

# Chapter 5.2

## PLANNING PROCESSES

### MAIN OBJECTIVES

- **To address emergency needs, that is, to identify and coordinate programmes and priorities for action within an agreed timeframe (usually very short term) based on rapid assessment of needs and analysis of the situation.**
- **To set the stage for medium-term reconstruction and longer-range development planning, that is, to agree on a planning framework with all stakeholders as a prerequisite for coordination among actors and longer-range planning.**

### CONTEXT AND CHALLENGES

Ongoing system performance is enhanced by systematic planning, yet emergencies require rapid response. While it is true that disparities will arise in the provision of resources due to insecurity, political disagreement, and donor agendas, for example, planning is still an essential activity for the effective and efficient use of limited resources. Following a crisis, the needs and expressed expectations of affected groups will normally be immense. Educational authorities must be able to set priorities – an important component of the planning process. There may be external donors and agencies to coordinate. Without planning, it is likely that resources will be wasted

and services duplicated, that gaps and disparities in service provision will appear, and that local educational authorities will be sidelined.

Effective planning requires political agreement on values and goals as well as technical processes. Such agreement often proves difficult under conditions of civil conflict, yet education may provide a potential venue for parties in conflict to come together and work on concrete problems related to concerns of all. State education budgets generally decrease dramatically during situations of conflict as an ever-increasing amount of money is spent on military/security sectors. Education ministry staff for planning and statistics may also need strengthening and additional training in order to cope with the coordination of external actors and, ultimately, with reconstruction planning.

Planning for emergencies depends on the duration of the displacement, conflict, or disaster. It must respond to immediate, short-term, and medium-term needs as well as to local action, strategic, and system needs – all of which will be affected by the causes and the scale of the disruption. During the emergency phase, short-term plans are produced to guide urgent provision of services, and the focus is on quick resumption of educational services to affected groups to assist in overcoming trauma and in the return of normalcy. Detailed educational planning requires time and technical expertise, which may not be feasible or readily available during emergency phases, yet to whatever extent possible, short-term planning should be done with the needs of longer-term planning in mind. For example, the immediate collection of baseline data will help measure the long-term impact of services provided.



## PALESTINIAN FIVE-YEAR EDUCATION DEVELOPMENT PLAN

In 1994, as soon as authority for Palestinian education was transferred from Israeli hands to the Palestinians, UNESCO offered its assistance in the creation of the Ministry of Education and the development of the education system. IIEP was entrusted specifically with the construction of planning and management capacity within the education system.

It was clear that the ministry had to start moving away from simply responding to emergencies towards strategic planning involving a long-term approach on managing the education system. A project was therefore launched in October 1998 to help the ministry strengthen its capacities in policy formulation and planning and to create its first five-year medium-term education development plan. This project also included a functional audit on four levels: central, ministry, district and school in order to formulate rules and regulations to improve the efficiency of the ministry and to make it ready for a successful and smooth implementation of the educational vision and the five-year plan.

It took the ministry and IIEP a year to formulate jointly the first draft of the plan. Meetings were organized in various districts to discuss the draft with community representatives, parents, political and social activists, leaders, education officials, principals, teachers, students and officials from other ministries (especially planning, finance, higher education and labour). More than 200 representatives from international and donor agencies and Palestinian academic and social institutions were invited to discuss the modified draft in a Consultation Workshop in October 1999. As a result of this workshop, it was concluded that the five-year plan was too ambitious and unrealistic in attempting to address all the immense needs in education in Palestine within five years. Therefore, with technical assistance from IIEP, the ministry reworked the plan, and cut it down to almost one third of its original estimated development cost.



Consensus on the plan within Palestinian society was made possible thanks to the systematic approach and the negotiating skills within the ministry developed during the two-year existence of the project. In August 2000, the ministry initiated the recommendations of the functional audit, and a central restructuring took place in order to implement the Five-Year Education Development Plan properly.

The five-year plan has now been fully implemented and completed in Palestine, and an evaluation of its results is ongoing.

Source: Adapted from [Mahshi \(2001\)](#)

The fluidity of emergency situations necessitates flexible and realistic planning based on ongoing situation analysis and reports. Standard planning approaches may not be well designed for the rapid response that is required, but well-designed, ongoing planning processes may help reduce the negative effects of emergencies on the education system as a whole. Plans should be periodically checked and modified as necessary to reflect changing circumstances. During early reconstruction, planners should produce a detailed, realistic strategic plan for medium-term development of the education sector (normally for a five-year period). This plan should fit within the broader national development plan or framework and, over time, as access questions are resolved, focus is likely to shift to the quality of education, its relevance to the needs and livelihoods of individuals and to the development of society at large.

Planning for refugee populations must consider the long-term prospects for repatriation and the implications of these prospects for education. In this case, it is essential to consider which language of instruction, which national curriculum, which certification of

completion, which teacher certification, salary scale and terms of service are to be used. Planning for repatriation and reintegration of refugees should begin with dialogue across borders, and an assessment of differences between the education provided while in exile, and education in the home country, as well as the implications for returnee students and teachers. Planning in the area of origin must also consider the possible differences in educational provision, especially if circumstances have favoured one group. Planning for IDP populations must consider the safety of IDPs, the difficulty of identifying some IDP populations, and their educational needs in light of their potential vulnerability. Again, explicit plans need to be made to facilitate re-entry and reintegration of IDPs into the national education system in their home areas.

Ideally, planning needs to be carried out by local educational authorities. At a minimum, however, planning should be under their supervision or conducted with their involvement. Otherwise, educational authorities will not be fulfilling their responsibilities for provision of education to all children and young adults in their territories. Therefore, it is advisable to set up a unit within the Ministry of Education that will be responsible for planning for all phases of emergency and reconstruction. This unit can assume responsibility for coordination, or a separate unit can be set up to manage external relations since, typically, a number of actors and agencies, international and domestic, respond to emergencies. The urgency of the needed response and the involvement of multiple agencies often tend to result in the marginalization of local educational authorities, particularly if they are not proactive. International agencies should be reminded of their responsibility to coordinate with local educational authorities. (See also the [Guidebook, Chapter 5.11, 'Coordination and communication'](#).)



## STRATEGIC ACTION PLAN FOR THE DEVELOPMENT OF HIGHER EDUCATION IN AFGHANISTAN

After several decades of civil war, Afghanistan has experienced a near breakdown of its entire education system, all levels of which are currently in the stage of profound rebuilding and restructuring. Higher education remains vital as the country is in crucial need of developing its human resources in order to staff the national administration with qualified officials, rebuild its health system and generate wealth through the development of its private sector. With this in mind, the public authorities of Afghanistan called upon IIEP to initiate a process for the preparation of a Strategic Action Plan for the development of higher education in Afghanistan.

The process of the plan was designed by IIEP and the Afghan Ministry of Higher Education to be open and participatory. A team from IIEP originally worked together with a group of officials from the Ministry of Higher Education in Afghanistan for two weeks during September 2003 to: (a) collect data; (b) diagnose the current status of higher education; and (c) make informed recommendations on a comprehensive set of political choices for restructuring and rebuilding the whole higher education system.

The plan consisted of two major parts, part 1 providing an analytical framework and foundation for part 2, which detailed the projects required to realize the plan. Within the first section, the team addressed a whole range of issues related to the institutional fabric of the system, its governance structure, admission and student policies, management of academic staff, improvement of the quality of teaching and learning, physical facilities and finance and management issues. The analysis of these issues took the form of arguments in response to explicitly formulated questions, followed by an identification of existing options, and a decision on the best course of action. Part 2 of the plan then dealt with the implementation of the confirmed policy choices: What is to be done by whom, when and with what resources? Activities were grouped under projects, responsibilities allocated, timeframes established and cost estimations finalized.



Given the need to make higher education a strong tool for nation building, every effort was made to equip the central authorities with the capacity to shape the future of their own education system. They were placed in charge of all major decisions relating to structures and processes, national procedures for student admission, teacher training and recruitment, and common rules of organization of study programmes. For such policy decisions, the ministry was also advised to draw upon professional bodies such as a Council for Higher Education and Afghanistan Evaluation and Accreditation Agency.

Source: Adapted from [Ministry of Higher Education, Afghanistan and IIEP-UNESCO \(2004: 13-14\)](#)

## SUGGESTED STRATEGIES



### Summary of suggested strategies Planning processes

1. **Constitute an emergency planning group or unit to coordinate emergency activities within (or by) the educational authorities.**
2. **Coordinate activities and agencies.**
3. **(Simultaneously) share information with the people most affected by the emergency and other stakeholder groups.**

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4. **Monitor and review implementation and modify action plans accordingly.**
  5. **Relate short-term activities to long-range planning.**
  6. **Conduct a sector analysis.**
  7. **Formulate education policies.**
  8. **Draft a medium-term education development plan.**
  9. **Consult national stakeholders.**
  10. **Consult funding agencies.**
  11. **Plan implementation.**
  12. **Begin and monitor implementation, review progress and modify implementation plans as necessary.**

## **Guidance notes**

1. **Constitute an emergency planning group or unit to coordinate emergency activities within (or by) the educational authorities.**
  - What is the charter of the planning unit?
    - How will it relate to the longer-range planning activities of the ministry/education officials and government/authority?
    - How long will it be operational?

- How will it relate to/interface with other sectoral planning groups (e.g. health, water and sanitation, etc.) and the agency tasked with overall coordination of the humanitarian response (e.g. a national authority or perhaps the United Nations Office for the Co-ordination of Humanitarian Affairs (OCHA) or another United Nations agency such as UNHCR or UNICEF)?
  - Will someone from the education planning group participate regularly in overall coordination group meetings?
  - Who will be responsible for ensuring that the work of the education planning group is shared, on a timely basis, with the overall coordination group? (See also the note on information sharing, below.)
- Who will be the chair of the education planning group? Will government educational authorities take the lead or will that function be assumed by another organization such as UNICEF, UNHCR, UNESCO or OCHA?
- Who will serve as members of the planning group? While composition of the unit will vary according to circumstances, will membership include at least education authority representatives, local education officials, representatives from the affected communities, and representatives from the United Nations and other agencies assisting in emergency relief?
- Has the education authority compiled a list of actors/agencies and their activities? Is the list updated periodically (at least monthly)? Do various agencies involved assist in maintaining this list?
- Are the affected groups (refugees, IDPs, national population in various regions) encouraged to select representatives or focal persons to liaise with planners/coordinators?
- Where will the unit be located?

- Will it be housed in the Ministry of Education, or another official part of the government or authority?
- If temporarily housed elsewhere, when will government take over operations?

## **2. Coordinate activities and agencies.**

- Does the planning coordination unit meet regularly?
- Does it identify gaps, duplication and competition in the provision of planned activities and services?
- Does it seek to address needs in order of priority, based on the initial and subsequent needs assessments and analysis?
- Does the unit call on individual agencies and organizations to address gaps, duplication and competition?
- Does the unit have an explicit communications and coordination strategy? (See the [Guidebook, Chapter 5.II, 'Coordination and communication'](#).) Have the expenses for this strategy been budgeted?
- Does the unit publicize its work (see below)?

## **3. (Simultaneously) share information with the people most affected by the emergency and other stakeholder groups.**

- Has the coordination unit shared the rapid needs assessment and action plans with the various actors? (See also the [Guidebook, Chapter 5.I, 'Assessment of needs and resources'](#).) Do these include:
  - A description of the needs in the various affected areas?
  - A general timeframe for services to be provided?
  - An estimate of the cost of resources required?
- Have a sufficient number of copies of the report/summary been made available?

- Are they available in the national language(s) and in international language(s) as appropriate?
- Are the reports published on an accessible website, if available?
  - Have other actors established links to the report on their websites (again, if internet is available)?
  - If internet access is difficult for educational authorities, are other agencies asked to assist in posting reports, e.g. OCHA via its ReliefWeb site ([www.reliefweb.int](http://www.reliefweb.int))?
- Do local (provincial/regional/district) education officials or members of the coordinating unit meet periodically with representatives and focal persons from groups most affected to get feedback on assessment reports, plans, situation reports and on actual implementation?
- Does the coordination unit meet with a broader group of actors/donors to present and discuss the results of the assessment report and subsequent plans and activities of the coordinating unit and other actors?
  - Are the media invited?
  - Is this information published on the internet?
  - Is the information updated frequently based on new data provided by other actors?

#### **4. Monitor and review implementation and modify action plans accordingly.**

- Has the coordination unit developed a detailed plan for monitoring implementation of various projects/programmes?
- Is some group clearly charged with responsibility for monitoring implementation (perhaps the coordination unit or a sub-group)?
  - How does this group report to educational authorities?

- Are they provided with sufficient resources and logistical support to conduct monitoring and review activities?
- Does the monitoring group report to senior educational authorities and also cooperate with local educational authorities, representatives of affected groups and the chair of the education coordination unit to monitor and review implementation?
- Are monitoring/review reports prepared on a regular basis? Are the reports disseminated to stakeholders?
- Are action plans periodically (at least quarterly) reviewed and modified, based on results of monitoring and assessment activities?

#### **5. Relate short-term activities to long-range planning.**

- Does the emergency coordination unit meet regularly with planners and other education officials to ensure smooth coordination between emergency, reconstruction, and long-term development planning?

### **PLANNING FOR THE MEDIUM AND LONGER TERM**

During the reconstruction phase, a more formal and systematic process is used in planning to meet medium-term reconstruction and longer-term development needs in the education sector. While planning in the emergency phase may be led by an outside agency, during reconstruction it is directed to a much greater extent by national and local education officials and agendas. The extent to which national officials drive decision-making may depend, in part, on technical capacity in the ministry, as well as ministry competence and assertiveness. Information is essential for effective planning. Therefore, a functional educational management information system (EMIS) must be established, if





one is not already operational. (See also the [Guidebook, Chapter 5.7, 'Data collection and educational management information systems \(EMIS\)'](#)). The standard process consists of seven steps:

1. Conduct an education sector analysis.
2. Formulate education policies.
3. Draft a medium-term education development plan.
4. Consult national stakeholders.
5. Consult funding agencies.
6. Plan implementation.
7. Begin and monitor implementation, review progress and modify implementation plans as necessary.

## 6. Conduct a sector analysis.

(See the '[Tools and resources](#)' section for an explanation of education sector analysis.)

- Has a national steering committee been constituted to oversee the sector analysis? Does the steering committee include top-level policy-makers, representatives of other relevant sectors, and representatives of the community and the private sector?
- Has the steering committee determined the scope of the analysis to be conducted? That is, have the issues to be included in the analysis been defined? Sector analyses typically examine:
  - Access (gross and net enrolment rates and completion rates for both primary and secondary education).
  - Equity (access by gender, rural-urban, ethnicity, or other groupings).

- Quality and relevance of education.
  - Learning and other outcomes.
  - Internal efficiency<sup>1</sup> of the education sector (e.g. repetition rates).
  - External efficiency<sup>2</sup> (e.g. mismatch with employment opportunities, skills shortages).
  - Management and structure (See also *Guidebook, Chapter 5.3, 'Project management'*, and *Chapter 5.6, 'Structure of the education system'*).
  - Costs associated with the education sector.
  - Learning and other outcomes.
  - Have sub-sector teams been formed? Who serves as members of the teams – education officials, community members, teachers, international consultants?
  - Typically, teams are organized around sub-sectors of the system, e.g. primary education, teacher training, etc.
  - Teams are typically charged with collecting, analysing, and interpreting data, and presenting results for their sub-sector.
- Has a technical analysis team, made up of educational planners familiar with sector analysis, been formed to advise the sub-sector teams?
  - Are data collected, analysed, and interpreted and then presented in an accessible format?
  - Are the results, including conclusions and recommendations, available in national language(s) as well as the relevant

1. 'Internal efficiency' refers to how well (effectiveness relative to cost) the organization achieves its shorter-term objectives (e.g. Gains in academic achievement, etc.) (*Kemmerer, 1994*).
2. 'External efficiency' refers to how well the organization achieves its longer term objectives (e.g. good citizens, productive employees, etc.) (*Kemmerer, 1994*).

international language(s) if international groups are involved?

- Are copies of the report broadly available?
- Are they posted on the internet, if available?
- Are public forums arranged to discuss the findings, conclusions and recommendations?

## **7. Formulate education policies.**

- Has the national sector analysis steering committee drafted policies based on the findings and recommendations of the sector analysis?
- Are meetings organized to discuss the draft policies with representatives of stakeholders and other actors?
  - Does the national steering committee revise the policies based on these meetings?
- Is there a process by which educational authorities then approve the policies?

## **8. Draft a medium-term education development plan.**

- Is a team constituted to write the plan, based on policies formulated earlier? Does the team include education planners and officials from the relevant departments and, if at all possible, the most senior education official as chair?
- Does the team include meaningful representation of implementers and beneficiaries?
- Is a team constituted for each development programme area? Are these teams charged with detailing proposed activities and projects within each programme area?
- Are plans analysed for cost implications and for demographic changes?
- Does the committee produce a draft plan document for review?

## **9. Consult national stakeholders.**

- Is the draft plan or a summary available in the national language(s) as well as relevant international language(s)?
- Are copies of the draft plan distributed within the ministry, to senior officials from the various central ministry departments, and provincial directorates?
  - To other ministries?
  - To broader national stakeholder groups and representatives, including teachers' groups and affected communities?
- Are consultation meetings organized for education officials from the various departments and provinces as well as with political leaders, community representatives, and representatives of civil society?
- Is the original document modified based on results of these meetings?

## **10. Consult funding agencies.**

- Is the modified plan available in the appropriate international language(s)?
- Is a consultation meeting organized with local donor representatives?
- How does dialogue occur between national ministries and donor agencies?
- Are transparent procedures in place for the finalization of the plan?
- Is a final plan produced in national languages and the appropriate international language(s)?
  - Is an international consultation/donor pledging meeting organized?

- Are representatives of national stakeholders and donor representatives from headquarters invited?
  - Is the plan document sent well ahead of time to all participants?
  - Are funding agencies encouraged to make pledges and to decide the kind of financial support they want to provide?
    - Some financial support options include: basket funding<sup>3</sup>, budget support<sup>4</sup>, programme funding, and project funding<sup>5</sup>.
  - Are implementation and reporting procedures and the scheduling of disbursements discussed with funders?
  - Is the final plan discussed with the relevant parliamentary body, according to local law and custom?
  - Does that parliamentary body have to rectify the plan?
3. Basket funding occurs when several donors pool their funding into common 'baskets', or joint accounts, that support an overall programme or a sector within a government. Donors who pool funds agree to shift their support from individual projects to a common pool that is managed by one of the donor partners. There is increased reliance on common procedures, e.g. appraisal, reporting, monitoring and evaluation, and joint review processes. Some pre-conditions may apply to the release of donor funds. Funds are dispersed from the pool to a government on a periodic basis, based on a government's reporting of sectoral expenditures for that period (adapted from [World Bank, 2003](#)).
  4. Budget support is an aid modality which consists of financial assistance provided directly to a partner country's budget on a regular basis, using its own financial management systems and budget procedures (adapted from [World Bank, 2005](#)).
  5. A 'programme' is a set of interrelated projects, centrally managed and coordinated, and directed towards the attainment of specific (usually similar or related) objectives. A 'project' is a planned undertaking designed to achieve certain specific objectives within a given budget and within a specified period (adapted from [MFA, Denmark, 2004](#)).



## RECONSTRUCTION ISSUES IN AFGHANISTAN

“Consultations with Afghan educators and other stakeholders during this preliminary assessment indicate that the development of a long-term vision and a national education policy are immediate priorities. The national education policy, medium-term plan and strategy should address some of the following key areas:

- Decentralization: identification of which powers can be decentralized to which levels.
- Governance: determination of policy authority of key stakeholders.
- Public/private partnerships: role in governance, extent of private sector involvement and accountability in service delivery, construction.
- Community role in: resource mobilization, school governance, access-quality monitoring.
- Equity: gender parity in enrolment, equity in enrolment and achievement.
- Teaching force: level of qualifications, competence, status and remuneration.
- Technical and vocational training: degree of flexibility and relevance, and market linkage.
- Tertiary: degree of autonomy, linkage to private sector, balance of research and teaching.”

Source: [ADB, World Bank and UNDP \(2001\)](#) in [Sinclair \(2002: 101\)](#)

## 11. Plan implementation.

- Have the programme teams produced detailed annual implementation plans? Have they identified:
  - The departments and units responsible for implementation?
  - The schedule for implementation?
  - Relevant indicators to be monitored?
- Is implementation appropriately decentralized?
- Are implementation plans collected into a single document, translated into national and international languages, with sources of funding and schedules specified?
- Are copies of the implementation document distributed to all concerned parties, especially those responsible for implementation, other ministries and donor representatives?
- Do annual education budgetary allocations reflect the financial requirements of the implementation plans?

## 12. Begin and monitor implementation, review progress and modify implementation plans as necessary.

- Are implementers and beneficiaries as well as education officials involved in monitoring, reviewing progress, and modifying implementation plans? (See also the [Guidebook, Chapter 5.3, 'Project management'](#), and [Chapter 5.7, 'Data collection and education management information systems \(EMIS\)'](#).)

## **TOOLS AND RESOURCES**

### **1. What is education sector analysis?**

The Education Sector Analysis (ESA) or Sector-Wide Approach (SWAP) in education is a common tool used in the development of education systems. Once conflict is over and the situation is stabilized, a general overview of the education system and a review of its present status are essential to the post-conflict reconstruction process. The Education Sector Analysis provides national authorities, donors, and other education stakeholders an understanding of:

- Essential inputs into setting national education sector policy.
- Implementation strategies for the sector policy.
- Action programmes to carry out the strategies.

#### **Why ESA?**

ESA is an essential activity because it provides a systematic analysis of objectives, criteria and priorities for nationally and internationally funded education reform and development activities. It can also increase the cost-efficiency and impact of the education system by increasing awareness of more and less effective aspects of the system.

#### **By whom is ESA carried out?**

ESA is carried out in different ways, by national authorities such as education ministries, planning and finance ministries, or other government units at central and provincial levels; external partners

such as donors and non-donor technical assistance agencies; and increasingly national public and non-public stakeholders.

### What does ESA comprise?

- Identification of inputs (such as teachers, curriculum, textbooks, pedagogy) and results (such as graduates, learning outcomes, relevance, resource utilization, sector management, costs, achievement of goals).
- Assessment of strategies. This implies assessing the implications of alternative strategies in relation to the resources needed and available, sector management mechanisms and processes needed, and cultural and political factors.
- Action programmes, broken down into projects, to implement the strategies.

Source: Adapted from [Bahr \(2002\)](#)

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