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# POLICY RESEARCH INITIATIVE

## Indonesia Strengthening Local Education Capacity

### Final Report

May 1989

# IEES

Improving the  
Efficiency of  
Educational  
Systems

Florida State University  
Howard University  
Institute for International Research  
State University of New York at Albany

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**IMPROVING THE EFFICIENCY OF EDUCATIONAL SYSTEMS**

**POLICY RESEARCH INITIATIVE**

**Strengthening Local Education Capacity  
in  
Indonesia**

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**April 1989**

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## **RESEARCH REPORT**

### **PREFACE**

The study is one of joint research projects conducted by Balitbang Dikbud and IEES/FSU. It was started in March 1987. The Advisory Committee of the study decided that the execution of the study would be divided into two phases. The Phase I study concentrated on the status review of local capacity in the implementation of education (i.e., primary school (SD) and junior general secondary school (SLTP) comprising also legal product and its related mechanisms). In addition, it aimed at formulating the terms of reference for the proposed Study Phase II. At the culmination of the Study Phase I, the above two items were discussed in a National Seminar. The Phase I study deals mainly with obtaining information through document analyses in Jakarta and local regions as well as through a series of group discussions. A Research Status Report was published at the conclusion of Phase I. The Phase II Study concentrates on obtaining data from the field. The main purpose of the latter is to examine variables and problems related to the local capacity, especially parental capacity, in supporting the implementation of basic education (primary and junior general secondary school levels). The activities and outcomes of the Phase II Study were also discussed in an executive study team meeting and in a National Seminar.

The study examines various variables related to the enhancement of a local capacity in completing the NBE (Nine-year Basic Education: comprising of primary and junior general secondary school levels) which aims primarily at enhancing the role of parents and society in school activities. Above all, it promotes the parents' and society's sense of commitment to the schools where their children learn, and to enhancing the professional competence of teachers, headmasters, and other education personnel in the region in their job and responsibility.

The researcher wishes to express his appreciation for the help and suggestions given by concerned people in Balitbang Dikbud and in the field.

## INTRODUCTION

### BACKGROUND

The development policy of the education system in Indonesia is based on the philosophy of Pancasila, the 1945 Constitution (Articles 32 and 33), the Broad Outlines of State Policy, and the principle of *Bhineka Tunggal Ika* (Unity in Diversity). The Pancasila philosophy provides direction for the formulation of educational objectives, while the 1945 Constitution provides every citizen with an equal right to education, obliges the government to set up one national system of education, and to develop Indonesian culture consisting of a variety of local cultures.

The task of educating the nation is entrusted to the Ministry of Education and Culture (the MOEC), although in practice other ministries are also involved in the execution of education as well. The Ministry of Religious Affairs is responsible for religious education. The Ministry of Home Affairs (MHA) is responsible for the administrative aspect of the primary education level, and the Ministry of Manpower (MOM) for vocational training of the marketable workforce.

The management of education and culture by several ministries together with the varied geographical, social, and culture environments serve on the one hand as a potential national asset, while on the other as a source of constraint for developing a national education system.

The rather confusing system of educational management mentioned above has been increasingly straightened out with the incoming National Education Act (NEA) which outlines a central education management for all levels of education in the hand of the MOEC. However, other ministries and private organizations are still permitted to run schools.

Since the beginning of Repelita I (Five-Year Development Plan) in 1969, various attempts have been made to improve education in terms of quantity as well as quality in order to meet the demands of national development. Reform in curricula, teacher preservice and inservice training, the construction of school building, the provision of school facilities, and the drafting of the NEA have been carried out, but their outcomes have not yet met their objectives as expected. Besides various technical problems on education such as EBTANAS (National School Leaving Examination) and Sipunmaru (Public University Entrance Examination) still exist beyond the reach of the MOEC. Therefore, various education policies were reevaluated in Repelita V. In 1984 and 1985, it resulted in various education policies which became a reference for educational and cultural development in the later years. Those policies are as follows:

1. Considering the outcomes of national development to date, the central Government comes to the conclusion that it is appropriate to delegate more of its authority in education to its subordinate units in the region, schools, and local government. The government's intent in education serves as a strong support for the implementation of Local Content Curriculum and EBTANAS (school exam) by the region.
2. Comparative study of student learning achievement among regions (Moegiadi et al., 1976; A. Suryadi, 1983) and the analysis of educational development in Indonesia made the educators aware of the need to adjust the curriculum to the varied geographical, social, and cultural environment. Therefore, the MOEC has determined that the percentage of local content in a national cur-

riculum for primary and junior secondary school level as well as for senior secondary school is about 20 percent. Accordingly, the EBANAS will be assigned to the region as well.

3. Some educational innovations carried out through various pilot projects have shown promising outcomes which can be disseminated nationally. The MOEC has determined, among others, that Student Active learning (CBSA in Indonesian acronyms) and the enhancement of teacher competence through PKG will be implemented throughout Indonesia.
4. In relation to the current Labor Act (setting minimum employment age at 15), and the need to enhance the education of the nation to meet an industrial stage (a takeoff stage), and the compulsory education for primary school reaching 97%, the government has determined to increase basic education from six years to nine years. The Nine-year Basic Education (NBE) will be implemented in stages so that in 1994 (the beginning of Repelita VI) at least 85% of SD and MI (Islamic Primary School) will have been able to be accommodated in SMTP.

The execution of those policies needs careful planning and a joint effort of all those who may be concerned in education such as: central government, local government, parents, local as well as national social organization, and other private sectors.

The Strengthening Local Education Capacity (SLEC) study is directed to find out better ways to enhance the regional capacity in educational fields, for implementing the above education policies, especially.

#### **THE OBJECTIVE AND EXPECTED OUTCOMES**

The objective of the study is to collect data and information, procedure, policies, suggestions, as well as the analysis of policy alternatives so that decisionmakers can select and implement a strategy for promoting a regional capacity in basic education, and consequently will increase the opportunity, relevancy, and quality of education in Indonesia.

Activity Phase II was tasked with producing:

1. A Final Report in relation to various variables connected with the enhancement of parent and societal participation, and of professional competence for all implementing units of the MOEC in the regions and schools in implementation of NBE (SD and SMTP).
2. Recommendations for enhancing parental and societal participation, as well as the competence of education personnel in the regions and schools.

## **PROCEDURE AND ORGANIZATION OF RESEARCH**

### **ACTIVITY OF FIELD STUDY**

The phases of the implementation of field study for Phase II are the drafting and revision of proposal, development of research instruments, selection and training of research personnel, implementation of data collection, data processing and analysis, and the report writing. These are described below.

#### **Drafting and Revision of Proposal**

The Study Phase II Proposal delivered by the writer in the Phase I Seminar was based on the analysis of the Study Team on the actual needs of policy makers in relation to the implementation of the NBE.

As stated in the Report Phase I (Status Report) the Seminar Phase I recommends two kinds of integrated research approach in the proposal for study Phase II. First, Study "Type A," is a field survey being concentrated on the collection of information on various variables related to local participation, specifically on the NBE comprising primary and junior secondary school levels. Second, an action research approach, is concentrated on a model(s) development of planning in a district level for fully implementing the NBE. The second approach or "Type B," is the enhancement of regional participation, i.e., the involvement of the MOECs units in the regions, local government, parents, and local community. It is designed as a treatment variable. All kinds of aspects enabling the enhancement of the regional participation will hopefully be discerned from the above pilot model.

Most decisionmakers in the central and regional level would prefer to expect quick results from the Study Type B, but there is limited budget from IEES/FSU, unless the Manager of Study Phase II decides to concentrate only on the Study Type A. The decision has been made after he takes all consideration given by the Project Team Leader of IEES that the Study Type B will be opted as a follow-up action of the Study Phase II, and also after knowing that Balitbang Dikbud (the Center for Educational and Cultural Research) initiates to work on the Study Type B at the same time for the activity of 1988/89 Development Project (DIP). Therefore the proposal for Study Phase II has to be adjusted accordingly.

The first revision was done in March 1988 after the Seminar was held, and was discussed with the Project Team Leader of IEES/FSU. In June, the proposal was reviewed to become the final/formal proposal of Study Phase II, even though in October there was still an adjustment on time schedule and allocated budget due to a change in field situation and condition, and the time of the chairman related to the other unavoidable tasks.

#### **Sample and Sampling Technique**

The study collects information from various sources in order to obtain a more complete and objective picture on parent and community participation. Those sources include parents, community leaders in a village where a school is situated, headmasters, PTA heads, and teachers from the school samples.

Due to a limited budget, the study deliberately selects two provinces as sample areas (i.e., Jateng (Central Java) and Riau). These two areas were selected in order to be able to obtain a picture on the condition of various dwelling areas (i.e., urban/trading, rice-field, mountainous, and coastal areas, as well as a

river bank area). In each province one municipality and two districts (one is close to the capital province) are chosen with a stratified random sampling technique. Two subdistricts are also chosen randomly from each district. Therefore there are 12 subdistricts from 6 sample districts.

From each subdistrict, 6 schools are chosen randomly consisting of 2 public SMTPs, 2 public SDs, 1 private SMTP, and 1 MI. But in reality not all subdistricts have the types and number of schools as required. Therefore the study can only study 70 out of 72 schools (i.e., 21 public SMPs, 15 private SMPs, 25 public SDs, and 10 MIs (Madrasah Ibtidaiyah)).

Lastly, twelve pupils, two teachers, one headmaster, and one PTA head, were chosen from each selected school, and four social leaders chosen randomly from each village where the school is situated.

The total samples which can be reached are as follows: pupils, 820 parents, 144 social leaders, 144 teachers, 59 headmasters, 60 PTA heads, and 45 village leaders.

### **Development of Research Instrument**

For obtaining data for the Study Phase II, the study team develops research instruments as follows:

- a. Interview schedule for parents and social leaders.
- b. Interview schedule for headmasters.
- c. Interview schedule for Village heads.
- d. Interview schedule for PTA heads.
- e. Teacher questionnaires.
- f. Forms for collecting secondary data on school conditions.

The interview schedule for parents and social leaders contains the questions on:

- respondent's background comprising respondent's identity, education, experience, income, and its own asset/wealth
- various expenditures and the total cost spent for a child selected as a sample
- support in the form of workforce, equipment, and ideas for education which is collected through a school, PTA and/or village
- their active participation in the PTA activity
- their evaluation on a PTA and school where their children learn
- possible support which can be donated to education

The interview schedule for schools and PTAs is primarily focused on the collection of information on various aspects of school fee (SPP) and PTA fee, and opinions on factors which support or hamper parental and societal participation in the implementation of education.

The interview schedule for village heads is mainly concentrated on obtaining information related to the support of village and members of village society for the field of basic education.

The teacher questionnaire aims at obtaining teacher perceptions on the use of PTA fees and parental participation in the teaching process in a school.

The tryout of instruments is undertaken in Karanganyar District, Central Java. Its implementation does not face any significant constraints.

### **Selection and Training of Field Workers**

In April 1988, contact was made to higher learning institutes, Provincial offices of MOEC, and Bappeda (Regional Planning Office) in Riau and Central Java to request assistance in the form of research personnel. Interviews are deliberately chosen from the sample provinces. They are usually those who have

ever assisted Balitbang's research activities and/or received research training from Puslit Balitbang Dikbud for the development of a research network. As explained in the proposal, the participation of local and central personnel in the study will hopefully enhance local personnel competence in the research field as well. Other considerations are, among others, the above strategy will minimize transport costs from the central to the research location, and the regional personnel will certainly master the local language or dialect spoken by the respondents.

In doing so, the study selects six personnel from Riau province and five personnel from Central Java province.

They come from the above mentioned local units. The study also chooses three personnel from Puslit-Balitbang Dikbud (i.e., two field supervisors and one interviewer).

The training of the field workers was carried out in their respective province in September 1988, then followed up with the implementation of real field study.

### **Execution of Field Study**

Every researcher has to complete interviews, collects teacher questionnaires and secondary data from schools in a sample subdistrict comprising 5-6 schools, 2-4 villages, and 72 respondents.

During the first week, the data collection was deliberately carried out in one subdistrict of municipality. It acted simultaneously as a phase for adjusting the stability among researchers before they were assigned individually to research locations far from one another.

The execution of data collecting was scheduled to take place in late September 1988, but due to the rigidity of IEES/FSUs finance administration the finance for the study was received one week late. In fact, the one week lateness caused the execution of field study to be two-weeks late since the villages were busy in preparation for the celebration of Independence Day. Some researchers in Riau and Central Java were able to go to their respective research location just after August 17, 1988.

Even though research personnel were selected from their respective regions, it happened that the languages spoken in several villages such as Keritang (Riau) and Gandrungmangu, Cilacap (Central Java) still cannot be understood by the researchers. Therefore, they must be assisted by the interpreters selected from the local leaders in order to be able to communicate with the respondents. The actual data collecting was able to be fully completed in mid-October 1988.

The supervision of data collecting is carried out by the CTL and RAF of the Study, and two other supervisors from Puslit. The field study is supervised three times--in the first week of data collecting, during the halfway of field study, and prior to the end of field study. But, due to the above delay, the field study starts directly in the rainy season so that the second supervision cannot be proceeded, in Riau, since the travel by boat in the river was considered dangerous. Therefore, the researchers must make their minds up themselves to cope with the problems of data collecting in the research location. A long distance consultation has also been done in the regions where telephone communication is still available (such as in Semarang, Cilacap, Keritang, Pekanbaru). But the conversation from Keritang to Jakarta is very difficult to hear since the region still uses a very old telephone system.

### **Data Processing and Analysis**

The activity of research data processing and analysis consists of the following stages:

- writing code books for every guide and data collecting form
- transferring data from the answer sheets of the interview schedule or questionnaire and secondary data forms to coding sheets (tabulation process)

- transferring data from coding sheets to diskettes for processing with a microcomputer
- programming (using SPSS) for data processing
- cleaning the data stored on diskettes
- executing the statistical analysis of data with SPSS program such as univariate analysis, cross tabulation, and correlation.

The transfer of the interview and questionnaire data to coding sheets takes quite a long time. First the closed questions data are analyzed, then later the data from open-ended questions are analyzed. Technical problems such as virus attacks on programs, data, or writing on diskettes will hamper the data processing, therefore new files must be made as well.

The study still finds a lot of blank answers (missing data) even on the answer sheets of interviewers. When those cases are rechecked with their respective field researchers, most of the blank answers are actually answered "NO." Researchers forgot to write down answers on answer sheets and overlooked them during reexamination because they did not consider it wrong to leave them blank. They forgot that if they did not write down the answer "NO," then it will be the same as a no-response answer. In the cases of open and structured questions consisting of "Yes - No" answers, those answers not marked will be considered to have been answered "No." The same errors also happen due to the wrong data transfer from answer sheets to coding sheets and/or from coding sheets to computer. In fact, the data cleaning process takes quite a long time as well.

In doing further analysis, the intent to do bivariate or multivariate analysis of school expenses cannot be executed as expected because most of the data on school fees obtained from the field is less varied. Therefore the study has undertaken cross-tabulation analysis on the data which is classified into two categories--high-low, pay not pay, etc.

### Correlation Among Selected Variables

#### A. Correlation Between SES Scale With Its Subvariables

Correlations:	JANAKSEK	RADIOTV	TRANSPOR	TANAH	TERNAK	BARANGLA	KAYA	SES
JANAKSEK	1.0000	.2204**	.1788**	-.0234	-.0575	-.0414	.1729**	.1986**
RADIOTV	.2204**	1.0000	.5133**	-.1811**	-.1541**	.2042**	.7542**	.5339**
TRANSPOR	.1788**	.5133**	1.0000	-.1111**	-.1493**	.1351**	.6751**	.5082**
TANAH	-.0234	-.1811**	-.1111**	1.0000	.3573**	.1349**	.2904**	-.0324
TERNAK	-.0575	-.1541**	-.1493**	.3573**	1.0000	.0812	.2640**	-.0509
BARANGLA	-.0414	.2042**	.1351**	.1349**	.0812	1.0000	.4635**	.2218**
KAYA	.1729**	.7542**	.6751**	.2904**	.2640**	.4635**	1.0000	.5542**
SES	.1986**	.5339**	.5082**	-.0324	-.0509	.2218**	.5542**	1.0000

N of cases: 810      1-tailed Signif: \* - .01   \*\* - .001

## B. Correlation Among Independent Variables and Donation SMPs Parents Data

	HASIL	DIPLOMA	# ANAK	SES	SPP&BP3	HARIA
HASIL (Income)	1.00	.31**	.13*	.77**	.09	.25*
DIPLOMA (Education)	-	1.00	.18**	.80**	.05	.09
#ANAK (# Children)	-	-	1.00	.20**	.06	.12*
SES scale	-	-	-	1.00	.11	.22*
SPP&BP3 (Sch. fee)	-	-	-	-	1.00	.17*
HARIAN (Daily Rp )	-	-	-	-	-	1.00

N = 423                      signifi.:    \* = .01    \*\* = .001

Due to the limited time to collect more accurate data analysis on parents, headmasters, PTA heads, and village leaders in a respective combined data file, the data analysis done so far is just limited to an analysis by a small group of respondents.

In addition, the field study has not always been successful in obtaining sufficient data on educational costs. Not all schools have completed data on the kinds and amount of funds received and spent. Therefore the study has not been able to calculate the average cost per student per school from the data collected on educational costs. The financial records of the PTA are also not complete, because most PTAs entrust schools to administer the PTA fund. Most of the financial data contains only large units of expenditure. Since the data is not complete, it is not valid for use in drafting policy recommendations. In other words, it needs further study, probably using a different approach, in order to be able to disclose more detailed aspects mentioned above.

### MONITORING ACTIVITY OF STUDY TYPE B

As described earlier, the Study Type B, which is suggested and agreed to in the Seminar Phase I, must be separated from SLEC Study Phase II, and is carried out by Puslit Balitbang Dikbud for the implementation of the 1988/89 Education Policy Development Project. Since the writer is the initiator of the Study Type B, and considers its outcomes very useful to complete the Study Phase II, the writer always looks forward to seeing its development. The writer, together with a Project Team Leader and the Manager of Study Type B contact Head of Central Java Provincial Office of MOEC, and together with Head of Puslit-Balitbang meet Head of Riau Provincial Office of MOEC and Head of Provincial Office of Education and Culture for the Ministry of Home Affairs (MHA) for establishing cooperation to work on the study. Head of Riau Provincial Office of Education and Culture for MHA gives a positive evaluation to the importance of the study, and even extends Rp. 1.5 million of funding from Riau Provincial Government to support the study activity. Puslit handles directly the Study Type B in Cilacap (Central Java) only, while the other research locations in South Sulawesi and East Java are left respectively to the research networks in Ujung Pandang and Surabaya to carry out the Study Type B without finance from the central.

These monitoring activities were received positively by the local governmental staff of Cilacap District. They formed a district monitoring team lead by the Office of Regional Planning, Cilacap District. But, it is a pity that the activities lacks direction and support from the Provincial Office of MOEC.

Due to the shortage of funds, the Policy Development Project was not able to supervise all activities systematically. The activity in Riau is really not planned by the project, therefore the execution of the tryout of Study Type B is delegated to both the Head of Dinas P dan K Kabupaten (District Office of Education and Culture for MHA) and the Head of Kandep Dikbud Kabupaten (District Office of MOEC). The monitoring tryout in Riau has been brought in a workshop held in Tanjung Pinang, November 19-21, 1988. The tryout is, in fact, interpreted as data collecting and student mapping through top-down approach without systematically involving parents and village. Thus it does not carry out the Study Type B as proposed in the Seminar. Despite that, it has given a fairly important input for a probable planning on the completion of basic education in Riau province, i.e., among others for the need of microplanning (school unit), the setting-up of boarding schools for accommodating students scattered in remote islands and isolated places, and the need to delegate authority more flexibly to administer to schools in remote places and border areas to support a compulsory education program (9 years) in Riau Province (Dinas P dan K, Riau 1988: Workshop on Management System of Basic Education). Among others is the possibility of opening SMTP class in SDs in remote areas.

The outcome of Study Type B in other provinces has not been received up to the time that the report was written. But, it indicates that the activity delegated to the research network hardly works at all. First, because the fund is very small (only Rp. 500,000) and second, the local team leader is mistakenly chosen (i.e., a very busy person), and the concept of study is rather mistakenly communicated to the field surveyor.

From the above description, the report of Study Phase II has yet to accommodate additional information, as expected, as produced with the Study Type B.

Based on the above experience, and the researcher's experience during the tryout of adjusting skill curriculum to the local needs and conditions shows that the idea of delegating more authority to the lower units of administration in the region must be accompanied with a detailed guide, the enhancement of competence to undertake their new functions and solve the problems faced as a result of change. The problem varies from school to school, and from one area to another (Romli Suparman: Action Research in SD Cilangkap, Purwakarta (1985); and SD Rumkin (1986)).

## FINDINGS OF FIELD STUDY

### SUMMARY OF FINDINGS

The number of respondents from school and village level as expected in Proposal Phase II is 1,464. The field study has succeeded to contact and to collect data from 1,267 respondents spread over 6 districts, 12 subdistricts, and 38 villages in Riau and Central Java provinces. They consist of 820 parents (of SD/MI and SMTP), 144 social leaders, 67 headmasters, 144 teachers, 33 village heads, and 41 PTA heads. It was also able to interview the heads of Kandep Dikbud Kabupaten and Kandep Dikbud Kecamatan, and Subdistrict Officers (Camat) in the research locations. There are shortages of 197 respondents, because only 35 out of 72 sample villages and 70 out of 72 sample schools can be chosen. Based on the real situation in the field, the number of sample shortages is really 31 respondents, comprising of 3 headmasters, 8 social leaders, and 20 parents. Ten out of twenty parents who cannot be interviewed are due to the researcher's misunderstanding. From one MI which just has first graders, the researcher takes only two sample students instead of 12 students as needed in a research design. To sum up, considering the attainment of target respondents, the field workers have done their task in success.

In broad outlines the outcomes of data analysis are as follows.

#### General Description of Respondents

The number of parent respondents is the largest sample in the study, i.e., 426 respondents from Central Java, and 394 respondents from Riau (Table 1). Table 2 shows their distribution by subdistrict; the largest number is 72 respondents, and the smallest is 59 respondents. Based on years of age, the youngest respondent is 20 and the oldest is 75; the parent respondents from public primary schools (SD Negeri) are usually younger than from the other groups.

Comparative numbers of respondents by grade have been obtained as expected. So is the comparative number of male and female pupils whose parents are selected as samples.

Considered from a socioeconomic status which acts as an aggregate index of variables on wealth, income, and education, a fairly balanced variation in SES exists among various school levels. But, there is a trend that the number of respondents from MI, and SMP Negeri, and also the SES from SD Negeri's respondents and SMP Negeri's respondents show they are fairly balanced.

More details on these characteristics can be seen in Tables A1 to A17, attached.

#### Description on Education Costs

- Financial data prepared by Headmasters (schools) as well as by PTAs is far from complete. But, the existence of School Budget Plan (APBS) in school, even if it has yet to be widely practiced, has shown itself to be encouraging. Whenever it is further supervised, the cooperation between PTAs and schools will be further strengthened.
- The management of school fees (SPP's money) and PTA's fees (BP3) still does not support the operational activities of school:
  - PTA's finance is still spent a lot more on school buildings, chairs, and desks
  - School fee still has not been able to be used directly when schools need it

- PTA still delegates the school to manage the finance, and on the other hand the school delegates the teacher to manage it (some schools rotate the responsibility among teachers)
- Schools as well as teachers still lack facility to obtain operational cost. An SD regulation on free schools--fee is perceived by parents as free from responsibility to pay PTA's fee or other assistance/expenses related to teaching/learning activities in School
- Parent incomes vary widely, while the school fees and PTA's fee is determined quite easily and un-systematically by schools, villages, and by the smaller administrative units of MOEC in regions (see Table 4).
- School fees, as well as PTAs fees, are still not in accord with the level of parent capacity, even though most headmasters and PTAs say that they are so. In fact what they mean by "in accord with" is the average amount (or mean) of fees in a subdistrict.
- Some schools cannot spend the school fund accordingly, because of the headmasters ignorance on how to spend the fund.
- Not all schools, public as well as private, collect funds for school admission, school testing, school uniforms, and other expenses other than PTAs fees and/or school fees. Private schools collect more funds for school buildings from new first graders (see example on Table 3).

### **The Active Participation of Parents, Teachers, and School's**

Only a small part of parents (33%) mention that they have ever given support other than the school and PTAs fees (Table 5). Their participation in PTA meetings are fairly even, 60% of them attend at least one meeting in a year and most of them state that PTA held two meetings in 1987. The number of home visits by teachers and headmasters is also proportional to the percentage of parents giving donations. Tables 6 to 8 are presented as what has been contributed to and what is willing to be contributed to.

### **Variables Related to Participation**

Cross tabulation among various variables show that the levels of education, communication between parents and schools, income, and type of employment correlate with the levels of parent participation in giving donation/support, actively attending meetings, and their evaluation toward school. But, from the in-depth interview with headmasters, PTA heads, and social leaders information can be revealed that those who often participate more actively in PTA and school activities are those who are really not rich. In addition, those parents who have better education and higher positions tend to actively support the school. Parents who have yet to provide support for school or are not attending the PTA meetings actively generally do so because they just wait for the school demand or social leaders appeal. Or as far as lower class parents are concerned they usually have limited time for such occasion.

### **Teacher and Headmaster Competence**

In fact, headmasters and teachers have fairly great potential in carrying out their responsibility in education. According to research analysts, they are a very strategic base for enhancing educational creativity and quality. Even so they still have yet to possess a lot of competences, especially in using their school resources. They lack skills in managing school data and finance, because they are mainly acting as data collector and not as data user.

Lack of managerial skill, especially on the important aspect for enhancing societal participation and school planning in the regions, is widely found in SD and MI.

## ✓ POLICY RECOMMENDATIONS

### **PROBLEMS ON DRAFTING POLICY FOR STRENGTHENING LOCAL EDUCATION CAPACITY**

The study tries to identify various variables related to strengthening local education capacity in completing NBE (SD SMTP). It is concerned namely with the strengthening of parental and societal participation in school activities for enhancing their social commitment, to the school where their children learn, headmasters, and other educational personnel of MOEC in the regions, in working on their tasks and responsibilities.

Based on the study's outcomes, the writer found out a number of issues which should be taken account of in formulating the above policy. They are as follows:

1. On one hand it needs operational funding increases for enhancing the educational quality, but on the other hand it is difficult to expect increases in financial support from parents for school activity. First, because parent capacity is generally limited and the number of dependents is still quite large (approximately 4 children). In free-school fee SDs and MIs, it is even more difficult to increase the financial fee. It is even worse in SD Inpres in the regions; parents consider everything free in school, because the school is called "Sekolah Presiden" (i.e., President School, which is built with budget according to Presidential Decree). This trend was also found in other provinces whereby the writer undertook other research. Based on the above situation, the trend of expansion of education has costs for completing a compulsory education (SD) movement. The government will be obliged to erect Sekolah Inpres and to free SMTP students from paying school fees. Therefore, the government (Central and/or Local) must increase the educational budget. From one point of view, such an increase in education budget is logical, since the expansion of NBE is still the will of government, and not the real need of the people. From the other point of view, there must be more directed effort to enhance the parental and societal participation, because the Broad Outlines of State Policies (GBHN) spells that the responsibility of education lies in the hands of government, parents, and society.

If the trend of Government policy toward this universalization of NBE is the same as for the universalization of SD, there would be problems as happened in SD, i.e., the difficulty of collecting funds from parents and society through school. If fund-raising through PTA is still justified, then the management of School finances and PTAs finances need to be straightened up. Headmasters and teachers should be freed from administering the PTA's finances so that the PTA organization, including its members, participate more actively in the school activities. The spending of PTA's money through a Yearly School Budget discussed by school and PTA is really a good way, and should be developed further. The budget should not only cover building and school facilities, but also enhance the uses of PTA's finances for the educational process.

2. Besides constraints such as: the low education capacity of parents to increase their financial support. Generally the school faces various difficulties in administrative procedure (DPP) in drawing school fees (SPP). e.g., the school fee cannot directly be spent for the execution of education in the school concern. The study also reveals that the determination of the amount of school fees and PTA fees is still not spent, if it is considered from the viewpoint of the socioeconomic status of parents. There is no significant difference in the payment of school fees and PTA fees between those parents who have high income and low income and between those who have a great number of children and a small number of children.

If the school fee for SMTP is still needed for completing NBE, it needs a regulation which is more fair for parents, and easy and practical to use. Besides being for every school in relationship to the amount of school fees and PTA fees, a new regulation should probably be made to regulate the comparative allocation of government finance for each school by considering the amount of funds collected by the school from parents, society, and school efforts.

3. In addition, it is very important that the local government should by any means raise funds. Yet whatever a village up to a provincial government can do in relation to the raising and use of education funds from a societal resource (e.g., land and house tax (PBB) and other methods), and how it will not overlap with other sectoral functions and responsibilities remain another difficult problem in formulating policy recommendations on the strengthening local education capacity for raising funds from parents and society as expected in the study.
4. Based on the analysis of the study, it indicates that the level of parental and societal participation in the implementation of education in the school where their children learn is determined by the capability of the headmaster, social leaders and teachers to establish a social relation with parents and community around the school. A lot of parents are still awaiting the headmasters or societies demand to support education. Therefore, the school needs to enhance the competence of school staff to establish a social relation with the community. On the other hand, the criterion of success for school, teachers, or headmasters has not been based fully on their social relationship with community. The enhancement of teachers competence in carrying out their task in as well as out of school is much more needed for the implementation of local contents based curriculum.
5. The analysis of the study also reveals that the effort to equate, as well as enhance, the quality of NBE needs more delegation of authority from the central units of MOEC down to school levels. The system of management and microplanning (school based planning) should therefore be taken into account seriously. A change from this direction will need the revision of a number of regulations and mechanisms of educational management at all levels. A plan of preparation in this direction has yet to start, while planning for that purpose needs intersectoral cooperation which are actually difficult to carry out. An approach must be found which will delegate more authority to the District Office of MOEC to plan the comprehensive and integrated completion of NBE.

#### **RECOMMENDATIONS ON THE POLICY DIRECTION OF STRENGTHENING PARENTAL AND SCHOOL EDUCATION CAPACITIES**

The outcomes of the analysis of both phases of this study (Phase I and II) and other references from Puslit, in particular, and Balitbang Dikbud, in general, suggest the following policy directions.

1. Strengthening Local Capacity to implement NBE
  - Not decentralization but rather deconcentration of authority in the central units down to local units.
  - Not direct work on the enhancement of fund raising from the societal commitment to schools. Not centralization of authority in a province, but rather in Districts and Schools (School-based management).
2. Recommendation for the Strengthening Local Education Capacity
  - The strengthening of parental competence to participate in education should start with the enhancement of headmasters' and teachers' competence in working on their respective responsibilities.
  - This includes:
    - Teachers' competence as liaison personnel between school and parents.
    - Headmaster competence to manage schools.
    - Teachers' competence in affective and value nurturance, and the headmaster's and teacher's competence to use school resources through related institutions should be strengthened in relation to the planning and implementation of school every year.

- Headmaster's and teachers' competence to evaluate attitudes and values.
  - Headmaster's and teachers' competence to enhance school quality (physical plant and learning outcomes).
  - Teacher's competence to use parents as resource persons in classroom as well as outside classroom.
3. The strengthening of parental and other society member's participation can be accomplished through a better approach to the social leaders.
  4. The implementation of instruction in school should involve parents. For example, parents can be involved in the extracurricular activity or as a voluntary assistant teacher in a classroom.
  5. The management of education finances should be readjusted completely from the central level to school levels by taking into account:
    - facility to spend funds originated from parents and society;
    - accord between the amount of financial support and the parents' income and number of dependents; and
    - school expenses which need additional funds from the school's effort. The additional funds have to be used directly and audited through a school budget.
  6. Because of the importance of basic education for nation building, basic education should be extended up to grade \_\_\_\_, while its finances should be borne by the central government. Even though the existence of private schools is justified by low education, funds should be provided only to private schools having 75% permanent staffs paid by the institution, and its Principal appointed by the MOEC.
  7. The calculation of education cost should be based on unit cost per school, per student, per program, per quarter, and per subject matter.
  8. In other words, to be effective and efficient, planning should apply a bottom-up approach (i.e., per school unit). It would be fairer if unit cost per program, per subject matter were used.

In short, the implementation of the study will direct the administration to manage schools more professionally. Therefore, it needs:

- the enhancement of field workers competence
- the additional authority
- the flexibility of school fund raising and school fund's expenses which enable schools to be: (1) fund's users and not only as fund collectors and its reporters, (2) school fund raisers and users of the outcomes of school activities.

#### **RECOMMENDATIONS FOR FURTHER RESEARCH**

Many aspects of parental participation still needs to be studied. This study suggests that the strengthening of parental participation and school capacity needs to be further studied in Indonesia.

The important aspects of research to be further studied are the following:

1. Study the ways of thinking by parents on various cultural environments for better understanding on parental ways of thinking and expression of ideas and opinion.
2. In-depth study on real parent expenses in various school environments.
3. Study in model development of strengthening school capacity and parental participation for the promotion of educational quality in the school concern. Researchers would like to suggest to continue the Study Type B piloted by the Center for Educational and Cultural Research, Balitbang Dikbud.

**TABLE 1**

Sample of SLEC Study by District, by Subdistrict, and by Type of Respondents

DISTRICT	SUBDISTRICT	SD	MI	SMPN	SMPS	LEADR	SCHH	CBP3	VHEAD	TEACH	TOTAL
<b>CENTRAL JAVA PROVINCE</b>											
CILACAP	1.Kesugihan	23	12	11	24	18	-	4	4	16	110
	2.Gandrungmangu	24	12	12	24	8	6	6	2	10	98
KODYA	3.Semarang Barat	25	12	24	12	12	6	6	2	14	97
SEMARANG	4.Semarang Timur	24	12	24	12	10	6	6	3	12	103
KARANGANYAR	5.Tawangmangu	24	12	12	24	16	6	6	3	12	109
	6.Jaten	22	12	24	12	9	6	6	4	12	101
<b>RIAU PROVINCE</b>											
KODYA PEKANBARU	7.Linapuluh	24		24	12		4	4	3	9	76
	8.Sukajadi	24	12	24	20	12	3	4	2	12	98
RIAU KE- PULAUAN	9.Karimun	24	2	24	12	20	5	5	3	11	101
	10.Bintan Utara	35		36		8	6	6	3	12	100
INDRAGIRI HILIR	11.Tambilahan	24	12	24	12	16	6	6	4	12	110
	12.Keritang	24	12	12	12	16	5	5	2	11	84
TOTAL	Parents/Leaders	297	110	247	166	144	59	60	35	-	
	Teachers	51	24	42	27					144	
	Total										1272

NOTES : SD = Primary School (Public)  
MI = Madrasah Ihtidaiyah (Religious PS)  
SMPN = Junir General Secondary School  
SMPS = Private Junior General Secondary  
LEADR= Community leaders  
SCHH = School Headmaster  
CBP3 = Chairman of BP3 (PTA)  
VHEAD= Village Head  
TEACH= Teachers

TABLE 2

Dafat Sumbangan Sampel Orang Tua Murid Per Tahun

NAMA SEKOLAH : SMP Negeri Gandrangu

KECAMATAN : Gandrangu, Cilacap

(Dalam Rp100)

JENIS SUNBANGAN	MURID KELAS												
	ORANGTUA	2	2	3	1	1	3	2	3	1	2	1	3
MURID	1	1	1	1	1	1	1	1	1	1	1	1	1
Barang Lain	1	1	-	1	-	-	50	1	-	1	1	-	1
Alat Peraga	1	1	-	1	-	-	1	1	-	1	1	-	1
Mebel	1	1	1	1	1	1	1	1	1	1	1	1	1
Tanah	1	1	1	1	1	1	1	1	1	1	1	1	1
Buku	1	1	1	1	1	1	1	1	1	1	1	1	1
Tenaga	1	1	1	1	1	1	1	1	1	1	1	1	1
Ide	1	1	1	1	1	1	1	1	1	1	1	1	1
Fasilitas	1	1	1	1	1	1	1	1	1	1	1	1	1
Lain-Lain	45	1	1	240	240	27	520	1	1	6	1	1	1
Wisata	1	1	1	1	1	1	1	1	1	1	1	1	1
EBTA	1	1	1	1	1	1	1	1	1	1	1	1	1
EBTANAS	1	1	1	1	1	1	1	25	1	1	1	1	1
Bangunan	300	300	1	1	1	1	100	200	100	175	1	1	1
OSIS	12	12	12	12	12	15	12	1.2	18	12	1	12	1
Kes/Ketrampil	1	1	1	50	50	1	1	1	1	1	1	1	20
Olah Raga	1	1	20	1	1	10	1	1	1	1	1	1	1
SPP	84	84	84	54	54	54	54	54	54	54	84	54	54
BP3	216	336	214	246	246	21	633	246	246	306	246	246	246

**TABLE 3**

**List of Contribution per Year by Sample Case  
(in Rp100)**

**NAMA SEKOLAH (School) : SD Negeri Gandrungmanis V  
Kecamatan (Subdistrict): Gandrungmangu, Cilacap**

Type of Donation	Sample Case by grade											
	4	5	4	5	6	3	3	2	5	2	6	
Other Things	2.5	10	25	10	10	15	15	15	10	15	50	
Equipment												
Meubelair												
Land												
Books												
Services												
Idas												
Facilities												
Others	12			12	30	12	12		12		12	
Sch.Picnic												
Exam												
Nat'l Exam					36						48	
Building												
OSIS(Student)												
Arts		6										
Sports		6										
SPP(Sch. fees)												
BP3(PTA)	60	72	60	60	60	60	60	60	72	60	60	

Sumber : Wawancara Orangtua Murid  
(Source : Interviews)

**TABLE 4**  
**Respondents by Age**

JENSEK->	Count Col Pct	SD Negeri	Madrasah	SMP Negeri	SMP Swasta	Row Total
		1	2	3	4	
USIARESP						
>31 Thn	1	20 6.7	3 2.8	2 .8	4 2.4	29 3.5
31-40	2	153 51.3	36 33.0	70 28.2	51 31.1	310 37.9
41-50	3	106 35.6	47 43.1	136 54.8	64 39.0	353 43.1
51-55	4	9 3.0	9 8.8	24 9.7	18 11.0	60 7.3
>55	5	10 3.4	14 12.8	16 6.5	27 16.5	67 8.2
Column Total		298 36.4	109 13.8	248 30.3	164 20.0	819 100.0

**TABLE 5****Percentage of Respondents Who Gave Their Help Other than SPP and BP3 Fees**

Jenis Bantuan (Type of Help)	Orangtua ( Parents)	Pemimpin (Leaders)
Perbaikan Sekolah ( School Repair)	33.5%	58%
Kegiatan Ekstra Kurikuler (Extra Curr. Activities )	14	20
Membantu Guru (Help Teachers)	3	7
Lainnya (Others )	12	14

Sumber :Tabel A37 - A42 Jilid II Laporan ini

(Source : Tables A37 to A42 Presented in  
Volume II of this Report)

**TABLE 6**

Percentage of Respondents Who Evaluated "Good" About School Characteristics

Keadaan Sekolah (School Characteristics)	Orangta Murid (Parents)	Tokoh Masyarakat (Leaders)
Gedung Sekolah (School Building)	36.0 %	31 %
Mebelair (desks & Chairs )	28	20
Alat Pelajaran (Learning Equipments)	26.5	16
Kebersihan (School cleanliness )	37	23

Sumber: Tabel-Tabel pada ilid II Laporan ini

(Source : Individual Tables Presented in Volume II of this Report)

**TABLE 7**

Percentage of Respondents Willing to Give Additional Help to School

Jenis Bantuan (Type of Help)	Orangtua Murid (Parents)	Tokoh Masyarakat (Leaders)
Tenaga (Services)	98%	94%
Uang Sesewaktu (Money, incidentally)	46	54
Donatur tetap (Longterm donation)	7	11
Bantuan Lain (Other kinds)	14	19

Sumber: Table A pada Jilid II Laporan ini

Source: Individual Tables Presented in Volume II of the Study Report

**TABLE 8**

Percentage of Respondents Who Evaluated "Good" Some BP3 Roles and Functions

Peranan BP3 (BP3 Roles)	Orangtua Murid (Parents)	Tokoh Masyarakat (Leaders)
Mengumpul Dana (Fund raising)	36.0 %	50 %
Membantu Sekolah (Helping School)	73	73
Perwakilan Orangtua (Parents Represent- ative)	35	60
Kewajiban BP3 (BP3 duty )	54	50
Peran Lain (Other Roles)	9	15

Sumber : Table A dalam Jilid II Laporan ini

Source : Individual Tables Presented in  
Volume II of this Report**TABLE 9**

(Not in Original Text)

**TABLE 10a**

**Amount of SPP Paid by Students In the Sample Sukajadi Subdistrict**

UANGSPP (Rp.10)	Code number of School						Total		
	Col	Pct	1	23	35	36		60	
0	12	100.0	12	100.0	12	100.0	12	48	70.6
100	19	83.3	8	100.0				18	26.5
200	2	16.7						2	2.9
Column	12		8		12		12		68
Total	17.6		11.8		17.6		17.6		100.0

**TABLE 10b**

**Amount of SPP Paid by Students in the Sample Karimun Subdistrict**

UANGSPP (Rp.10)	Code number of school						Total			
	Col	Pct	8	9	26	43		44	63	
0	12	100.0	12	100.0	12	100.0	12	2	38	61.3
70	12	100.0	12	100.0					24	36.7
Column	12		12		12		12	2	62	
Total	19.4		19.4		19.4		19.4	3.2	100.0	

- Code :
- 1= SMPN 3 Pekanbaru Riau
  - 2= SMPN 16 Pekanbaru
  - 23= SMPS Tribakti Pekanbaru
  - 35= SDN 35 Pekanbaru
  - 36= SDN 29 Pekanbaru
  - 60= MIN Percobaan
  - 8= SMPN 1 Tanjung Balai
  - 9= SMPN 3 Tanjung Balai
  - 26= SMPS Santo Yusuf
  - 43= SDN 01 Tanjung Balai
  - 44= SDN 02 Tanjung Balai
  - 63= MIS Darul Jannah

**TABLE 11a**

**Amount of BP3 Contributions Paid by Sample of Students in Sukajadi, Riau**

**Code number of school**

UANGBP3 (Rp.10)	Col	Pct	1	2	23	35	36	60	Total
12								11	11
								91.7	16.2
50					12	12			24
					100.0	100.0			35.3
80								1	1
								8.3	1.5
100	2								2
	16.7								2.9
200	10	8							18
	83.3	100.0							26.5
425				12					12
				100.0					17.6
Column	12	8		12				12	68
Total	17.6	11.9		17.6				17.6	100.0

**TABLE 11b**

**Amount of BP3 Contributions Paid by Sample of Students in Karimun, Riau**

UANGBP3 (Rp.10)	Col	Pct	8	9	26	43	44	63	Total
50						12	12		24
						100.0	100.0		38.7
60								2	2
								100.0	3.2
130	1								1
	8.3								1.6
300			12						12
			100.0						19.4
350	11								11
	91.7								17.7
600				12					12
				100.0					19.4
Column	12		12		12			2	62
Total	19.4		19.4		19.4			3.2	100.0

TABLE 12a

Amount of School Fees Paid By Students in Sukajadi Subdistrict, Riau

		Code number of school						Total
UANGSEK (Rp100)	Col Pct	1	2	23	35	36	60	Total
12.00							11	11
							91.7	15.2
50.00					12	12		24
					100.0	100.0		35.3
80.00							1	1
							8.3	1.5
300.00		12	8					20
		100.0	100.0					29.4
425.00				12				12
				100.0				17.6
Column		12	8	12	12	12	12	68
Total		17.6	11.8	17.6	17.6	17.6	17.6	100.0

TABLE 12b

Amount of School Fees Paid by Students in Karimun Subdistrict, Riau

		Code number of school						Total
UANGSEK (Rp100)	Col Pct	8	9	26	43	44	63	Total
50.00					12	12		24
					100.0	100.0		39.7
50.00							2	2
							100.0	3.2
200.00		1						1
		8.3						1.6
270.00			12					12
			100.0					19.4
320.00		11						11
		91.7						17.7
500.00				12				12
				100.0				19.4
Column		12	12	12	12	12	2	62
Total		19.4	19.4	19.4	19.4	19.4	3.2	100.0

Note: school fee = SPP + BP3

TABLE 13a

Amount of Daily Allowance Paid by Sample of Students in Sukajadi  
Code number of school

UANGHAR2 (Rp100)	Col	Pct	1	2	23	35	36	60	Total
0.0	1				1		2	4	
	8.3				8.3		16.7	5.9	
25.00					1			1	
					8.3			1.5	
50.00					1			1	
					8.3			1.5	
125.00				1	1			2	
				8.3	8.3			2.9	
250.00				1	6	6	4	17	
				8.2	50.0	50.0	33.3	25.0	
375.00					2	1	4	7	
					16.7	8.3	33.3	10.3	
500.00	5	3	1			3	1	13	
	41.7	37.5	8.3			25.0	8.3	19.1	
625.00		1	1			1		3	
		12.5	8.3			8.3		4.4	
750.00	1		1			1		3	
	8.3		8.3			8.3		4.4	
875.00		1	1					2	
		12.5	8.3					2.9	
1000.00	2		2					4	
	16.7		16.7					5.9	
1125.00							1	1	
							8.3	1.5	
1250.00	2	2	3					7	
	16.7	25.0	25.0					10.2	
1375.00			1					1	
			8.3					1.5	
1500.00	1							1	
	8.3							1.5	
1750.00		1						1	
		12.5						1.5	
Column Total	12	9	12	12	12	12	12	68	
	17.6	11.8	17.6	17.6	17.6	17.6	17.6	100.0	

TABLE 13b

Amount of Daily Allowances Paid by Sample of Students in Karimun

Code number of school

	Col	Pct	8	9	26	43	44	63	Total
UANGHAR2									
(Rp100)	0.0		2	1	2	5	2		12
			16.7	8.3	16.7	41.7	16.7		19.4
	25.00		1	3	1	6	6		17
			8.3	25.0	8.3	50.0	50.0		27.4
	50.00		1	6	2		2		11
			8.3	50.0	16.7		16.7		17.7
	75.00		5	1	4		1		11
			41.7	8.3	33.3		8.3		17.7
	100.00		1						1
			8.3						1.6
	125.00			1	2			1	4
				8.3	16.7			50.0	6.5
	250.00		1		1	1	1	1	5
			8.3		8.3	8.3	8.3	50.0	8.1
	1000.00		1						1
			8.3						1.6
Coluan			12	12	12	12	12	2	62
Total			19.4	19.4	19.4	19.4	19.4	3.2	100.0

# SLEC

## Research Overview

<b>Goals, Products, and Outcomes</b>	<b>1</b>
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IEES POLICY RESEARCH INITIATIVE  
STRENGTHENING LOCAL EDUCATION CAPACITY PROJECT

**GOALS, PRODUCTS, AND OUTCOMES**

The overall goal for the strengthening local education capacity project is to provide relevant data, background information, systematic procedures, policy recommendations, and analyses of alternatives so that policy makers in the Ministry of Education can select and implement appropriate strategies to develop local capacity to support instructional activities.

**Design Requirements**

In the proposed structure for IEES policy research initiative, Windham lists the following five structural design requirements. Each requirement will be met in the strengthening local education capacity project:

**Collaboration** - host country participants are to be full partners in the design, conduct, and evaluation of all IEES research activities.

**Comprehensiveness** - IEES research activities will be designed and conducted within the context of the full EHR system and with attention to the wider social and economic determinants of EHR policy development.

**Coordination** - the research projects will attempt to promote coordination among the IEES countries, within and among government agencies, and between the IEES project and other major development initiatives within the donor community.

**Continuity** - through the utilization of the resident technical advisors, the recurrent use of IEES and host-country personnel, and the establishment of an integrated research management structure, the project will establish and maintain its commitment to each of the selected research topics.

**Conceptual base** - the research activities of the IEES Consortium will be informed by a common methodology that will be designed, implemented, and evaluated through the joint efforts of the IEES and the host-country personnel.

## Products

Several products will be produced during and after the strengthening local education capacity project.

Here are the expected intermediate products:

- Preliminary statement of the problem, policy issues, and research questions.
- Inventory of system characteristics that affect strengthening local education capacity.
- Design for policy research studies on strengthening local education capacity.
- Recommended research procedure.
- Sample questionnaires for collecting data on strengthening local education capacity.
- Guidelines and budget worksheets for coordinating the study.
- Descriptions and analyses of current instances of local support for instructional activities in each cooperating country.
- Descriptions and discussions of local support strategies.
- Descriptions and analyses of the current policy-making mechanisms in each participating country.
- Descriptions and analyses of the perceptions of strengthening local education capacity systems by different stakeholders in each participating country.

- Definition and description of critical features of strengthening local education capacity systems.
- A glossary of terms related to strengthening local education capacity.

Here are the expected final products:

- Final report on each country study.
- Policy recommendations regarding strengthening local education capacity for each country.
- Final report synthesizing the finding from the three countries.
- Policy recommendations for strengthening local education capacity systems in developing nations.
- Report and recommendations on conducting cross-national policy research studies.

## **Outcomes**

A major objective of the policy research initiative is to improve the capacities of research institutions both in the host countries and among the members of the IEES Consortium. As a result of participating in this initiative, it is anticipated that individual competencies and institutional capabilities will improve in these areas:

- Policy research design
- Construction of survey instruments
- Data collection
- Data analysis
- Report preparation
- Policy analysis
- Project management
- Collaboration in cross-national policy research initiatives.

## RESEARCH STATEMENT

### Statement of the Problem

Over recent years in many less developed countries significant growth in central budget expenditures in the education sector have been accompanied by little evidence of comparable growth in system effectiveness. Evidence from many LDC's indicates that overall education budgets have grown, but in many instances per pupil expenditures are on the decline. Due to increasing demands on often severely limited national resources, both human and financial, it is becoming increasingly appealing to central governments that they identify areas where there is an existing, or potential, local capacity to absorb what may be additional responsibilities for the support of instructional activities.

What is frequently being observed in education, as in other public sectors of the economy of many developing countries, is a situation that reflects an expanding inability of centralized administration to sufficiently meet the needs and expectations of citizens. To be able to provide the services and facilities that are in demand it may be necessary and desirable for government to increase the level of community participation in varying levels of educational governance, and in doing so move to expand the current, often inadequate resource base for educational services.

For countries that are experiencing an expanding shortfall in fiscal capacity to meet the growth in demand for educational services the problem of identifying appropriate alternate sources of financial and material support is becoming increasingly critical. Of particular interest to both the donor community and recipient countries is the identification of what may be considered non-traditional methods of enlisting local assistance to support instructional activities - rather than the more familiar, clearly defined monetary contributions (fees, education taxes, etc.) although these too are important. For example, many communities in developing nations are already responsible for the provision and maintenance of schools while central government either provides or pays for teachers.

## Policy Issues

If the problem facing governments is how to most efficiently and effectively take advantage of existing and/or potential local capacity to support educational services given current fiscal constraints, then the major policy issues are what alternate policy options exist and what are the political and institutional considerations and adjustments necessary to implement those options. In other words: What alternative forms of community and local support, monetary and non-monetary, are available? How successful have these alternatives been? Under what institutional conditions were these successes measured?

Currently many governments regulate the operation of community controlled and private schools, just as they restrict the level of community/local involvement in the administration and governance of publicly funded schools. An easing or redefining of these restrictions may mobilize additional private and/or community resources without substantially adding, if adding at all, to government's long-term fiscal commitment to this sector.

However, moves towards facilitating the mobilization of local resources, regardless of their form, will almost certainly require substantial political and/or institutional change, particularly where there has been a long standing tradition of free education. It would therefore appear appropriate to identify the alternate policy options and, if possible, some reliable measure of their potential for success in order that policy makers can determine political and institutional priorities.

In order that a meaningful discussion of these alternate policy options can be developed it is necessary that we initially define both the current extent of community and private participation in the support and provision of instructional services, and the institutional framework within which those activities take place. And, secondly, it is vital to our mutual understanding of the possible extent of local participation in instructional support activities that we document the nature and effectiveness of existing examples.

In preparation for this activity care should be afforded two concerns; the need to document,

- (i) regulations which constrain regional, local, community, or private participation in the support or supply of educational services (constraints), and
- (ii) existing and potential areas where decentralized authority for selected educational decision making can result in increased community responsibility for the provision of resources for education (opportunities).

## Research Questions

The overall objective of the project is to identify specific areas in which there is evidence that local and/or private participation in the provision of educational services has led to, or has the distinct potential of leading to a determinable increase in the quality of those services. Structuring this intention into two broad research questions, we would be asking:

1. Are there specific, identifiable regional, local or community (non-national) related factors that contribute significantly to an increase in the quality of educational services at particular schools or types of schools?
2. Are these regional, local or community related factors dependent on particular institutional conditions for their contribution to the quality of educational services to be significant?

The regional, local and community factors may be defined as instances of local capacity for supporting instructional activities. Collectively they are possible alternate forms of local support mechanisms, alternatives that provide policy makers with options from which they can select and implement appropriate strategies to develop and/or enhance existing local capacity to support education. In order to meet the objective of identifying those alternate mechanisms, and the environment within which they are successful it is necessary that the project gather adequate information on the following:

- A. Institutional background - related to the current status of
  - (i) the school system
  - (ii) the extent of community local and private participation in that system, and
  - (iii) existing policies, practices and procedures that regulate or guide community, local and private participation in the school system
- B. Current practices - What types of support activities, monetary and non-monetary, are currently practiced that are not nationally funded? And, what are their measured or judged effects on school performance?

## **A SUGGESTED PROCEDURE FOR CONDUCTING POLICY RESEARCH IN STRENGTHENING LOCAL EDUCATION CAPACITY**

### **I. Prepare for the Strengthening Local Education Capacity Project**

Identify key policy issues related to strengthening local education capacity

Trace progress of previous research and change efforts on strengthening local education capacity

Obtain organizational charts of agencies involved in making decisions regarding strengthening local education capacity

Prepare a model of policy-making process related to strengthening local education capacity

Identify and interview stakeholders in strengthening local education capacity

Summarize the information

### **II. Conceptualize the Strengthening Local Education Capacity Project**

Develop a preliminary model of strengthening local education capacity

Formulate specific research questions related to strengthening local education capacity

Select important aspects of strengthening local education capacity

- Identify malleable variables related to strengthening local education capacity

### **III. Conduct the study**

Operationalize strengthening local education capacity variables

Design methodology for the strengthening local education capacity study

- Interviews
- Focused synthesis
- Secondary analysis
- Survey research
- Pilot study
- Field research
- Qualitative methods

- Case studies
- Cost analysis

Specify the target population for the strengthening local education capacity study

- Identify sample populations
- Specify sampling procedures

Prepare instruments for the strengthening local education capacity study

- Use existing instruments
- Adapt existing instruments
- Prepare new instruments, if needed

Collect data on strengthening local education capacity

- Collect existing data
- Collect new data

#### IV. Analyze the data

Analyze any preliminary interviews

Code instruments as the results come in

Record results from each instrument

Select appropriate statistical analyses

Analyze the data

Draw conclusions

Present the results in tables and charts

Prepare tentative set of recommendations

#### V. Analyze study recommendations

Analyze implementation parameters

- Analyze stakeholders in strengthening local education capacity
- Identify stakeholders
- Identify magnitude of support or opposition of each stakeholder to the recommended changes in the strengthening local education capacity
- Estimate probable support of decisionmakers to the implementation of recommended changes in strengthening local education capacity

- Analyze organizational parameters
- Analyze organizational structure for strengthening the local educational capacity
- Analyze amount of resources needed for strengthening local education capacity
- Analyze policy mechanism needed to encourage strengthening of the local education capacity

Predict potential consequences of strengthening the local educational capacity

- Predict intended and unintended effects of strengthening local education capacity
- Predict possible interactive effects of strengthening local education capacity and other MOE policies and programs
- Predict possible consequences of not implementing the recommended changes in strengthening local education capacity

Estimate probability of implementing the recommended changes

Prepare final set of recommendations for strengthening local education capacity

**VI. Prepare a final report**

## The Recommended Starting Point

The study of local education capacity is primarily a descriptive one. First, the current status of the system will be presented. Secondly, current rules and regulations that affect local participation in instructional activities will be summarized. Third, relevant policy-makers, administrators and other stakeholders will be interviewed.

During the initial stages of the project two research activities can be fairly comprehensively planned;

- A. Establishing the structure and process of education policy making and implementation.
- In examining current policy implementation detailed information should be gathered on
- (i) system-wide behavior that results from policy interpretations, and
  - (ii) the consequent impact of current policy - that is to say, how particular policies are actually operationalized, i.e. whether they followed in part, in their entirety or not at all

This can perhaps best be done by completing a series of interviews with appropriately placed policy makers and administrators throughout the school system. However, care should be taken to ensure that at this stage in the project a comprehensive cross-section of reliable personnel are interviewed.

- B. Preparing a survey instrument (questionnaire and/or interview format) that can be employed to determine certain characteristics of the school system. Characteristics that include but are not limited to; types of schools, their locations, whether they are publicly funded, privately funded or privately funded and publicly aided, relevant school quality factors (teacher statistics, facilities, etc.) It may be appropriate to divide this survey into two sections, each limited to a particular category of data
- (i) gathering more or less readily available data, in aggregate form, and
  - (ii) collecting much more comprehensive data from a sample of schools from selected communities

This process can only be completed following the analysis of the information gathered during the interviews suggested in part A, above.

Descriptive data should gathered that

- (i) provides an overview of the current status of the school system, and
- (ii) outlines current policies and procedures that affect the manner in which community and private participation in instructional

activities are permitted, and the impact of the implementation of those policies and procedures on current school operation.

It is expected that by the systematic questioning of relevant policy makers and administrators at various levels of the cooperating countries' educational bureaucracies it will be possible to construct a framework that illustrates at what points particular policy decisions are made and operationalized, and by whom. This process will enable us to determine the locus of selected decisions. The intention is to complete a series of illustrations, one for each formal level of administration, and then to compare and contrast them to establish an actual pattern of educational policy activity. It should then be possible to determine at what juncture in the administrative process initial decisions are made, and by whom or by what office, and how these policies are interpreted at the various non-national levels. It is anticipated that a number of areas of flexibility within the program implementation process will be identified, and whether they exist by design or default.

Basically then, the intention of this first phase of the project would be to illustrate in as descriptive a format as possible, at what points program decisions are made and how frequently and to what extent these policies are implemented. As previously alluded to a concentration within this process will be on determining the flow of budget related decisions and their actual impact at the school level. This, in order to establish the contribution that community support is actually making or has the potential to make to particular schools or types of schools.

In an attempt to place some initial parameters within which the strengthening local education capacity research activities should be framed we suggest that the basis of our primary enquiries address four segments of the school governance process

1. Teacher related variables (qualifications, training, employment, salaries, performance evaluation, etc.)
  2. School program variables (curricular context, language of instruction, materials selection and acquisition, student evaluation and testing level, etc.)
  3. Budget allocation variables (at national and regional levels, to and within schools, payments, discretionary funds, etc.)
  4. School administration variables (control over other categories of variables, flexibility in administration procedures, impact on maintenance and facility provision, etc.)
- and, one category of additional information
5. The formal and informal input of groups not primarily identified with school authority (for example, the provision of supplies, teacher housing, etc. may be provided by community groups - Where and under what circumstances has exceptional public and private participation occurred and at whose initiative? - Is greater participation planned, expected or required? )

Interview or questionnaire items could be selected on the assumption, supported by the Country Team Leaders, that they are significant.

The second stage of the research activity - the preparation of a survey instrument to measure activity at the school level - requires that a target population is determined and a sampling frame decided upon. If particular regions or localities are selected for survey purposes they should be identified according to the criteria along which authority or influence are exercised. These may include political, MOE organizational, economic, ethnic, religious and geographical criteria. Such consideration will reduce the incidence of non-comparable data.

**EDUCATIONAL FUNCTIONS THAT MAY BE AFFECTED BY STRENGTHENING LOCAL EDUCATION CAPACITY**

Establishing regional agenda

Setting standards for:

- student admission
- student testing
- teacher recruitment
- teacher training
- physical facilities

Setting salary scales and determining benefits for teachers and administrators

Financing salaries

Establishing curriculum

Establishing language of instruction

Establishing scholarships, loans, grants, etc.

Selecting and purchasing/supplying textbooks and teacher materials

Pre-service and inservice teacher training

Providing additional employment for teachers and administrators

Disseminating information

Classroom construction

Building maintenance

Teacher hiring, evaluation

Supply of teaching aides (non-qualified teachers)

Data collection for local (school-based) and regional decision making.

## A NOTE ON DESCRIPTIVE RESEARCH

**Purpose:** To describe systematically the facts and characteristics of a given population or area of interest, factually and accurately.

### Examples:

1. An opinion survey to assess public reaction to a series of school reform measures.
2. A community survey to establish the needs of a vocational education program.
3. A study and definition of all personnel positions in an educational center.
4. A report of test score results in a school district.

### Characteristics:

1. Descriptive research is used in the literal sense of describing situations or events. It is the accumulation of a data base that is solely descriptive - it does not necessarily seek or explain relationships, test hypotheses, make predictions, or get at meanings and implications, although research aimed at these more powerful purposes may incorporate descriptive methods. Research authorities, however, are not in agreement on what constitutes "descriptive research" and often broaden the term to include all forms of research except historical and experimental. In this broader context, the term survey studies is often used to cover the examples listed above.
2. Purpose of Survey Studies:
  - a. To collect factual information that describes existing phenomena.
  - b. To identify problems or justify current conditions and practices.
  - c. To make comparisons and evaluations.
  - d. To determine what others are doing with similar problems or situations and benefit from their experience in making future plans and decisions.

### Steps:

1. Define the objectives in clear, specific terms. What facts and characteristics are to be uncovered?
2. Design the approach. How will the data be collected? How will the

subjects be selected to insure they represent the population to be described? What instruments or observation techniques are available or will need to be developed? Will the data collection methods need to be field-tested and will data gatherers need to be trained?

3. Collect the data.
4. Report the results.

#### **Common errors in descriptive research**

1. Researcher does not formulate clear and specific objectives.
2. Relates his data gathering procedure to his objectives in only a general way and thereby fails to get quantitative data specific to his problem.
3. Selects his sample on the basis of convenience rather than attempting to obtain a random sample.
4. Does not plan his analysis until after his data are collected.
5. Structures his data gathering devices (questionnaires, interview guides, observation forms, and so on) so that biased results are obtained.

#### **Common errors in questionnaire studies**

1. Researcher uses a questionnaire in working with problems that can be better studied with other research techniques.
2. Gives insufficient attention to the development of his questionnaire and fails to pretest it.
3. Asks too many questions, thus making unreasonable demands on the respondent's time.
4. Overlooks details of format, grammar, printing, and so on that, if observed, give the respondent a favorable first impression.

#### **Common errors in interview studies**

1. Researcher does not adequately plan the interview or develop a detailed interview guide.

2. Does not conduct sufficient practice interviews to acquire needed skills.
3. Fails to establish safeguards against interviewer bias.
4. Does not make provisions for calculating the reliability of his interview data.
5. Uses language in the interview that is not understood by the respondents.
6. Asks for information that the respondent cannot be expected to have.