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# Public Private Partnerships IN SECONDARY SCHOOL EDUCATION IN INDIA

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International Conference on  
'Public Private Partnerships in Secondary Education'

August 29 and 30, 2011  
INDIA



THE WORLD BANK



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*A Background Paper prepared by the [World Bank Group](#)*

*In support of*

International Conference on  
'Public Private Partnerships in Secondary Education'

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As a successful result of *Sarva Shiksha Abhiyan (SSA)*, the number of “out of school” children (6-14 years) has come down substantially, and the stage has been set for an exponential growth and demand for secondary education. Secondary Education is a crucial stage in the educational hierarchy, as it prepares the students for higher education and also for the world of work. With the liberalization and globalization of the Indian economy, the rapid changes witnessed in the scientific and technological world, and the general need to improve the quality of life and to reduce poverty, it is essential that school leavers acquire a higher level of knowledge and skills than is provided in the 8 years of elementary education.

While secondary education primarily remains the responsibility of the state governments, the Ministry of Human Resource Development (MHRD) has set its vision on making good quality secondary education available, accessible and affordable to all young people in the age group 15-16 years. To achieve this, in 2009 the GoI launched the *Rashtriya Madhamik Shiksha Abhiyan (RMSA)*. In order to attain the target of Universal Secondary Education, the country will require to meet some challenging tasks:

- ◆ Strengthening 44,000 existing secondary schools
- ◆ Opening 11,188 additional secondary schools (through up-gradation of upper primary schools)
- ◆ Appointing 1.79 lakh additional teachers and
- ◆ Constructing 80,500 additional classrooms etc.

In addition to RMSA, to increase the availability of secondary schools, the Government has also started its far-reaching initiative to set up 6000 Model Schools in the country. These schools are to be built with facilities at least of the standard of *Kendriya Vidyalayas* with stipulations for student-teacher ratio, educational environment, appropriate curriculum, ICT enablement and emphasis on improvement in quality and learning levels. Out of these, 2500 are to be set up under PPP.

For implementing such a large mandate of universalization of secondary education, the GoI has been considering undertaking PPPs in Education. Recent years have seen an expansion and broadening of the private sector’s role in the financing and provision of education services in many countries. A key trend has been the emergence of more sophisticated forms of private involvement in the development sector like health and education- through PPPs. This is being done on the pattern of the core sectors like roads, ports and highways. The dynamism of the development sector especially education and its related policy priorities, regulatory requirements and financial modeling will assume great significance. PPPs involve the public and private sectors working together to achieve important educational, social and economic objectives. They represent a move away from the traditional model of government procurement for the delivery

of public services. Despite the expansion of PPPs and the increased attention they have received in recent years, there is a need for a greater discourse and agreement about what constitutes a PPP, how they are defined **and, perhaps more importantly, how they can be structured in a manner that ensures accountability for the use of public resources by private agents**. At this critical juncture, greater dialogue is required between stake-holders to discuss debate and understand PPPs- their definition, role, types, structuring systems, key performance indicators, financial arrangements, regulatory and legal aspects and exit strategies.

With this purpose in view, the World Bank in collaboration with MHRD and the World Bank Institute (WBI) will be organizing a two day **International Conference PPP in Secondary Education** from *August 29-30, 2011*. The PPP Cell of the Department of Economic Affairs, Ministry of Finance has initiated certain initiatives on PPP Initiatives in general, which will also be shared in the Conference, with special relevance to Education.

The Objectives of the Conference are to:

1. Present the MHRD - World Bank research on *PPP in Secondary Education* undertaken by ORG Neilson
2. Share international experiences on PPP in Education
3. Discuss experiences and initiatives taken up by state governments
4. Identify the challenges in structuring a PPP instrument and need for internationally referenced transactional advisory services for structuring transparent PPP in Education
5. Assessing PPP structures form core sector and identifying methodologies for adapting them to the dynamic and specific needs of Education
6. Discussing regulatory aspects and structuring Key Performance Indicators (KPIs) of PPP in Education.

We hope sharing of some best practices at the national and international levels will help generate structural frameworks for PPP that are realistic, robust and implementable. To initiate the discussion an Issues Paper on **PPP in Secondary School Education** has been prepared by the World Bank. We look forward to a very fruitful discussion in the Conference and identification of some key steps and a Plan of Action for the state Governments and other stake-holders to initiate robust and transparent PPPs in India.

**N Roberto Zagha,**  
Country Director,  
The World Bank  
India



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## Acronyms

GoG	Government of Gujarat
Gol	Government of India
MHRD	Ministry of Human Resource Development
NAR	Net Attendance Rate
PFI	Private Financing Initiative
PPPs	Public Private Partnerships
RMSA	Rashtriya Madhamik Shiksha Abhiyan
SEMIS	Secondary School Management System
SSA	Sarva Shiksha Abhiyan



# Section-1

## K-12 Education Sector in India



### 1.1 K-12 Education

The education sector in India caters for nearly 600 million people up to the age of thirty years old. It is one of the largest capitalized spaces in India, with an annual government spend of 30 billion USD and an annual private spend of 43.2 billion USD. This sector is undergoing rapid transformation and there is increasing support from the Government of India (GoI) for private participation

in the sector. However, the massive annual spend is not sufficient to satisfy the demand for the 600 million-strong target population. A lot more investment, public and private, is required to reach the desired literacy levels. The GoI's spend of 3.7 per cent of GDP still lags behind those of developed countries and several developing countries whose average spend is 6 per cent.

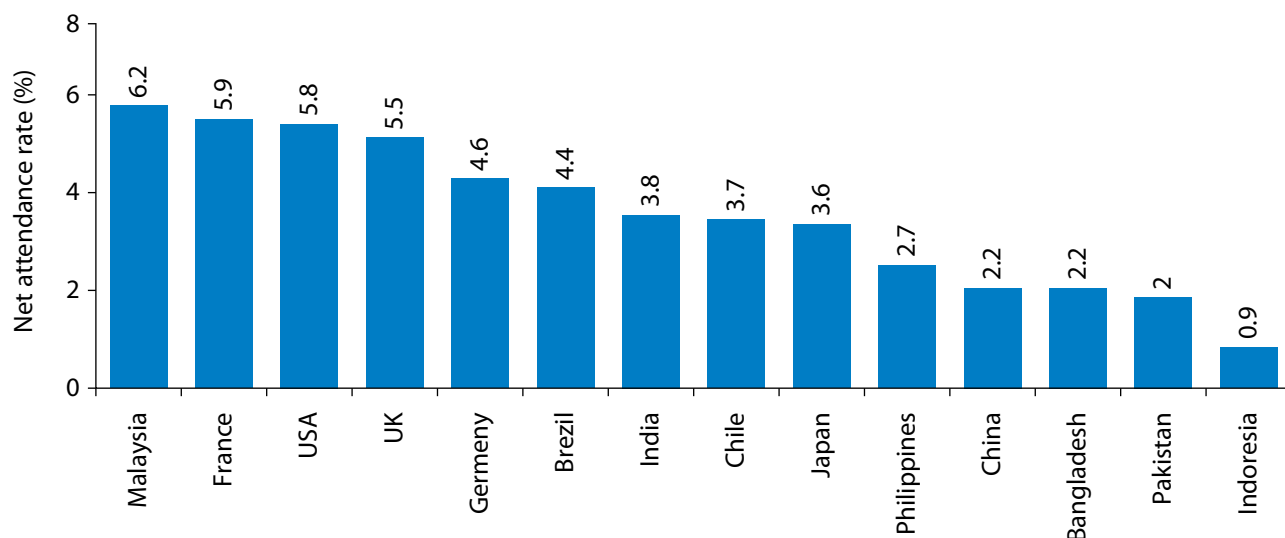
There are 90 million private school students and 129 million public school students attending classes

**Table 1: Summary of details on the K-12 system - 2006**

Indicator	Percentage
Primary completion rate, total (% of relevant age group)	86
School enrollment, primary (% gross)	112
School enrollment, primary, female (% gross)	103
School enrollment, secondary (% gross)	55
School enrollment, secondary, female (% gross)	46
Ratio of girls to boys in primary and secondary education (%)	90
School enrollment, tertiary (% gross)	12
Literacy rate, adult total (% of people ages 15 and above)	63

Source: World Bank Education Statistics.

**Graph 1: Government spending on education by country as percentage of GDP**



Source: UNESCO Institute of Statistics 2008.

K-12 and approximately 75,000 private schools in India. Of these, roughly 15,000 charge fees exceeding Rs. 1,250 per month per student. The K-12 schools segment is the core segment that consists of approximately 1 million schools that differentiate themselves through affiliations to state boards, central boards and international boards.

Graph 1 highlights how – in comparison to overall government expenditure on education in a total of thirteen countries - India stands relatively lower than most OECD countries. Further, the spending has declined slightly from 3.81% of GDP in 2001-02 to 3.78% of GDP in 2008-09. A further analysis of the spending profile suggests that bulk of the funding (up to 80%) goes towards salaries of teachers and staff and only 1% is invested towards capital expenditure.<sup>1</sup>

## 1.2 Secondary Education

### Current Situation

As a successful result of *Sarva Shiksha Abhiyan (SSA)*, the number of “out of school” children (6-14 years) has come down to less than 5 per cent of the total population in that age group, and thus the stage has

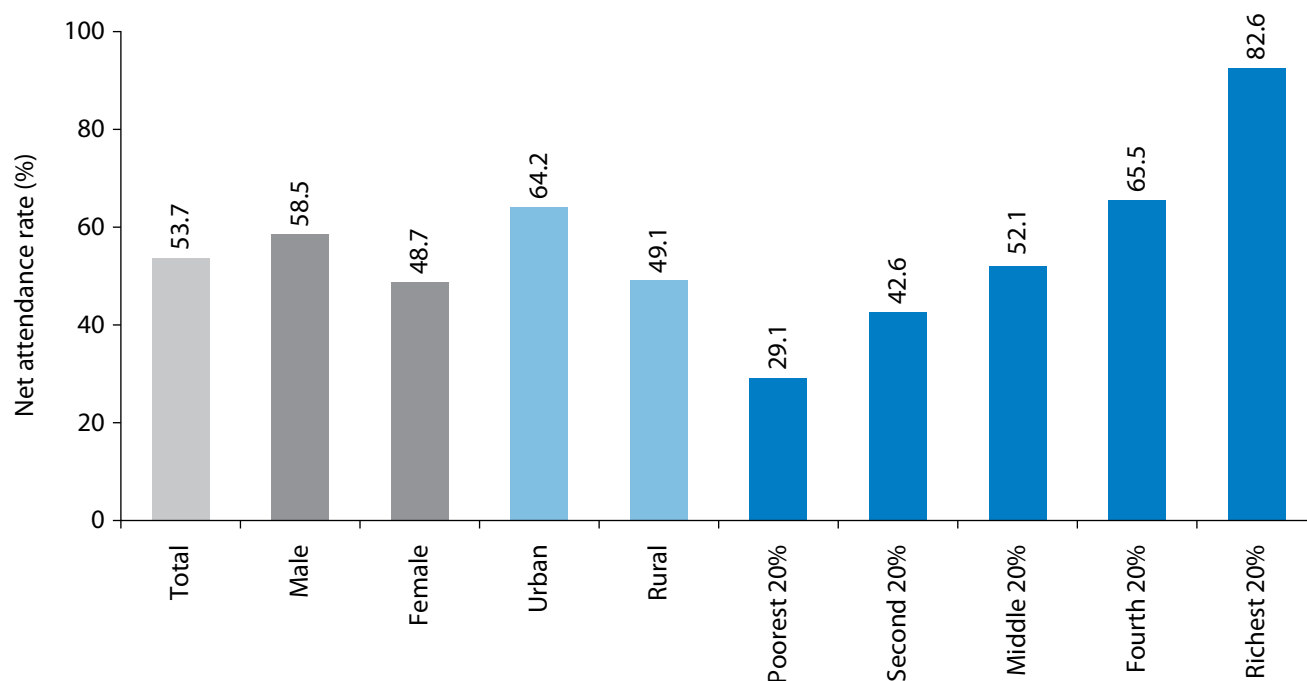
been set for an exponential growth of demand for secondary education. Secondary Education is a crucial stage in the educational hierarchy, as it prepares the students for higher education and also for the world of work. With the liberalization and globalization of the Indian economy, the rapid changes witnessed in the scientific and technological world, and the general need to improve the quality of life and to reduce poverty, it is essential that school leavers acquire a higher level of knowledge and skills than is provided in the 8 years of elementary education.

Data from the National Family Health Survey (2006) shows that 54 per cent of all children of secondary school age (11-17 years) attend secondary school. In addition, there are large disparities between different groups of children, as Graph 2 below demonstrates. Boys and children from urban areas are more likely to be in secondary school than girls and children from rural areas.

The biggest disparities exist between children from different wealth quintiles. Among children from the richest 20 per cent of all households, the secondary NAR is 83 per cent, compared to a secondary NAR of only 29 per cent among children from the poorest households. The respective primary NAR values are

<sup>1</sup> Mid-Term Appraisal of the Eleventh Five Year Plan, UNESCO Institute for Statistics.

**Graph 2: Secondary school Net Attendance Rate (NAR), India**



Source: Friedrich Huebler. [huebler.blogspot.com](http://huebler.blogspot.com). January 2008.

96 per cent for children from the richest quintile and 69 per cent for children from the most disadvantaged quintile. Children from disadvantaged households are not only less likely to enter school than children from wealthier households, they are also far less likely to continue their education after four years of primary school.

### Expectations Going Forward

While secondary education primarily remains the responsibility of the state governments, the Ministry of Human Resource Development (MHRD) has cheated a

vision of making good quality secondary education available, accessible and affordable to all young people in the age group 15-16 years. To achieve this, in 2009 the GoI launched the *Rashtriya Madhamik Shiksha Abhiyan* (RMSA). This scheme aims to make quality education affordable and accessible to all young persons in the age group 15-16 years while removing gender, socio-economic and disability barriers to education. The overarching objectives of the scheme are to achieve a GER of 75% in secondary education by 2014, universal access to secondary education by 2017 and universal retention by 2020. Box 1 provides a summary of the current situation.

#### Box 1: Summary of the secondary education sector

Indicators	Classes IX-X	Classes XI-XII
Number of Secondary Schools	1,06,084	53,619
Number of Secondary Students	2.50 crore	1.34 crore
Gross enrolment rate	31.54	25.19
Pupil teacher ratio	33	34
Pass percentage rate	67.86	71.28

Source: Abstract of Selected Educational Statistics (2005-2006) and population projections based on census data compiled by Registrar General of India.

In order to attain the target of Universal Secondary Education based on these 2005-2006 indicators, will require meeting some of the following challenging targets:<sup>2</sup>

- ◆ Strengthening 44,000 existing secondary schools
- ◆ Opening 11,188 additional secondary schools (through up-gradation of upper primary schools)
- ◆ Appointing 1.79 lakh additional teachers and
- ◆ Constructing 80,500 additional classrooms.

In addition to the above, to increase the availability of secondary schools, the government has also started an initiative to set up 6000 Model Schools in the country. These schools are to be built with facilities at least of the standard of Kendriya Vidyalayas with stipulations for student-teacher ratio, educational environment, appropriate curriculum, ICT enablement and emphasis on outcome. The State governments would be responsible for setting up 3500 of these schools in Educationally Backward Blocks. The fund-sharing arrangement between the Centre and the States will be 75:25 during the 11<sup>th</sup> five year Plan for all States excluding Special Category States, where the funds will be shared in a ratio of 90:10.

## Role of the Private Education Sector

To support the private sector participation in education sector, there is already an existing flourishing private education market in India - out of 1.69 crores secondary

schools, 63% are under private management. The share of private unaided secondary schools has increased from 15% in 1993-94 to 35% in 2006-07. The United National Children's Fund (UNICEF) Survey in India (1999) points out that most private schools have better infrastructure, pupil-teacher ratios and quality and training of teachers.

In addition to the purely fee charging private schools, there are largely privately-managed but publicly-funded secondary (aided) schools in urban and semi-urban areas, which are available to most children who attend secondary school. In 2006-07, 14.5% pre-primary to higher secondary schools were run by private institutions with substantial financial assistance from the State Governments. These government-aided schools are set up by the private sector partner, which bears the entire capital cost and is responsible for management of the schools. After the school has run in the private unaided mode for some time, the government provides grants in the form of teacher salary for a certain sanctioned strength. These grants generally account for 90-100% of teacher salaries. The school fee is regulated and is generally at par with the fee prevailing in the government schools. However, since the government does not provide non-salary recurring cost, schools usually charge a separate fee in different forms. Generally the grants are not performance or accountability linked and they often continue indefinitely without reference to the number of students in the school, attendance of students and teachers or performance of students.

<sup>2</sup> Mid Term Appraisal of the 11<sup>th</sup> 5 Year Plan. Under the program, the Centre and States are expected to share the costs of schools launched under RMSA on a 75:25 basis in the Eleventh Five Year plan and on a 50:50 basis in the Twelfth Plan. For the North-East States, the fund-sharing ratio is 90:10 in both Plan periods.

## Section-2

# Public Private Partnerships (PPPs) in Education



### 2.1 Definition

Recent years have seen an expansion and broadening of the private sector's role in the financing and provision of education services in many countries. A key trend has been the emergence of more sophisticated forms of private involvement in education through PPPs. PPPs involve the public and private sectors working together to achieve important educational, social and economic objectives. They represent a move away from the traditional model of government procurement for the delivery of public services. Despite the expansion of PPPs and the increased attention they have received in recent years, there is little agreement about what constitutes a PPP or how they are defined.

PPPs can be defined narrowly to include only formal arrangements such as sophisticated infrastructural initiatives or they can be defined more broadly to cover all manner of partnership between the public and private sector. Three definitions are provided here:

- ◆ "A risk-sharing relationship based upon an agreed aspiration between the public and private

(including voluntary) sectors to bring about a desired public policy outcome. More often than not this takes the form of a long-term and flexible relationship, usually underpinned by contract, for the delivery of a publicly funded service."

– *Commission on UK PPPs*

- ◆ "A cooperative venture between the public and private sectors, built on the expertise of each partner, that best meets clearly defined public needs through the appropriate allocation of resources, risks and rewards."

– *Canadian Council for PPPs*

- ◆ "Arrangements whereby the private sector provides infrastructure assets and services that traditionally have been provided by government, such as hospitals, schools, prisons, roads, bridges, tunnels, railways, and water and sanitation plants."

– *Organization for Economic Co-operation and Development.*

### 2.2 Types of PPP in Education

Six possible PPP types of arrangement are now outlined.

## Box 2: Brief case study of the Bharti Foundation

The Satya Bharti School Program is the flagship rural educational initiative of the Bharti Foundation. With a goal to establish 500 Primary and 50 Senior Secondary Schools reaching out to over 200,000 children, the program aims to deliver free quality education to underprivileged children across rural India. The Foundation is currently operating 236 schools, of which 187 schools have been constructed by the Foundation while the remaining are public schools, which have been adopted by the Foundation. The Foundation plans to set up its 50 senior secondary schools in partnership with state governments. These schools would provide both academic and vocational training to children, with a focus on employability. The Foundation has already opened a school in Amritsar, Punjab and plans to open up 5 additional schools under the Punjab Government's Adarsh scheme.

### (i) Private Sector Philanthropic Initiatives

Perhaps the most common form of PPP in the education sector is private philanthropy. There is also a range of innovative ventures supporting education, both philanthropic and for-profit ventures. These include the World Economic Forum's (WEF) Global Education Initiative (GEI), which aims to create new sustainable models for education reform in the developing world through PPPs. Box 2 provides a summary of just one such example of many that involves the Bharti Foundation in India. (See Annex for more details on this example).

### (ii) School Management Initiatives

The second form of PPP in the education sector is the private management of public schools. This involves education authorities contracting directly with private

providers to operate public schools or certain aspects of public school operations. While these schools are privately managed, they remain *publicly* owned and *publicly* funded. Contract schools can be run by a variety of bodies – including private firms, neighboring schools with a good reputation for serving students and their community, NGOs, universities, etc.

Contract schools are individual legal entities capable of negotiating contracts, spending public funds and hiring and firing staff. They also have the legal authority to defend their interests in court against the funding authority. The contracts contain basic requirements that apply to private schools but also outline expected student outcomes, methods for assessing those outcomes, the goals of the school, and its program of instruction. The contract also covers the agreed or mandated curriculum. As part of the contract, the management company or organization is generally required to meet specific benchmarks in areas such

## Box 3: Example of educomp and the Government of Punjab's Adarsh Scheme

Educomp has entered into an agreement with the Government of Punjab in establishing and running five Senior Secondary schools in Punjab state under PPP Model. While a school at Kalewal Village, Mohali District of Punjab is already functional the other four schools are at different stages of development of Infrastructure and are going to be started by the beginning of 2012. High lights of Adarsh Schools of Educomp include:

- ◆ The Punjab Government has provided land free of cost for establishing school to Educomp on a 99 years lease
- ◆ Punjab Government and Educomp are sharing the total capital expenditure incurred on infrastructure development and the recurring operating expenditure on these schools
- ◆ Management of Adarsh School is done by Educomp
- ◆ Provision of teaching and non-teaching staff, their training and effective running of Adarsh schools are also the prime responsibility of Educomp
- ◆ The Punjab Education Development Board will periodically review the performance of Adarsh schools.

as school attendance, student performance and community involvement. Box 3 provides an example of this PPP arrangement with the case of the Government of Punjab's Adarsh Scheme.

### (iii) Purchase of Educational Services from Private Schools

The third form of PPP in which governments sponsor 'public' students to attend private institutions is normally used in order to assist a government meet demands of access. There are a number of common components to this form of PPP, including:

- ◆ The government pays a subsidy for each student enrolled in eligible private secondary schools; participation in the program is limited to private secondary schools in areas that are not served by government-aided or public schools
- ◆ Only schools charging equal or less than the government's per student cost can participate
- ◆ Participating schools are chosen by the government.

Box 4 provides an elementary sector example of this type of PPP.

### (iv) School Voucher Program

A school voucher is a certificate or entitlement that parents can use to pay for the education of their children at a public or private school of their choice, rather than the public school that is closest to them or to which they

have been assigned. Vouchers are paid directly from a public entity to parents or to schools directly on parents' behalf. There are many examples around the world – in both developed and developing countries – of voucher programs that provide funding to students attending either public or private schools.

These programs may have different objectives – for example, improving quality and/or increasing educational access either generally or for specific groups. Voucher programs may also have radically different design features and associated rules and regulations relating to eligibility, fee charges, school registration and student admissions. ARK's 'Ensure Access to Better Learning Experiences project in Delhi is an example of a voucher scheme. Here children have been identified who face multiple social and economic challenges which put them at great risk of being excluded, dropping out or never attending school.

### (v) Capacity Building Initiatives

There is a wide range of possible initiatives ranging from curriculum and pedagogical support; management and administrative training; textbook provision; teacher training; and the development of support networks, professional partnerships and linkages. A prime example of this form of PPP is provided by the Government of Gujarat's (GoG) recent steps to improve the level of learning in its schools across the state. The GoG put out tenders to private operators to assist in the delivery of a

#### Box 4: Example of Gyan Shala and the purchase of educational services

Gyan Shala, an Education Service Organization based out of Gujarat hopes to facilitate and enable a private-public partnership in transforming the structure of basic education delivery system in India that would combine market-based solutions with state funding to meet the public educational goals, specifically for children from poor families. Under its flagship program, Gyan Shala is providing elementary education for out-of-school children living in slums and villages. Gyan Shala had around 8000 children in this program in Ahmedabad slums in the school year 2007-08. Independent reviews had shown that grade-III children in this program out-performed their counterparts in government/ municipal schools by around 100% in the test of language and math competencies, even though the unit program cost was less than 1/4th of what government spent on its schools.

This program is partly funded by the Government's Sarva Shiksha Abhiyan program for out-of-school children. Recognizing the success of the program in ensuring quality, the Ahmedabad Municipal School Board and the state of Bihar have also taken up the model in the public schools and in Gyan Shala 'centres'.

Project	Components
A	i. Supporting Gunotsav in the Primary Classes ii. Developing and executing Gunotsav in the Secondary classes
B	iii. Developing and conducting Teachers' Need Assessment in Secondary Schools iv. Developing modules for Teachers' Training at Secondary levels v. Designing and Conducting Question Making and Activity
C	vi. Research and Action Plan to transform the pattern of Board Exam Questions vii. Improving the State Talent Search (Prakharta Shodh) Test for Secondary Classes
D	viii. Partnership to develop SQAA (State Quality Assessment and Accreditation) for GSQAAC (Gujarat State Quality Assessment and Accreditation Council) ix. Mentoring the GSQAAC

number of projects focussing exclusively on improving the quality of education and/or building capacity of teachers and educational personnel. Table 2 provides a summary of the nine initiatives that were put out to tender to private providers in 2010.

### **(vi) Provision of Infrastructure**

This is a model in which the private partner builds, owns and operates the infrastructure facilities and the government uses these facilities for running the school, in lieu of which the private partner is paid a fee over the period of the contract which is generally long term between 20–30 years. Strict performance criteria for maintenance of the schools are fixed. Based on satisfactory maintenance, payment is made. The ownership and the asset at the end of the contract period may be transferred to the government, or be retained by the private sector

depending on the terms in the contract. Table 3 provides a summary of different roles and responsibilities under infrastructure PPPs.

Box 5 provides an example where Everonn Education Limited (EEL) - a leading presence in the Indian education industry for over two decades listed both on the BSE and the NSE – operates under a BOOT model to support governments enhance facilities and deliver services in the field of ICT Education. (See Annex for further details).

Table 4 overleaf concludes this section on the six types of possible PPP in Education arrangements by providing a large array of different examples of these PPPs from different stages on the 'development' continuum.

Options	Asset Ownership	Operations & Management	Capital Investment	Commercial Risk	Duration
Management contract	Public	Private	Public	Public	3-15 years
Lease	Public	Private	Public	Shared	8-15 years
Concession (Build Operate Transfer (BOT))	Public	Private	Private	Private	25-30 years
Build own operate transfer (BOOT)/Build own operate (BOO)	Private	Private	Private	Private	20-30 years



## Box 5: EEL and partnership in ICT education

Everonn Education Limited offers ICT-enabled computer education in government schools through turn-key projects on a BOOT model. The ICT division in Everonn Education Limited (EEL) acts as an education service provider for computer education, computer literacy, computer-aided learning and teachers' training projects. While Everonn makes the initial investment, the same is reimbursed by government departments in periodical installments spread over the years. The Company is currently operating in 6628 schools across sixteen 16 states.

## 2.3 Rationale for PPPs

From the perspective of the public sector, the PPP models 'in theory' are premised to bring the following benefits:

**Easing the budget constraint:** There is a huge gap between the requirement and the availability of school infrastructure in the country. It is not possible to provide such large amounts from the government alone. A PPP arrangement often pre-supposes initial commitment of funds from the private sector that is gradually returned by the government through appropriate financial instruments. In that manner, the governments' upfront commitment of funds is substantially reduced and

repayment to the private sector over a staggered and longer time frame made easier.

**Efficiency gains:** The private sector can provide support services with greater efficiency as compared to government sector because of specialization. Also greater accountability of private staff leads to improvement of efficiency.

**Appropriate risk sharing:** In a PPP, risk allocation between the public and private sector can be optimized to ensure that the overall risk is lowered significantly.

**Speed of implementation:** Since the private partner would be interested in getting payment as soon as

**Table 4: Examples of different types of 'PPP in education' arrangements**

PPP Initiative	Examples
i. Private Sector Philanthropic Initiatives	<ul style="list-style-type: none"> <li>◆ Philanthropic Foundations (USA, Philippines)</li> <li>◆ Academies Programme (UK)</li> <li>◆ Philanthropic Venture Funds (USA)</li> <li>◆ World Education Forum's Global Education Initiative (Jordan, Egypt, India, Palestinian Authority)</li> </ul>
ii. School Management Initiatives	<ul style="list-style-type: none"> <li>◆ Contract Schools (USA)</li> <li>◆ Charter Schools (USA and Alberta, Canada)</li> <li>◆ Concession Schools (Bogotá, Colombia)</li> <li>◆ Independent Schools (Qatar)</li> <li>◆ Private Management of Railways Schools (Pakistan)</li> <li>◆ Alternative Education (New Zealand)</li> <li>◆ Quality Education for All (Pakistan)</li> <li>◆ Management of Government Schools (Lahore, Pakistan)</li> </ul>

PPP Initiative	Examples
iii. Purchase of Educational Services from Private Schools	<ul style="list-style-type: none"> <li>◆ Government Sponsorship of Students in Private Schools (Côte d'Ivoire) Educational Service Contracting (ESC)/Education Voucher System (EVS), The Philippines</li> <li>◆ Fe y Alegría (South America/Spain)</li> <li>◆ Financial Assistance Per Child Enrolled Basis (Punjab, Pakistan)</li> <li>◆ Universal Post Primary Education and Training (Uganda)</li> <li>◆ Venezuelan Association of Catholic Education (Venezuela)</li> </ul>
iv. Vouchers and Voucher-like Programs	<ul style="list-style-type: none"> <li>◆ Plan de Ampliación de Cobertura de la Educación Secundaria (Colombia)</li> <li>◆ School Funding System (The Netherlands)</li> <li>◆ Targeted Individual Entitlement and Independent School Subsidies (New Zealand)</li> <li>◆ Milwaukee Parental Choice Program (Milwaukee, USA)</li> <li>◆ Urban Girls' Fellowship Program and Rural Girls' Fellowship Program (Baluchistan, Pakistan)</li> <li>◆ Education Voucher Scheme (Punjab, Pakistan)</li> </ul>
v. Capacity Building Initiatives	<ul style="list-style-type: none"> <li>◆ Cluster Based Training of Teachers Through PPP (Punjab, Pakistan)</li> <li>◆ Quality Assurance Resource Centre (Sindh, Pakistan)</li> <li>◆ Quality Advancement and Institutional Development (Sindh, Pakistan)</li> <li>◆ Teaching in Clusters by Subject Specialists (Punjab, Pakistan)</li> </ul>
vi. School Infrastructure Initiatives	<ul style="list-style-type: none"> <li>◆ Private Finance Initiative (United Kingdom)</li> <li>◆ New Schools' Private Finance Project (New South Wales, Australia)</li> <li>◆ New Schools Public Private Partnership Project (South Australia, Australia)</li> <li>◆ PPP for New Schools (Egypt)</li> <li>◆ Public Private Partnerships for Educational Infrastructure (Nova Scotia, Canada)</li> <li>◆ Offenbach Schools Project and Cologne Schools Project (Germany)</li> <li>◆ Montaigne Lyceum (The Hague, The Netherlands)</li> <li>◆ Leasing of Public School Buildings to Private Operators (Punjab, Pakistan)</li> </ul>

Source: Norman Laroque (2008) *Public-Private Partnerships in Basic Education: An International Review*. CfBT.

the services start being made available, the speed of implementation would be much quicker. Delay in project completion timelines leads to penalties for the private provider, hence speed is insured.

**Reduction of cost:** This will incur if and only if there is greater managerial efficiency in the private sector.

**Accountability for performance:** In a PPP model, accountability for performance in schools is high – if the

private provider misses their targets then there will be financial consequences.

**Quality monitoring:** The private partner would have an incentive to raise the quality of education in the school to be eligible for payment.

**Greater flexibility:** The government systems have rigidity. The private partner is expected to have much higher autonomy in hiring teachers and organizing the school.

## 2.4 Selection of the Appropriate PPP Contractual Arrangement

Theoretically private partnership arrangements under PPP contract can provide the following range of services separately or in various combinations: (i) *Infrastructure facility services* including the design, building and maintenance of school building; (ii) *Non-educational services* such as catering, transport of students etc. (iii) *Support services* (IT facility, library, playfield, gymnasium etc.); (iv) *Educational services* such as school manager or teachers' training'; (v) *Private management of public schools* using the existing staff

and facilities; (vi) *Private operation of public schools* with the private provision of teaching and non-teaching services including staff.; and (vii) *Provision of teaching services in private schools to publicly funded students*, essentially a school voucher system.

A key decision needs to be made to determine which PPP arrangement is best suited for the attainment of what policy objective. Table 5 provides a summary of possible options based on different policy objectives that the government may be interested in pursuing ranging from increasing access, enhancing quality to improving efficiency and accessing additional alternative funding sources.

**Table 5: Possible scenarios for different policy objectives**

Possible Scenarios	Policy Objective Governments may be Interested in...	Policy Options
1. Enrollment is largely public and education outputs are unsatisfactory. Some public and private schools produce low levels of learning	<ul style="list-style-type: none"> <li>◆ Introduce alternatives to traditional forms of public education</li> <li>◆ Improve expertise in pedagogical and managerial areas</li> <li>◆ Improve efficiency in school operations</li> </ul>	<ul style="list-style-type: none"> <li>◆ Allow private providers to take over failing public schools (Contracts for school operations) to encourage diversity, innovation, and efficiencies in the supply side</li> <li>◆ Outsource professional services to the private sector such as teacher training and academic support to improve public school capacity to deliver quality education</li> </ul>
2. Low enrollment rates. There is a large group of private registered schools that operate independently of the public system. Some public and private schools produce low levels of learning	<ul style="list-style-type: none"> <li>◆ Leveraging private school existing capacity to serve a large number of students</li> <li>◆ Creating incentives for private school growth in poorly served areas</li> </ul>	<ul style="list-style-type: none"> <li>◆ Output based contracts for education services</li> <li>◆ Authorize vouchers to private schools to increase access, allow choice and encourage competition and the creation of new schools</li> </ul>
3. Low-cost private schools grew to fulfill demand for education. Most schools are unregistered	<ul style="list-style-type: none"> <li>◆ Exercising accountability mechanisms and quality oversight on existing private schools</li> </ul>	<ul style="list-style-type: none"> <li>◆ Institutional and regulatory reforms to exert school registration, accreditation, student assessment, and quality control functions</li> <li>◆ Establish and enforce private school operating requirements</li> <li>◆ Contract education services to private registered schools through contracts or vouchers through output oriented agreements</li> </ul>

Possible Scenarios	Policy Objective Governments may be Interested in...	Policy Options
<p>4. A large share of private schools is financed by the public sector through subsidies but perform poorly. There insufficient supervision and mechanisms for accountability</p>	<ul style="list-style-type: none"> <li>◆ Supporting private schools to improve service delivery and improve education outcomes</li> <li>◆ Improve regulatory environment for private school operation</li> </ul>	<ul style="list-style-type: none"> <li>◆ Link per-student subsidy continuation to quality measures (student assessment results and school infrastructure)</li> <li>◆ Evaluate and introduce reforms to regulations on public and private school operation to foster accountability and results-oriented approach</li> </ul>

## Section-3

# Possible PPP Models for Consideration in the Indian Context



There is a large unfulfilled need for access to quality education in the secondary education sector. Public Private Partnership emerges as a viable alternative to improve access to quality school education while ensuring equity and social justice. To overcome the budgetary constraints and to address issues of differential capacity levels in the public sector, the following five models are proposed for possible consideration, piloting and implementation in the Indian context.

### 3.1 Reform of Government Aided Schools

This type of PPP already exists in most parts of India but it needs to be made more effective with the inclusion of a system of incentives and disincentives based on performance, student and teacher attendance, state of maintenance of infrastructure, examination results, outcome of learning achievement survey, performance of students in co-curricular activities and the like must be set up. For large government aided schools, this would help in attracting more students through continuous improvement of quality. However, in areas with sparse population, per capita payment

may result in drastic reduction of payment. For such cases, exceptions may have to be made depending upon local conditions and ad hoc additional grant may have to be provided to make up for the lack of sufficient students.

### 3.2 Expansion of Existing Government Schools

There are many Government schools in prime locations that are currently operating with run down infrastructure and inadequate staff. These schools could be revived through the involvement of private sector participation. This private participation might range from the delivery of critical activities like regular training of existing teachers to the provision of additional teachers. The private partner could also be allowed to use the school outside school hours for running skill development centers using their own business models. They would also be permitted to construct new floors or new building blocks for use by the school during school hours and for its own use after school hours to run skill development centers and community colleges. The private partner would also

be involved in the school management committee to chalk out and implement a blue print for overall improvement of the school.

### **3.3 Private Sector Shift in Public Sector Facility**

In this case, the private partner could use the existing infrastructure to run the second shift and is reimbursed the cost. It has no responsibility for improvement of the existing school, but the operation of the second shift including recruitment and management of staff is its responsibility.

### **3.4 Private Financing Initiative (PFI)**

Under this model, the private partner would have the responsibility only for providing building infrastructure and its maintenance and has no role to play in providing educational services. Therefore, these schools are purely government schools except for the fact that the

schools are not built by government agencies nor are government funds used for construction at the initial stage. The usual process is to set up schools on design and build basis as against annuity payment. Whenever the government sanctions new schools, and buildings are to be constructed, this method can be used to get over the budget constraint and also to get the infrastructure ready in a short period of time.

### **3.5 Whole School Management**

In this model, the private partner would be responsible both for construction and operation. The private partner has full autonomy to recruit its staff and for determining their service conditions and also for the smooth running of the school. The per capita fee is determined by a process of bidding among the technically competent and responsible private partners. In addition, the private sector is allowed to have a management quota for which an appropriate fee, which is different and generally higher is charged. For government seats, the students are charged nominal or no fee as in Government Schools.

## Section-4

# Existing or Planned PPP Models in India



Table 6 provides a summary of five different PPP models either in operation or under consideration by the federal and state governments in India. (See Annex for a breakdown of the different PPP arrangements for the Rajasthan and Punjab models).

**Table 6: Existing or proposed PPP models in India**

Types of PPP Arrangement	Finance: Expenditure	Finance: Revenue	Provision and Monitoring
<b>Model schools</b>	<p><b>Facilities</b></p> <ul style="list-style-type: none"> <li>◆ The Gol provides a capital incentive which would be payable over a few annual installments through an escrow account</li> <li>◆ Land for the school would be provided on lease at a concessional rate by the State government, or the private partner would be free to purchase suitable land of its own</li> </ul>	<ul style="list-style-type: none"> <li>◆ 50% of seats in each school would be filled up through sponsorship by the Gol from among the socio-economically backward students</li> <li>◆ Gol would provide a per capita recurring grant which is equal to the actual per capita cost incurred by government in running similar government schools</li> </ul>	<ul style="list-style-type: none"> <li>◆ The release of the amount would be triggered through certification by an independent agency on achieving pre-determined performance standards</li> </ul>

Types of PPP Arrangement	Finance: Expenditure	Finance: Revenue	Provision and Monitoring
<b>Government-aided schools</b>	<p><b>Facilities</b></p> <ul style="list-style-type: none"> <li>◆ The private partner sets up the school and bears the entire capital cost of land and building infrastructure</li> </ul> <p><b>Payroll</b></p> <ul style="list-style-type: none"> <li>◆ Some State Governments also provide part or full of the non-salary recurring cost of the school based on certain norms</li> </ul>	<p><b>Fees</b></p> <ul style="list-style-type: none"> <li>◆ School fee is regulated and is generally equal to the fee prevailing in the government schools</li> <li>◆ It is the general practice for the school management to charge a separate monthly fee from the students, but such charges may not be fully transparent</li> </ul>	<ul style="list-style-type: none"> <li>◆ Private partner appoints and manages teaching and non-teaching staff</li> <li>◆ Payment to such schools is not performance linked. Once the school obtains the aided status, it continues indefinitely without reference to the number of students in the school, attendance of students and teachers and performance of students</li> </ul>
<b>Residential schools in Andhra Pradesh</b>	<p><b>Facilities</b></p> <ul style="list-style-type: none"> <li>◆ Land is provided free of cost by the State Government on a long term lease</li> <li>◆ Private partner bears the entire non-recurring cost of construction and the school buildings and the school facilities</li> </ul>	<ul style="list-style-type: none"> <li>◆ 75% of the seats in the school would be reserved for students to be sponsored by the State governments for which the State would pay the recurring cost. The remaining 25% of the strength will be filled up with the management quota seats</li> </ul>	<ul style="list-style-type: none"> <li>◆ Private partner appoints and manages teaching and non-teaching staff</li> </ul>
<b>Adarsh schools in Punjab</b>	<p><b>Facilities</b></p> <ul style="list-style-type: none"> <li>◆ The land would be given on 99-year lease to the private partner by the government. 50% of the capital cost would also be provided by the State government</li> </ul>	<ul style="list-style-type: none"> <li>◆ The operational cost of the school would be shared on 70:30 basis between the State government and the private partner</li> </ul>	<ul style="list-style-type: none"> <li>◆ There would be a 2-tier management structure at State and school level</li> </ul>
<b>Schools in Rajasthan</b>	<ul style="list-style-type: none"> <li>◆ The private partner will bear the entire capital cost upfront</li> <li>◆ State government would provide a capital incentive in installments</li> </ul>	<ul style="list-style-type: none"> <li>◆ The state reimburses a part of the recurring cost for the sponsored students through vouchers</li> <li>◆ 50% of each school would be reserved for students sponsored by the state government</li> </ul>	



# Key Issues and Challenges in Structuring Education PPPs



While structuring of PPP needs to be detailed and localized to the objectives and the required outcomes, there are four common areas of concern and pitfalls that need to be considered in the structuring and procurement of PPP programs.

## Issue 1: Initial Structure and Prioritization of Objectives

Government resources are limited and to achieve program objectives, there must be clear identification of the key objectives and stakeholders as well as an assessment as to the appropriate balance of access with quality and other considerations such as effectiveness, efficiency, equity and financial sustainability.

## Issue 2: The Procurement Process

PPP projects are large complex contractual arrangements that involve significant public sector capacity and resources in bidding and selection of the

private sector partner. The selection process needs to be managed to ensure correct understanding of the contractual commitments, ensuring private sector appetite & interest and managed in an open and transparent manner. The procurement process should lead to competition between private firms resulting in better quality of service providers. Bidding processes should be judiciously managed to bring prices down yet maintain standards of quality with contract performance validation by an independent third party.

The processes for floating EOIs, preparing RFQ and RFP documents need to be demystified with the provision of clear guidelines. Key parameters that enable a more robust and effective procurement process include: (i) clustering of schools under single procurement process; (ii) Market consultation exercise with private sector prior to commencement; (iii) Scheduling and availability of information to bidders; (iv) stakeholder consultation with schools, municipalities, other related local bodies and communities; and (vi) realistic costing and market pricing benchmarks.

### Box 6: Example of monitoring under the Model School program

Under this program, the monitoring and evaluation is undertaken by the state governments while at the central level, monitoring of the project will be through a separate cell to be opened in Kendriya Vidyalaya Sangathan. At the state levels, schools will be monitored by the Societies administering these schools. State Government will also set up District level and State level Monitoring Committees. Monitoring will also be done through *Secondary School Management System* (SEMIS). There will a continuing evaluation of the working of the schools by State Government agencies through a regular and well-structured system of field visits. Besides, an independent agency may be assigned the task of monitoring of the scheme, including progress of construction for each State.

### Issue 3: Capacity Building of Related Government Agencies

The success of delivery of a PPP framework is dependent on the ability of the government authorities to monitor and implement the contract as structured in the procurement phase. Department needs to be trained to move out of 'delivery mode' to 'monitor mode' under the PPP delivery model. The capacity building exercise of such monitoring and procurement agencies needs to be pro-actively

addressed due to the complexity of the contractual arrangements envisaged under a PPP framework. Box 6 provides an example from the Model Schools program.

### Issue 4: Regulatory and Legal Issues

Education sector in India has a plethora of legal and regulatory issues that need to be addressed in developing and delivering a successful PPP program. Seven common issues are summarized in the Table below:

**Table 7: Challenges to structuring PPPs in Education in India**

Overarching Issue	Specific Details
i. Involvement of the private sector	<ul style="list-style-type: none"><li>◆ The Indian legal code currently restricts profiteering or capitation from the student body by private schools, permitting an ill-defined 'reasonable surplus' only education is considered</li><li>◆ This status limits the ability to access private capital, bring in corporate governance, efficiency and the scalability that the private sector is better suited to deliver</li><li>◆ Need to incentivize the private sector by introducing an element of profitability</li></ul>
ii. Complexity and overlapping of central and state government policies	<ul style="list-style-type: none"><li>◆ Regulations vary from state to state</li><li>◆ Needs for greater coordination and interaction between GoI and state governments</li><li>◆ Need to design PPP models that can incorporate local needs while supporting overarching central government initiatives</li></ul>
iii. Role of voluntary sector	<ul style="list-style-type: none"><li>◆ While the voluntary sector is a critical constituent, it does not have the resources and capacity to support a fully-fledged bidding process</li><li>◆ Such providers do not lend themselves to fit under a PPP framework because it is difficult to incentivize without the economic return drivers and access to private capital</li></ul>

Overarching Issue	Specific Details
iv. Transfer of existing facilities/ resources to private sector	<ul style="list-style-type: none"> <li>◆ Transfer of existing assets can pose a legal issue on ownership and financing arrangements</li> <li>◆ Teacher and school staff transfers are particularly sensitive matters</li> </ul>
v. Centralized and decentralized procurement structure	<ul style="list-style-type: none"> <li>◆ Centralized structures are difficult to implement on large scale program of over thousands of schools</li> <li>◆ Decentralized procurement structure requires detailed documentation for procurement and project delivery and continuous training and capacity building</li> </ul>



## Section-6

# Concluding Remarks



Many people believe that the solution for providing universal K-12 education coverage lies in improving and strengthening the government school system, including through increasing the budget allocation. Others argue that privatization of school education – or a partnership between public and private providers – is an alternative option. But arguably, at the moment, there is no working and reliable example of good quality education on a large scale using good schools in the government sector, good schools in the private sector, or a combination of the two sectors. Furthermore, a choice between either improving the government school system or relying more on the private schools will not meet the demands of delivering quality secondary education to the hard to reach, whether in a rural or urban setting.

PPPs at the elementary level will take a further couple of years to mature as the political climate slowly evolves and becomes more conducive to usher in professional PPP frameworks. At the secondary level however there is arguably considerable vibrancy and acceptance of the entire PPP debate and the most fertile area for a PPP engagement is in the Model Schools scheme which has clearly articulated that out of the 6000 sanctioned,

2500 will be built under PPP. Andhra Pradesh and the Adarsh schools have taken off the PPP concept, but they are both more of a Corporate Social Responsibility (CSR) model in which philanthropists are operating, but the private sector still does not consider the projects commercially viable. The latter will only become fully committed when the annuity is carefully structured, with the Rate of Interest (ROI) and Internal Rate of Return (IRR) issues being addressed in a fair manner.

This report has undertaken a brief review of both national and international experience with PPPs. Several forms of PPP have been highlighted, including private philanthropic initiatives, private sector management initiatives, private school funding programs (e.g., subsidies and vouchers), and school infrastructure partnerships. A clear message from this international experience is that, contrary to a widely held view, private participation in education does not need to favor those who are well off. Indeed PPPs are often targeted on populations who are being poorly served by existing education delivery systems.

Experience to date suggests some clear lessons for the design and implementation of PPPs and the conditions

under which PPPs in the secondary education will work. A strong regulatory framework, flexibility in provision and good quality assurance are fundamental. More sophisticated PPPs such as school infrastructure initiatives and funding-based PPPs represent a significant design and implementation challenge for government departments. They require a redefinition of the role of public agencies and, often, a different set of skills on the part of the civil servants responsible.

PPPs in the secondary education sector are clearly no panacea. Progress toward EFA targets generally and improvement in secondary education outcomes more specifically will require much broader reform programs. Nonetheless, PPPs – if they are done right – are a useful tool for national and state governments to achieve their educational policy objectives. To be successful, they require good policy design, careful implementation and effective political management.

# Annex

## Two Case Studies of 'Public Private Partnerships in Education'



### Case Study 1: The Bharti Foundation and Different Models of Private Management

The Bharti Foundation was set up in 2000 as the philanthropic arm of Bharti Enterprises “to help underprivileged children and young people of our country realize their potential”. Today the Foundation operates in 242 Primary Schools and 5 Senior Secondary School serving over 30,000 Students of whom 48% girls and 76% are from marginalized communities. The categories of the students are shown below:

Category	% of Children
Children from SC/ST and OBC category	76%
Girl students in Satya Bharti Schools	48%
Children from Migrant Family	7%
Children from BPL Category	31%
Physically Challenged	0.5%
Children from Rural families	100%

Source: Bharti Foundation data (2011).

There are three models used by the Foundation in its partnership engagement:

Table 8 provides a summary of the contractual arrangements in two of the main PPPs operated by the Foundation – in this case in the respective states of Punjab and Rajasthan.

Table 9 concludes by providing a brief summary of the initial impact of the two PPPs across such areas such as access, quality and provision of services.

### Case Study 2: Everonn Education Ltd and an Example of the BOOT Model for ICT Education Provision

Everonn Education Limited offers ICT-enabled computer education in government schools through turn-key projects on a BOOT model. ICT division in Everonn Education Limited (EEL) acts as an education service

Model	Arrangements
Model 1 <i>Own Schools In Partnership With Community</i>	Schools constructed by the Foundation on land allotted or leased by government or donors 193 Schools in six states
Model 2 <i>Adopting Government Schools</i>	Adopting Government Primary School Inherit buildings and students, without the teachers 49 Schools
Model 3 <i>Public-Private Partnerships</i>	Public-Private Partnership with the Government Five Schools; Govt's contribution in Capex and Opex

**Table 8: Examples of the arrangements for PPPs in the states of the Punjab and Rajasthan**

Partnership under	Adarsh School Scheme	Rajasthan Education Initiative
<i>Objective</i>	To establish one Senior Secondary school in each block of the State for poor and underprivileged children providing completely free education	Improving Quality of Education in existing Government Schools
<i>Classes</i>	Pre-primary to Class XII	49 schools (37 primary schools and 12 upper-primary schools)
<i>Student Strength</i>	Upto 2000	6670
<i>Medium of Education</i>	Local language towards English	Local language with focus on English
<i>Board of Affiliation</i>	CBSE	State Board
<i>Teachers</i>	As per norms specified by the Board On pay rolls of the private partner	As per norms specified by the State Board On pay rolls of Bharti Foundation
<i>Land</i>	About 8-10 acre land provided by the State Government on a 99 year lease at a token annual lease money of Rs. 50 per acre.	Existing Government schools adopted; renovation by Bharti Foundation
<i>Management</i>	Completely under private partner (Bharti Foundation)	Completely under Bharti Foundation
<i>Financial Arrangement</i>	<b>Capital expenses:</b> Upto Rs. 7.5 cr shared 50:50 between the Government and private partner (for school of 2000 children) <b>Operational expenses:</b> Shared in a ratio of 70:30 between Government and private partner (Rs. 1600 per child per month)	Government/SSA funding towards Mid-day meals Books Toilets, extra rooms, etc.

provider for computer education, computer literacy, computer-aided learning and teachers' training projects. While Everonn makes the initial investment, the same is reimbursed by government departments in periodical installments spread over the years. The Company is currently operating in 6628 schools across sixteen 16 states. Everonn ICT's scope of services encompasses the following:

- ◆ Supply all IT hardware, software and other physical infrastructure necessary to provide IT education
- ◆ Provide and maintain the infrastructure in good working condition
- ◆ Teach Computer Education in English and respective local language, if stipulated by the contract



**Table 9: Preliminary effective of impact of the PPP in the Punjab and Rajasthan**

Punjab PPP	Rajasthan PPP
<ul style="list-style-type: none"> <li>◆ Zero dropout during 2010-11</li> <li>◆ 47% students scored over 75% in Cycle III internal assessment</li> <li>◆ In March 2011, 74% students had more than 90% attendance</li> <li>◆ Excellent response from community</li> <li>◆ For 2011-12 session, all five Senior Secondary Schools received registrations for admissions more than double their capacity</li> </ul>	<ul style="list-style-type: none"> <li>◆ Enrollment increase from 4238 to 6670 students</li> <li>◆ Drinking water increased from 34 to 49 schools</li> <li>◆ Electricity connectivity from 3 to 49 schools</li> <li>◆ School renovation and internal plumbing from 0 schools to 49 schools</li> <li>◆ Computers allocated from no schools to 49 schools</li> </ul>

- ◆ Supply adequate stationary and consumables at the centers
- ◆ Appoint full-time faculty, who are employees of Everonn, at the schools. The normal ratio is 2 instructors for every school
- ◆ Create/build necessary print and multimedia content as per the curriculum stipulated by the

government in English and local languages, if necessary

- ◆ Train teachers, headmaster/headmistress at the school on computers and usage of multimedia content.

The Table below provides a list of a few of PPP projects (BOOT Model) implemented by EEL for Secondary Schools:

S. No.	Government Department	Description of the BOOT Contract	No. of Secondary Schools
1.	Government of Tamil Nadu	Imparting computer education to the students of Govt. Hr. Sec. Schools in Tamil Nadu	349
2.	Pondicherry Electronics Corporation	Imparting computer education to the students of Govt. Hr. Sec. Schools in Pondicherry	20
3.	Government of Andhra Pradesh	Imparting computer education to the students of Govt. Hr. Sec. Schools in Andhra Pradesh	183
4.	Government of Goa	Imparting computer education to the students of Govt. Hr. Sec. Schools in Goa	238
5.	Government of Andhra Pradesh	Imparting Computer Education Services in Government Senior Secondary Schools	971







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