacy receives the proceeds from the cess, which the Union Government levies on all central taxes and on customs duty (earlier there was also education cess on central excise duty and service tax and has been abolished from 2015-16) maintained under a non-lapsable fund called the *Prarambhik Shiksha Kosh* (Fund created at Union Government level to finance elementary education). While the collection of education cess began as a measure to inject additional amounts to supplement government's own support, it grew to be more of a substitute.

**Figure 4: Pattern of Financing SMSA through Education Cess (Per cent)**

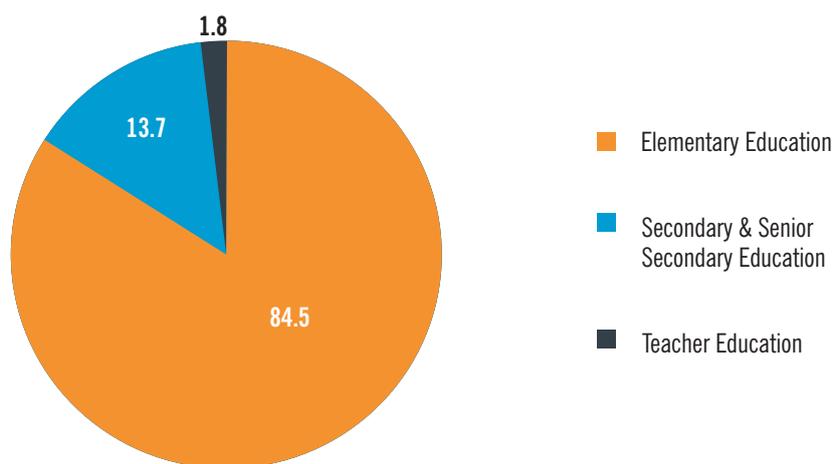


Source: Union Budget, various years

The same exercise is ongoing for SMSA too. The Union Government's allocation for SMSA depends largely on its collection of education cess. Other than *Prarambhik Shiksha Kosh* for elementary education, proportion of money collected through *Madhyamik* and *Uchhatar Shiksha Kosh* are getting injected for secondary education under this new scheme.

Figure 4 shows that in 2018-19, 54 per cent of the total SMSA budget was reported to be financed from education cess but in reality, 74 per cent of the total actual expenditure was financed from cess. In 2020-21, 74 per cent of the SMSA budget has been estimated to be financed through education cess, one of the highest in last three years. Instead of gross budgetary support, over dependence on education cess for provisioning of school education means the uncertainty attached with the financing of this major scheme for school education is heightened. Additionally, there is the issue of utilisation of the cess money which is completely dedicated for school education. As per the Standing Committee report, Primary Education Cess collected from the 2004-05 to 2016-17 amounted to Rs. 1,92,770 crore, out of which Rs. 1,79,656 crore had been spent in the corresponding period, implying that 6.8 per cent of the total collection remained unutilised.

**Figure 5: Distribution of Resources Across Components (Per cent) – 2019-20**



Source: Minutes of the PAB meetings of all 29 states

Figure 5 shows, how the Union Government allocation was distributed across three major components. Under SMSA, elementary, secondary and teacher education was merged with the purpose of holistic development of school education. However, the distribution of Union Government allocations across these three major components reveal it is elementary education, which is still getting higher priorities in the policy domain. Teacher education has two components- in service teachers' training and pre-service teacher education. Until 2018-19, the resource for pre-service teacher education was going to District Institute of Education and Training (DIET) directly from MHRD, whereas, in- service teachers' training was funded through SSA and RMSA. As poor learning levels of children becomes a major concern of the government in the recent past, it was decided to bring both pre-service and in-service teachers training under the umbrella of SMSA. However, the allocation for Teacher education in 2019-20 was not even two per cent of the total SMSA budget. Looking at this distribution it seems, rather than a holistic effort, SMSA is a mere merger of three schemes – SSA, RMSA and TE.



# 4

## ***Samagra Shiksha Abhiyan*** **in Andhra Pradesh and Chittoor**

### **4.1 *Samagra Shiksha Abhiyan* in Andhra Pradesh: Planning to Budgeting**

In 2018-19, SMSA was launched as a holistic programme towards school education extending from pre-school to class XII. Following the circular of MHRD, GOI, Andhra Pradesh Government revamped the school education system, merging the three existing schemes - *Sarva Shiksha Abhiyan* (Rajiv Vidhya Mission), *Rashtriya Madhyamik Shiksha Abhiyan* (RMSA) and Teacher Education.

The main outcomes of the scheme are envisaged as Universal Access, Equity and Quality, promoting Vocationalisation of Education and strengthening of Teacher Education Institutions (TEIs). Towards this direction, Andhra Pradesh government organised the scheme under 11 pillars of education including Access and Retention, RTE entitlement, Quality improvements, Teacher education, Salary of teachers, Gender & equity, Inclusive education, Vocational education, Sports and Physical Education, Monitoring of the scheme and Programme management (MHRD, 2019c).

To understand how the Andhra Pradesh government allocates resources for SMSA; which components of the scheme get priority; whether there are adequate interventions for adolescent children etc., three financial indicators need to be analysed, viz. approved budget for SMSA by the PAB, total allocation for the scheme by Centre and respective States and pattern of spending by the State.

'Approved Budget' available in programmatic document shows the amount of money approved by Project Approval Board to run a program based on the annual work plan submitted by States, whereas 'Allocation' is available in the budget documents, which is amount of money approved by Ministry of Finance to the line ministry to run the program.

Both for 2018-19 and 2019-20, the PAB meetings for SMSA in Andhra Pradesh were held in May where the State presented its annual plan and budgets for implementation of the scheme for the respective financial years to PAB. On the basis of their proposed budgets the PAB has approved a budget to run the program (Table 4).

#### **Proposed Vs. Approved Budget**

The AWP&B proposals are envisaged in two parts, the plan for the current financial year and the progress overview of the previous year including the spill over activities proposed to be carried over to the current year.

**Table 4: Approved Budget and Allocation for SMSA in Andhra Pradesh by PAB (Rs. crore)**

Year	PAB Meeting held	Proposed Budget	Approved budget		Total Approved Budget (Fresh budget + spill over)
			Fresh Approved Budget	Spill over	
2018-19	9th May	2501	1927	847	2774
2019-20	20th May	3998	2549	577	3126

Source: MHRD, 2018c

Table 4 shows, in both the years, there is a gap between the amount State demanded and the amount got approved. In 2018-19, while 76 per cent of the proposed budget was approved, it was reduced to 64 per cent in 2019-20.

In, 2018-19, Andhra Pradesh had a total approved budget of Rs. 2,774 crore including a 31 per cent spillover from the previous year. In 2019-20, the PAB approved an increase of 32 per cent from the previous year budget. The State was also able to reduce the amount of spillover in 2019-20, as 18 per cent of the total approved budget was from previous year's allocation.

Against the budget approval, the Centre and State Government have allocated resources for implementation of the program at ground level. As per the Andhra Pradesh State Budget, in 2018-19 (RE) and 2019-20 (BE), the Centre and State together allocated Rs. 1,644 crore and Rs. 1,599 crore respectively (Table 5). This indicates the following facts:

1. There was a substantial gap between approved budget and allocated fund for SMSA in both the years. While Government allocated 85 per cent of the approved budget in 2018-19, the share reduced to 63 per cent in 2019-20.
2. In 2019-20 (BE), the total budget for SMSA in Andhra Pradesh reduced by three per cent as compared to 2018-19 (RE).
3. In both the years, Union Government did not allocate the stipulated amount of funds. As per the financial norm of 60:40, in 2018-19, Union Government was supposed to allocate Rs. 1,156 crore as agreed upon by the PAB meeting. However, according to a Lok Sabha unstarred question, the Centre allocated only Rs. 951 crore, a shortfall of Rs. 205 crore.

**Table 5: Approved Budget vis-à-vis Allocation in SMSA (Rs. crore)**

Year	Fresh approved budget by PAB	Centre to allocate @60:40	Total Allocation (Centre+ state)	Release by Centre
2018-19	1927	1156	1644	951
2019-20	2549	1529	1599	922*

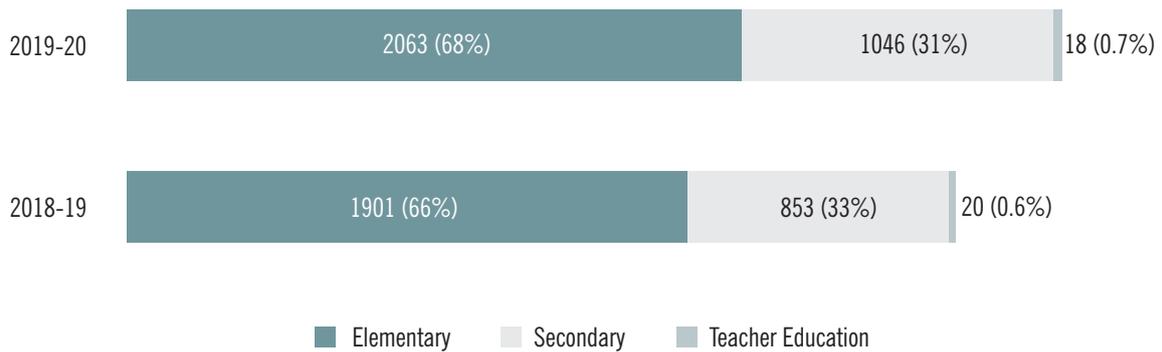
Note: Central Share Released\* (Adhoc + 1st + 2nd Instalment) (As on 24-01-2020)

Source: MHRD, 2018c, 2019; Andhra Pradesh Budget, 2019-20; Lok Sabha unstarred question

**Component wise Break up of SMSA**

The rationale for the integration of the three schemes can be achieved only if the new scheme is able to identify where the gaps were, where more interventions are needed and allocate resources accordingly. The following figure shows the distribution of approved budget for the three broader components of the school education: Elementary Education, Secondary Education and Teacher Education.

**Figure 6: Component Wise Break-Up of Total Approval for SMSA (Rs. crore)**



*Note:* The value in the bracket implies the share in the total budget

*Source:* MHRD, 2018c; 2019

The component wise break-up shows priorities being given to elementary education, with around 2/3<sup>rd</sup> of the approved budget for elementary education. Unfortunately, bringing both pre-service teacher education and in-service teachers' training under the purview of SMSA has not changed the scenario for teacher education. The approved budget for teacher education during both the years remains less than one per cent of the total SMSA approval (Figure 6).

The distribution of approved budget for SMSA certainly reflects the priority of the States in terms of improving elementary education. However, it does not tell us which component within elementary, secondary or teacher education, is getting priority. Whether the government is keener to invest on improving quality of education or accessibility and retention or equity and inclusivity in the system.

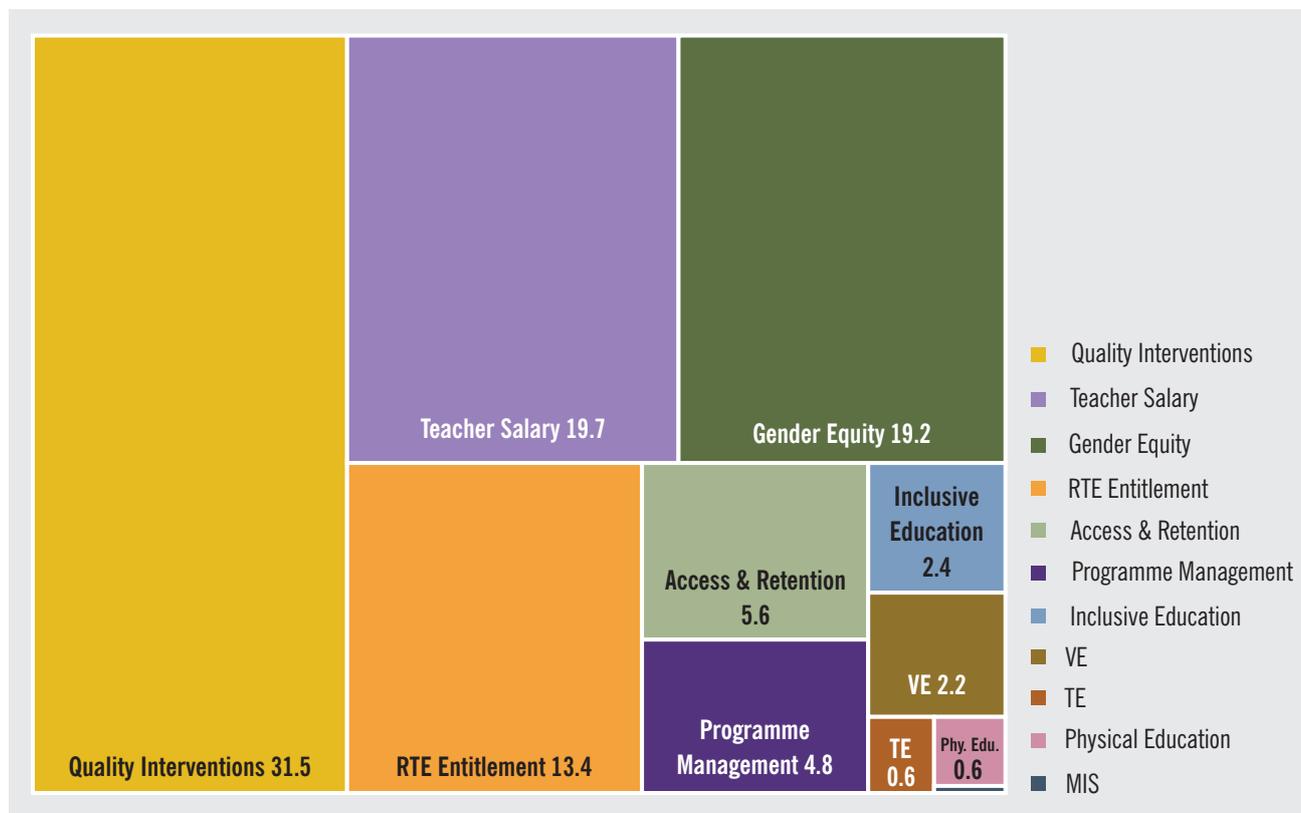
To understand this, the study looked at approved budget for all interventions reported in PAB minutes by Andhra Pradesh Government under 11 categories - Access and retention, RTE entitlement, Quality improvements, Teacher education, Salary of teachers, Gender & equity, Inclusive education, Vocational education, Sports and Physical Education, Monitoring of the scheme and Programme management (Table 6).

Table 6: Components of SMSA Reported in AWP&amp;B for SMSA in Andhra Pradesh – 2019-20

Broad category	Interventions included
<b>Access &amp; retention</b>	Construction and strengthening of Residential schools/hostels, Electrification in schools, Transport & escort facilities
<b>RTE entitlement</b>	Free uniforms, Free textbook, Special training for OOSC, Media & community mobilisation
<b>Quality interventions</b>	LEP interventions, Project innovation activities, Assessment at national & school level, Project Kalautsav, Project <i>Shagonatsav</i> , In-service teachers' training, Composite school grant, Libraries, Support at Pre-primary level, Academic support through BRC/CRC, <i>Rashtriya Avishkar Abhiyan</i> , ICT & digital initiatives
<b>Teacher education</b>	Strengthening of physical infrastructure and establishment of new DIETs, training of Teacher educators, Programme & activities including faculty development and teacher educator, Annual grants for TEI
<b>Teacher salary</b>	Regular and contractual teachers, head master, additional teachers
<b>Inclusive education</b>	Braille stationary, Assistive devices, Transportation allowance, Stipend for girls, In-service teacher training for special educators
<b>Gender &amp; equity</b>	Construction and upgradation of <i>Kasturba Gandhi Balika Vidyalaya</i> , Special projects for equity like enrolment drive, parents' engagement in tribal areas, Girls empowerment through adolescent programme for girls, training in martial arts, career guidance programme, Self-defence training
<b>Sports &amp; physical education</b>	Age appropriate sports equipment for Government schools, recruitment physical education instructors, Fitness Training for Teachers etc.
<b>Monitoring information system (MIS)</b>	Management Information System (UDISE +)
<b>Programme management</b>	Management, Monitoring Evaluation and Research

Source: MHRD, 2018c

**Figure 7: Approved Budget Across Different Interventions of SMSA in Andhra Pradesh - 2019-20 (Per cent)**



Note: TE-Teacher Education, VE- Vocational Education  
 Source: MHRD, 2019

Figure 7 shows that the largest share of resources had been approved for Quality Interventions (31.5%), followed by Teacher Salary (19.7%), Gender & Equity (19.2%) and RTE Entitlement (13.4%). Under the quality interventions, the bigger chunk of funds was approved for composite school grants and academic supports to BRC/CRC.

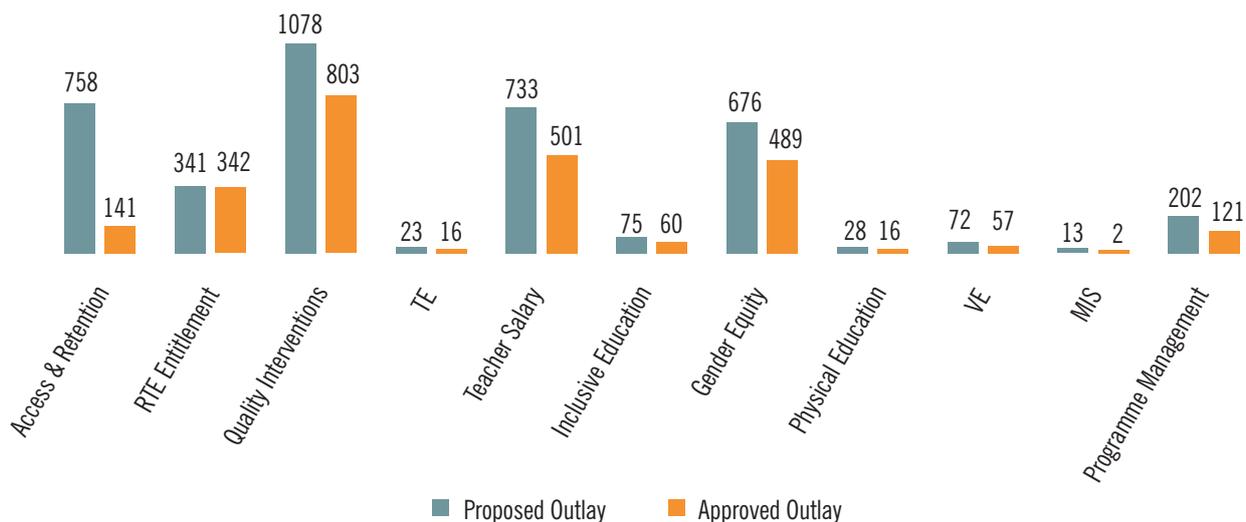
Though Teacher salary received the second largest share, according to the AWP&B 2019-20, there were 10,052 teacher vacancies in secondary schools. In 2011, recruitment of 4737 additional teachers was approved, but no recruitment has taken place yet. At elementary level, State demanded salary for 6968 existing regular teachers. However, the PAB approved salary for only 466 teachers with a note that vacant post of 6502 teachers were to be adjusted.

The largest allocation under Gender & equity component goes to KGBV schools. Andhra Pradesh cited the presence of stand-alone secondary school as one of the factors for high drop-out at secondary level, especially for girls. The CABE Sub-Committee (2017) constituted to look into the issues related to 'Girls' Education' also encouraged 'Residential Schooling facility for girls and upgradation of the existing KGBVs up to class XII'. Thus, it was obvious that states would demand more resources for KGBV. The share for KGBV is higher also because of construction cost and associated recurring cost for maintaining the school, which need substantial resources.

In accord with SMSA guidelines of having provisions for safety and security of girls, Andhra Pradesh budgeted for interventions like self-defence and martial art trainings; career guidance program etc. for girl children.

Between 2016-17 and 2017-18, number of out of school children in Andhra Pradesh increased from 34,880 to 1.05 lakh. *Praja Sadhikara*, the state household survey had identified 8.89 lakh children in the school going age group were not in school. However, only Rs. 54 crore had been approved for special training of out of school children under RTE entitlement.

**Figure 8: Proposed vs. Approved Budget for Different Interventions of SMSA-2019-20 (Rs. crore)**



Source: MHRD, 2019

**Resource Gap Between Approved and Proposed Budget for Each Intervention**

However, an even more important factor observed from the minutes of PAB meeting was that, for most of the interventions, the amount approved to the State was much lesser than what was originally proposed by the State (Figure 8). The only exception is RTE entitlement where, the approved budget increased by Rs. one crore than the proposed one. This is due to MHRD's proposal for training of School Management Committee Members (SDMC) in all 6840 secondary schools while State had planned training for half the schools.

**4.2 Samagra Shiksha Abhiyan in Chittoor**

**Educational Profile of Chittoor district**

Chittoor houses 9,53,339 children of (6-18) age group, which constitutes 23 per cent of the district's total population. The district has 7380 schools, out of which 6198 are elementary schools and 1182 are secondary schools. 78.3 per cent of all elementary schools and 54.5 per cent of the secondary schools are government schools. Around 54 per cent students were enrolled in government schools as of 2018-19. As of March, 2019, the district had mainstreamed 4007 OOSC against a target of 4548 for 2018-19. The district has opened 21 centres for special training of these OOSC.<sup>3</sup>

Only 2.3 per cent of government schools in Chittoor were RTE compliance with all the indicators in 2016-17. While 98.3 per cent schools report having access to drinking water facilities and 98.7 per

<sup>3</sup> <https://ssa.ap.gov.in/SSA/jbb/images/pdf/OSC%20Achievement.pdf>

cent schools have electricity connections, only 53.9 per cent of government schools have boundary walls and only 5.4 per cent elementary schools have furniture (table/chair) for all students. As many as 98.1 per cent schools have set up SMCs but only 22.4 per cent of those held more than nine meetings in 2015-16. 98.6 per cent schools have functional separate toilets for girls and 77.6 per cent has functional separate toilets for boys, amongst government elementary schools. At the secondary level, 98.7 per cent government schools have separate functional toilets for girls and 87.3 per cent have separate functional toilets for boys. 39.6 per cent government secondary schools have ICT labs and 99.5 per cent have electricity connections. As of 2016-17 about 80.5 per cent schools received school maintenance grant and mere 0.2 per cent received teacher grant, later that was discontinued.

On the gender front, Chittoor records 63.2 per cent female literacy, which is slightly more than the average female literacy in Andhra Pradesh (60 per cent). They reported a high transition rate of 97.1 per cent girls from elementary to secondary level. The enrolment of girls to total enrolment was 47.5 per cent in 2018-19.

65 per cent of the teachers in Chittoor are employed in government schools. About 49.5 per cent of all teachers employed are female. In 2018-19, a total of 18,036 teachers received in-service training from various departments. About 59.4 per cent of the professionally trained teachers are in govt. school, the largest share is in local body schools (36.1 per cent) followed by Dept. of Education (21.4 per cent). About 23.9 per cent schools in the district did not have the requisite number of teachers according to the RTE norms. Almost all categories of schools adhere to the RTE Pupil-Teacher Ratio (PTR) other than schools that have primary to higher secondary classes and recorded a PTR of 116 (as of 2018-19).

According to the National Achievement Survey (NAS) on learning outcomes from 2017, Class III students on an average scored 68.5 per cent in mathematics and 70.7 per cent in language. The average score for class V in Chittoor was 53.3 per cent for mathematics and 54.9 per cent for Language, whereas students in Class 8 scored 43.2 per cent in mathematics and 53 per cent in language.

### **Institutional Architecture for SMSA in Chittoor**

Along with merger of the schemes, the government has also made some administrative changes in the system of functioning. The nomenclature of the post of 'Project Officer, SSA' has been changed as 'Additional Project Co-ordinator, *Samagra Shiksha*'. District Educational Officer is now the Ex-officio District Project Coordinator, *Samagra Shiksha* and the Additional Project Co-ordinator (APC), *Samagra Shiksha* reports to the District Educational Officer (DEO). A Selection Committee headed by the Principal Secretary to Government, School Education Department recruits the Additional Project Co-ordinator, *Samagra Shiksha*.

Though DEO is the new project head, but the elementary education component under SMSA is mainly supervised by the APC, while the secondary education and teacher education are under District Educational Officer. The DEO approves all the files, bills, procurement, recruitment related to SMSA. All these files pertaining to SMSA are need to be put up to the District Collector through District Educational Officer.

The Executive Engineer, who is responsible for proper implementation of the civil works in the educational institutions, reports to the District Educational Officer directly. The DEO reports to the

Commissioner of School Education and also to the State Project Director, *Samagra Shiksha*.

The DEO and the APC are jointly responsible for the effective implementation of the SMSA and they also have the responsibility to convene the State level and District level reviews. The Commissioner of School Education, the State Project Director, *Samagra Shiksha* and all the District Collectors are expected to take necessary action in the matter accordingly. Government has issued orders to provide maximum impetus for the functioning of the School Education ecosystem by synergistic working of

**Figure 9: Operational Architecture of SMSA at District Level**



Source: SMSA Office, Chittoor

### **Functioning of SMSA Office in Chittoor**

There are seven sectoral wings and officers under SMSA (Figure 9). The first is the Academic Wing, looked at by the Academic Monitoring Officer (AMO), and two assistant AMOs. There are 324 CRCs approximately. Some of the CRPs support Madrassas (those who have U-DISE numbers). The Assistant AMO Urdu is also responsible for these.

The second is Girl Child Wing, with the Girl Child Development Officer (GCDO) looking after 20 KGBVs (6-10th class) and 11 KGBVs from 6-11th class. GCDO post has to compulsorily be held by a woman officer.

Third is the Inclusive Education wing, which focuses on children with special needs (CWSN). They are provided physiotherapy, speech therapy, escort service and home-based education. Home base education is provided to both, CWSN and those children that are severely underperforming. They also run *Bhavitha* centres to provide special training to these children.

The Alternate Schooling deals with the issue of out of school children (OOSC). The Andhra Pradesh Government runs an app-based campaign called 'Let Us Go To School', employing field level staff to identify children and bring them back to school.

Fifth is the Civil Works wing. The State Government has identified nine components essential to every school, and 1527 schools in Chittoor are going to be equipped with all nine in the first phase. The components are toilets with water, furniture, compound wall, PTR, electricity (fans and lights), painting of walls.

The sixth wing is for Community Mobilisation, wherein the Community Mobilisation Officer looks into providing shoes, textbooks and three sets of uniform as well as the election of School management committee members, which is renamed as 'Parent committee' in Chittoor. The final is the Planning Wing, consisting of the Planning Officer and Assistant Planning Officer.

### **Planning and Budgeting of SMSA in Chittoor**

Planning starts at the school level with the formulation of SDPs, and the district officials get data from them. The Parents Committee meets on a monthly basis, but have not received any formal training on planning. They don't have a big role in planning, but submit their demands to the cluster headmaster, which sends it to the *Mandal* (Block) and then to the district.

The planning process starts in November, with the orientation of district officials. By the end of March, the district submits the plan to the state which then sends it to the centre. As soon as the plan is approved by MHRD, funds are released. There is always some money in the society account. The first release of funds is used to pay the salaries, among other things. School grant amounting to Rs. 10,000 is sent to the headmasters account, the Utilisation Certificates (UCs) for which are submitted to the BEO.

The Teacher education budget gets released to SCERT directly, that conducts training for schools and colleges.

The money comes to district education society in three instalments. All money comes through online transfers to district education society (green channel). There is no reported delay in fund flows. The DEO prepares a UC for every quarter that the Accounts and Finance Officers submits every quarter.

For amounts up to Rs. one lakh, the APC has the authority to sanction. Amounts up to Rs. two lakh are sanctioned by the DEO and amounts worth more than Rs. two lakh requires the approval of the District Collector.

As the funds for elementary education comes to SSA office and the funds for secondary education go to district education office and those for teacher education go to SCERT, it is difficult to get a consolidated picture of allocation and expenditure of SMSA in Chittoor.

There was a marginal increase in allocation for secondary education after introduction of SMSA (Table 7). Table 8 describes the pattern of distribution of fund at secondary level as per the size of enrolment in schools.

**Table 7: Total Funds Released Under Secondary Education (Rs. crore)**

	2017-18	2018-19	2019-20
<b>Fund release</b>	2.49	3.59	3.61
<b>No. of schools</b>	632	647	653

Source: <https://rmsachittoor.weebly.com/>

**Table 8: Release of Fund for Secondary Education by Size of the Enrolment**

S.No.	Enrolment	Schools	Amount release (Rs.) @	Total amount (Rs.)
1	Less than or Equal to 100	117	25000	2925000
2	101-250	285	50000	14250000
3	251-1000	248	75000	18600000
4	Greater Than 1000	3	100000	300000
	<b>TOTAL</b>	<b>653</b>		<b>36075000</b>

Source: <https://rmsachittoor.weebly.com/>

### Bottlenecks in Fund Utilisation

The officials shared that usually there is a gap between what is asked and what is finally allotted. Thus, most districts ask for a higher amount than they need, but even if it is lesser than what they need they have to adjust. There are some components like CWSN and OOSC where the govt. is not able to utilise funds properly, and it is probably because of lack of convergence with other line-departments.

Major challenges faced by the district are poor planning and gap in data collection (with regards to data on migration and OOSC). Human resources was not among the problems stated by the officials. The government has contracts with private agencies for recruitment of teachers and they are paid at the government pay scale. Therefore, even though the teachers are on contracts, they are renewed easily and teachers are retained.

U-DISE is used as the benchmark for estimating allocations. The budget comes to district in a disaggregated manner, with component wise allocations.

They did not report any delay in fund flow, just stated the problem with utilisation in certain components like OOSC, while components like toilet cleaning and scavenger cleaning report 100 per cent utilisation. However, there is no clear understanding about the adequacy of unit cost. As per the AWP&B, due to low scheduled rate of civil work, Chittoor district has surrendered Rs 1.38 crore for construction of girls' hostel under secondary component of SMSA in 2019-20.

On the question of monitoring, the AMO and others can visit any school at any time to check if the parameters that were set by the planning department are being met. Financial Indicators that are monitored at the district Level are

- (i) Actual amount spent on civil work in each financial year
- (ii) Actual amount spent on other than civil work in each financial year

The officials said that if they do not fully utilise the amount that was allocated, the allocations get reduced for next time. Till now, performance-based indices have not been related to budget allocation in Chittoor. All districts do not get equal budgets, suggesting 'Innovative Ideas' can lead to more allocation for a district. An Innovative Idea suggested by Chittoor was having digital classrooms, Nellore suggested developing local dialect textbooks for inclusive education.

### **Interaction with District Officials Responsible For SMSA**

For perspective building on functioning of SMSA at district level, there was interactive sessions with district officials responsible for different activities like the District Education Officer, Additional Project Coordinator, Academic Monitoring Officer, Finance Officer and Planning Officer. The discussion revealed that the merger of three schemes ensured single line administration and optimum utilization of available resources. Earlier due to the parallel activities taken up by the District Educational Officer and the Project Officers (SSA), there were several practical gaps at the field level resulting in poor supervision of academic and administrative activities of schools at field level. It had created a dual reporting system and issue of conflicting directions and varying expectations. Further, initiating disciplinary action against the officers engaged from other departments for misappropriation or mismanagement was also difficult issue.

On the impact of merger of the schemes, the officials also shared that under SSA funds were not getting mobilised as they were completely under the control of the District Project Officer (DPO). Now, DEO has more power. The offices of SSA and RMSA are still different, only the files are getting merged. But the larger merger, in their opinion, has helped solve the problem of duplication.



# Samagra Shiksha Abhiyan in Uttar Pradesh and Sitapur

## 5.1 Samagra Shiksha Abhiyan in Uttar Pradesh: Planning to Budgeting

In Uttar Pradesh, Basic Education Department (Basic *Shiksha Vibhag*) is the nodal department for elementary education and responsible for implementation of SSA while Department of Secondary Education (*Madhyamik Shiksha Vibhag*) is responsible for RMSA. Following the circular of MHRD in 2018-19, most of the states has introduced SMSA by merging SSA, RMSA and TE. But this change has happened very recently in Uttar Pradesh.

In 2019-20, PAB meeting on SMSA, the board directed the State to change the nomenclature to *Samagra Shiksha* with a Single Budget Head. Following the direction, though the State has started reporting the budget of SMSA in single head (with different sub-heads to identify the disbursement of funds separately under all components of *Samagra Shiksha*), the administrative changes are still in process.

Both for 2018-19 and 2019-20, the PAB meetings for SMSA in Uttar Pradesh were held in June where the State presented its annual plan and budgets for implementation of the scheme for the respective financial years to PAB. On the basis of their proposed budgets the PAB approved a budget to run the program (Table 9).

**Table 9: Approved Budget and Allocation for SMSA in Uttar Pradesh by PAB (Rs. crore)**

Year	PAB Meeting held	Proposed Budget	Approved budget		
			Fresh Approved Budget	Spill over	Total Approved Budget (Fresh budget + spill over)
2018-19	14th June	9973	9131	299	9430
2019-20	13th June	10820	9229	400	9629

Source: MHRD, 2018c; 2019

### Proposed vs. Approved Budget

Table 9 shows that in both the years, there is a gap between the proposed budget and the approved budget. In 2018-19, while 91 per cent of the proposed budget was approved, that was reduced to 85 per cent in 2019-20. This reduction is due to the under-spending of government in 2018-19.

In, 2018-19, Uttar Pradesh had a total approved budget of Rs. 9,430 crore including Rs. 299 crore spillover from the previous year. In 2019-20, the fresh approval increased only by one per cent from the previous year's approval. But, the amount of spillover increased to Rs. 400 crore. However, unlike Andhra Pradesh, the spill over amount was only four per cent of the total approved budget.

Against the budget approval, the Centre and State government have allocated resources for implementation of the program at ground level. As per the Uttar Pradesh State Budget, in 2018-19 (RE) and 2019-20 (BE), the Centre and State together had allocated Rs. 14,355 crore and Rs. 14,155 crore respectively (Table 10). This indicates the following facts:

1. In 2019-20 (BE), the total budget for SMSA in Uttar Pradesh was reduced by Rs. 200 crore as compared to 2018-19 (RE).
2. There is a substantial gap between allocation and expenditure. The Government was able to spend only 47 per cent of the total allocation in 2018-19. The situation was worse in 2019-20. By January 2020, the state had spent only 30 per cent of the total allocation. It is expected that State won't be able to spend the remaining 70 per cent in two months.
3. In both the years, Union Government did not allocate the stipulated amount of fund. As per the financial norm of 60:40, in 2018-19, Union Government was supposed to allocate Rs. 4,773 crore as agreed on the PAB meeting. However, according to a Lok Sabha unstarred question, the Centre had allocated Rs. 4,625 crore, a shortfall of Rs. 148 crore.

**Table 10: Allocation vis-à-vis Expenditure in SMSA (Rs. crore)**

Year	Fresh approved budget by PAB	Centre to allocate @60:40	Total Allocation (Centre+ state)	Release by Centre
2018-19	14355	4773	4625	6846
2019-20	14155	5609	2678*	4369**

Note: \*Central Share Released (Adhoc + 1st + 2nd Instalment) (As on 24-01-2020)

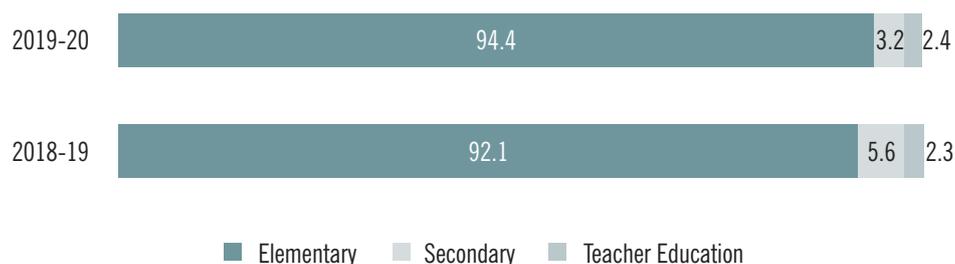
\*\*Expenditure shown above is against receipts from Central release, State share release, Finance Commission Award and Miscellaneous incomes, if any

Source: MHRD, 2018c, 2019; Uttar Pradesh Budget, 2019-20; Lok Sabha unstarred question

### Component Wise Break up of SMSA

The following figure (Figure 10) shows the distribution of approved budget for the three broader components of the school education: Elementary Education, Secondary Education and Teacher Education in Uttar Pradesh.

**Figure 10: Component Wise Break-Up of Total Approval for SMSA (Rs. crore)**



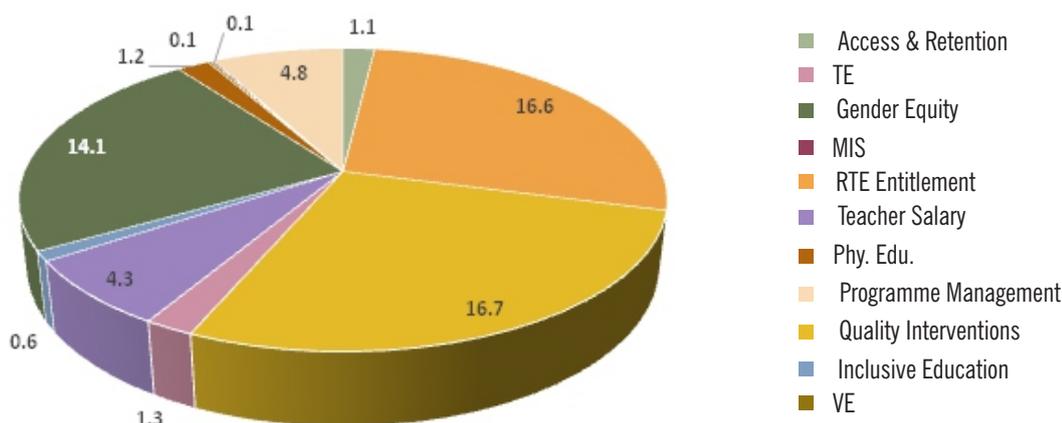
Source: MHRD, 2018c; 2019

The figure shows a skewed distribution of fund towards elementary education, with more than 90 per cent of SMSA budget in both the years being approved for 6-14 age group children. Unfortunately, both secondary and teacher education are completely neglected areas of intervention in Uttar Pradesh.

It is important to see which components under elementary education get priority. It is also important to understand, of the approved three per cent budget for secondary education, what are the commitments that are getting fulfilled.

To understand that, this part of the analysis has looked at approved budget for 11 interventions reported in PAB minutes by Uttar Pradesh Government. These are Access and retention, RTE entitlement, Quality improvements, Teacher education, Salary of teachers, Gender & equity, Inclusive education, Vocational education, Sports and Physical Education, Monitoring of the scheme and Programme management (Figure 11).

**Figure 11: Approved Budget Across Different Interventions of SMSA in Uttar Pradesh – 2019-20 (Per cent)**



Note: TE- Teacher Education, VE- Vocational Education  
 Source: MHRD, 2019

Figure 11 shows the largest share of resources has been approved for quality interventions (16.7 per cent), followed by RTE entitlement (16.6 per cent), and Gender & equity (14.1 per cent). In the quality interventions, the bigger chunk of funds has been approved for composite school grants (38 per cent), in service teacher training and academic supports to BRC/CRC.

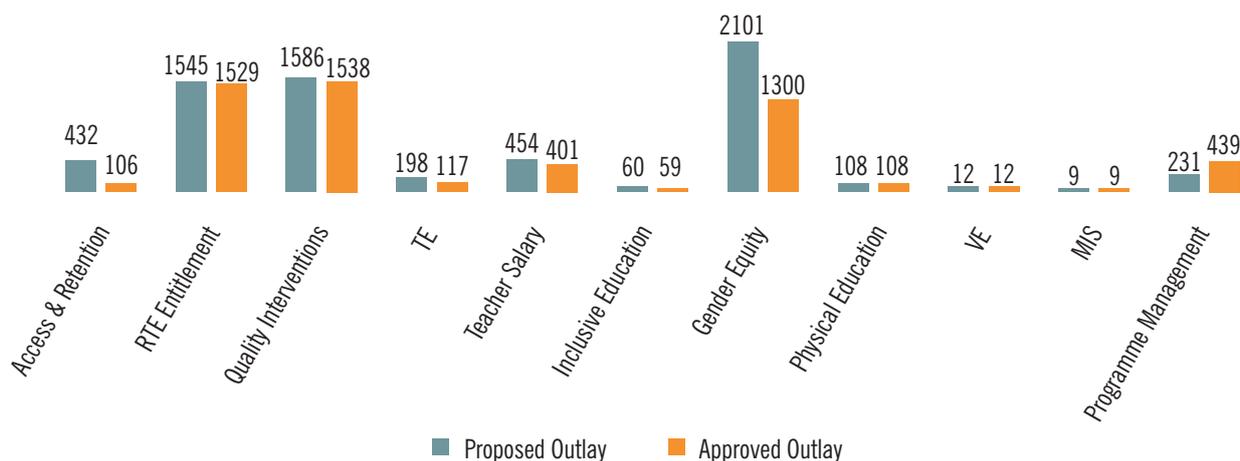
Free textbooks and free uniforms are the two major entitlements under RTE. Mainstreaming all out of school children is another provision under RTE that States need to fulfil. To fulfil this objective, SHARDA - School *Har Din Aaye* campaign was started in Uttar Pradesh in 2019-20. The initiative includes identification, registration, assessment, age appropriate enrolment, special training and mainstreaming of OOSC of 6-14 age group. With a target of special training of 78,121 OOSC, PAB had approved a budget of Rs. 35 crore.

The largest intervention under 'Gender & equity' component is construction and upgradation of KGBV. To provide access and quality education to girls belonging to disadvantaged groups, SMSA framework suggests for setting up of residential schools/hostels from upper primary to senior secondary level and to ensure smooth transition of girls from elementary to secondary and up to Class XII wherever possible. Rs. 1222 crore budget was approved for KGBV in 2019-20. However, due to low scheduled rate for civil work, the State surrendered Rs. 167 crore sanctioned in 2018-19 for civil works in 197 Type I KGBVs. The State also proposed to surrender an amount of Rs. 21 crore sanctioned in 2018-19 for upgrading 27 KGBVs till class X. It was also reported that the government stalled construction and upgradation of new school buildings and additional classrooms in the primary and middle schools. In place, it undertook the process of identifying inter colleges where the infrastructure can be updated and built under SMSA (Amar Ujala, 2019).

Teacher salary constitutes only four per cent of the total approved budget. As per the AWP&B, 2019-20, there are 17582 vacant posts in the government primary schools in Uttar Pradesh. Before the PAB meeting, the State assured recruitment of 17582 teachers in the process. Thus, in the AWP&B, the government had budgeted for the financial support of 17582 teachers for 6 months @ Rs. 15000/month. The release of fund were subject to provide the following documents (1) Advertisement of 17582 teachers (2) Final selection list of 17582 teachers; and (3) Joining letters of 17582 teachers. The state has also budgeted for 11586 vacant posts of head teachers.

However, recently, it was decided that there won't be any more recruitment of teachers on the honorarium basis, but the process would be outsourced to external service providers (Amar Ujala, 2019).

**Figure 12: Proposed vs. Approved Budget for Different Interventions of SMSA-2019-20 (Rs. crore)**



Source: MHRD, 2019

**Resource Gap Between Approved and Proposed Budget for Each Intervention**

Like Andhra Pradesh, resource gap between approved and proposed budget for each intervention is observed in Uttar Pradesh. The only exception is Programme management where, the approved budget has increased by Rs. 208 crore than the proposed one as five per cent of the total budget has been recommended to spend on MMR (Figure 12).

## 5.2 Samagra Shiksha Abhiyan in Sitapur

Sitapur district in Uttar Pradesh comprises of 23 blocks with 6277 schools, according to the U-DISE dashboard. The district has 14,81,533 children of 6-18 age group, which is 33 per cent of the district's total population. As of 2018-19, 52.9 per cent students were enrolled in government schools.

72.3 per cent of the total elementary schools are government schools, out of which, only 13.1 per cent schools comply to all the RTE indicators. Only 48.7 per cent have boundary walls and 35.1 per cent schools have electricity. As of 2016-17, all schools in Sitapur reported having toilets for girls and boys, across all classes. 98.1 per cent schools report having set-up SMCs but only 49.9 per cent SMCs had more than nine meetings and 86.8 per cent reported having access to drinking water facilities. Only 50 per cent government secondary schools have an ICT lab.<sup>4</sup>

On the gender front, female literacy according to the 2011 census is 50.6 per cent, which is lower than the Uttar Pradesh state average of 57.1 per cent. Enrolment of girls saw a drop from 48.2 per cent in 2017-18 to 47.4 per cent in 2018-19. The transition rate of girls from elementary to secondary is 35 per cent. Only 1.05 per cent of the total enrolment consists of CWSN.

The rate of transition from primary to upper primary is only 55.1 per cent, much lower than the state average of 77.9 per cent, as of 2016-17. About 90.3 per cent of the students are enrolled in Hindi medium schools, 0.18 per cent in English medium schools and the rest in Urdu, Marathi or Bodo mediums.<sup>5</sup> 78.5 per cent elementary schools in Sitapur district received school maintenance grant, and the utilization rate for both Teaching Learning Material grant and School Development grants was 84.9 per cent and 97.4 per cent respectively.

59.2 per cent teachers in the district are employed in government schools. 48.9 per cent of all teachers employed are females. A total of 4753 teachers received in-service training from different government institutions in 2018-19.<sup>6</sup> The pupil-teacher ratio while RTE compliant for primary schools, sees the number of students per teacher going up in most other categories.

53 per cent schools did not have the required number of teachers as per the RTE norms in 2016-17.

According to the NAS from 2017, Class III students on an average scored 55.9 per cent in mathematics and 17.69 per cent in language. Girls in class III performed better in mathematics with an average score of 74.8 per cent. The average score for class V in Sitapur are 47.9 per cent for mathematics and 57.6 per cent for language, whereas students in Class VIII scored 35.06 per cent in mathematics and 48.5 per cent in language.

<sup>4</sup> Data from U-DISE dashboard for the year 2016-17

<sup>5</sup> From 2016-17 district report card

<sup>6</sup> From U-DISE report for 2018-19



# 6

## Conclusion

The study analysed the newly launched *Samara Shiksha Abhiyan* in two select states, focusing on a single district from each state with an attempt to unpack the planning and budgeting processes associated with the scheme.

*Samagra Shiksha Abhiyan* was rolled out in all the states and UTs two years back. The state as well as district level analysis of SMSA in Chittoor, Andhra Pradesh and Sitapur, Uttar Pradesh highlights that the scheme is not fully operational yet. Though the States have started reporting SSA, RMSA and TE under the nomenclature '*Samagra Shiksha*' both in policy and budget, but the convergence of the three schemes appears to be incomplete.

The lack of convergence is reflected from the planning process itself. The preparation of district annual plan happens in silos for elementary, secondary and teacher education. The plans get integrated at state level. There is lack of clarity among district officials on how the convergence can be done.

The SMSA guidelines as well as the interaction with district officials reveals that the planning process starts at the school level, where the School Management Committee (Parents' committee in Chittoor) prepares the school development plan. However, as the parallel process of upgrading elementary schools to secondary school or merging elementary and secondary schools is taking place, it has been difficult to understand how the SMCs go about preparing SDP and how that gets aggregated at block level.

One of the aims of SMSA is to address the issue of duplication of activities and enable optimal utilisation of both physical and human resources. The interaction with the district officials revealed that the merger ensured single line administration, which helped in speeding up the availability of funds and reducing delays and bottlenecks. The district witnessed an improvement in utilization of available resources for the scheme.

The guidelines of SMSA which propose to give flexibility to the States to plan and prioritise their interventions within the Scheme norms and the overall resource envelope available to them is certainly a positive departure from SSA and RMSA. However, the analysis of PAB and State Budget for SMSA, for both Andhra Pradesh and Uttar Pradesh, revealed that there is a gap between the resource demanded, resource approved by PAB and resource allocated by Centre and states for SMSA overall as well as for different interventions within each sector and the resource spent.

Even within the limited focus on quantitative indicators, the scheme squarely focuses on elementary education and not secondary and higher secondary level of education. From the budgeting exercise conducted across states, it appears that merger has not helped much in improving the situation of secondary education and teacher education. Both in Andhra Pradesh and Uttar Pradesh, the focus is still on elementary education.

Though both the states reported high incidence of girls' drop out, especially at secondary level, no new interventions have been thought of for improving girls' attainment under SMSA, other than expansion of KGBV from class VIII to XII. Moreover, despite of this large number of out of school children, the scheme provides for interventions for bringing back OOSC only at the elementary level.

For both the years, it was found that districts surrendered resources from civil work because of the low unit cost. However, the district officials did not have any role in the process of modification of unit cost. They simply prepare the annual work plan with the given unit cost.

A weak vision and district plan, inadequate institutional arrangements, lack of convergence in all stakeholders' efforts and above all, absence of a real-time monitoring mechanism are the key challenges faced by the districts in implementing SMSA.



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# 8

## Annexure

**Table A1: Management & Category wise Schools in Chittoor- 2019-20**

Management	Schools
State govt.	78
MPP_ZPP schools	4523
Municipal	157
Residential	46
KGBV	20
AP Model schools	19
Central govt.	5
Govt. Aided	56
<b>Government-Total</b>	<b>4904</b>
Govt. unaided	1331
Madrasas	14
Unrecognised schools	23
<b>Private-Total</b>	<b>1368</b>
<b>All Management-Total</b>	<b>6272</b>

Source: SMSA Office, Chittoor

**Table A2: Management & Category wise Enrolment in Chittoor- 2019-20**

Management	Enrolment
State govt.	14210
MPP_ZPP schools	270853
Municipal	23259
Residential	13668
KGBV	3749
AP Model schools	7467
Central govt.	2907
Govt. Aided	7570
<b>Government-Total</b>	<b>343683</b>
Govt. unaided	232174
Madrasas	847
Unrecognised schools	2485
<b>Private-Total</b>	<b>235506</b>
<b>All Management-Total</b>	<b>578684</b>

Source: SMSA Office, Chittoor

**Table A3: Management & Category wise Teachers in Chittoor- 2019-20**

Management	Teachers
State govt.	700
MPP_ZPP schools	14911
Municipal	892
Residential	180
KGBV	166
AP Model schools	173
Central govt.	54
Govt. Aided	154
<b>Government-Total</b>	<b>17230</b>
Govt. unaided	8357
Madrasas	13
Unrecognised schools	122
<b>Private-Total</b>	<b>8492</b>
<b>All Management-Total</b>	<b>25722</b>

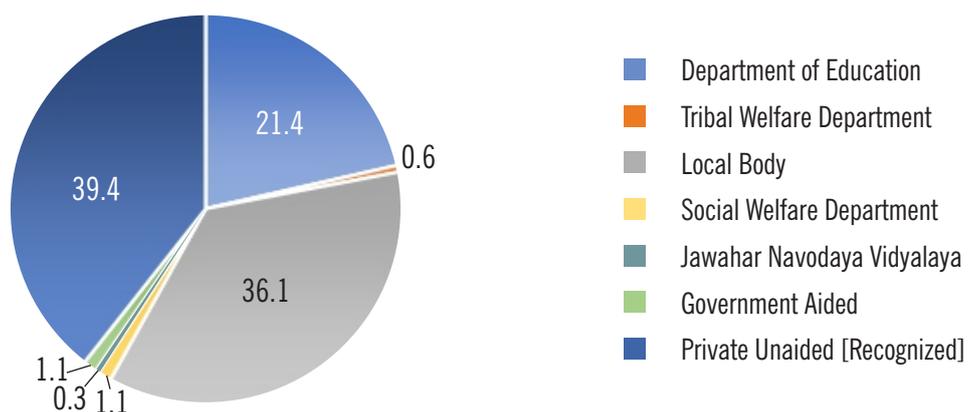
Source: SMSA Office, Chittoor

**Table A4: Rationalisation of Schools and Teachers in Chittoor under RMSA – September, 2017**

Level	Enrolment	Sanctioned posts before rationalisation	No. of posts shifted	No. of posts added	Sanctioned posts after rationalisation	Pupil Teacher Ratio
<b>Primary School</b>	124491	7661	419	489	7731	16.1
<b>Upper Primary School</b>	33817	2887	628	510	2769	12.2
<b>High school</b>	134169	7409	649	697	7457	18.0

Source: <https://rmsachittoor.weebly.com/>

**Figure A1: Professionally Trained Teachers by Type of Institutions - Chittoor**



Source: <http://dashboard.udiseplus.gov.in/>

**Table A5: Status of Teachers in Uttar Pradesh for School Education**

	Sanction			Working			Vacancies		
	By state	Under SS	Total	By state	Under SS	Total	By state	Under SS	Total
<b>Elementary</b>	329174	250448	579622	282611	116537	350125	46563	133911	229497
<b>Secondary</b>	7460	8574	16034	1335	3870	5205	6125	4704	10829

Source: MHRD, 2018

**Table A6: List of Elementary Schools in Sitapur Proposed to Surrender Resources Under Different Civil Work Components in PAB 2019-20**

Block	Component	School name	Sanctioned in PAB in 2018-19		Surrendered amount (Rs. Lakh)
			Physical	Financial (Rs. Lakh)	
<b>Behta</b>	Additional boys' toilets	UPS SIRKIDA	1	0.61	0.61
<b>Behta</b>	Additional girls' toilets	UPS SIRKIDA	1	0.61	0.61
<b>Laharpur</b>	Additional girls' toilets	JHS AKBARPUR	1	0.61	0.61
<b>Behta</b>	Incinerator	UPS SIRKIDA	1	0.08	0.08
<b>Mahmudabad</b>	Incinerator	GUPS MAHMUDABAD	1	0.08	0.08
<b>Pisawan</b>	Incinerator	JHS AKBARPUR	1	0.08	0.08
<b>Pisawan</b>	Incinerator	JHS NIZAMPUR	1	0.08	0.08

Source: MHRD, 2019

## **Questionnaire for the District Officials**

- What is the present district administrative structure for SMSA?
- Is there any change in the structure after merger of the schemes?
- Do you face any challenges due to merger?
- What are the positive consequences of the change?
- What are the negative consequences of the change?
- Please describe the process and calendar of preparation of district AWP&B
- Which Institutions and actors are responsible for plan making?
- How does the budgeting for the annual workplan take place – describe the process
- Which are the institutions and actors involved for programme budgeting?
- What is the degree of autonomy that the district has in terms of planning and budgeting for SMSA?
- Do you experience any challenges in the planning process in terms of i) rigid norms, ii) guidelines iii) targeted beneficiaries, iv) intended outcomes etc.
- Do you experience any challenges in the budgeting process in terms of i) fixed unit cost ii) no clarity on how much resources would be available iii) systems of centralized procurement, iv) lack of adequate financial delegation etc?
- How does the fund flow from state to district to schools?
- There is change in fund flow mechanism from 2014-15. Does this have any impact on fund flow at district level?
- What is the pattern of fund utilisation? Does utilisation vary across components? Across blocks?
- What are the bottlenecks in fund utilisation?
  - Inadequate shortages of human resources
  - lack of decentralized planning
  - capacity issues with the district administration
  - delay in fund flow
  - lack of coordination and convergence
  - lack of flexibility and other operational issues etc.
- Is there delay in fund flow? on an average how much delay you observe in fund flow?
- Is there staff shortage under SMSA in the district? Can you share the extent of shortage for different categories of staff under SMSA in your district? (Teachers, Finance person, Head master etc.)
- Are there regular capacity building programmes/trainings for teachers, staff, SMC members to upgrade the knowledge on scheme implementation?
- Do you prepare outcome budget for SMSA at district level? Is there performance linked financing under SMSA at your district?
- Challenges that district is facing in improving the budget information architecture
- If any challenges of technical knowhow, resources associated to do so?



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