



SCHOOL OF EDUCATION

UNIVERSITY OF MALAWI
SCHOOL OF EDUCATION

Education Foundations Department
EDF 112: School Data Management and Utilisation

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Overview to the Module

The main objective of this Module is to empower you as a school leader with the requisite knowledge and skills to facilitate school activities through effective and efficient school records utilisation and management. The module seeks to develop the understanding of the theory and practices of creating, updating, utilising, managing, evaluating of essential school records. This Module will take you through workable theory and practical content on school records utilisation and management that you will have to apply in your professional practice.

Module Intended Learning Outcomes

By the end of this module, you should be able to:

This module offers content and activities tasks that will help you to develop experiences and skills for effective and efficient school leadership. It seeks to address the following issues that are prevailing in Malawi public schools:

- Low utilisation of records;
- Lack of awareness of day-to-day issues in school;
- Lack of knowledge in interpreting and using records;
- Low level of monitoring of school expenditure; and
- Records are not used for planning and management in schools.







Therefore, this module provides you with strategies and guidelines for creating and using school records; school records management; and planning and managing school resources. Each Unit is organised into six main components as described below:

1. **Unit Title:** This is the descriptor of the Unit.
2. **Introduction:** describes or provides the rationale of the Unit.
3. **Intended Learning Outcomes:** provide the intended learning outcomes which you must attain after going through all sessions in the Unit.
4. **Session Content and Activities:** This is the content which you must thoroughly engage with so that you can easily achieve the intended learning outcomes of the unit.
5. **Summary:** This section provides a brief statement on what the unit has covered.
6. **Unit Assessment:** This section prompts you to reflect, revise and apply the unit content in your school leadership practices.

Please study these units systematically to gain knowledge and competencies that you are required to have in order to manage and use school records effectively and efficiently.

Orienting Features

Text in this module is formatted to help you find information quickly and easily. You will find visual icons in the left margin to help you locate information you need as described below.

Icon	What the icon depicts
	Introduction
	Intended learning outcomes/objectives
	Key concepts
	Lessons
	Group activity
	Unit assessment

Unit 1 – Creation and Use of School Records



Introduction

Schools are responsible for creating and managing records relating to all aspects of school. A school record is any document that contains information/data about activities or events, resources and facilities related to the school operations. These records include general and confidential learners' and teachers' information, school-based teachers' data, financial records, buildings and facilities records, teaching and learning materials records, and the school correspondences. School records are therefore documented evidence of the school operations. As such you need to be familiar with the key elements of a school records and the fundamentals of creating, managing and using them gather, analyse and make decisions about the school(s) that you are leading.



Intended learning outcomes

By the end of the unit, you should be able to:

- a. define a school record;
- b. systematically record data and information about your school's academic and administrative activities; and
- c. use the school academic and administrative records for decision making.

Key Concepts

School Records; Aspects of School Records; School Operations and activities; Academic Records; Administrative Records



Session 1 – School Records

Schools are responsible for the creation, management and disposal of information relating to all aspects of school. Before discussing a records management system, you must be able to determine what constitutes a record. Therefore, let us begin by defining a school record. A school record is any document that contains information/data about activities or events, resources, facilities related to the school operations. These records include general school student attendance and confidential student performance, school-based teachers' data, financial records, building and facilities records, teaching and learning materials records, and the school correspondences. School records are therefore documented evidence of the

school operations. You will need to have school records management system that would help you to systematically record, store and update the school's records. As such you need to be familiar with the key aspects of a school records and the fundamentals of gathering, analysing and synthesising data (information) about your school to create, manage and use records for your decision making.



Activity 1.1 – Reflecting on Record Keeping Processes

Work in groups to discuss and present on the following:

1. Does your school keep records of what is happening in schools?
2. What processes do you follow to manage the records that are kept in your schools?

Note:

A good SRMS is characterised by an organised creation, management and disposal of records relating to all aspects of school administration in a way that makes it easy to search, access, retrieve and use the recorded data and information. It is therefore important for schools to develop a school records management process as part of their SRMS.



Session 2 – Aspects and Types of School Records

Aspects of School Records

School records include those records that are prescribed by the Ministry of Education (MoE), which must be maintained by school administrators, and other records, while not prescribed by MoE, that are equally important for the smooth functioning of a school. Consultative meetings with key stakeholders revealed that schools should give priority to the recording of data and information about the following aspects:

1. **Learners** – personal and family characteristics, previous educational experience, current grade, attendance, academic performance, behaviour, achievements/faults, outcomes (e.g. promotion to next class, repeating class, drop-out, transfer, or graduation).
2. **Teachers** – personal characteristics, past education, qualification, pre-service and in-service teacher training received, years of service, employment status, subject specialization, class/subject taught, teaching load, special skills, attendance, performance and behaviour.

3. **Finance** – school budget and income by source, expenditure by type and financial transactions.
4. **Physical facilities** – quantity and conditions of school buildings, classrooms, furniture, equipment and other physical facilities; maintenance, repairs and new constructions; and rate of utilisation.
5. **Teaching/learning materials** – quantity and conditions by type of material, new acquisitions, rate of utilisation.
6. **Learning achievement and outcomes** – results of tests, examinations and assessments (regarding academic, behavioural and other learner attributes).
7. **Extra-curricular and co-curricular activities** – type of activities, schedules, staff involved, number of participants, results, impact.
8. **School and community interactions** – School Management Board (SMB) meetings, Parent-Teacher Association (PTA) activities and school-and-community activities.



Activity 1.2 – Prioritising School Record Aspects

1. *Individually document existing school records from your school to review and compare them with the eight key aspects of a school's operations described above.*
2. *Reflect on your school to answer the following questions:*
 1. *Which of the above eight aspects of school operations do you think should be given priority and why?*
 2. *What other aspects of a school's operations require systematic school records and why?*
3. *Share and discuss your answers with the whole group in plenary*

Note: All school records are very useful. School records must be complete and be made available for use whenever need arises.

Types of School Records

Based on a review of school management practices across the country, you should give priority to logging data and information in form of the following key records:

A. Academic Records

1. **Master Enrolment Register** - used to record and manage information about individual learners per class/cohort. The school should create a new learner

record for each learner when they enrol, to record information about the learner's personal and family details. During the learner's attendance at school, additional information about academic performance, progression, and changes in the personal and family details can be included. It is important for you to encourage class teachers to identify and record information of learners with special educational needs.

2. **Learners' Attendance Register** - Teachers use class attendance sheets/register to record the presence and absence of individual learners. You can use these attendance records to calculate attendance rates by year (Form), class, sex, age in order to monitor the regularity and patterns of learners attending class, and to generate lists of learners with frequent absence from class, so that actions can be taken by the school management and teachers to explore the causes of absence and find ways to get learners to regularly attend classes.
3. **Learners' Performance Register** - Learner performance summaries should be used to monitor the academic and behavioural performance per a class of learners. These registers are useful for recording, comparing and analysing the scores obtained by individual learners in continuous assessments on various subjects during a school term or school year, and to identify the top, average and low performers in a class. Once an individual learner's performance results are validated, they may be used to inform key instructional decisions at the school.

B. Administrative Records

1. **Teachers' Particulars Register** - A teacher record should be created for each teacher who teaches at your school. It should record each teacher's personal, educational and employment characteristics. Any information about the teacher's role and responsibilities at the school, experience, performance and behaviour should be recorded in the school log book or the individual teacher's employment file.
2. **Teaching and Learning Materials Stock Register** – Schools usually receive teaching and learning materials from central or local education authorities and sometimes procure them from local suppliers. Inventories of these materials enable the school to ensure that all learners have the necessary learning materials including textbooks, and to replenish those teaching/learning materials that are, or will be, in short supply.
3. **Teacher Performance Appraisals** - Teacher performance appraisals can be used by the school management and higher levels of the education administration to improve the assignment of teachers and to determine continuation of employment, transfer, promotion, demotion, further training, award or disciplinary measures. For the purpose of school improvement, it is important that such reports are systematically produced and kept at the school for reference in the management of teachers.

Key performance evaluation results can also be added to the corresponding individual teachers' employment files for future reference.

4. **School Facilities Inventories** - The main purposes of keeping and updating inventories of school facilities are: (a) to record the number of buildings, classrooms, furniture, equipment and other physical facilities; (b) to monitor the conditions of these facilities in order to determine maintenance work, repairs, replacements and new construction/acquisitions; (c) to assess the physical capacity of the school in relation to the number of learners and the scale of school operations. Such inventories can also be used to monitor on the frequency of use of specific facilities to ensure that they are being fully utilised.

C. Financial Records

1. **Budget** – This is a document which indicates the income and expenditure estimations of school improvement activities of a certain period and the issues that relate to their achievement. It is a financial plan of future actions that the school uses as a financial management tool or guide for decision making.
2. **Payment Voucher** – It is used as proof that a monetary transaction has occurred between two parties. In a school, a payment voucher can be used for indicating that an invoice or quotation has been approved for payment.
3. **Cashbook** - used to record receipts and payments of cash. It works as a book of original entry as well as a journal account. The entries related to receipt and payment of cash are first recorded in the cash book and then posted to financial summary. More details will be provided in Unit 2, Session 7.
4. **Financial summary** - Financial records must be maintained and regularly updated for management, reporting and auditing purposes. Data about daily financial transactions should be summarised in detailed school records. Financial summaries of school income and expenditure can be produced and used by the school management per term and school year.

Apart from these eleven essential school records, you can create and use additional school records to better plan, organize, conduct, monitor and evaluate your daily official activities. Separate school records can be created and updated about: organised extra-curricular and co-curricular activities; school management committee meetings; parent-teacher association activities; construction projects; and other school-and-community activities - after each such activity has taken place.



Activity 1.2 – Exploring School Additional School Records

Individually reflect on the following questions and share your ideas in a discussion:

1. *What other additional record(s) should be kept in the schools? Why?*
2. *How would they go about introducing these additional records?*



Session 3 – Creation and Use of School Academic Records

This session summarises the task schedules for creation, use, presentation, storage access and retentions of school academic records.

Master Enrolment Register

A Master Enrolment Register should be created at enrolment of every learner, but continuously updated to record learner transfers (in and out of the school), dropouts, progression, etc. Head teachers and school management committees need to take action on learners who dropout to bring them back to school.

You are personally responsible to see that the Master Enrolment Register is properly updated and kept in safe custody - *only the head teacher of a school should authorise updating of this register*. You should therefore ensure that:

- Alterations are avoided – initialise any alteration;
- A learner is entered once in a particular year or Form. In subsequent school years, progression should be simply marked on the appropriate Form;
- The register remains stationed in your office - unless you deem it necessary to do so but with the sole intention of updating;
- All class attendance and performance registers are extracted from this master register so that the school and class register have the same names and numbers of learners; and
- You provide up to date registers for inspection to MoE officials or School Board members whenever required to do so.

See next page for an example of a Master Learners' Enrolment Register template that you can use in your school.

SCHOOL MASTER LEARNERS' ENROLMENT REGISTER

±	School Year.....	Cohort.....	Form.....
SN	Student's Name	Student's ID Number	DoB	Age	Sex	LwD	Orphan/OVC	Date of 1 st Entry	Guardian	Guardian Address									
1																			
2																			
3																			
4																			
5																			
6																			

LwD – Learner with Disability
 OVC – Other Vulnerability Child

How to Use Information from the Master Enrolment Register

You can use the Master Enrolment Register to develop school improvement action plans and budgets. A school improvement action planning process involves setting goals, actions, resources, and how you can assess change. This task is best accomplished when you do a comprehensive needs-assessment of the school. A comprehensive needs-assessment is a systematic method for determining needs and examining their nature and causes. Records of learners in the Master Enrolment Register provide a reliable source of information on the school needs, nature of each need, and what causes it. Similarly, a budget is simply a financial plan which translate the action plan into how much money the school will receive and spend based on the planned activities.

Therefore, you can use the Master Enrolment Register, with reference to the National Education Standards, to develop school improvement action plans and budgets by identifying, prioritising, planning and budgeting for the following, against the number of learners in the school:

- Quantities of school faculties, e.g. classroom blocks, waterpoints, toilets, chairs, equipment and grounds to buy/repair/construct/hire (in/out) or sale;
- Quantities of Teaching and Learning Materials to procure or lend from neighbouring schools;
- Special education needs facilities required;
- Number of teachers required for the whole school; and
- Number of teachers to allocate per Form.

Learners' Attendance Register

A Learners' Attendance Register should be created at the beginning of a school term /year for each and every class and should be used continuously to record the presence and absence of individual learners on each and every school day. Class teachers are responsible for creating and updating the learners' attendance register.

You should ensure that class teachers are able to:

- List names in alphabetical order - Boys and Girls entered separately;
- Indicate background information for each learner;
- Avoid alterations; any alteration should be initialised by the teacher;
- Mark (/) when a learner is present; (A) when a learner is absent; (S) if learner is reported sick; (L) if learner is absent for an approved purpose; (CH) and (PH) to show casual holiday and public holiday respectively;
- Provide you with up to date registers for inspection - you are personally responsible to see that the registers are properly updated and kept in safe custody.

See next page for an example of a Learners' Attendance Register template that you can use at your school.

1	FULL LIST (SURNAME FIRST)	LEARNER IDENTIFICATION NUMBER (LIN)	SEX	AGE	ORPHARN (SO/DO)	PWD (Type of Disability)	D/R (TI/TO)	1 ST DATE OF ENTRY	WEEK BEGINNING									
									Date			Date						
2									M	T	W	T	F	M	T	W	T	F
3																		
4																		
5																		

Total Number of Boys	
Total Number of Girls	
Orphans (Boys)	
Orphans (Girls)	
Pupils with Disabilities (Boys)	
Pupils with Disabilities (Girls)	

- D = Dropout
- R = Repeater
- TI = Transfer In
- TO = Transfer Out
- SO = Single Orphan
- DO = Double Orphan
- PWD = Pupils with Disabilities (indicate type of disability such as: HI (Hearing Impairment); VI (Visual Impairment); and LD (Learning Difficulties))

How to Use Information from the Learners' Attendance Register

Teachers use class attendance registers to record the presence and absence of individual learners. You should ask class teachers to generate lists of learners with frequent absence from class or school, so that you can take actions to enquire into the causes of absence and to find ways to assist these learners to regularly attend class.

From the class teachers' lists of learners with frequent absenteeism, you can analyse learners attendance rates to monitor the regularity and patterns of learners attending class based on the following:

1. *Sex* - Check if there are differences in attendance between boy and girls and find out the reasons from the teachers and parents;
2. *Orphan-hood and vulnerability status* – engage the SMB, PTA, Mother Group and community leaders to develop school guidelines and strategies for helping orphaned and vulnerable learners to attend school.
3. *Age* – Identify the ages of learners who are frequently absent from schools to develop inclusive school cultures and classroom environments. Research findings suggest that the age groups that are in minority in school (whether under-aged or over-aged) face different forms of violence, mostly bullying.
4. *Repetition* - It is important to follow the attendance of learners who are repeating in order to support and encourage them to prevent them from dropping out. There is a strong relationship between repetition and class attendance. Learners who are mostly absent from class are very likely to repeat, and those who are repeating are mostly absent from school or class.
5. *Health and Disability* – Mostly learners do not attend classes because of disability or sickness. The class registers provide for recording such cases. Encourage class teachers to work with parents on how to support learners who missed classes for a long time due to special needs or sickness.

Together with the school management board and community leaders, you should be able to develop strategies that cater for the learners' diverse needs and some school-based factors that may prevent them from attending classes.

In addition to learners' individual factors that usually affect their school attendance, you should also use the learners class attendance registers to check for the specific days or months of the term when learners are mostly absent from school. There are several school, household and community factors that could lead to high absenteeism on specific days or weeks of the term. For example:

- *Weather* – during rainy season, learners may not attend classes because the school does not have permanent classroom that can provide adequate shelter or they have to cross rivers that have no bridges in order to come to school. Such information would help you to effectively plan/budget for school development or meaningfully seek school community involvement.

- *Economic activities* – in most cases learners are expected to take part in economic activities, such as farming and business, in their respective homes. As such, most learners do not attend school during planting or harvesting seasons, or on community market days. You should use the attendance registers records to seek support from the SMB, PTA and community leaders to improve learners' school attendance on such days or periods.
- *Form and Class* – find out from which Form and class are learners mostly absent and explore the possible reasons so that the school can develop strategies for improving attendance.

Furthermore, since learners' attendance is linked to their performance, it is important to relate these two. You should urge the class teachers to check attendance records of the low performing learners in their respective classes in order to support them holistically.

It would be helpful for the school leadership to regularly highlight the effects of absenteeism to learners and parents during school assemblies and PTA meetings. These effects include: poor performance; repetition; and dropout.

Learners' Performance Register

Learners' Performance Register should be created and updated continuously throughout each school term to monitor and compare the learners' performance in each learning area, and to identify learners with learning problems who need remedial support. Class teachers are responsible for creating and updating the Learners' Performance Registers. You should ensure that class teachers are able to:

- List names in alphabetical order - with names of Boys and Girls entered separately;
- Avoid alterations; any alteration should be initialised by the teacher;
- Enter a maximum of 2 scores per month per learner in each learning/subject area;
- Use assessment rubric to decide on promotion, remediation and enrichment of learners; and
- Provide you with up to date registers for inspection.

Note, again, that you are personally responsible to see that the Learners' Performance Register are properly updated and kept in safe custody. See next page an example of a Learners' Attendance Register template, that you can use at your school.

1.....	SCHOOL LEARNERS' PERFORMANCE REGISTER	SUBJECT.....											
FULL LIST (SURNAME FIRST)	SEX	SEPT	OCT	NOV	TERM1	JAN	FEB	MAR	TERM2	MAY	JUNE	JULY	ANN. EVAL

How to Use Information from the Learners' Performance Register

Teachers use learners' performance registers to record the performance of individual learners per learning/subject area. You should ask class teachers to generate lists of low performing learner, so that they can identify causes of low performance and find ways to assist such learners.

You can use these class registers to regularly analyse learners' achievement rates and monitor the performance of learners in each Form class and learning/subject area, based on the following:

1. *Sex* - Check if there are differences in performance between boy and girls and find out the reasons from the teachers so that the school management can enhance gender inclusive pedagogies and learning environments;
2. *Orphan-hood and vulnerable status* – Identify low performing learners who are orphans (single or double orphaned) or socially vulnerable in order to provide special support towards their learning and achievement.
3. *Age* – Use the attendance register to identify low performing learners who are under-aged and over-aged. Find out possible reasons for low performance of over-aged learners so that the school management can enhance inclusive pedagogies and learning environments.

Engage parents of low performing learners who are under-aged to register them in a level that is appropriate for their age.

4. *Form, Class and Learning Area* – Identify the Forms, class and subjects where most learners are not performing well so that school management can investigate and develop strategies for improving learners' performance.

Sometime learners' low performance is a reflection of the teachers' abilities and competencies. In such cases, you need to provide relevant support to the teachers, e.g., CPDs or Teacher Learning Circles (TLCs).

5. *Attendance* - Ask teachers to use the attendance register to check attendance of the low performing learners. As highlighted in the previous section, there is a strong relationship between learners' performance and class attendance. Learners who are mostly absent from class are less likely to perform well. It is therefore important to follow attendance of all learners.
6. *Special Educational Needs* – Other learners do not perform well because teachers either did not identify or provide relevant support for their special educational needs. Use the school's master learners' enrolment Register to identify low performing learners that have special educational needs and their respective type of need. Support and encourage class teachers to help learners with diverse learning needs.

Additionally, you can organise school or zonal CPDs to enhance the teachers' knowledge and skills for catering the diverse needs of learners (age, sex, orphan-hood and vulnerable status, and special educational needs) as discussed above.



Activity 1.4

Work in pairs to discuss your experiences on the following questions:

1. Are school records management tasks and responsibilities well defined in your schools? if yes, please list them. if no, why not?
2. How do you ensure that the school records are effectively created, accessed and used?



Session 4 – Creation and Use of School Administrative Records

As already observed, there is a need to keep record of all school activities as part of effective school leadership because of the indispensable role of records and information in the day-to-day activities of the school system. However, most head teachers have challenges in managing some administrative records because there are no standard formats for capturing, creating and presenting such records. This session presents templates and guidelines for capturing, creating, presenting and using school administrative records.

Teaching and Learning Materials Stock Book

Teaching and learning materials are essential for supporting teaching and learning activities in the school. Their availability, conditions and use determines the quality and outcomes of education that the school is providing. You should keep inventories of these materials so that you are able to easily check if all learners have the necessary learning materials including textbooks.

A standard Teaching and Learning Materials (TLMs) Stock Book consists of summary tables of the quantity of various materials available at the school, such as teaching aids; textbooks by Form and by subject; supplementary reading and learning materials; and sports, music, arts, and practical work equipment and materials.

You are personally responsible to see that TLMs Stock Books are properly updated and kept in safe custody. For proper maintenance and management of the TLMs Stock Book, ensure that you:

- Keep the stock book stationed in your office - unless you deem it necessary to do so, but with the sole intention of updating;
- List all TLMs in the description column in the order of textbooks first (alphabetically) - starting with Form One, serially, to Form Four;
- Indicate the specific Form for TLMS that are specific to a Form
- Mark (M) for TLMs that are for multiple Forms and (A) for TLMs that are for all Forms (Form 1-4);
- Avoid alterations; you should initialise any alteration;
- Provide up to date registers for inspection to MoE officials, School Management Board members whenever required to do so;

Check next page for an example of a Teaching and Learning Materials Stock Book template that you can adopt and use at your school.

SCHOOL TEACHING AND LEARNING MATERIALS STOCK BOOK

School Year			Term.....							
Date	Description of T&LM	Form	Quantity Acquired	How Acquired (who provided)	Date Acquired	Qty in use	Damaged but in use	Damaged & not in use	Shortfall	Signature

How to Use Information from the Teaching and Learning Materials Stock Book

Having a fully updated TLMs Stock Book will help you to make informed decision on which teaching and learning materials to replenish or repair.

As a leader of a school, you can use the TLMs Stock Book to monitor the quantity, distribution and use of various teaching and learning materials so as to identify shortages and gaps. This would help you to explore ways to get new supplies, make new acquisitions, and to ensure that the materials are optimally distributed and used.

When developing your action plans and budgets you have to decide on the quantities of various teaching and learning materials to acquire for the school. The TLMs Stock Book provides the you with data on the quantity, distribution and use of various teaching and learning materials and their allocation to specific Form, multiple Forms, and all Forms.

Based on the TLMs stock Books and the Master Learners' Enrolment Register you can therefore identify specific shortages and gaps in the availability and allocation of TLMs. This would also help you to plan and budget to acquire new TLMs, mobilise resource and distribute the newly acquired TLMs rationally.

Teachers' Particulars Register

A Teachers' Particulars Register is created for recording each teacher who teaches in a school. This register records specified teacher particulars in the school and should not be considered as a substitute to teachers' personal employment files. The information contained or provided in this register should be the same as that provided in the Human Resources (HR) personal employment file.

You should create a teacher record whenever a new teacher joins your school. You are responsible for ensuring that the record is complete and the information is correct and accurate by:

- Listing names in alphabetical order;
- Entering names of Female teacher and Male teachers separately;
- Avoiding alterations; you or any responsible offer should initialise any alteration;
- Entering all the required particulars of all teachers in your school;
- Keep the register stationed in your office - unless you deem it necessary to do so but with the sole intention of updating; and
- Providing up to date registers for inspection to MoE officials or school management board members whenever required to do so.

Please refer next page for an example of template for a Teachers' Particulars Register, , that you are can adopt and use at your school.

SCHOOL TEACHERS' PARTICULARS REGISTER

No.	Teacher's Name (Surname First)	Sex	Date of Birth	Date		Employ- No.	Reg. No.	Disability	Highest Level of Education	Teacher Grade	Date of 1 st Appointment	Date of Appointment to present grade
				IN	OUT							
1												
2												
3												
4												
5												
6												

How to Use Information from the Teachers' Particulars Register

You can use the Teachers' Particulars Register to:

- Calculate the Teacher to Learner Ratio per subject in your school in order to request for more teacher to the school;
- Allocate teachers to classes accordingly, for school effectiveness and efficiency. When assigning a class to teachers you need to combine teachers of different levels of qualification, experience and both sexes;
- Recommend teachers for training or promotion based on their indicated qualifications in register; and
- Plan for relevant Continuous Professional Development (CPD) activities according to teachers' qualifications and experiences from the analysis of the register.

School Facilities Inventory

An inventory of school physical facilities (for example: buildings; classrooms; school grounds and other structures; furniture; and equipment) contains a summary of the quantity of different school facilities and information about their condition and use. It is useful to know the degree to which various school facilities are inadequate or in excess, so that actions can be taken to improve their effective use and management. Please refer to the template below of a School Facilities Inventory that you can use.

EXAMPLE OF SCHOOL FACILITIES INVENTORY

SCHOOL FACILITIES INVENTORY				
BUILDINGS, CLASSROOMS AND OTHER BUILT STRUCTURES				
	Total Number Available	Number in Good Condition	Number Damaged (to be repaired)	Number Required
Permanent Classrooms				
Open Air Classes				
Sanitary Facilities for Boys				
Sanitary Facilities for Girls				
Sanitary Facilities for Female Teacher				
Sanitary Facilities for Male Teacher				
Sources of Drinking Water				
Teachers' houses				
Staffroom				
Administration Offices				
CLASSROOM FURNITURE				
	Total Number Available	Number in Good Condition	Number Damaged (to be repaired)	Number Required
Benches				
Chairs				
Desks				

Forms				
Stools				
Tables				
OFFICE FURNITURE				
	Total Number Available	Number in Good Condition	Number Damaged (to be repaired)	Number Required
Tables				
Benches				
Chairs				
Bookshelves				
Filing Cabinets				
Stools				
Date:.....		Signature.....		

How to Use Information from the School Facilities Inventory

You can use the School Facilities Inventory to develop of school improvement action plans and budgets by identifying, prioritising, planning and budgeting against the recorded number and condition of facilities in the school and the numbers of learner enrolled in the school.

To prioritise, plan and budget what your school needs and why, you need to use the information from the school facilities inventories together with information from other records such as the Master Enrolment Register, the Teacher’s Register, the TLMs Stock Books and the National Education Standards.

You can use the school facilities inventories to calculate the number of learners per classroom block; per water facility, etc. Such information can help you to decide on the following against the benchmarks set in the National Education Standards:

- number of classroom blocks the school needs to build and for which Form based on the of learners enrolled in the school and per class against the available classroom blocks;
- repairs or construction of classroom block, boreholes, toilets;
- repairs or procurement of classroom and office furniture; and
- construction of toilets and change rooms for boys or girls and female or male teachers.

You can also use the recorded data on quantities, condition and the use of school buildings, classrooms, school grounds, furniture and equipment in order to decide on which ones and how many to hire out generate income.

Unit Summary

This unit has provided you with a definitions of what constitutes a school record by presenting a discussion on key aspects of school records. Knowledge of the aspects

of school records would help you to know the sources of data for your school records. The unit has also presented a discussion on the types of school records plus how to create and use them. Examples that have standard templates have been included in order for your reference and use in your schools.



Unit Assessment

Having covered the content and done the activities of this unit, it is expected that you have been equipped with the necessary skills to create and use the academic and administrative records of your school efficiently and effectively. Work together with your head or deputy head teacher to create, update and use the following academic and administrative records of your school activities by using the templates and examples provided in this unit:

1. School Master Enrolment Register;
2. Learners' Attendance Register;
3. Learners' Performance Register;
4. Teaching and Learning Materials Stock Book;
5. Teachers' Particulars Register; and
6. School Facilities Inventory

Unit 2 – School Records Management System



Introduction

As a school manager, you regularly make decisions about your school's operations. In order to make relevant and effective decisions, you need information that is up-to-date and accurate. Having organised processes and schemes for maintain and managing school records could help you to systematically gather, keep and analyse readily available relevant and reliable information about your school to support the decisions you make in running the schools. This units initiates the discussion on the processes of managing school records and the benefits of having organised processes and schemes for maintain and managing school records.



Intended learning outcomes

By the end of this unit, you should be able to:

- a. Recognise the importance of keeping systematic records of data and information about school activities
- b. Familiarise yourself with the effective records management process
- c. Develop a school records management system for your school



Session 1 – School Records Management Process

A school records management process is a system that is used to control records from the creation of the record until the record is archived or destroyed. A records management process involves identifying records, classifying records, and storing records, as well as coordinating internal and external access. Schools deal with large amounts of information on a daily basis hence need to incorporate a comprehensive, effective records management process into their daily operations. A School Records Management System typically involves the following eight activities (see Figure 1):

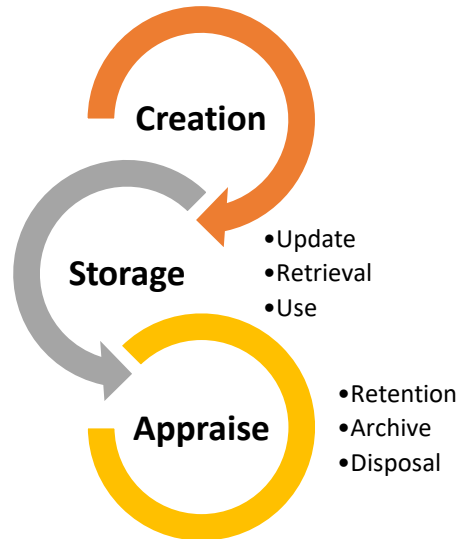


Figure 1 - School Records Management System Activities

1. **Creation** – beginning a new record and starting to record data and information, for example creating a student record entry for a new student.
2. **Storage** – keeping the records in an organized manner so they can be accessed by authorized people but kept secure from unauthorized access, loss or damage.
3. **Update** – adding new information to a record or modifying existing information in a record.
4. **Retrieval** – searching for, locating and extracting records from storage.
5. **Use** – applying information from the records to help make management and policy decisions.
6. **Appraisal and retention**– determining whether and how long a record should be:
 - retained for active use;
 - archived; or
 - disposed of
7. **Archiving** – storing inactive records so they can be later retrieved for use.
8. **Disposal** – discarding, deleting or destroying a record.



Activity 2.1

Work in groups to reflect and present on the following:

1. How do record-keeping practices in your school compare with the SRMS functions described in this session?

Share your opinion in discussion.

Note:

The records management process has to involve various school staff to systematically record data and information about different aspects of the school's operations using specific, pre-designed school record forms. In a school or at a zone, teachers or other staff respectively, can be responsible for different school records and procedures in recording, storing, updating and retrieving information. At the end of each school calendar year, the records that have been accumulated should be appraised to determine which records should be retained, archived or disposed of.

Each of the record management functions (1 to 8 above) has a direct influence on the availability of information and their use for school management. Since various people in a school generate and use information, poor recording of key management information and poorly managed records can seriously affect the efficiency and effectiveness of a school. To systematically manage school records, each person must assume their respective roles in creating and updating school records using correct records forms, terminology and practices, and submit the record files to HT/DHT in time.



Session 2 – Benefits of a School Records Management Systems

From the descriptions of SRMS and its features and functions in the preceding sections, we can see that a fully operational SRMS can produce many immediate term benefits for the head teachers school as well as long-term benefits for the SEMA in terms of planning, coordination and monitoring at zonal level. A systematic record management helps:

- Head teachers to assess the performance and therefore the strengths and weaknesses of the school, so they can make informed decisions and easily respond to school needs using reliable school data.

- The school management board and members of the community to understand and support the functioning of the school.
- District education officers and the central Ministry of Education to monitor and evaluate the performance of schools, to identify problems and issues and to establish policies, plans and measures to provide more appropriate guidance and support to schools.
- To provide documented evidences that future school head teachers can use to continuously improve the management of the school.



Activity 1.4

1. Individually reflect on your personal work experience to identify the immediate and long term benefits of an SRMS at your school
2. Discuss in your reflections in pairs
3. Share and justify their answers to the whole class

Note

School records can be used to assess how schools and zones use various resources to organize educational programmes and activities; how such programmes and activities took place; and the outcomes, issues and lessons learnt. Such information is important because it allows the school manager as well as education administrators at higher levels to evaluate the efficiency and effectiveness of the school's activities, and to improve future policies, planning, coordination and management of educational activities across the country. The importance of good record keeping transcends into short and long term benefits and affects the overall achievement of educational objectives through:

Accountability: School records are an important means of accountability because they provide proof. Records such as cash books and stock books help to ensure accountability as they show income, expenditures and stock levels in a school.

Decision Making: Records provide raw data that enable coherent, balanced and objective decisions on issues such as promotion, student and staff discipline, and teaching and learning performances.

Information Bank: Records kept in schools serve as an information bank from which school administrators can recall information as needed.

Information for Parents: Parents often want to know how their children or wards perform academically. Records of school report cards and/or end of term results should be kept by schools should parents wish to review or discuss past student performance.

Planning: Accurate data assists educational planners to identify areas of need that should be addressed or accorded priority attention.

Subject Time Table: School time tables help in the coordination of staff and student activities and work. Keeping track of time tables from year to year can help a school and school administrators determine which combination of classes and teaching assignments work best to optimize teaching and learning.

Supervisors/Inspectors: The availability of records enables supervisors or inspectors to objectively assess student and staff performance and offer advice or proposals for improvement.

Unit Summary

This unit began by introducing the concept of school records management system and the fundamentals of creating, managing and using a records management system to gather, analyse and disseminate information about a school. The discussion of this Unit has therefore focused on the processes that will help you to manage school records; from creation, to storage and appraisal of records. Finally, the unit has highlighted on the importance of an effective and efficient school records management system for school managers' accountability, decision making, planning and needs identification.



Unit Assessment

Write a personal reflection on the implications, benefits and constraints in establishing an effective SRMS in your school by answering the following questions:

1. Do you agree with the benefits of SRMS described in this Unit? What other benefits might there be?
2. In what way do you think your schools can benefit from improved school records management? In which aspects of school management?
3. What are the barriers or constraints that can prevent successful implementation of SRMS in your school? What can be done to address these constraints?

Unit 3 – School Data Quality Management



Introduction

School records maintenance is the application of systematic ways to manage the entire information cycle and its implementation in schools and zones. While different methods or systems can be used to bring about efficient maintenance of a school records management system, there are some basic processes that must be followed. The maintenance of school records management system involves all activities that ensure that all records contain quality data, are in good condition, and are kept in an orderly manner. This unit discusses some of the ways records can be maintained and presented while maintain the quality of its data.



Intended learning outcomes

By the end of this unit, you should be able to:

- a. provide instruction to teachers/schools that will enable them to develop and manage a SRMS.
- b. share responsibilities for establishing, implementing and ensuring data quality
- c. develop school record summaries for support mobilization



Session 1 – School Data Management Roles and Responsibilities

An adequate records management system depends on the effectiveness intra-organisational communication. The management of records in schools, like in any other organization, is a cyclic process involving head teachers, teachers, students, and the community. While most records are handled by school heads, other records are manually handled by class teachers and heads of sections, hence the processing, retrieval and utilisation of records is not always easy. As a way of overcoming such challenges, schools need to ensure the following throughout the entire information cycle:

Cost: Records should not be too expensive to keep. This means that the financial cost of collecting, analyzing, synthesizing, storing and retrieving records should be low.

Quality: any information contained in any record must be accurate and reliable. The greater the accuracy and reliability, the higher the quality of information, and the more likely the information system is to work well.

Timeliness: Information contained in a record should be retrievable as it is needed rather than after important decisions have been made.

Maintenance: The maintenance of records involves all activities that ensure that they are in good condition, and kept in an orderly state. This is a central function of records management.

School record management tasks must be clearly defined and assigned to teachers who are best suited to perform these tasks in relation to their roles, responsibilities, duties and skills within the school. Systematic and timely creation and maintenance of school records can be included as one aspect of teachers' performance appraisal and accountability.

Besides the creation, storage, update, retention and retrieval of school records, it is important for head teachers to orient and continue to provide regular advice, supervision and support to teachers to ensure that all teachers are able to create, update, store and use school records in a correct and timely manner.



Activity 3.1 – Assigning Records Management Roles

Reflect and review your school practices on how you:

- a. define and assign roles and responsibilities in school for records management and
- b. ensure that teachers apply the records management knowledge and skills



Session 2 – Analysis and Use of School Data

So far, we have gone through content activities that have provided you with strategies and guidelines for creating, managing and using school records. It has been highlighted in the previous sessions that all the efforts to create, store, update and manage school records will be wasted if the data and information are not fully and properly used to:

- a. Strengthen monitoring and management in schools.
- b. Report to higher levels of the education administration.
- c. Inform and mobilize support from the stakeholders.

However, it should be emphasised that school records, data and information can be used either directly, or transformed into other forms so as to facilitate analysis, interpretation, dissemination and **use**. School records can be presented in two main forms:

1. **Records of individual persons** – like the **student records**, can be used to store detailed information about each person such as sex, age, standard, previous education, language spoken at home, family conditions, disabilities, performance scores in subjects and behaviour. The same applies to **teacher records**, individual records can be created and added whenever a new student or teacher joins the school. They can also be archived or disposed of when a student or teacher has left the school.
2. **Summary lists, tables and graphs** – like the **class attendance sheet, textbook record sheet** or the **student performance summary**. If you want, for example, to compare the performance of learners per standard across several years, it can be quite difficult to flip through a pile of several years' records back and forth in trying to compare the data. Often, a summary list, table or graph can be created. In this way, you can make comparisons at a glance across the list, table or graphic.

Importance of Summary Tables and Graphs

Summary tables and graphs serve the purpose of synthesizing detailed individual data into numbers in a structured table so they can be directly analysed, interpreted and used for monitoring, management and decision making. The summaries can be used to identify indicators to better assess the situation, identify problems and issues, and support decision-making at the school and higher levels of the education management.

An additional benefit of the summaries is that, very often, such summaries can be designed and generated to sum up individual school records in ways that correspond to the EMIS. The already tallied and summarized data can be directly copied or transferred into a EMIS questionnaire, or can be used to prepare standard tables in reports of the school. This will considerably reduce the time and workload of having to search for data and tally individual records each time the school has to respond to the EMIS data questionnaire or submit reports.

Take for example the key summary table below showing student enrolment by year and sex. You can produce this table, or a similar table, by tallying and summarizing students data by year, class, sex etc to produce summary tables/graphs of learners at your school.

	2018		2019		2020		2021	
	M	F	M	F	M	F	M	F
Form 1	60	40	65	32	66	48	70	52
Form 2	59	42	55	34	62	28	62	45
Form 3	47	36	56	38	51	30	58	24
Form 4	42	24	42	29	49	33	48	15
Totals by sex	208	142	218	133	218	132	206	113
Grand Totals	350		351		350		319	

A summarised presentation in this tabular form is easier to refer to and make a decision from than if records/data were in raw or un-summarised form. Similarly, any other data set from your school can be summarised in a tabular form, e.g. learners' performance/progression/dropout/SNE etc by gender, term or year etc. The tabular information can also easily be presented in a graphic form, in form of bar chart/graph.



Activity 3.2 – Producing Data Summaries for your school

1. Work with your HT/DHT to produce data summaries, in tabular form, for your school from the records of your school as follows:

a. Learner enrolment by class/sex

Form 1A		Form 1B		Form 2A		Form 2B		Form 3A		Form 3B		Form 4A		Form 4B		Total Enrolment	
M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F

b. Reasons for learners' non-attendance to school for more than three weeks

Reasons for student non-attendance	F – 1A		F – 1B		F – 2A		F – 2B		F – 3A		F – 3B		F – 4A		F – 4B		Total		
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	
Family responsibilities																			
School funds																			
Employment																			
Sickness																			
Poor school facilities																			
Availability of Teachers																			
Funeral																			
Truancy																			
Natural disasters																			

Cultural practices																		
Market days																		
Learners don't have LINs																		
Long distances																		
Violence																		
Poverty																		

2. Share and review your results with your HT/DHT
3. Discuss in the following in:
 - a. what would be the most reliable sources (school records) for these two data summaries?
 - b. what are the key decisions that can be made from the data summaries for your schools?



Session 3 – Data Quality Management

An effective school records management system must have clear and well-defined procedures, criteria, norms, mechanisms and practices to ensure the data and information recorded are complete, relevant, accurate and reliable. Effective records management should enable easy search, retrieval, analysis and use of the data and information to support management of the school as well as for reporting to higher levels of the education management and to local stakeholders. School heads teachers should therefore endeavour to maintain a high data quality standard in school records management by ensuring:

1. **Regularity** - all teachers adhere to the school records management system plan/schedule and procedures/methods for creating, storing and updating the school records for which they are responsible.
2. **Completeness** – data and information in school records must be as complete as possible. if there are data omissions or partial data, clear explanations should be provided.
3. **Accuracy** – data quality norms and practices should be clearly defined, understood and followed while gathering and entering data into the school record.
4. **Consistency** – all the data should be recorded using the same forms/templates, definition and measurement for all classes.

The design of the school record forms and summaries must, therefore, be clear and easy to create, fill in and update. All the terms and concepts must be clearly defined and explained by the head teacher. Thorough supervision, plus technical guidance

and support by the by the head teacher, can help to improve the quality of data in the school records. Therefore it should be emphasized that head teachers:

1. have the ultimate responsibility to ensure that all school records are regularly created, completed, updated, stored and used.
2. must frequently check the records to verify that all records have been submitted on time, are complete and up-to-date and to ensure that the staff members are performing their record-keeping duties in a correct and timely manner.
3. Use the school records frequently which may also be a way of verifying if the data are up-to-date, complete and correct.

Systematic cross-checking of data summaries against the original individual record forms, and comparisons of the resulting information can help to identify errors or inconsistencies in data quality. During analysis, interpretation and use of the data and information, additional data problems can be found that require the records be re-checked and corrected.



Session 4 - Data-Driven Decision Making (DDDM)

The first three units of this module have taken you through content and activities for creating, management and interpretation of data through school records management systems. However, collecting data without purpose is meaningless. The records we have in schools are the raw materials for effective decision-making. But to make the right decisions, you first needed to know the right tools that we have discussed in Units 1-3 of this module. In this session, we will look at how to use the school records for systematic planning and decision making in the schools – Data Driven Decision Making (DDDM).

The terms “data-driven decision-making” or “evidence-based decision-making” are phrases to describe the systematic collection and analysis of various types of data to help improve the success of students and schools. This is a process by which school and their stakeholders use the schools’ records to make informed decisions about school interventions (policies, plans and budgets).

Data driven decision making (DDDM) is a process that involves collecting data based on measurable goals, analysing patterns and facts from these insights, and utilizing them to develop strategies and activities that benefit the school in a number of areas.

Fundamentally, data driven decision making means collecting, extracting, formatting, and analysing insights from school records to make key strategic goals rather than merely shooting in the dark. That is, as school leaders and managers, you are expected to make objective ‘evidence-based’ decisions that are relevant to the goals of the school rather than subjective “opinion-based” decisions.



Activity 4.1

1. Reflect on the key decision you have made at your school this year to fill-in the table below.

Decisions (in order of priority)	Who/what influenced this decision?	What evidence supports this decision?
i.		
ii.		
iii.		

2. What processes did you follow to arrive at each of these decisions?
3. Do you think you practice data driven decision making? Why?
4. Share your thoughts in a discussion

Notes

At the heart of the process of effectively using data in educational decision making are three sequential steps:

1. **Assemble high-quality raw data** - The decision at hand should suggest which data should be assembled. Data can be extracted from the school records discussed in the Unit 1.
2. **Conduct analysis that ensures data is relevant and diagnostic** - You often find yourself drowning in data rather than being driven by it by burdening yourself with irrelevant data and non-diagnostic that will not be used. Relevance depends on who receives the data, the timeliness, and the level of detail (refer to Unit 3 – Sessions 2 and 3). The same data can be diagnostic for some decisions and not for others.
3. **Use the relevant and diagnostic data** - Even the right data and clear analysis aren't helpful if the results are filed away and forgotten. Use the data to inform instructional and operational decisions.

Unit Summary

The maintenance of school records management system helps to ensure that all records contain quality data, are in good condition, and are kept in an orderly manner. This Unit has provided a discussion on some of the ways that you can employ to maintain and present records while ensuring the quality of its data. Specifically, the unit had provided strategies that you can employ to provide help teachers and the school to develop and manage a SRMS. The unit has also discussed how you can share responsibilities in order to establish, implement and ensure data quality and how you can develop school record summaries.



Unit Assessment

Reflect on your experiences in actual school records data quality management by answering the following questions:

1. What are the common data quality problems and issues in records management at your schools? How/why do they happen?
2. What kinds of measures have been taken to ensure data quality in your school? (describe how effective each of these measures has been, and the lessons you have learnt).
3. What will you do to strengthen data quality control in records management in your school?

Unit 4 – School Strategic Planning and Decision Making



Introduction

Effective data driven decision making should be informed by strategic school planning. This is a practical planning process that should be followed to help your school define a vision and develop practical ways to enact change. Strategic planning will help your school to set and achieve short term goals while keeping sight of your long-term vision. In this Unit, we will explore how and when to implement a Vision, Mission, Objectives, Strategies, and Action Plans (VMOSA) in your school's planning process.



Intended learning outcomes

By the end of the unit, you should be able to:

- Set a school vision and mission statement;
- Develop a school improvement strategy
- Design a school improvement action plan



Key Concepts

Mission Statement; Vision; Strategic Plan; Action Plan



Session 1 – Successful Strategic Planning

It is important that a strategic plan unites stakeholders around the school's journey of improvement. A school where community members, teachers and head teachers are in disagreement will be an unhappy place where much energy is wasted rather than focusing on the key purpose of improving learning for the students. In most cases, this process is led by the school leader, but this is not always the case. A new head teacher may come to a school and find that the school already has a strategic plan.

If stakeholders are to support the school's development, they need to be involved in understanding and developing the school's strategic plan. Among the stakeholders

will be people with varying degrees of education and understanding of what is required of modern schools. It is important to set up a strategic planning team, which should include representatives of these key stakeholders. Identify one person to be the group leader and one person to be secretary to document the decision reached through consensus. The key stakeholders around the school and its community to be involved in strategic planning for the school should include:

- the teachers
- the students
- the parents/guardians of the students
- community leaders, including local businesses.



Activity 4.1 - Case Study: Mr Chagwa decides on School Vision and Mission Statements

1. Study the Case below and answer the questions that follow.

Mr Chagwa is head teacher of Khenge CDSS, a very popular school in the community. He went to a School Leadership Training where he realised the need for a school vision and mission. During the training he talked to a number of school head teachers about their visions and was impressed by many of the ideas. Mr Chagwa was happy to learn about different vision and mission statements from other schools. He participated in discussions and became clear about the Vision and Mission statements for his school.

After the training, he returned with enthusiasm and could not wait to tell the teachers, parents and community about the new direction for his school. He realised that Khenge CDSS was doing a good job for most of its learners, but it was not including all students equally and that many students who were overaged were unhappy in school and were not performing well. He thought that the vision for the school should be: *'A school in which every child succeeds'* and *'provision of inclusive learning environments'* as the Mission Statement.

He called a number of meetings and shared his vision for the school. There was little discussion and little changed after the meetings, although some parents and staff privately spoke about the danger of the school results going down as the teachers wasted time on the overaged learner who would never succeed. The vision did not seem to be making any difference in the school and after a few weeks, Mr Chagwa realised that the Vision and Mission statements were not adopted by the teachers, parents or students, and had indeed created some tensions.

2. Work in groups to discuss the following:
 - a. What is your response to Mr Chagwa's vision statement?
 - b. What did he do right?
 - c. Why do you think nothing changed?
 - d. What might Mr Chagwa have done differently?
3. Share your ideas in plenary.

Notes

Your role as school leaders is to provide leadership in developing and endorsing school strategic plans and to inspire all stakeholders in the school community to recognize the school vision and mission as the common direction of growth. In order to achieve this, you need to:

- provide leadership in developing the vision and mission based on a cycle of continuous improvement of student outcomes, and facilitating their integration into the school community;
- mobilize all stakeholders both in the school and the community in developing school strategic plans;
- collaborate with the school's teaching and administrative staff, including the student population, to implement strategies for change to improve student outcomes; and
- establish systems and partnerships for managing all available school resources to facilitate achieving the vision and mission towards improving student outcomes.

Below are the guidelines that you can follow to achieve the above stated roles.

Step 1 - Gather stakeholders

To start, identify all key stakeholders with significant interest in secondary education in your community. These may include key secondary education officers as well as representatives of the student body, teachers, PTAs, etc.

From the identified stakeholders, put together a small group with significant insights to offer and represent all your stakeholders. Be sure that the group is small enough but dynamic to be able to complete meaningful work in a reasonable time frame;

Step 2 - Look at your school

Every school has unique opportunities, challenges, weaknesses and strengths. Luckily, your school is full of data that can help you identify these areas (be data driven). To gather data, look at:

- i. Socio-economic status of students
- ii. Diversity in the classroom
- iii. Enrolment rates
- iv. Graduation rates
- v. Attendance rates
- vi. Repetition at JC
- vii. Dropout rates
- viii. Qualification of the teaching staff
- ix. Performance of the learners in national examinations
- x. School resources

Step 3 - Look at the future

Discuss how your school would look like in 5 to 10 years, using the following questions:

- i. Where do you think our CDSS is now?
- ii. Where do you see it in the 5 – 10 years?
- iii. In projecting our CDSS in the future, what part of the school's identify should be emphasized?
- iv. What kind of a CDSS do we hope to be?
- v. What should be reflected in our vision statement?
- vi. What unique aspirations do we offer?

Values can differ widely within the team, so the Chairperson must take time to synthesize and come up with a shared decisions about all the different options. In addition, the strategic planning team should:

- **Be inclusive** - Good planning is active and inclusive. Seek out key players with diverse viewpoints on the problem or issue. Once a diverse group of important players is at the table, it is important to get them to communicate with each other.
- **Manage conflict** - If the group is effective in attracting diverse views, conflict among members may result. Group leader should recognize differences, perhaps noting the diverse experiences that give rise to divergent views.
- **Use brainstorming rules** - Group facilitators must avoid making judgments about ideas and suggestions. Brainstorming rules apply. All ideas must be heard and noted without criticism.
- **Be efficient** - Planning meetings must be efficient, starting and ending on time. It is helpful to have an agenda or to build a consensus at the beginning of the meeting about what will be accomplished and in what time frame.
- **Communicate products of planning** - Planning will result in a useful product. Try to structure every planning session so that it results in a product, such as a list of issues or ideas. Show off the product at the end of planning meetings, distributing copies of the products of planning to all members.
- **Provide support and encouragement** - Finally, it is important to provide support and encouragement throughout the process of planning. Good planning takes time; it usually requires months to produce a detailed plan of action. Acknowledge the contributions of all participants, especially key leaders.



Session 2 - Developing School Vision and Mission Statement

Every school has a unique combination of opportunities, challenges, weaknesses and strengths that affect its operations. For a school to be effective and efficient, it has to operate in ways that use its opportunities to achieve the best of its strengths and overcome its threats and weaknesses. In order to accomplish that, a school needs to have a dream (vision) and a purpose (mission) that the school has to pursue through planned activities. Organizations summarize their *goals* and *objectives* in *mission* (to

describe what wants to do now) and *vision* (to outlines what the wants to be in the future). In this session, we shall define vision and mission statements, why they are important and how they can be developed.

Vision Statement

A vision, is a wish/dream/desire of what you want to become. In other words, it is a long term goal—what you hope to achieve in the future? The Vision Statement focuses on the future; it is a source of inspiration and motivation of your present activities.

Similarly for a school, a 'vision' is a clear statement of a dream that the school is trying to achieve so that all stakeholders – teachers, learners and community members – are working together to realise it. The vision needs to capture the aims of a school in its particular context to guide and inform the preparation of a school improvement plan.

Developing a vision for your school is an important part of being an effective school leader. To be an effective school leader, you are expected to:

- have a clear and an informed vision of what you want your schools to become.— A vision that focus on students and their needs;
- translate the vision into goals for your school and expectations for the teachers, students and parents; and
- not stand back and wait for things to happen, but continuously plan ahead and monitor progress.

Therefore, a vision is important for schools because:

- it provides the focus for all aspects of school,
- it informs planning and the development of school activities,
- it clarifies and prioritises the work of stakeholders,
- it helps to present shared beliefs and develop a common language, thereby securing alignment and effective communication and
- it describes how the school can be identified (uniqueness).

In addition, research of educational systems across the world found that 'almost all school leaders say that setting vision and direction' are among 'the biggest contributors to their success. Features of an effective vision statement include:

- Clarity
- Paint a clear picture
- Describing a bright future (hope)
- Memorable and engaging expression
- Realistic aspirations, achievable
- In line with School values and culture
- Original — Keep your school and community in mind at all times as you draft the school's vision (do not copy another school's vision)

Therefore, a school vision is much more than a few words of an imaginary goal; it expresses the values of the school stakeholders and it is the foundation for actions

that will lead to school improvement. If your school is extremely successful over the next 10 years, how will people describe your school? Think about the answer as you begin to develop the vision. Here are some examples:

School	Vision Statement
Muvi CDSS	<i>To be a nationally known school that produces high learner achievement</i>
Dziwe CDSS	<i>To become an extremely effective rural school that produces a generation of future leaders</i>
Nyanja CDSS School	<i>To be a highly regarded school for its academic excellence</i>

As you may note from these examples, a vision is more than a broad, flowery statement. A vision should help stakeholders understand how you hope others will view you, and describes some of your highest priorities.



Activity 4.2 – Developing School Vision

Work with your strategic planning team as below.

1. Ask the following questions, record key points, and discuss common themes: (30 minutes)
 - a. Essential why: What is the dream or ideal that you and your community seek?
 - b. Essential what: What would have to change for this dream to come true?
2. Come to consensus about what the vision statement should be by considering the following: (10 minutes)
 - a. Will it draw people to the common work?
 - b. Does it give hope for a better future?
 - c. Will it inspire stakeholders through positive, effective action?
 - d. Does it provide a basis for developing the other aspects of your action planning process?
3. Record the agreed upon statement.

Mission Statement

The word **Mission** simply means an important assignment of person or group of people. We usually say “*I have a Mission*”, or “*We are on a Mission*” to mean that we have a duty to fulfil. Similarly, a Mission in any organisation, for example a School, is a statement that defines its present duty and drives its decisions. It lays out the priorities and the purpose of the school.

Please note that though they are closely related, Mission Statement is not the same as a Vision Statement. Key differences between these two statements will be explained later.

Mission statements guide an institution in the right direction, and they play a part in helping the institution make right decisions. Without a mission statement, an institution may struggle when it comes to planning for the future. It is therefore important for a School to have a mission statement because it:

1. Guides the school forward – they are an important guiding tool when you are thinking about the future of your school. By identifying the purpose of your work and the school, you can better understand the goals the school should be committed to accomplish. Once those goals are set, the school can develop a school improvement strategy/plan.
2. Focuses your energy and attention - the simplicity of the mission statement requires you to isolate only the most important part of your school’s purpose.
3. Shapes the school culture by directing how the school stakeholders (learners, teachers, parents and community) should think about their respective roles/purpose.
4. Establishes consistency – as the school grows, you run the risk of losing your focus and your unique culture. A mission statement is your constant reminder throughout the journey.
5. Sends out a powerful message to the public – it communicates the values and commitment of the school to the public.
6. Drives an action as they are oriented around actions.

To develop a mission statement for your school, you will need to explore the steps the school needs to take in order to achieve the School Vision. Features of an effective mission statement are:

- Purpose and values of the school
- Who are the school’s main "clients" (stakeholders)? – in this case learners
- What are the responsibilities of the school towards the learners?
- What does the school want to achieve?

Below are examples of school mission statements that relate to the examples of the Vision Statements given earlier:

School	Mission Statement
Muvi CDSS	<i>We seek to provide quality and relevant education to all learners</i>
Dziwe CDSS	<i>Our mission is to empower learners to unfold their potential as whole and unique persons to actively participate as citizens and leaders in the national development</i>
Nyanja CDSS	<i>To promote effective learning by offering learners with relevant knowledge, skills and developing their abilities</i>

Please note that a School Mission statement can change but does not need to be changed every year. The going to grow and adapt with changes in your school.



Activity 4.3 – Developing a School Mission Statement

Work with your strategic planning team as below.

1. Carry forward ideas generated in developing your vision statement. Gather the ideas generated that described the “essential why” or the dream/ideal you seek and the “essential what” or what would have to happen for the dream to come true.
2. As a group select the statements that have particular relevance for the vision statement identified and brainstorm potential mission statements (e.g. Our mission is to _____ (essential why) through (or by) _____ (essential what). (30 minutes)
3. Come to consensus by considering the following: (10 minutes)
 - a. Does it describe the what your school will do and why it will do it?
 - b. Is it concise (one sentence)?
 - c. Is it outcome oriented?
 - d. Is it inclusive of the goals and the key stakeholder (learner)?

The difference between Vision and Mission Statements

From the definitions, features and examples of a Vision Statement and a Mission Statement, you may have noted that a mission statement describes what a school wants to do *now*, a vision statement outlines what a school wants to be in the *future*. In other words, a Vision Statement summarises an **end goal** while the mission summaries the **immediate objectives**. Both of these serve different purposes for the school but are often confused with each other. Please refer to the comparison chart below to explore the key difference between a Vision Statement and a Mission Statement.

	Vision Statement	Mission Statement
About	A Vision statement outlines WHERE you want to be. Communicates both the purpose and values of your School.	A Mission statement talks about HOW you will get to where you want to be. Defines the purpose and primary objectives related to your customer needs and team values.
Answer	It answers the question, “Where do we aim to be?”	It answers the question, “What do we do? What makes us different?”
Time	A vision statement talks about your future.	A mission statement talks about the present leading to its future.
Function	It lists where you see the school some years from now. It inspires the school to give its best.	It lists the objectives for which the school is operating. Its prime function is internal; to define the key measure or measures of the school’s success and its stockholders.
Change	As your school evolves, you might feel tempted to change your vision. However, vision statements explain your school’s foundation, so changes are minimal.	Your mission statement may change, but it should still tie back to your core values, needs and vision.
Developing a statement	Where do we want to be going forward? When do we want to reach that stage? How do we want to do it?	What do we do today? For whom do we do it? What is the benefit? In other words, Why we do what we do? What, For Whom and Why?

	Vision Statement	Mission Statement
Features of an effective statement	Clarity; Describing a bright future (hope); Memorable and engaging expression; realistic and achievable; in line with school values and culture.	Purpose and values of the school: Who are the school's main stakeholders (learners)? What are the responsibilities of the school towards the main stakeholder (learners)?



Session 3 – Developing Strategic Objectives

Objectives are specific measurable results of an initiative. They provide specifics about how much of what will be accomplished and by when. Common characteristics include:

- **Specific:** they tell how much of what by when
- **Measurable:** information can be collected, detected, or obtained from records
- **Achievable:** they are possible to achieve AND it's feasible for your school to reach them
- **Relevant:** there is a clear connection to how they fit with the overall vision and mission of the school
- **Timed:** timing by which it will be achieved is clear in the objective itself and an overall timeline
- **Challenging:** they stretch the school to set its aims on significant improvements that are important



Activity 4.4 – Developing Strategic Objectives

Work with your strategic planning team as below.

1. Begin by drawing on expertise from the group to determine what needs to occur to see real progress toward your vision and mission. Then, together, form a list of one or two general goals for your school
2. Then for each goal, develop one or two objectives. Consider what would have to change to suggest you are making progress toward that goal. Describe how much of what would change and by when and state your objectives. Consider the following questions:
 - a. What measures of activities or outputs would help us assess whether key activities are completed?
 - b. What changes in behavior would we see if the effort is successful?
3. Critique your objective based on SMART+C attribute and come to consensus about what the objective(s) should be. Record the agreed upon objective below.

Goal	Objectives
1	a. b. c.
2	a. b. etc...



Session 4 - Planning to Win: Developing Successful Strategies

A strategy is a way of describing how you are going to get things done. It tries to broadly answer the question, “How do we get there from here?” A good strategy takes into account barriers and resources, stay in-line with the overall vision,

mission, and objectives. Often initiatives use many different strategies to achieve their goals. Common characteristics of good strategies include:

- Give overall direction- points to an overall path without dictating a narrow approach
- Fit resources and opportunities- takes advantage of current resources and assets
- Minimize resistance and barriers- good strategies attract allies and deter opponents
- Reaches those affected- strategies connect interventions with those who it should benefit
- Advance the mission- likely to make a difference on the mission and objectives



Activity 4.5 – Developing School strategies

Work with your strategic planning team as follows:

1. Begin by considering your goals and objectives. Consider the following:
 - a. What risk and/or protective factors contribute to challenges in this area?
 - b. Who are the targets of change (people who experience or at risk for experiencing the issue or problem) and agents of change (those in a position to help contribute to the solution)?
2. Generate one or two potential strategies that aligns with your goals and objectives, addresses factors contributing to the issue, and considers agents and targets of change. Consider the following:
 - a. What resources and assets exist that can be used to achieve the vision and mission?
 - b. What obstacles or resistance exist that could make it difficult?
 - c. What are potential agents of change willing to do to serve the mission?
 - d. Which strategies reach those especially at risk for experiencing the problem?
3. Come to consensus about which strategy/strategies to focus on for action planning and record your agreed upon strategies below.

Challenge/Issue	Desired change	Targets and agents of the change	Strategy(ies)
1			
2			
3			
4			



Session 5 - Action Planning - How and When to Make it Happen

Finally, a school action plan describes in great detail exactly how strategies will be implemented to accomplish the objectives developed earlier in this process. The plan refers to: a) specific changes to be sought, and b) the specific action steps necessary to bring about changes in all of the relevant sectors, or parts, of the school.

Action steps are developed for each component of the school or changes to be sought. These include:

- Action step(s): What will happen
- Person(s) responsible: Who will do what
- Date to be completed: Timing of each action step
- Resources required: Resources and support (both what is needed and what's available)
- Barriers or resistance, and a plan to overcome them
- Collaborators: Who else should know about this action

Below is an template on an action plan for your reference.

Action Plan for Lake Chilwa CDSS

Objective (change being sought): _____

Strategy): _____

ACTION STEPS

Action Steps	By Whom	By When	Resources and Support Available/Needed		Potential Barriers or Resistance	Communication Plan for Implementation
What needs to be done?	Who will take actions ?	By what date will the action be done ?	Resources Available	Resources Needed (financial, human, political, and other)	What are the potential risks/challenges ? How can we overcome them?	What individuals should be informed about/involved with these actions?
Step 1:						

Step 2:						
Step 3:						

Please note that your action plans will need to be reviewed and revised, You will need to obtain feedback from stakeholders and add or subtract elements of your plans based on their feedback.



Activity 4.6 – Action Planning

Work with your strategic planning team using the template provided in this session to design action plans for your school based on the strategies you have set in Session 4 of this Unit. Once you have finished designing the action plans for your school, compile the following into what will be known as a strategic plan for your school:

- School Vision
- School Mission
- Objectives
- Strategies
- Action Plans

Note

Every school has a dream. But the most successful schools take that dream and find a way to make it happen. This strategic planning process helps schools to define their dream, set their goals, define ways to meet those goals, and finally, develop practical ways bring about needed changes.

Unit Summary

In this Unit you have gained a general understanding of the strategic planning process. The six sessions of this unit have provided a practical planning process through a Vision, Mission, Objectives, Strategies, and Action Plans (VMOSA) model that you should follow in your strategic planning process. Each step of the planning process has been explained through a discussion of these important individual ingredients for the planning process.



Unit Assessment

Having covered the content and done the activities of this unit, it is expected that you have been equipped with the necessary knowledge and skills to develop a strategic plan for your school. Reflect on the content and activities of this unit to answer the following questions:

1. Why should you create vision and mission statements for your school?
2. How do you create vision and mission statements for a school?
3. Why should you create objectives in strategic planning?
4. How do you create a strategic objective?
5. What are the criteria for developing a good strategy?
6. How do you develop a school improvement action plan?

Unit 5 – Financial Planning and Records Management



Introduction

The Ministry of Education, (MoE), is committed to ensure that there is proper, efficient, effective and transparent utilisation of resources allocated for the provision of education in Malawi. Under this commitment, MoE seeks to have all public schools to take a lawful responsibility to act in the best interest of all the relevant stakeholders on management of resources for enhanced learning outcomes. This has created the need for effective financial management systems in all the public schools. The purpose of this unit is to provide you with the necessary knowledge to make sure the financial resources under your school leadership are managed efficiently and effectively.



Intended learning outcomes

By the end of the unit, you should be able to:

- a. Recognise your financial management responsibilities and your accountability to the school stakeholders such as Parents, Government and Donors;
- b. Identify guidelines that will assist you in establishing systems of internal controls that comply with Government financial management regulations and procedures; and
- c. Make effective and prompt check on the rate of expenditure and proper financial control.



Key Concepts

Financial Management; Budgeting; procurement; Income and Expenditure; School Improvement Grant



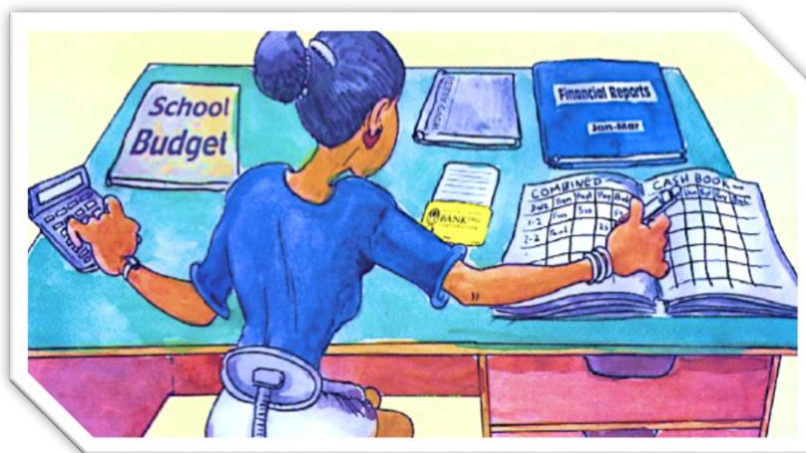
Session 1 – Basics of Financial Management (40 minutes)

The overall objective of this session is to assist you to understand key elements of school financial management system including planning, expenditure authorisation, implementation and recording of transactions, as well as reporting financial records. It provides the meaning financial management; the components of financial management process; ways of ensuring sound financial management in your school; importance and responsibilities for school's financial management and reporting.

What is Financial Management?

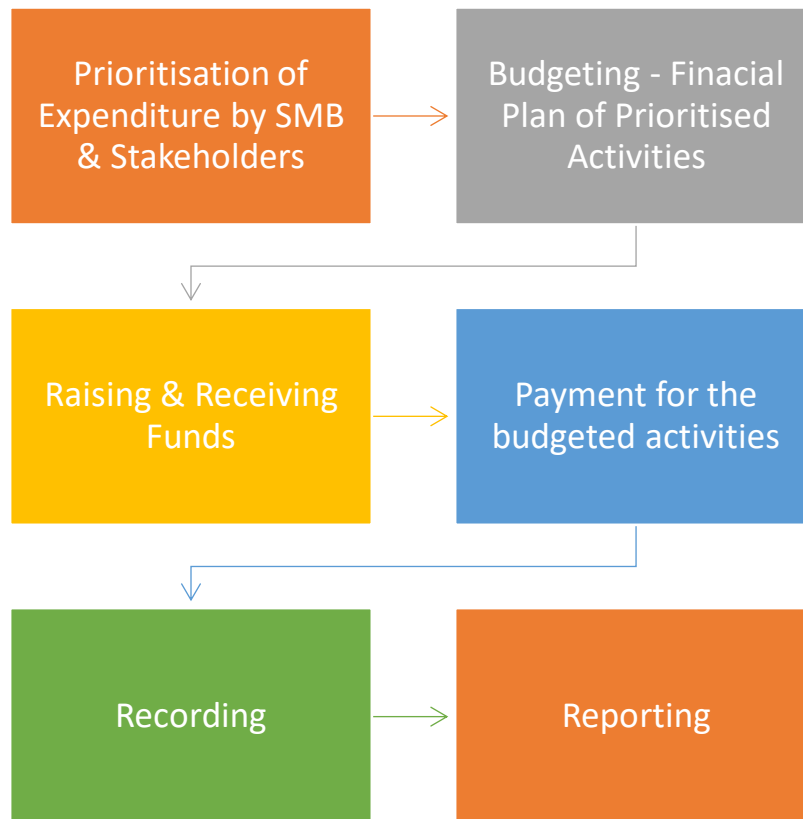
Financial management refers to the process of allocation and utilisation of resources in efficient and effective manner so as to accomplish the objectives of the organization. A financial management system comprises of the following components – planning and authorisation of expenditure; implementation and recording of transactions; generation and reporting of financial records.

School management and stakeholders require financial information to make informed decisions about the school. A school is required to raise and expend funds in accordance with approved budgets and these transactions must be properly and accurately recorded in your school's accounting records.



It is important for every school to first determine its expenditure priorities through a series of agreed and established procedures in order to have proper records maintained and avoid confusion. These prioritised areas must be recorded in writing.

The school management, particularly the head teacher, should be familiar with the key process of financial management. Below is the summary of the financial management process that you must follow:



Activity 5.1 – Benefits of Systematic Financial Management

In groups, discuss the following:

- What is the purpose/benefits of financial management in a school and why?
- To whom should you be accountable? Why?
- How are you going to make sure that you are accountable to the people/groups identified in (b)

Share your findings in plenary using the template below:

A	Benefits of financial management	Why
	1.	
	2.etc.	
B	To whom should you be accountable	Action for accountability
	1.	
	2. ...etc.	

Importance of having Financial Management Systems in your school(s)

Having School Financial Management systems will help in efficient and effective school management by:

1. Being accountable to the SMB, donors, parents and other stakeholders as they all need to know if the school funds are being used for approved purposes and the school receives value for money;
2. Ensuring that the school's resources are properly managed on behalf of the different stakeholders;
3. Making procurement, fund raising and cost control decisions in line with the relevant laws and regulations;
4. Utilising resources effectively and efficiently;
5. Gaining respect and confidence of the funding agencies and donors; and
6. Preparing for long term financial sustainability.

Your responsibility in School Financial Management

As a school leader, you are responsible for the management of the school's resources. You are therefore expected to establish systems within the school that will ensure proper financial planning, accounting and reporting. In discharging this responsibility, you may delegate to teaching or support staff as appropriate, but this shall not reduce your responsibility and accountability.

The SMB, PTA or other stakeholders may also lend their support to you with respect to resource management. However, the support extended to you as a head teacher does not excuse you from the overall responsibility for errors in the school's resource management.



Session 2 – Planning and Budgeting

This session provides content and activities to assist you to understand the concepts of financial planning and budgeting. It outlines the process of budget development and the roles of different stakeholders in the process. It also explains how to use a budget as a tool for planning co-ordination, implementation, control and reporting.

As you already know, planning is the process of setting goals, developing strategies and outlining tasks and schedules to accomplish the goals. The primary tasks of planning are to:

- Understand the operating environment;
- Define organisational goals;
- Explore options of meeting the set goals;

- Make and implement decisions, and
- Evaluate actual performance.

The principle of SMART (**S**pecific, **M**easurable; **A**ttainable; **R**ealistic; **T**imebound) goals is essential to setting meaningful goals. For example:

By the end of the first school term, all teachers should attend at least two CPDs on Inclusive School Culture.

This goal is Specific to (CPDs on School Culture); Measurable (all teachers and at least two CPDs); Attainable and Realistic (school can organise CPD and Inclusive School Cultures are relevant for all teachers); Timebound (by the end of the first school term).

A budget is a financial plan of future action that:

1. Forms a commitment to a plan or standard of performance;
2. Acts as a management tool or guide for decision making; and
3. Must be consulted constantly.

In preparing a budget for schools, you and the school stakeholders should:

1. Identify the school activities based on the School Improvement Action Plans;
2. Prioritise the activities guided by MoE priority areas (Access and Equity; Quality and Relevance; and Governance and Management);
3. Determine the expected or projected income for the period (school term or year); and
4. Determine the target expenditure for the period.

Budgeted areas are easily classified into two broad categories of estimated income and estimated expenditure.

Key uses of a budget in a public school

Having a budget provides you, as a school leader, with a basis for the school to:

1. Focus on priority activities to ensure effectiveness of resource allocation in your school;
2. Limit or prevent spending on unbudgeted/unplanned activities; and
3. Ensure resources are used only on approved activities.



Linking the Budget to the School Vision, Mission Statement and SIP

A school budget is realistic only when it is proportionate to the planned and prioritised activities of the SIP. In Unit 4 (Strategic Planning) you have learnt how to set a school vision, a mission statement and develop a school improvement action plans (SIP) from the set vision and mission statement. A vision, mission statement and SIP demonstrate the quality of the school's leadership and direction.

A school budget should be seen as the financial expression of the school vision, mission statement and SIP. It is a good practice for the SIP to summarise the information from the long-term strategic goals like school vision and mission statement so that the allocation of resources and the school budgets support the vision and mission. It is therefore recommended that the development of a SIP and the setting of the school budget should be done by the same group of school management members.

To ensure that the SIP is viable and that its implementation is realistic, it should be supported by a budget (financial plan) covering the same period. Therefore, when drawing up a school budget, it is important that the it builds on the SIP by costing the prioritised activities of the SIP.

Basic steps in preparing the school budget

Participatory budget will motivate implementers to own the planned activities. It is therefore important to involve SMB, PTA, Mother Groups and other key stakeholders to:

1. Identifying and determine the school's activities for the term/year (as per the School Improvement Action Plans) based on the school's known requirements;

2. Rank the activities in order of priority to ensure that the activities are allocated funds proportional to their priority. MoE provides the following priorities: **Access and Equity; Quality and Relevance ; and Governance and Management;**
3. Determine the expected income (receipt of funds) based on realistic projections of expected Government grants, user charges (e.g. hiring out of chairs, school grounds, classrooms), school income generating or resource mobilising activities, and donors (if any).

In making the estimates wishful thinking should be avoided.

The following principles should be taken into account when budgeting:

- Parents who cannot pay for other school activities that may require monetary contributions by parents and guardians; and
- Past behaviour in income and expenditure (budget variance). A mere addition of a percentage to the previous year's budget is not a realistic basis of estimates for determining the target expenditure for the planned period.

EXAMPLE OF SCHOOL BUDGET TEMPLATE

INCOME					
SN	SOURCE	DETAILS OF INCOME	AMOUNT		
1	MoE				
2	IGAs				
3					
4	Donors				
5					
EXPENDITURE					
SN	PRIORITY	ITEMS REQUIRED	QNTY	UNIT COST	AMOUNT
1	Access and Equity				
2					
3					
4	Quality and Relevance				
5					
6	Governance and Management				
7					
8					

It is expected that your planned expenditure should be less than the estimated expenditure



Activity 5.2 – Budgeting Tasks

1. Work in the same groups you formed during Activity 3.1 and Activity for Unit 3 in Module 1 to develop a school budget based on the following:
 - a. School Vision & Mission Statement you have set in Module 1 (Activity 3.1);
 - b. The SIP you developed in Activity for Unit 3 in Module 1;
 - c. The School Mater Enrolment Register (Unit 1 Session2 of this Module)
 - d. The TLMs Stock Book (Unit 1 Session 3 of this Module)
 - e. School Facilities Inventories (Unit 1 Session 3 of this Module)

2. Using the above listed school records, develop your school budget as follows:
 - a. Identify and list activities to be carried out in the school within the school year/term from the SIP;
 - b. Identify and list the resources (human and physical) that will be required and the possible sources;
 - c. Give an estimated cost of each of these resources (Since budget is mainly a financial statement, costing of the resources is of great relevance); and
 - d. Write down the costs of each activity against the expected resources and fill in the template provided on the previous page.

3. Present your budget in a gallery walk, with focus on how you:
 - a. Ranked the SIP activates in order of priority;
 - b. Identified the quantities of resources (human and physical) that will be required for the prioritised activities; and
 - c. Determined the expected income

Budget approval

The school budget should be discussed and approved by the School Management Board before it could be implemented. You should also submit the budget to the relevant stakeholders for their appreciation.

Budget implementation

As the school head, you should co-ordinate and control the implementation of the budget with the SMB by:

- Communicating the budget requirements to the PTA and other key stakeholders (e.g. community leaders) early enough so that they know how much will be required in a term/year and the proposed means of generating income and the roles they are supposed to play (just as with the Action Plans);
- Ensuring timely and optimal procurement decisions;
- Checking that activities are taking place as scheduled and according to approved budget priorities and activities;
- Organising monthly meeting with the staff and quarterly meeting with the SMB to review actual performance against budgets;
- Ensuring timely investigation of variances and determination of implications of variances (more explanation on variance is provided in Session 6 of this Unit);
- Determining the most appropriate action in addressing unfavourable variances, for instance there might be a shortfall in receipts, and funds from one expenditure type may need to be shifted to another.



Activity 2.3 – Budgeting Responsibilities

Discuss with your head or deputy head teacher to present what you have been doing before the training and what you plan to do and why on the following:

1. Use of budgets
2. Steps observed in preparing the school budget
3. Approving the budget
4. Your role as a head/deputy head teacher in coordinating and controlling the implementation of the budget

Share your findings in plenary using the template below:

	What you have been doing	What do you want to change	Why
Use of School Budget			
Process of preparing a school budget			
Approving a school budget			
Your role in coordinating and controlling the implementation of the budget			



Session 3 – Receiving Funds for School

This session provides you with information and activities to help you understand the process of acquiring the school funds; it also explains the essential documents in the receiving of funds; the actions you should take upon receiving funds at your school;

how to maintain records of funds received; and the internal control measures would you use to ensure safe keeping of receipt books.

Receipt Book

The main source of school funds is the Government of Malawi through Local Governments (District/Municipal/City Assemblies). The Government support includes: the provision of SIG; provision and payment of teachers; and provision of learning and teaching resources. Parents and community supplement on physical facilities, support staff, learning and teaching resources and other amenities necessary for running the school effectively. Other sources of funds for the school may include and not limited to: income generating activities (IGAs), Donations, Constituency Development Fund (CDF), etc.

Local initiatives for fund raising vary from school to school and may include school farm produce, exhibitions, school drama, donations from well-wishers, auction of donated materials or community participation in funds raising/resource mobilisation meetings.

Funds collected by the school through whatever channel are public funds that must be properly and fully accounted for. The receipt of funds should be acknowledged by issuance of official school receipt. The original receipt should be given to the payer for the amount collected, while a counterfoil copy should be retained in the receipt book for audit purposes and for evidence of the source of revenue.

The official receipt book should have serial numbers. The features of a receipt should include date of receipts, purpose of funds, signature for receipts of funds and amount in word and figures. A receipt format is provided in the example below. Official receipt book should be printed in triplicate either by the school or the MoE.

EXAMPLE OF A SCHOOL RECEIPT

LAKE MALAWI PRIMARY SCHOOL P.O Box 678, Kachulu		
Date.....	CASH RECEIPT	No. 98226
Received From.....	
.....	
The sum of.....	
.....	Kwacha	
For.....	
Received by.....	K.....	

If an error is made in preparing a receipt, the receipt must be cancelled cross by writing the word CANCELLED across the face of the original and the copy. If the original has been removed from the book, it must be pinned/glued back into place so that an auditor or any interested stakeholders can examine both the original and duplicate.

For security reasons, receipt books whether partly used or wholly used must be kept under lock and key. The person receipting should not keep the unused receipt books. For instance, where a designated teacher is collecting revenue, the head teacher should keep the unused receipt books. The used receipt books should be preserved for review or audit.



Activity 2.4 – Maintaining Records of Funds Received

1. Individually reflect on the content covered in this session to answer the following questions:
 - a. What actions processes are you going to follow when receiving funds at your school?
 - b. How are you going to ensure that you maintain records of funds received?
 - c. What internal control measures are you going to institute in order to ensure safe keeping of receipt books?
2. Discuss your ideas in pairs and share to the whole class in plenary.



Session 4 – Procurement

In this session, you will review the process of public procurement in schools. It will provide you the definition of public procurement; the objectives of procurement procedures; the procurement cycle; the methods of public procurement and their applicable thresholds; the procurement committees in schools and their functions; and process of preparing an annual procurement plan

Public Procurement Guidelines

Public procurement is the acquisition by purchase of goods/services and works required for smooth operations of a public entity's planned activities. Public procurement is governed by an Act of Parliament which currently is known as Public Procurement and Disposal of Assets Act, 2017.

As school managers, you are expected to familiarise and uphold the laws that govern your duties. The Public Procurement and Disposal of Assets Act provides a legal framework and procedures meant to:

- i. Guide you on the processes and procedures to adhere to Regulations and Guidelines;

- ii. Enhance fair trade by allowing competition among suppliers, and ensure best practices through prices and quality;
- iii. Enhance efficiency by providing a choice of alternative methods where efficiency will be achieved without hindering competition;
- iv. Enhance transparency by following formal written procedures throughout the process and using explicit criteria to award contracts;
- v. Increase integrity and public confidence by adopting procedures that are in line with the Malawi Government Public Procurement Regulations;
- vi. Ensure fair treatment of suppliers/contractors;
- vii. Ensure full accountability through proper management and monitoring of the procurement, delivery and receiving processes.

When planning for procurement, your school should use appropriate methods depending on the value of procurement:

1. Low Value – Used when procuring very low value items/services without competition. Schools, due to the nature of their funding, usually buy items or services of very low-value. These low-value items are those that you procure on recurrent basis and in low quantities such as pens, notes books, markers, chart papers, glue, fixing a borehole/tap, etc.
2. Request for Quotations - Used when procuring goods, works and services which are readily available in the market and whose costs are below the thresholds that the Public Procurement and Disposal of Assets Authority (PPDA) sets from time to time. Where such procurement is done, the school should have an Internal Procurement Committee (IPC). This procurement process allows for fair competition and trade and enables the school to get value for money. The suppliers of such goods/services must be registered with the PPDA.
3. Direct Procurement - It is a non-competitive method whereby only one supplier is invited to supply goods/works/services subject to fulfilment of certain conditions e.g. where there are no reasonable alternatives apart from just one provider - e.g. supply of electricity is only done by the Electricity Supply Cooperation of Malawi (ESCOM)

Procurement of goods, works or services of high values is done through other forms of procurement like Open Tender and Restricted Tendering, etc. High-Value procurement should only be done by the MoE or the Local Government (City/District Assembly) for your school.

In order to demonstrate transparent transactions and value for money you should not procure goods or services from those organisations where they have vested interests. Awarding any contract to your spouse or her company would amount to abuse of office.



Activity 2.5 – Procurement Case Study

Study the case below and answer the questions that follow.

Nyasa CDSS is one of the public schools at Chizumulu Island. Mr Dimba, the head teacher of the school, announced to the learners at one of the assemblies, that a new Form 4 classroom was to be constructed next to the old Form 3 block. He told the learners that they should keep off the construction site. The work to construct the classroom was given to Mr Mawanga, a known bricklayer and member of the SMB, who proposed the construction of a new classroom block in one of the SMB meetings. The classroom was well constructed, although it was not in the annual budget.

A similar classroom was constructed at a neighbouring Nyasa Lake Malawi CDSS. The head teacher at Lake Malawi CDSS, Mrs Chanza, announced to the learners to inform their parents of the proposal by SMB and PTA to construct a new classroom as per the school improvement action plan and budget. She invited parents who have the skills to help in the construction the block and the school will pay them. She instructed the learners to tell their parents who are interested, to get to the school to discuss the construction of the new classroom. The classroom was well constructed but at half the cost that Nyasa CDSS spent on a similar classroom block.

Questions

- a. Are Mr Dimba and the SMB of Nyasa CDSS justified to give the classroom construction contract to Mr Mawanga? Why?
- b. Why do you think Nyasa CDSS spent almost double the amount Lake Malawi CDSS spent on a similar block despite being in the same area?
- c. What lessons have you drawn from the leadership of Lake Malawi CDSS?

Note

Specific procurement guidelines are provided in Unit 6 of this module.



Session 5 – Making Payments

This session provides you information to help you understand the process of spending school funds. It explains the requisite documents used during payments and some of the documents you would use to support a payment.

Payment Voucher

It is required that every school should open and maintain a bank account for its SIG and any other funds that the school generates. Payments for goods, services and works should be documented by use of a payment voucher.

A payment voucher is a document that acknowledges expenditure/payment. All payments must be approved by the head teacher. In making payments, you are required to ensure that:

1. the items to be paid for are in the budget;
 2. The items to be paid for were properly procured;
 3. Goods or services have been duly received or rendered, inspected and accepted;
 4. A payment voucher is executed for the payment before the money is withdrawn from the bank;
- A properly executed payment voucher should have the following features:
 - Serial numbers and date
 - Payee details
 - Adequate explanation of purpose of payment
 - Amount in figures and words
 - Recipient signature
 - Payment authorisation signature

EXAMPLE OF A PAYMENT VOUCHER

PAYMENT VOUCHER	LAKE MALAWI PRIMARY SCHOOL P.O Box 678, Kachulu	Voucher No. 2261 Date.....
Pay to _____:		
DESCRIPTION	AMOUNT	
	Cash/Cheque	K t
Total sum of.....		
.....		
Payment Approved by: Received by:		

Forms of Payment

Cash Imprest - An imprest is a form of cash advance or float which the head of the institution may authorize to officers who in the course of duty are required to make payments which cannot be possibly made at the school or an entity or bank account.

Imprests are taken for out-of-station travel or for making cash purchases. Payments are normally disbursed in cash and subsequently accounted for on return from the journey or surrender on production of receipts for cash purchases.

When returning an Imprest at the end of the journey or cash purchase, the imprest holder must attached all relevant receipts to prove the nature and amount of the expenditure.

Petty cash - This money meant payment of small items expenditure such as tea expenses for staff, postage stamps etc. The limit of petty cash should be determined by the SMB. Please note that payments out of petty cash should be duly approved and adequately supported by a cash receipt or a payment voucher.



Activity 2.6 – Approving Payments

Reflect on the content covered in this session to answer on the following questions in plenary:

How are you going to process payment process payment in your schools

1. Who will approve the payments and use of funds in your school and why?
2. What factors are you going to consider before approving any payment?
3. What record(s) are you going to use when approving any payment?



Session 6 – Reconciling Financial Transactions

This session will assist you to understand the process of recording transactions (receipts or payments). It explains the requisite of updating and analysing a school cash book. This session also outlines processes for: recording the revenue collected and payments made; reconciling cash book balances; and maintaining other internal controls.

Recording receipts and payments in Cashbook

Funds receipt should be recorded in a properly analysed cashbook using the official receipt raised on the receipt of funds. The following details should be recorded in the cash book:

- Date of receipt;
- Source of funds;
- Official receipt number; and
- Amount

All funds received must be recorded in a serialised official receipt and issued immediately before entering the record in a Cashbook. The official receipt provides evidence of receipt of funds by the school.

As discussed earlier in Session 5 of this Unit, payments for goods and services should be documented by use of a payment voucher. All payments should be recorded in the cash book immediately. The details should include:

- Date of payment
- Payee/purpose
- Payment voucher number
- Amount paid

Find below an example of a School Cashbook.

EXAMPLE OF CASHBOOK

INCOME			EXPENDITURE		
Date	Details of income	Amount	Date	Details of expenditure	Amount

Cashbook balance can be calculated by finding the total of the expenditure and subtract it from the total of the income, that is: Total Income - Total Expenditure.

The cash book balance should match the balance in cash/bank. If there is a mismatch you are required to investigate and report on what caused the difference. There are several reasons for differences between a cashbook balance and a bank balance. These are:

- interest paid by the bank will appear on the bank statement but may not have been shown in the Cashbook;
- Any bank charges (e.g. bank fees) appear on the bank statement but may not have been recorded in the cashbook; and
- There may be incorrect entries in the bank statement or in the cashbook.

Producing a School Financial Summary

Financial summaries provide information about the flow of a school’s financial resources, both into the school (income or revenue) and out of the school (expenditure). One side of such financial summaries shows the school’s revenue, categorised by source of funds. The other side records the school’s expenditure by type (see example below). The balance between the revenue and expenditure informs about the state of finance and management of the school.

EXAMPLE OF A SCHOOL FINANCIAL SUMMARY

Period: From To.....			
INCOME		EXPENDITURE	
Source of Funds	Amount	Expenses	Amount
1. SIG Funds		1. Ed Access & Equity	
i.		ii.	
iii.		iv.	
2. School Revenue		v.	
i.		2. Ed Quality & Relevance	
ii.		i.	
ii.		iii.	
3. Other Revenue		3. Governance & Management	
i.		ii.	
iii.		iv.	
Balance brought down			

Reconciling the Financial Summary with the Budget

In Session 2 we discussed financial planning and budgeting where it was highlighted that a budget helps to plan, track, and control spending. It is used to ensure that spending follows a plan; supports objectives of planned activities; stays within pre-set limits; and does not exceed available funds. A budget could also be used to support funding requests by showing how the requested funds could be used. However, spending does not always match the budgeted amount, which results in budget variances.

A budget variance is the difference between the budgeted or baseline amount of expenditure or income, and the actual amount. The budget variance is known to be favourable when the actual income is higher than the budgeted income or when the actual expenditure is less than the budgeted expenditure.

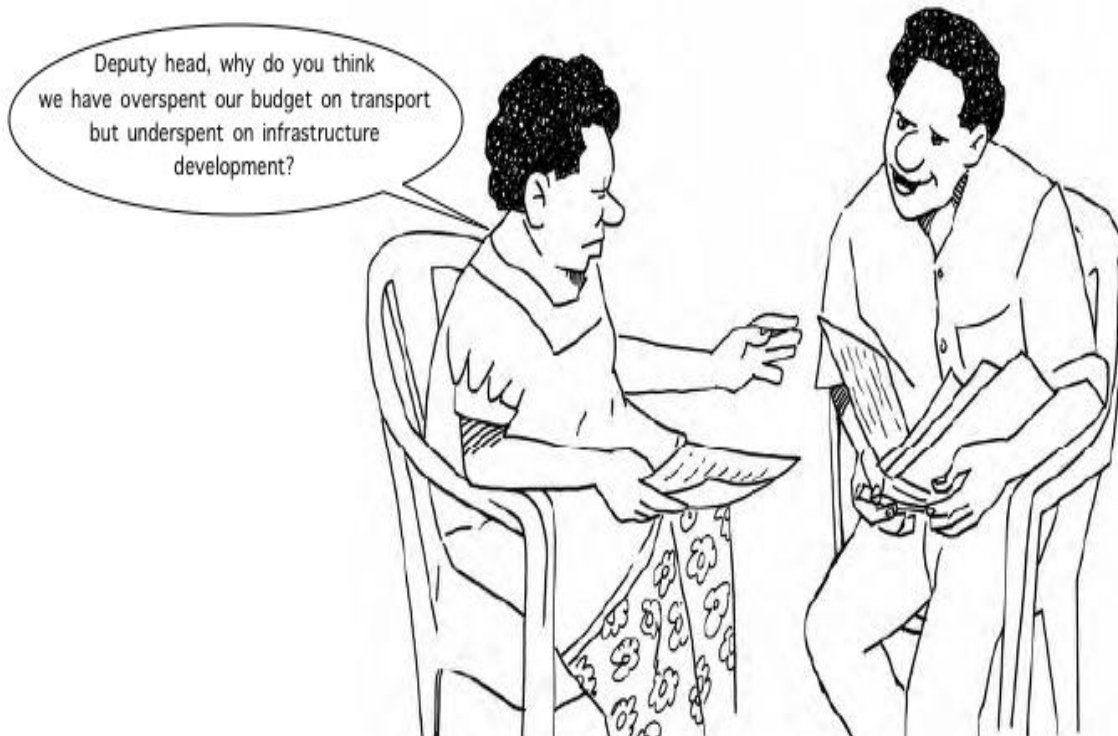
A budget variance is frequently caused by inaccurate assumptions or improper budgeting. Below is an example of a budget variance analysis.

EXAMPLE OF A BUDGET VARIANCE ANALYSIS

INCOME							
S N	SOURCE	DETAILS OF INCOME			BUDGETE D AMOUNT	ACTUAL INCOME	INCOME VARIANCE
1	MoE						
2	IGAs						
3							
4							
5	Donors						
Total							
EXPENDITURE							
S N	PRIORITY	ITEMS REQUIRE D	QNT Y	UNIT COS T	BUDGETE D AMOUNT	ACTUAL EXPENS E	EXPENDITUR E VARIANCE
1	Access and Equity						
2							
3							
4							
5							
6	Quality and Relevance						
7							
8							
9							
10	Governance and Managemen t						
11							
12							
Total							

A budget variance analysis would help you and the SMB to get a more realistic picture and make a more accurate budget for the coming month/term/year. It is more important to find out why variance occurs, than to assign blame.

As a good school leader, you need to learn the causes of the variances. If it's an issue of volume or use, then demand is more than expected. It might be a price variance – e.g., price for stationery rises faster than expected. Maybe it's due to income (IGAs, Grants or donations are not as much as expected).



Once the causes are determined, several actions can be taken, depending on the cause: You can Improve the accuracy of forecasting; Build a bigger buffer into the budget; Utilize better cost controls / monitoring of the execution; Build in a reserve fund for unexpected volume, price, or income variance

Unit Summary

School financial management comprises the planning and implementation of a financial plans, accounting, reporting and the protection of assets from loss, damage and fraud. If a school does not have the financial management mechanism all activities of the school are exposed to the risk of incorrect, improper and ineffective school leadership, which is particularly reflected in the financial controls of an institution. This means a great risk for incorrect and ineffective leadership as well as unintended use of public financial resources at the school. This Unit has provided you with a set of procedures and methods to ensure compliance with the principles of legality, transparency, efficiency, effectiveness and management of the school financial resources.



Unit Assessment

Having covered the content and done the activities of this unit, it is expected that you have been equipped with the necessary skills to efficiently and effectively manage the financial resources of your schools.

After this training, you will have to work together with your head or deputy head teacher to create, update and use the following financial management records of your school activities by using the templates and examples provided in this unit:

1. School Action Plan
2. School Budget
3. School Internal Procurement Committee
4. Payment Vouchers
5. Receipt Book
6. School Bank Account
7. Cash Book
8. Financial Summary
9. Budget Variance Analysis

Unit 6 - Managing Procurement in Schools



Introduction

In this unit, you will review the process of procurement in schools. The unit will provide you the definition of procurement; the key roles and responsibilities in the management of procurement in schools; the procurement committees in schools and their functions; and process of procurement.



Intended learning outcomes

By the end of this unit, you should be able to:

- d. Identify the provisions of the Public Procurement and Disposal of Public Assets Act
- e. Recognise your responsibilities and accountability to the school stakeholders such as Parents, Government and other school partners;
- f. Describe the school organisational framework for procurement
- g. Identify guidelines that will assist you in establishing systems of procurement controls that comply with public procurement laws; and
- h. Make effective and prompt check on the rate of expenditure and proper financial control.



Key Concepts

Financial Management; Budgeting; Procurement; School Improvement Plan



Session 1 - What is Procurement?

Procurement is the process of purchasing goods, services or works that are not produced by the organisation itself but are required for its own performance. A procurement process controls quantity, quality and sourcing of the goods, services and/or works by ensuring that the purchasing is competitive, fair, and provides the best possible prices available in the market. Because of the benefits gained through a formal procurement process, procurement is an important systems component in any organisation overall management structure. Procurement is done in both private and public institutions. Since the school is a public institution, we shall focus our discussion on Public Procurement.

Public Procurement

Public procurement is the acquisition by purchase of goods, services and works required for smooth operations of a public entity's planned activities. It is characterized by the fact that the buyer belongs to the public sector or that goods and services are purchased for public requirements. Public procurement is governed by an Act of Parliament which currently is known as Public Procurement and Disposal of Public Assets Act, 2017.

The School as a Procuring Entity

“Procuring entity” is a term used to define all government bodies involved in public procurement. It includes ministries, departments, agencies, statutory bodies and parastatals organisations. Thus, a School is a procurement institution/entity as it is involved in the procurement of goods, works and services on behalf of the public. Schools are therefore responsible for managing their own procurement activities, in accordance with the Act and other applicable laws.

As school managers, you are expected to familiarise and uphold the laws that govern your duties. The Public Procurement and Disposal of Public Assets Act (2017) provides a legal framework and procedures meant to:

- viii. Guide you on the processes and procedures to adhere to Regulations and Guidelines;
- ix. Enhance fair trade by allowing competition among suppliers, and ensure best practices through prices and quality;
- x. Enhance efficiency by providing a choice of alternative methods where efficiency will be achieved without hindering competition;
- xi. Enhance transparency by following formal written procedures throughout the process and using open criteria to award contracts;
- xii. Increase integrity and public confidence by adopting procedures that are in line with the Malawi Government Public Procurement Regulations;
- xiii. Ensure fair treatment of suppliers/contractors;
- xiv. Ensure full accountability through proper management and monitoring of the procurement, delivery and receiving processes.

Procurement as part of Financial Management

Good school financial management ensures that the resources that are available to the school are used for the maximum benefit of the learners. More specifically, Financial Management means ensuring that every Tambala spent is used for the most effective purpose and that every Tambala can be accounted for once it is spent. As a school leader, you are responsible for the management of the school's resources. You are therefore expected to establish systems within the school that will ensure proper financial planning, accounting and reporting as follows:

1. Development of a School Improvement Plan - You have learnt how to set a school vision, a mission statement and develop a school improvement plan (SIP) from the set vision and mission statement. A vision, mission statement and SIP demonstrate the quality of the school's leadership and direction.
2. Preparing a School Budget – To ensure that the SIP is viable and that its implementation is realistic, it should be supported by a budget (financial plan) covering the same period. Therefore, a school budget builds on the SIP by costing the prioritised activities of the SIP.
3. Managing Procurement – As a school leader you should co-ordinate and control the implementation of the budget through procurement. The school should only purchase goods, services and works based on the SIP and the school budget.
4. Verifying and Reporting Activity completion–Report to shows how money was spent against the school budget and the SIP.

In discharging this responsibility, the SMC plays an important oversight or 'watchdog' role in ensuring transparency and accountability in the procurement process. To effectively achieve this oversight role and ensure fairness, transparency and accountability, the SMC should establish the following two sub-committees:

- i) SMC finance sub-committee and
- ii) SMC procurement sub-committee also known as an Internal Procurement Committee (IPC).

The SMC Chair should only play an oversight role for these subcommittees and thus may not serve on either sub-committee.



Session 2 - Procurement Roles & Responsibilities (10 min)

Having clear roles and responsibilities is important in managing the procurement process. Knowing who can authorize, withdraw and record spending of funds is important to ensure accountability and transparency. Involving community stakeholders in all aspects of managing procurement can strengthen transparency and accountability. The following established roles and responsibilities provide you with guidelines for managing procurement in schools.

SMC Procurement Sub-Committees

The SMC Procurement Sub-Committee is responsible for conducting all procurement activities in consultation with section heads and subject to the approval of key stages in the process by the SMC Finance Sub-Committee. Each School should have its own Procurement Committee, which will manage all aspects of procurement activity, using specialist advice where required, including:

- procurement planning;
- drafting request for quotations documents;

- evaluating quotations and preparing evaluation reports;
- conducting procurement negotiations, where required; and
- making purchase recommendations to the Finance Sub-Committee
- Verifying quality of all goods/service providers;
- Record goods and services in stock book and issue goods and services to beneficiaries

The composition of the school IPC should include:

- Chairperson who should be the DHT;
- A minimum of three teachers from the school, and may have up to six members.
- Community members (SMC and PTA) may serve as ex officio (this means non-voting) members to ensure that the community is able to play an oversight role.

SMC Finance Sub-Committee

School Finance Committees are responsible for authorising all procurement payments in consultation with section heads and subject to IPC approval of key stages in the process. Each School should have its own finance committee, whose responsibility includes:

- Developing plans and budgets
- Ascertaining the availability of funds to pay for procurement
- Monitoring implementation of school budget and finances, and
- Making recommendations to the IPC

This committee must have no less than five (5) members, including:

- 1) SMC Treasurer (Chair);
- 2) Head Teacher (Secretary for the committee);
- 3) Two (2) SMC Representative,
- 4) Teachers' Representative.

The SMC finance sub-committee should meet at least twice per term to review the school finances, including procurement payment. All members of the Committee should be present at each meeting. If this is not possible, at least four members should be present. Minutes of the meetings must be kept in an A4 hardcover and signed by all members present at the meeting.

Heads of Sections and PTAs

Heads of Sections and PTAs are responsible for initiating procurement requirements and preparing technical descriptions of their respective requirements. They will often be called on by the SMC Finance Sub-Committee to provide technical inputs, particularly to evaluations.

Although the procurement process is managed by the SMC Finance Sub-Committee, this will always be done in consultation with the Heads of Sections and PTA, to ensure that it meets the user's needs.



Activity 2.1 – Case Study

Mr. Dambo is a deputy head teacher at Chitunda Primary School. As the DHT, he is a Chairperson of the School Procurement Committee. Since he became DHT, he has single-handedly facilitated the construction of several classrooms, change rooms and ramps to the school library and classrooms. However, the community members suspect that Mr. Dambo is misusing money for the school through dishonest deals with building contractors and materials suppliers. The PTA feels that the HT and the SMC are shielding Mr. Dambo by not replacing him as a Chairperson of the procurement committee.

In groups, discuss the following:

1. What are the most likely reasons for the community members to suspect that the school leadership is corrupt in managing procurement
2. What can the school leadership do to address this problem?

Share your findings in plenary.



Session 3 - The Procurement Process

Individual procurement processes differ slightly, depending on the method of procurement e.g. request for quotations or single source procurement; and the type of procurement i.e. goods, works or routine services.

Despite these differences any procurement for goods/services/works costing more than K10,000.00 (Ten thousand Kwacha) should follow the same basic process, which can be broken down into key stages. These stages are outlined below.

Stage 1 - Raising a Procurement Requisition

A requisition (request) must be raised to start any procurement process. It serves a number of purposes, including:

- documenting the goods, works or services required;
- confirming the availability of funding, based on the estimated value of the procurement requirement;
- confirming that goods cannot be obtained from stores, where appropriate; and
- documenting the approval to proceed with the procurement.

The school budget includes goods and services that the school needs to buy in order to implement the SIP. It is the responsibility of the procurement committee to identify the goods or services needed and produce a plan (procurement plan) and obtaining all necessary approvals as follows:

- i. The procurement process will start with the identification of a need for goods, works or services.
- ii. List the goods, works or services required on a requisition form.
- iii. Prepare a description of requirements/specifications - A detailed description of requirements should be attached to the requisition form. The description of requirements is used to:
 - inform the Finance Committee what the end user needs to purchase, providing the basis for the procurement planning and budgeting;
 - inform potential suppliers of the Schools' requirements;
 - provide the technical standard against which quotations will be evaluated;
 - form part of the contract, defining the goods/works/services to be supplied; and
 - set the technical standard against which the goods supplied can be inspected, prior to acceptance.
- iv. Estimate the value of the goods, works or services. The estimate may be based on recent, similar requisitions, market research or an estimate by a technical specialist.
- v. Obtain confirmation of the availability of funds for the requirement approval to proceed with the procurement, through the School Finance Committee.
- vi. Pass the requisition and the description of requirements to the School Finance Committee.

The requisition form and the description of requirements must be approved by the Finance Committee, to get confirmation of availability of funding for the procurement requirement, based on the estimated value on the requisition form; and of the need for the goods, works or services listed on the requisition form against the school budget and the SIP.

A requisition form must be completed and passed to the Finance Committee, who will open a procurement file for the requirement. The Heads of Sections or the PTA should also keep a copy of the requisition for their own records. The requisition form must include:

- the name of the end user department raising the requisition;

- a list of the goods, works or services required, including quantities and units of measure;
- the estimated unit and total value for each item;
- the location for delivery or performance of the goods, works or services;
- the date or dates for delivery, completion or performance of the goods, works or services;
- confirmation of availability of funding; and
- approval to proceed with the procurement.

An example of a typical list of a Requisition Form is shown below:

Goods/Services/Works Requisition Form			
Date: 20 April 2020			
Request From: <i>School Mother Group</i> Request For: <i>Change room Construction Materials</i>			
Item Number	Brief Description of Goods/Works/Services	Quantity	Unit of Measure
1	28 Gauge plain corrugated iron sheets	5	Each
2	3 inch roofing nails	3	Kilograms
3	Cement	4	50kg bags
4	Lime	1	20kg bag
The requested goods are need on or before: 3 June 2020			
The undersigned confirm that there is money/ no money in the budget to make this purchase and approve/ do not approve this request:			
SMC Chair:			
PTA Chair:			
Head Teacher:			

Guidance Note 1 – List of Goods/Works/Services

- The list of goods should briefly describe each of the goods/works/service that the school requires and specify the quantities of each.
- The list of goods should also describe any incidental works or services required, such as installation and commissioning, preparation of the site for installation or user training e.g. procurement of a borehole.
- Each item should be numbered sequentially on the list for reference purposes. Along with the quantity, the unit of measure must also be specified e.g. kilograms, litres, reams etc.
- Complete items, such as a bicycle, should be given a unit of measure of “each”.

Guidance Note 2 – Specifications

The specifications should define the technical characteristics and quality standards of the goods/services/works required by the school. Well-prepared specifications will assist the school when evaluating the quotations from the potential suppliers. However, specifications must be generic i.e. they must not refer to a particular trademark, brand name, make or model, patent, catalogue number or any other detail which would limit the specification to a specific manufacturer.

Guidance Note 3 – Delivery Schedule

The delivery schedule should specify the delivery period and place for each of the goods. Where any related works or services are included, the delivery schedule should also state the completion period and the site. In preparing the delivery schedule, the following guidance should be taken into account:

- The delivery and completion periods should be realistic. Unrealistically short delivery or completion expectations may result in restricted competition or may prompt complaints from prospective bidders.
- The delivery and completion periods are best expressed as a number of days, weeks or months from the date of contract award
- The delivery period should take into account whether the procurement is of standard, readily available goods or goods which are likely to be manufactured to order.
- Where appropriate, different delivery periods should be given for different items or the total requirement should be split into several batches, with phased deliveries.
- The delivery period should take into account whether the goods are likely to be available in Malawi or require importing. Where the goods are likely to be sourced internationally, the location of the goods and likely transport times should be considered.

Stage 2 – Requesting For Quotations (RFQ)

The request for quotations is critical to the success of the procurement process. It is important as it informs the potential suppliers of the following when requesting for quotations:

- the precise description of the goods, works or services required;
- the type and conditions of the proposed procurement.

The Procurement Committee is responsible for drafting the requesting for quotations document, in consultation with the end-user. The Procurement Committee should

seek advice from technical specialists, where required. A copy of the approved RFQ, along with its approval, must be retained on the procurement file.

Efforts should be made to buy goods within the school’s catchment area. In cases where the required goods are not available in the same catchment area, the purchases can be made from the nearest approved supplier outside the catchment area. Other requirements include:

- There should be a minimum of three (3) quotations. If it is not possible to obtain three (3) quotations locally, the Procurement Committee must document the reasons why this is not possible and explain the process for providing only one or two bids to the SMC.
- In exceptional cases where the number of suppliers may be fewer than three (3), the DEM or her/his representative (e.g., PEA) must certify this.
- Quotations should be dated and signed by the supplier and be kept in a file for verification.

As a school, you may consider drawing the quotation templates in a notebook/piece of paper and ask the potential suppliers to fill-in the information. See example below.

Quotation			
No...			
Name and Address of Supplier:			
.....			
.....			
.....			
Date:			
To:			
Lake Malawi Primary School			
Box 11			
Nyasa			
Item	Item Description	Unit Cost	Amount
1	5 x 28 gauge plain corrugated iron sheets		
2	3Kg x 3inch roofing nails		
3	4 bag x 50 kg Cement		
4	1 bag x 20kg Lime		
		VAT	
		Total	
Supplier’s Signature and/or Stamp			

Ensure that you request for quotations from potential suppliers who are well known and have an established business, i.e. they are always available, have physical address and are a recognized supplier of goods/services/works required. It is good if the potential supplier also has access to a bank account.

Stage 3 –Technical Evaluation

The purpose of evaluation is to objectively assess and compare all quotations received, using a pre-defined methodology and criteria, to determine who is the successful bidder. The evaluation methodology helps the School to determine the lowest priced quotation, which is responsive to the requirements of the Request for Quotations. This ensures that the School only purchases goods/services/works of the required standard, but does not pay any more than necessary. A well conducted evaluation should ensure that:

- competition is fair and that all bidders have an equal opportunity;
- the goods, works or services purchased are of appropriate quality; and
- the school gets the best possible value for money

The Procurement Committee has the overall responsibility for evaluations, but will obtain technical advice from the end user, or other technical specialists, as required. The committee should do the following when evaluating the quotations:

1. Review and list the requirements, specifications and instructions specified in the requisition and description of requirements document and ensure that these are clearly understood.
2. Conduct a detailed evaluation on the quotations which passed the preliminary screening
3. Conduct a financial evaluation on the tenders which passed the detailed evaluation to determine the lowest priced quotation

The detailed evaluation is conducted to determine whether the quotations are substantially responsive to the technical and commercial requirements of the bidding document.

The technical evaluation is conducted on a pass or fail basis; only quotations which are responsive, or substantially responsive, to the RFQ are included in the subsequent financial evaluation. Non quotations tenders are eliminated from the evaluation.

Guidance Note 4 – Determining Responsiveness

In evaluating the quotations, the evaluators are required to decide whether the quotation is “responsive” (i.e. meets the School’s requirements) or “non responsive” (i.e. does not meet the School’s requirements).

As guidance only, the reasons for a nonresponsive quotation are likely to include:

- unacceptable schedules for delivery or completion;

- unacceptable technical details, such as design, materials, workmanship, specifications, standards or methodologies; and
- unacceptable counter-proposals on key conditions, such as payment terms, price adjustment or warranty.

Stage 4 - Financial Evaluation

The financial evaluation must only be conducted on quotations which were determined to be substantially responsive during the technical evaluation. The financial evaluation is conducted to determine the evaluated price of quotations, rank the quotations according to their evaluated price and identify the lowest priced quotation. This will be the successful quotation, which should be recommended for procurement.

In conducting a financial evaluation, arithmetic errors may be corrected by the evaluators as follows:

- if there is a discrepancy between the unit price and the total price that is obtained by multiplying the unit price and quantity, the unit price shall prevail and the total price shall be corrected, unless in the opinion of the evaluator(s) there is an obvious misplacement of the decimal point in the unit price, in which case the total price as quoted shall govern and the unit price shall be corrected;
- if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and
- if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail subject to the notes above.

An evaluation report, and all supporting documents used in conducting the evaluation, must be kept on the procurement file. The evaluation report must contain clear recommendations to the SMC on the successful quotation and its price. See example below.

Quotations Evaluation Report			
Based on the Requested for Quotations for materials for the construction of a Change room, we received quotations from the following potential suppliers: <ol style="list-style-type: none"> 1. Bwande Construction Supplies 2. Chisomo Hardware 3. Tiyese General Dealers 			
The quotations were evaluated technically based on the following criteria:			
Criteria	Bwande	Chisomo	Tiyese
Availability of all items	Yes	Yes	Yes
Ability to supply items within 5 days	Yes	Yes	Yes
Good reputation of the potential supplier	Yes	Yes	Yes

All the three potential suppliers met the technical evaluation criteria as shown above. Their quotations were ranked according to their evaluated price and identify to determine the lowest priced quotation as follows:

Price Comparison Matrix

Name of Potential Supplier	Bwande	Chisomo	Tiyese
Total amount for the goods	K78,000.00	K70,000.00	K64,000.00
VAT	K12,870.00	K11,150.00	K10,560.00
Total	K90,870.00	K81,150.00	K74,560.00

The supplier selected for this procurement is: **Tiyese General Dealers**
 The reasons for selecting this supplier are: *Tiyese has the lowest price, the goods in the quotation were inspected and are of high quality. The supplier has a good reputation for selling high quality goods, and they can deliver the materials in time for the training.*

The following are the signatures of individuals on the SMC Procurement sub-committee who reviewed quotations for this procurement:

No	Name	Position	Signature
1			
2			
3			
4			
5			

The evaluation report must be signed by all staff who have been involved in the evaluation. Minutes of evaluation meetings must also be kept on the procurement file.

Stage 5 - Preparing and Issuing a Purchase Order

After a decision has been made on the goods or services to be purchased, a local purchase order is developed. A purchase order (LPO) is a simple form of contract between the procuring entity and the supplier. It is used to form a contract by accepting the successful bidder’s quotation.

The purchase order defines the goods, works or services to be provided, the price to be paid for the goods, works or services and the delivery period required. The head teacher and the SMC Chair are responsible for signing the LPO.

Complete a blank purchase order document, using the information in the successful bidder’s quotation and any corrections made during the evaluation. The following information must be included in the purchase order:

- the name of the supplier;
- the date of issue of the LPO;
- the delivery address;

- the name of the procuring entity purchasing the items;
- the quantity of each item required;
- any part or pattern number for each item;
- a brief description of each item;
- the unit cost or rate for each item;
- the delivery period required.

Refer to an example of a local purchase order below.

Local Purchase Order				
Date 21 May 2020			LPO Number 162	
Address of Supplier Tiyese General Dealers Box 70, Nyasa Cell: 05217806			School Address Lake Malawi Primary School Box 11, Nyasa Cell: 03985672	
<i>Please supply the items listed and costed below per your quotation No 233</i>				
Item	Quantity	Unit of Issue	Unit Price	Amount
28g plain corrugated iron sheets	5	Each	K6600	K33,000
3 inch roofing nails	3	1 Kg	K1000	K3,000
Cement	4	50Kg Bag	K6,000	K24,000
20 Lime	1	20kg Bag	K4,000	K4,000
			VAT @ 16.5%	K10,560
			Total	K74,560
Date for delivery: 29 May, 2020				
Delivery address(point): To collect from the shop				
Signatures:				
Head Teacher -				
SMC Chair -				
School Stamp				

SMC approval of the purchase order is required before issue. The necessary funds must also be committed prior to issue of the purchase order. A copy of the approved purchase order, must be kept on the procurement file.

Stage 6 - Receive and Document Goods/Services/Works

When the goods are delivered or the services/works have been completed, it is important to verify the goods/services/works procured before payment is made. Goods should be received by a member of the procurement committee. Important points to remember:

- Verify that goods/service/works conform to specification and quality specified on the LPO.
- Verify that goods being received are new and that packaging is not damaged.
- Reject goods/service/works if there is variation in quantity, description, delivery date and/or quality.
- Keep copies of the receipts for all the deliveries
- Record all items delivered or services/work rendered in a stock book or inventory.
- Hold a public meeting to show the goods/services/work to the school and community members.

Stage 7 – Make Payment

Once goods or services are received, payment may be authorized by completion of a Payment Voucher. The Head Teacher or SMC Chair can then pay the supplier. The transaction should be recorded in the cashbook. The cash book entry should include the invoice number and the payment voucher number where possible.



Activity 2.2 – Case Study

Mrs. Nyanja is a head teacher at Tsogolo Primary School. Most often, the school procures goods/services/works with a sense of urgency at the last minute. As a result, the school does not follow any procurement process when purchasing goods. The SMC feels that following the procurement process tends to be considerably longer than period the goods/services/works are required.

Discuss the following questions in plenary:

1. What could be the common reasons for delays in managing procurement at Tsogolo Primary School? Or also apart from reasons given in the case study what else contributes to delays in procuring goods or services ?
2. What can Mrs. Nyanja do to address this problem?

Unit Summary

In this unit, you have reviewed the process of managing procurement in schools. You have reviewed the definition of procurement; the roles and responsibilities of the school procurement committee, finance committee and SMC in the managing procurement at the school to ensure accountability and transparency.