School evaluation
for quality improvement

An ANTRIEP report

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Contents

5

Contents

6

List of abbreviations

ANTRIEP   Asian Network of Training and Research Institutions in Educational Planning

AUEO   Assistant Upazila Education Officer

BISE   Board of Intermediate and Secondary Education

CA   Continuous Assessment

CABE   Central Advisory Board on Education

CBSE   Central Board of Secondary Education

CCE   Continuous and Comprehensive Evaluation

DEO   District Education Officer/Office

DepEd   Department of Education

DfID   Department for International Development

DIA   Directorate of Inspection and Audit

DPE   Directorate of Primary Education

GST   General Systems Theory

HSQE   Higher Standard Quality Education

IQA   Internal Quality Auditing

MOE   Ministry of Education

MONE   Ministry of National Education

NCERT	National Council of Educational Research and Training
NCF	National Curriculum Framework
NEAT	*National Elementary Assessment Test*
NERTC	National Educational Research and Testing Centre
NGO	Non-Governmental Organization
NIEPA	National Institute for Educational Planning and Administration
NPE	National Policy on Education
NSAT	National Secondary Assessment Test
OFSTED	Office for Standards in Education
PISA	Programme for International Student Assessment
PMED	Primary and Mass Education Division
PMR	*Penilaian Menegah Rendah*
SBE	School-Based Evaluation
SDP	School Development Plans
SMCs	School Management Committee
SPM	Sijil Pelajaran Malaysia
SSC	Secondary School Certificate
TIMSS	Third International Mathematics and Science Study
TPA	Teacher Performance Appraisal
UEOs	Upazila Education Officers
UPSR	*Ujian Penilaian Sekolah Rendah*

8

List of tables

9

List of figures

List of boxes

10

Introduction

There is a paradox around school evaluation, which lies at the heart of this seminar report. On the one hand, the demands for evaluation of schools and the tools available to respond to these demands have grown; on the other hand, strong doubts remain about the impact of such evaluation on the performance of schools.

In many countries, policy-makers and parents are increasingly preoccupied with the quality of schools and with the knowledge and skills obtained through schooling. Traditionally, the inspection system was supposed to exercise control over schools and to offer advice for improvement. In most countries, however, the inspection system has failed to play either of both roles (for a number of reasons upon which this report comments), leaving many schools unsupervised and unsupported. In response, countries have attempted to reform their inspection and/or have strengthened alternative evaluation tools. School self-evaluation is becoming more popular, especially among policy-makers, although its integration in schools encounters many challenges. Its popularity can, to some extent, be explained by the fact that the term is loosely defined and can refer to a brief document written almost in isolation by the principal, following strict central guidelines, or to a long drawn-out process in which all school partners (teachers, parents and students) are involved. Probably still more popular with policy-makers is a school evaluation using examination and test results. The transformation of examinations from a student selection and certification tool into an indicator of school effectiveness and an accountability instrument is a core reform in educational policy-

making. The use of examination results to construct league tables at national level is reflected at international level, in the ranking of countries through their performance on international achievement tests (such as the Programme for International Student Assessment, PISA, and earlier the Third International Mathematics and Science Study, TIMSS). Such tables are easily understood and figures duly impress through their air of scientific precision. However, at least two preoccupations surround this evaluation tool: How far can examination and test results reflect the wider objectives of education; and do schools themselves draw any benefit from such tables?

This second preoccupation reflects a wider worry; that is, why the expansion of school evaluation seems to have had little impact on the performance of schools. Several hypotheses can be formulated to resolve this paradox. First, schools are complex institutions, with actors who are not always on the same wavelength, and at times in conflict. In such a context, evaluation conclusions will not automatically lead to improvement as they will be re-interpreted and used by these actors to defend their own point of view and position. Especially true for the weakest, a second hypothesis stresses the fact that schools simply need more than information on their performance; they also need guidance on how to improve and support while attempting such improvement. When evaluation is simply limited to information, it will be of little help. When it consists mainly of informing the public of school results, it could actually be harmful, leading to a vicious cycle in which teachers, students and parents try to leave the poorest performing schools. A third hypothesis pays attention to the lack of co-ordination between the different evaluation mechanisms and actors. Inspection reports seldom take into account examination and test results; internal and external evaluations of schools are taking place, without many linkages. This leads to confusion within schools and

among teachers, whose reaction in many cases is to continue their usual practice and disregard advice coming from outside.

The papers brought together in this volume are a selection from among those presented at the seminar organized in Kuala Lumpur, in July 2002 by the Asian Network of Training and Research Institutions in Educational Planning. The network consists of institutions whose main mandate includes training and research in educational planning and management. Since its creation in 1995, it has covered a series of themes with an overarching objective to contribute to the definition of policies that have a beneficial impact on school improvement. ANTRIEP has therefore undertaken research or organized seminars on decentralization, school supervision, school efficiency, the role of head teachers and, in 2002, on school evaluation.

The seminar and this report focus on policy reforms and practical steps that can be undertaken to strengthen the linkage between evaluation and school improvement. The report presents a mixture of conceptual papers, case studies and comparative analyzes, though drawing references not only to the Asian continent. Each of the three evaluation tools discussed above (examinations, inspection and self-evaluation) was examined separately during the seminar, and different papers comment on their role. Specific attention goes to the need to integrate these tools into an evaluation framework. Some papers go beyond these tools and ask the question: What could be the contribution of the community in school evaluation and school governance?

The report paints the contours of a school evaluation system, focused on improvement, empowerment and accountability rather than on the latter alone. School self-evaluation stands at the heart

of such a system. Examination and test results help school staff to identify their strengths and weaknesses while inspectors become the initiators of this self-evaluation process. The report also stresses, however, that there is not one ideal model that all countries should follow. The contexts differ, and an effective system is one that takes into account the limits and needs of each country.

I. Seminar report: School evaluation for quality improvement: issues and challenges

Anton De Grauwe and Jordan P. Naidoo

1. Introduction

Evaluation is at the centre of almost all education quality improvement policies and strategies in most countries today. International achievement tests, which reveal variations in student performance across countries, are commented upon on the front pages of newspapers. League tables of schools, based on their examination results, have also become popular information for journalists, decision-makers and parents alike. Everywhere, policy documents stress the need for evaluation of schools amid calls for greater accountability, organizational efficiency, quality development, quality control, quality assurance, quality monitoring, etc.

This formed the background for the international seminar, 'School Evaluation for Quality Improvement', which the Asian Network of Training and Research Institutions in Educational Planning (ANTRIEP) organized in Kuala Lumpur from 2 to 4 July 2002, and on which this publication reports.[1]

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1. The seminar was organized through collaboration with the Institut Aminuddin Baki (IAB), in charge of the local organization, National Institute for Educational Planning and Administration (NIEPA), the ANTRIEP focal point and IIEP, responsible for the thematic preparation. Financing for the seminar came from IIEP, the European Union in India, and the Colombo Plan Secretariat.

School evaluation is an indispensable task of the central education authorities and serves three different purposes, namely: (a) to comply with administrative demands; (b) to fulfil accountability purposes; and (c) to lead to pedagogical and managerial improvement. In many cases, the administrative objective takes precedence over the more developmental one. At the same time, in most countries, evaluation has been of concern much more to the teachers or the students than the schools. While it is universally recognized that evaluation in education is vitally necessary for quality improvement, the well-documented tension between the summative/accountability purposes and the formative/developmental purposes of evaluation has resulted in many negative perceptions of evaluation systems and strategies, particularly among teachers.

The seminar focused on the evaluation of the school as an institution. It examined the three key mechanisms that comprise most school evaluation strategies: (a) the examination and test system; (b) comprehensive external school reviews (through the inspection system, for instance); and (c) school self-evaluation. Each of these aspects were discussed in terms of their relative prevalence, the way in which they are organized and combined, the actors involved, the operational modalities being used, the information provided by such evaluations and its distribution and, most importantly, the impact on schools.

The overall objective of the seminar was to reflect on how an appropriate, coherent, and comprehensive school evaluation strategy – which has a positive impact on school management and on the quality of teaching and learning – can be developed, taking into account regional as well as country specific challenges. Accordingly, the seminar revolved around the following four themes:

16

Theme 1.	The situation of different countries in Asia, with regard to evaluation of schools.

Theme 2.	Internal school self-evaluation, including the involvement of teachers, parents and communities in the context of school quality improvement.

Theme 3.	External inspections, reviews, or audits, including the relationship to supervision and support for school improvement.

Theme 4.	The role of examinations, achievement tests and other forms of student assessment in improving the quality and effectiveness of schools.

Participants in the seminar on the evaluation of schools consisted of decision-makers and administrators from ministries of education in the Asian region, senior staff from ANTRIEP member institutions, and experts and specialists from various agencies and organizations. The discussions in the seminar started with a general examination of developing trends in school evaluation, paying attention to purposes and strategies used in the region, and more widely. Participants exchanged country experiences on different mechanisms for school evaluation in the context of quality improvement. Special attention was given to efforts that are moving beyond the traditional inspections for administrative oversight or examinations targeted at evaluating student performance. This was followed by discussions on policies and strategies aimed at strengthening school self-evaluation and community involvement, linking school self-evaluation and external inspection, and utilizing examination and test results not simply for selection on judgement, but for improvement.

The creation of appropriate links among the different evaluation mechanisms, and ensuring that the different mechanisms

17

were to be used appropriately were central concerns in the debates. The sessions generally started with a formal presentation on a theme followed by a case study of an innovative experience, and ended with an open plenary discussion. Group work on specific themes further enriched the seminar deliberations. This group work helped in identifying key challenges and appropriate measures to ensure alternative, appropriate intervention strategies in varying contexts.

Arising from the seminar, the report reviews the different school evaluation mechanisms and their purposes as they are applied throughout the region. Further, it addresses the issue of how to ensure that such evaluations do not simply strengthen the control over schools, but are used by schools in a process of quality improvement.

2. The context

In the past decade, there has been a renewed interest in the Asian region in evaluating the performance and quality of schools. Some countries, which had dismantled their evaluation or supervision services, have now re-established them (such as the Philippines), while others that did not have them have begun to establish formal systems for evaluating schools (China for example). More importantly, the number of countries that have initiated a process of reorganizing and strengthening school evaluation is increasing every year. Malaysia, for example, has reorganized its inspection system to allow supervisors to undertake institutional school reviews. Several states in India have introduced large-scale external testing at the primary stage, and which involves the comparison of schools in the context of accountability for school effectiveness. In Hong Kong, the significant level of school autonomy is counterbalanced by efforts at stricter accountability.

Most Asian countries, over a long period did not conduct school evaluations as such: they did not evaluate or assess the school as an institutional unit. Traditionally, evaluation of schools relied almost exclusively on: (a) inspections with their focus on administrative oversight and control of individual teachers; and (b) examinations, with their focus on the assessment of individual student achievement. Until recently, evaluations were based on teacher or student performance, and in that sense school evaluation was equated with teacher appraisal or student assessment. Of late, the idea of institutional evaluation as an indispensable exercise has been gaining ground in the context of demands for greater local accountability, efficiency and control over schools.

Furthermore, decentralization of education administration and management, which is well under way in a number of countries in the region, is affecting the whole concept of evaluation in education. Decentralization – in various guises – is an important policy issue in countries as diverse as China, India, Indonesia, Nepal, the Philippines, Thailand and Viet Nam. Decentralized education requires the participation of local governments, schools and communities in the educational decision-making process, including the evaluation of school performance. In this context, accountability and developmental aspects of school evaluation are inevitably becoming an issue for school leaders and local school management and governance structures as traditionally defined personnel management functions are devolved from central agencies to local institutions. At the same time, there is increasing pressure for changes to the role of the central education ministry in formulating policy, setting standards, developing appropriate monitoring mechanisms, and providing the necessary technical support to local education offices and schools.

19

Clearly, the developments in school evaluation in the region are occurring within the context of a worldwide trend towards school evaluation. Some reasons for this trend are presented in *Box 1*.

Box 1.   Reasons for the current worldwide interest in school evaluation

In most countries, quality improvement has become a top priority of policy-makers, and they rely on evaluation mechanisms to monitor quality.

Various studies have shown that one important determinant of the deterioration of the quality of schools precisely relates to the weakening of evaluation mechanisms, including the professional supervision and support services.

More recently, the 'value for money' syndrome, which permeates all sectors of society, has also hit the education system. This is linked to a stronger demand for accountability in the public service, thereby increasing the claim for strong control and evaluation mechanisms.

Finally, the interest in school evaluation finds an additional justification in the present trend towards school autonomy. Recently, in many countries around the world, schools are receiving more freedom in making decisions in fields as crucial as the curriculum, staff management and budget. This greater degree of freedom granted to schools has provoked equally greater demand for accountability at school level and for evaluation procedures which should allow central governments to guarantee standards of quality and equity across the system.

It seems obvious that school evaluation is concerned with quality. Unfortunately, there is no standard definition of quality and, like beauty, is in the eye of the beholder. Nevertheless, quality may be viewed as a multi-dimensional concept composed of three

20

interrelated dimensions, the quality of the human and material resources available (inputs), the quality of the management and teaching/learning processes taking place (processes), and the quality of the results (outputs or outcomes). During the three last decades, there has been a growing body of research to find out how inputs, processes and results relate to each other – that is to say how schools are functioning and how their functioning relates to quality.[2]

While monitoring and evaluation systems have been influenced by the results of this research, one cannot say that this influence has been fully satisfactory. For example, several studies have forcefully demonstrated that, whatever actions are being taken at systems level, real quality improvement depends on what is actually happening in the classroom. Schools are the delivery points at which all the inputs of the system come together for interaction and determine the quality of the teaching/learning process. This is why in a growing number of countries monitoring and evaluation strategies are beginning to focus on the functioning of schools. However, this is far from being the case everywhere. In spite of the many positive changes that have occurred concerning school evaluation in the Asian region, the assessment of teacher and student performance, through inspections and examinations respectively, remains the dominant mode of evaluation in most countries.

3.   What, why and how of school evaluation

This following section of the report presents a summary of the discussion. These issues were covered in the opening plenary sessions followed by group work. The first plenary session reviewed

2.   One example of this is an IIEP study: G. Carron and T.N. Chau, *The quality of primary schools in different development contexts*, Paris, UNESCO/IIEP, 1996. This publication was based on four case studies: Zhejiang (China), Madhya Pradesh (India), Guinea and Puebla (Mexico).

21

changes in the purposes, forms and strategies involved in school evaluation, in the region. The ensuing discussions led to an exchange of experiences and a more general presentation on school evaluation. The second plenary session formed an introduction to the group work, with two presentations, relating respectively to school evaluation in the host country, Malaysia, and in developments in OECD. Additional country cases were presented (see Section B) after another discussion session based on similarities and differences in these two contexts.

3.1 *What do we mean by school evaluation?*

While it is virtually impossible to provide an exhaustive definition that is acceptable to all, the working definition that informed the seminar discussion and this report is as follows: school evaluation is part of the decision-making process in education; it involves judgements about the performance of schools through systematically collecting and analyzing information and relating this to explicit objectives, criteria and values. Ideally, school evaluation involves an (internal and external) assessment that covers all aspects of a school and their impact upon student learning. Such review and analysis covers a range of inputs, processes and outcomes reflected in such elements as staffing and physical resources, curriculum resources, the quality of leadership and management, learning and teaching activities, and the standards achieved by students. From this perspective, school evaluation is not an end in itself, but the first step in the process of school improvement and quality enhancement. This perspective underpins many of the attempts at reforming 'inspection' in the region.

The definition recognizes that evaluations indeed cover different dimensions: it can be focused on students (examinations

22

being a prime example), on teachers (through the traditional teacher appraisal), on schools (through league tables, external inspections and audits or self-evaluation by the school) and on the education system as a whole (through, for example, the publication of indicator reports or thematic studies on topics of specific concern). The specific focus of the seminar and this report is on the school as an institution, while recognizing that any assessment of the performance and quality of the school as an institution will indirectly focus on its sub-components.

3.2   Why do we need to evaluate schools?

Despite ongoing debates about the forms and purposes of educational evaluation, it can and does serve several purposes, including control, accountability and quality improvement. The reasons for the current attention to education evaluation and assessment are varied and include the concern with improving quality; the need to prove, in a competitive international environment, the superiority of its human resources; and a stronger demand for accountability in the public service. This focus on evaluation seems thus well justified, but the question still needs to be asked: Why focus on evaluating schools, rather than teachers or the system as a whole?

The interest in school evaluation finds a first justification in the present trend towards decentralization and school autonomy. This greater autonomy has prompted equally greater demand for accountability at school level and for evaluation procedures, which should allow central governments to guarantee standards of quality and equity across the system. In Nepal, the Philippines, Pakistan and other countries in the region, school committees (which often include parents) are beginning to undertake school evaluation as part of their mandated management functions.

23

A second explanation lies in research findings; these have highlighted the role that the 'school' as an institution plays in improving and assuring quality of teaching and learning. The way the teacher interacts with the students in the classroom evidently is crucial, but that interaction is influenced and shaped by the way the school functions, by the leadership of the principal, the relationship with the parents, the support received from other teachers and the overall 'climate' of the school. Consequently, a growing number of countries are developing tools to assess the quality and performance of the school as an institutional unit.

A third reason for ANTRIEP's interest in school evaluation is that previous seminars explored themes such as school efficiency and school management, which are fundamentally linked to evaluation. Those discussions highlighted that all countries of the Asian region are strengthening and diversifying their school evaluation mechanisms.

3.3   How do we evaluate a school?

The discussions on practices or mechanisms of school evaluation started with two presentations, the first on a programme in Sri Lanka where teacher performance management is used as a method of school evaluation (see for the full text, see the contribution by W. Perera), and the second on experiences from Australia with school self-evaluation. These presentations were followed by discussions on involving and strengthening community participation in school evaluation.

Three tools at the disposal of education policy-makers to evaluate schools were discussed: external inspections, internal school (self) evaluation, and examinations and tests.

24

External inspection

External inspection is generally undertaken by the traditional inspection or supervision services, although increasingly specific bodies are set up to 'audit' schools. For example, such bodies have existed since the early 1990s in several Australian states and in New Zealand. However, in most of the other countries participating in this seminar, no such separate service exists yet, although some Indian states are reflecting on its creation. In general, there is a blurring of boundaries among compliance, effectiveness, evaluation and accountability audits, and the relationship of any or all of these to school development and improvement. Malaysia has gone further: it is reorganizing its inspection system to allow supervisors to undertake institutional school reviews. A presentation by the Malaysian Chief Inspector to the seminar explained its purpose: to cover the whole operation of the school. This implies examining all aspects of resource management: finances, equipment and personnel; appraising the quality of teaching and learning through classroom observation; investigating the relationships with parents and the wider community. Such an evaluation can be called different names, for instance: 'audit', 'whole school inspection', 'panel inspection'. Its intention is to present to the school and to its community a report on the school's performance, with precise recommendations. The main challenge is not to reform the structure of the service, but its culture: inspectors will be asked to work in groups and to give up on their direct control over teachers for a more distant relationship. Probably the best-known example of this type of school audit is the one undertaken by the Office for Standards in Education (OFSTED), set up in the late 1980s in England and Wales.

While the Republic of Korea does not have an 'OFSTED-like' inspection service, it uses an external evaluation committee.

The provincial and metropolitan offices of education administer school evaluations, directed towards upgrading school quality and educational accountability, which, however, are not compulsory. Each office of education is responsible for the preparation of evaluation areas, criteria and methods, and establishing an evaluation committee. Education administrators, school principals and vice-principals, school teachers, university professors, researchers and parental representatives who are appointed to evaluation committees by their respective offices of education, receive no special training. The content of the school evaluation enforced by offices of education is focused on learning and teaching, curriculum, student needs, and community consciousness. But the evaluations do not deal with all aspects of the school nor is there uniformity in the criteria used or in the schedule. Some offices of education, for example, include the result of scholastic achievement tests in the standards for school evaluation, but others do not. The evaluations are usually conducted annually, but there are cases where they are carried out once every two years. Schools are given a grade based on all evaluation fields and a final rankings list, including all schools is compiled. The results of school evaluations are used for supervision consultations and as a basis for providing financial rewards to well-performing schools.

Internal school evaluation

The second tool is that of internal school evaluation. Alongside, sometimes complementing external accountability, there is a growing use of self-evaluation by schools. This trend gives schools a much more explicit, active and autonomous role in the processes of improvement, as distinct from those of external inspections. In simple terms, it is about schools asking themselves: "How are we doing?" Evaluation acts as a mirror, enabling school-based actors

and increasingly parents and communities as well to take a closer look at questions like "Are we doing the right things?" "How is our work progressing?" and "How do others perceive it?" It involves a review of key areas such as the culture and ethos of the school, its organization and management, delivery of the curriculum, teaching and learning, pupil attainment, support for pupils and community relations, satisfaction levels of students and parents. The process often requires a detailed examination of specific areas in which the school is successful and others that might be causing concern. Such an examination is usually undertaken in relation to internal as well as external criteria, benchmarks or indicators.

This internal school evaluation can take different forms. It can be an authentic self-evaluation process, in which all members of staff examine their own performance and where, together with the community, evaluate the school. Alternatively, it can be a project undertaken only by the school principal with some little help of senior staff. It can be the schools' own initiative or it can be an obligation imposed by the ministry. Several countries are demanding schools to do some form of self-evaluation, generally as part of the preparation of a school improvement plan. The justification is that for schools to change character and direction deeply, external pressure needs to combine with internal conviction of the need for such change. Nepal, for instance, is one of the many countries in the region where, all schools are expected to prepare their own development plan, which, through its School Management Committee (SMCs), entails the school undertaking self-evaluation. The evaluation of a school should involve the parents, village social workers and teachers working together. It is expected that, in the long term, the SMCs, which are led by the parents and village level social workers, recruit the teachers, conduct performance evaluation of individual teachers, and make recommendations on the promotion

27

of teachers, national and district level awards, and teachers training to the Department of Education (DoE). In reality, however, many SMCs are not yet functioning, or are under the total control of the local elite or the head teacher. The participation of the parent teacher association, the school management committee, and the teachers in school evaluation is focused on the smooth management of the school, and the achievement of quality in education.

Most governments and education authorities in the region tend not to be satisfied with self-evaluations that usually emphasize a predominantly developmental notion of evaluation and might be uncritical of the school's weaknesses. While there appears an increasing tendency to devolve financial, managerial and curricular responsibility to the school, it has been accompanied by a tendency towards external outcome targets and assessment and inspection (e.g. Republic of Korea and Singapore), usually exercised by a central authority that demands a stronger form of accountability.

Examinations and tests

Examinations and tests form the third tool. In all of the countries, a major component of evaluation and school reform includes attempts to improve academic standards and quality through the use of tests or examinations. Many assessment systems have come to include a mix of the following: (a) national assessment, which includes public (external) examinations to select students for successive levels in the education system, and system assessments to determine if children are acquiring certain knowledge, skills, and values; (b) international assessments to indicate where the achievements of students in a country stand relative to the achievements of students in other countries (for example, Indonesia and the Philippines have participated in

28

TIMSS); and (c) classroom assessment of students' learning by teachers and students themselves, to feed into the teaching-learning process.

Examinations are no longer used simply to distinguish the 'able' from the 'not able' students. Student results by school become a judgement on the school's performance. In a growing number of countries, 'league tables' of schools, especially at secondary level, are published in newspapers, as information to the public, to allow parents to choose a school. Ministries might promote such ranking of schools, as an incentive to schools to improve. Evidently, such listing is useful only to those parents who have the opportunity of choice and seems to benefit the school with good results much more than the weaker ones. However, the seminar expressed a different worry with the use of examinations. Examination results can be very useful information to teachers, to give them insights into the weaknesses and strengths of their students and therefore their teaching. This demands, however, that the responses are analyzed and that specific feedback is given to teachers. Few countries so far have asked their examinations unit to refocus their interventions from the preparation and administration of examinations to their analysis and feedback to teachers.

The findings and outputs of these three tools are the potential sources of a database, which in turn can become a tool to monitor and evaluate schools. The challenge is to include in such a database not simply the easily collected quantitative data, such as examination results or pupil/teacher ratios, but also the more qualitative information, taken from inspection or self-evaluation reports on, for instance, relationships within the school or the leadership of the school principal.

The School Excellence Model (SEM) in Singapore is an example based on the tripartite approach to school evaluation system for quality improvement: (a) ongoing school self-assessment; (b) cluster superintendents facilitating the school improvement process and Ministry of Education five-yearly validation (external evaluation); and (c) School Excellence Awards for sustained achievement over time, regarding both educational process and educational outcomes (based on examinations). A dedicated School Appraisal Branch in the Ministry of Education is responsible for matters pertaining to the implementation of the School Excellence Model and the Excellence Awards. The branch provides consultancy on schools' self-assessment and conducts external validation of schools.

4. Challenges in using school evaluation for quality improvement

The seminar acknowledged that the evaluation of the school as a unit is slowly becoming more prevalent in various Asian countries. Examinations remain the most popular tool, if not the only one in some countries. External inspection exists, but is not commonly used for quality improvement. Moreover, it seems to take place mainly in those schools that are functioning efficiently, and less in those that might most need such an assessment of strengths and weaknesses. School self-evaluation is yet to take off, although popular in the rhetoric that surrounds current school improvement reforms.

It became evident that school evaluation can serve several purposes. Two are particularly important: accountability (schools should prove that they spend public money wisely) and quality improvement (the identification of a school's strengths and

weaknesses as a crucial step in an improvement process). At present, in many countries, school evaluation is meant to serve mainly the accountability purpose – the idea of holding schools, districts, educators and students responsible for results – has become the watchword. In most countries, policy-makers are moving to reward achievement and punish failure in schools. Invariably, such success or failure is based on performance in standardized national or sub-national examinations. Critics of accountability-driven school evaluation, however, argue that the focus on testing and accountability narrows and impoverishes the curriculum, disproportionately affects the poor, girls, rural students and other disadvantaged populations, and, in fact, may be antithetical to quality improvement.

Furthermore, in developed countries, where the practice of evaluating the school as an institutional unit started, all schools receive sufficient resources, and making them accountable for their use of these resources, makes sense. This is also supposed to make them conscious of the need to improve their quality. But, in most Asian countries and other developing nations, where many schools are under-resourced, it might make less sense to judge schools on how they use those resources and make them responsible for using resources, which they do not have. In such a context, school evaluation should focus much more directly on quality improvement.

4.1   School self-evaluation

School self-evaluation is not yet very common in Asia, where national examinations and external inspection are still seen as the main force in the evaluation of school and pupil performance. Yet there appears to be a growing drive for internal, self-evaluation, arising from the desire of schools and teachers to assess for

31

themselves how well they are doing, and the increasing trend towards decentralization and greater local school autonomy. The idea of schools undertaking self-evaluation appears to be a simple means of assessing the performance of a school, and finding ways for improvement. There is growing evidence that the process provides a valuable tool for teachers and for schools to assess for themselves, how well they are doing. Where school evaluation aims at quality improvement, school self-evaluation and supportive supervision are the appropriate tools.

There is increasing recognition that although self-evaluation and school inspection might seem contradictory, they are not mutually exclusive, and they can and should be complementary activities. In most countries within the region, inspectors, traditionally responsible for external evaluation and the maintenance of standards, are overworked and in many cases, under-trained – particularly in relation to current trends in school management. Their ability to provide the impetus for school improvement is therefore limited. There is also debate about their ability to 'wear two hats', which is to function effectively in the role of both critical external evaluator (inspector) and supportive adviser (supervisor). As a result, it is felt that individual schools would be more sensitive to the needs of their students and those of the local community than central authorities, and therefore more suited to find ways to help them. In the Australian state of Victoria, the shift from external inspection to internal quality assurance is contained within a school development framework, which also meets government accountability needs. In this model, school self-assessment is complemented by external verification by a school reviewer. The external review assists the school by taking a fresh look at the analysis of the school data to ensure that the (school's) self-assessment is supported by the data presented. They will assist the

32

school in highlighting achievements, and noting areas that need improvement.

Although there are many positive aspects to school self-evaluation processes, there are a number of problems and issues to be dealt with. As the countries expand self-evaluation policies and strategies, some questions to consider in this regard include:

1. Will the transposition of the concept of school evaluation from the developed countries, within a context of a demand for greater public accountability, to developing countries and to under-resourced schools, not have adverse effects? Is the school evaluation strategy being promoted appropriate to such schools, and is there adequate capacity to implement such strategies effectively?
2. How does self-evaluation affect the need for the education authorities to achieve a balance between 'managing' and 'supporting' schools? Just how far could external management and intervention in these processes go? To what extent could the schools be relied upon to carry out rigorous and demanding self-assessments?
3. In many countries, the institutional culture stresses more obedience than initiative taking. In such a context, will school self-evaluation be done because it is officially required or is it truly embraced by the school and the community? Will participation in the activity be confined to the head teacher or the senior management team or will it include the whole staff?
4. What is the impact of self-evaluation on teachers' workload in the face of multiple school improvement initiatives that teachers have to deal with?

33

As more countries begin to implement policies for the implementation of school self-evaluation, they need to pay attention to the accompanying support and capacity-building from central to school levels that are needed. School capacity-building to support self-evaluation needs to pay attention to such aspects as: creating an understanding of the whole notion of self-evaluation including its purpose, the relationship and balance between self-evaluation and external evaluation; creating a sense of ownership and commitment to evaluation for improvement and accountability; and developing or making explicit the performance indicators, criteria or benchmarks to be used to assess school quality. School self-evaluation as an essential mechanism for monitoring and improving teaching and learning at the institutional level will have to be developed further taking into account country specific as well as regional experiences. Its linkage with external inspection and examinations and tests needs to be given particular attention.

4.2   *External inspections or audits*

Inspection services, which traditionally focused on the performance of individual teachers, have shifted their attention in recent years to the systematic evaluation of schools as institutions. In some cases, this has led to the creation of a specific body, whose only task is to undertake such audits and which might or might not have a strong level of autonomy. However, these developments have resulted in a number of dilemmas. In addition to the issue of what is being monitored and reported on, education authorities are confronted with questions about the exact role of school inspectors. The key question is: should inspectors simply be impartial and impersonal agents of government; or should they also act as 'guide, philosopher and friend'? Can they, in practice, adopt both of these two roles – judgemental and supportive – without tensions and

34

misunderstandings arising? The complex inspection systems existing in different countries intensify various problems linked to tensions between disciplinary and developmental roles of the inspectors and supervisors. There has been some improvement in cases where the supervisors act principally as education advisers working in classrooms with the teachers. For example, Bangladesh has adopted a policy based on the premise that 'control without support will not lead to quality improvement'.

In some countries, the supervision service has been given the main task of the regular auditing of schools. Where this is the case, it has had to change its way of operation and its culture: teams undertake visits and supervisors no longer have their 'own' schools. In these cases, supervisors have to accept that their role has shifted from offering both advice and control, to a more distant one of reporting on a school's strengths and weaknesses. In many cases, supervisors at district or local level will continue to work as before, while a central level inspection service performs the audits. A big challenge for most of the countries is that supervisors are expected to play both the support and inspection role which complicates their work to the extent that they may not do either well.

4.3   Examinations and tests

The objectives of 'school evaluation' have an impact on the choice of instruments to be used. A school evaluation strategy, which concentrates on accountability, relies mainly on examination results and on external school audits. The agenda for such evaluation is being set by the ministry of education, and increasingly reflects the concerns of the wider 'public', interpreted by politicians and the media. In many cases, teachers feel the victims rather than the beneficiaries of such an evaluation. In a number of countries, the

emphasis on examination as a measure of school quality is resulting in a focus on uniformity, and an emphasis on only those educational purposes that can be measured by objective standardized tests.

While examinations are an indispensable tool for evaluating the education system at student, school and system level, they have to be used circumspectly. The seminar discussions and country case studies indicate that, across the region, examinations are sometimes: (a) limited in the knowledge and skills they assess; (b) not connected to the knowledge and skills that students need in their everyday life outside the school; and (c) in many instances, are not integrated into the normal structures and activities of ministries. Nevertheless, not only do they occupy centre stage in the evaluation system of a number of education systems they often provide the only data on which students, parents and other stakeholders can make judgements about school quality.

In Nepal and Indonesia, for example, examination results are used not only for selecting students for higher classes, but also to evaluate the performance of the schools. Schools are considered acceptable or weak according to their results. Because the examination is the only easily available indicator of school performance, parents make the decision of selecting the schools to enrol their children, according to their performance on district and national examinations. The national examinations (the School Leaving Certificate Examination in Nepal and the National Final Examination for Junior and Senior High School/Islamic Senior High/ Vocational School in Indonesia for example) receive an inordinate amount of attention across the country, acting as the gateway to higher secondary education, for jobs and even to find a suitable and able bridegroom for marriage to female students. Therefore, the teaching in all levels is examination oriented. Although many

36

attempts have been made to adopt a more holistic evaluation system, which includes continuous and comprehensive scheme of evaluation (e.g. quarterly tests, observation of skills, attitude, classroom participation and final comprehensive examination), these efforts have done little to change perceptions and practices. One of the problems is that the school-based assessment often lack credibility, often rightly so because they are underdeveloped, inconsistent, and implemented in many cases by teachers with little or no training in their use.

Although few of the countries in the region have participated in international assessments (only Indonesia and the Philippines participated in TIMSS), it is an increasingly important and powerful mechanism in systemic evaluation. TIMSS and other international studies are designed to help participating countries to improve student learning. They collect educational achievement data at particular grade levels and in particular subject or skill areas (e.g. TIMSS collects data on mathematics and science in the fourth and eighth grades) to provide tentative evidence on trends in student performance. Whatever their shortcomings, these assessments are an important source of information for policy development, to foster public accountability, and to address concerns about the quantity, quality, and content of instruction. International comparisons are valuable, if they help different actors look at the schools from the perspective of instructional improvements.

Despite their shortcomings, examination results (national and international) are also being used to stimulate competition between schools. One benefit is that such competition may serve to promote academic achievement. However, it can also be counterproductive at a systemic level. Schools who perform well, and who publish their results, are likely to attract the more competent and more

37

advantaged students, thus enhancing their (the schools') chances of greater success. This may be at the expense of an under-performing school.

Countries need to take heed to a caution about testing expressed over forty year ago, which applies equally today in relation to examinations and standardized testing as a measure of student or school performance:

> Testing, of course, is not lethal in itself, but it can be used in a most destructive fashion. When the results of a single test is made the single criterion for promotion of a student, granting or withholding state moneys for school support, or the assessment or success or failure of a teacher or school, it begins to assume a too great importance in the whole educational picture. A high score in the test is used as an educational objective.[3]

This is not to suggest that examinations and tests are unnecessary or have no value. A testing moratorium would not meet the legitimate needs of parents and others for information about student learning, nor would it ensure that information useful for school improvement is obtained and properly used. It is an important means to measure individual student achievement and as a basis for providing appropriate learning opportunities and guidance to students; and it does provide some idea of the quality of education provided by a school or an education system for that matter. At the same time, examination results also enable

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3. E. Bird, "State-wide testing: An analysis of the Citizen's Advisory Committee", p. 71, 1961. Quoted in C. Mazzeo, "Frameworks of state: Assessment policy in historical perspective", *Teacher's College Record, 133(3)*, June 2001, pp. 367-397.

governments to develop equity and redress mechanisms, target students and populations that are disadvantaged or require assistance. However, it cannot be the sole or even the central mechanism in evaluating schools.

5.   Concluding remarks

Many conventional assessment strategies, which still prevail in most countries in the Asian region, focusing primarily on teachers or on students, serve mainly to heighten anxiety, minimize dialogue, reinforce institutional hierarchies, and may actually inhibit school quality improvement. Rather, schools need support, a closer involvement with their communities and better relationships among staff, and not simply pressure and control. The challenge is not to choose between accountability and quality improvement, but to find the right balance between these aims, between internal and external evaluation, between the criteria set by the central authorities and those set by the school staff itself, between the demands of the 'public' and the needs of the professional community.

Meeting this challenge requires policy-makers to adopt a holistic view that allows sufficient coherence between school evaluation for accountability, and school evaluation for quality improvement. Such a perspective will enable countries in the region to develop broader, more appropriate school evaluation systems, involving different rationales and, from a technical point of view, systems that involve: (a) different types of information gathering and analysis; (b) multiple foci in the school (classroom learning and teaching, school management, resources, etc); (c) a variety of actors (inspectors to teachers and parents); and (d) a combination of evaluation devices (external inspections, self-assessment and examinations).

Such multifaceted systems for reflecting on the performance of schools can only help improve school practices and student learning. To ensure that these systems do in fact support quality improvements, key policy questions that need to considered, include:

1. What is the relative emphasis to be placed on control/ accountability and on support activities?
2. What is the relative importance to be given to external evaluation versus internal, school-based evaluation? What will be the distribution of roles between the two?
3. What type of school-based evaluation will be adopted? What will be the respective roles played by the principal, teachers, parents and local community representatives?
4. How much of standardized testing and examinations will be introduced? How will the results be used for school evaluation purposes?

In the end, each country has to work out its own evaluation strategy based on a careful analysis of what exists, and taking into account the values and development objectives it would like to promote. Several factors that are of particular importance are the level of teacher professionalism, the strength of the accountability framework at local level and the effectiveness of the present evaluation mechanisms. No system can be transferred as such from one country to another, but many lessons can be learned from analysing different practices and from exchanging experiences. This is the basic philosophy behind ANTRIEP network seminars.

40

II. A review of school evaluation mechanisms in Bangladesh, Indonesia, Nepal, the Philippines and Malaysia

Jordan P. Naidoo

This section provides a summary account of country case studies presented at the seminar. The studies were based on a review of available documents, reports and national data, and, where possible, on informal discussions with head teachers and administrators in charge of school management and evaluation at national and sub-national levels.

It provides an overview of the various school evaluation mechanisms that exist in Bangladesh, Indonesia, Nepal, the Philippines and Malaysia. Country cases were presented at the seminar in order to develop a comprehensive understanding of the various school evaluation mechanisms that exist in these countries. The school evaluation mechanisms were: (a) examinations and tests; (b) external school reviews (e.g. panel inspections or school audits); and (c) school self-evaluation. The country case studies included: a description of each of these mechanisms; and an analysis of their strengths and weaknesses, and their impact on the quality and the functioning of the schools. It is important to note that the studies were expected to focus on school evaluation, that is, on the evaluation of the school as an institutional unit and not on teacher or system evaluation. For example, 'examinations' were to be reviewed in so far as results by schools were available, and used to evaluate the performance of the individual schools. The analysis covered primary and general secondary schools.

41

1. School evaluation in Bangladesh[4]

Bangladesh has made significant progress in education in the last two decades, especially concerning increasing access and gender equity. With more than 20 million students in over 80,000 primary and secondary level schools, gross primary enrolment rates (GER) rose from 76 per cent in 1991 to 95 per cent in 2001, while corresponding net enrolment rates (NER) rose from 64 per cent to 80 per cent. Primary drop-out rates fell – from nearly 60 per cent in 1991 to 30 per cent in 2000. Notwithstanding the past decade's impressive gains, especially in access to primary education, improving quality remains a principal challenge.

Education is a 5–5(3+2)–2 structure starting with primary education at the age of 6 and consisting of five years (grades 1-5). The primary level is followed by three years of junior secondary education (grades 6-8); two years of secondary education (grades 9-10); and two years of higher secondary education (grades 11-12). The Directorate of Primary Education (DPE) under the Primary and Mass Education Division (PMED) attached to the Prime Minister's Office is in charge of general public and private primary schools. The PMED is responsible for policy formulation, while the responsibility for administration, management and planning rests with DPE (central) and its Divisional (Regional), and District and Sub-district (Upazila) structures. The Directorate of Secondary and Higher Education (DSHE), in the Ministry of Education (MOE), is responsible for secondary and tertiary education. The Madrasah Education Board also based in the MOE

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4.   This account is in large part a summary based on a report presented at the Seminar: *Background paper: Bangladesh* by Enus Ali Dewan (Director General NAEM), Roohi Zakia Dewan (Assistant Director General NAEM), and Syed Jaghil Pasha (Deputy secretary, Secondary, MOE).

42

administers a parallel system of *madrasah* or religious schools. All of these different entities are involved in some way with school evaluation in terms of their overall responsibilities for administering their sector of the education system. However, more specifically, areas such as student evaluation and examinations, curriculum, and financial administration are the responsibilities of the Board of Intermediate and Secondary Education (BISE), the National Curriculum and Textbook Board, and the Directorate of Inspection and Audit (DIA).

1.1 *Overview of school evaluation mechanisms*

There are serious concerns about the quality of education, in a context of limited resources, high teacher: pupil ratios (1:65 in primary schools and 1:41 in secondary schools), low teacher qualifications (only 37 per cent of teachers are trained), and a system characterized by weak management at all levels. Problems are compounded by an ineffective system of accountability: of teachers to students, parents, the community and head teachers; of head teachers to supervisors and school management committees; and of school management to government. Until recently, most school evaluation has been for administrative oversight. Given this situation there is a growing recognition of the need for more comprehensive evaluation of school performance in Bangladesh.

Examinations

Examinations are used widely as a means of evaluating student learning, but little or no conscious effort is made to use examination data as indicators of school performance. These examinations serve largely to assess individual student performance, for formative teaching and learning purposes, as a screening mechanism for promotion to higher levels, and for systemic evaluation.

43

Nevertheless, it is important to review the different examinations as they are beginning to serve an important role in school evaluation. Following are the common examinations undertaken in Bangladesh:

Final School Examination. Each primary school conducts annual final examinations for grades 3, 4, and 5 and issues certificates to the successful grade 5 completers as primary graduates. At the secondary level, schools set examinations each year for grades 6, 7 and 8. These results are used to calculate promotion and repetition rates, providing data on the internal efficiency of the school system. However, they are not used for evaluating the performance of individual schools.

Primary Scholarship Examination. Of the best pupils at each school, 20 per cent sit for this 'restricted' public examination conducted by DPE. Successful candidates are awarded scholarships up to grade 8. The scholarship examination acts as a measure of school effectiveness, as the number of successful candidates and their achievement level is taken as a reflection of the performance of the school. Such information is made public giving the department and the public an idea of the relative quality of schools with these PSE results as the indicator of performance.

Junior Scholarship Examination – At the end of grade 8, pupils selected on the basis of their performance in the three annual school examinations (grades 6, 7 and 8) take this examination conducted by DHSE. Successful candidates are awarded scholarships up to the end of the secondary cycle. This examination serves a similar function as the Primary Scholarship Examination.

Secondary School Certificate Examination (SSC). This examination, conducted by the Board of Intermediate and Secondary

44

Education (BISE), provides students with a secondary school completion certificate. Student performance in the Junior Scholarship Examination and the SSC provide the public and the MOE department an idea of the relative quality of schools.

External school inspections or audits

At the primary school level, the Upazila Education Officers (UEOs) and the Assistant Upazila Education Officers (AUEOs) undertake routine inspection and supervision of schools, which involves some evaluation of overall school performance. At the primary school level, every AUEO in charge of 15 to 20 schools undertakes a full inspection, covering management, governance and classroom teaching. Monthly requests are submitted to the UEO who consolidates them and sends them to the deputy director at the divisional or regional level.

Since 1997, a policy has been implemented to classify primary schools by evaluating them based on certain standards. Schools deemed to be unsatisfactory or low performing are identified in order that measures are taken to ensure their improvement. The ten criteria used in this assessment, each accounting for 10 points, are: enrolment rate, learner attendance rate, drop-out rate, effectiveness of the School Management Committee expressed as number of meetings held, success rate in the primary scholarship examination, punctuality and dutifulness of teachers, cleanliness and attractiveness of the school site, number of parent teacher meetings, co-curricular activities, and record management. The Upazila Education Committee, with the assistance of UEOs, evaluates schools and classifies them according to the following scale: 'A Grade' (schools scoring above 80 points), 'B Grade' (schools

45

scoring 60 to 79 points), 'C Grade' (schools scoring 40 to 59 points), and 'D Grade' (schools scoring less than 40 points).

As with primary schools, in the secondary system, District Education Officers (DEOs) are responsible for inspection and supervision of secondary schools and *dakhil madrass*. However, the number of schools per supervisor (DEO) is so high that a school is possibly visited only once in three years. For example, the 64 DEOs responsible for academic supervision of secondary schools have 20,158 schools in their jurisdiction, which means that, on average, each DEO is responsible for 314 schools. Nor are the visits specifically designed for evaluating the performance of schools; neither do they provide any real insight into the functioning of schools. BISE, with three inspectors and DIA, with 32 officers are also engaged in inspection, but for different purposes, and again not necessarily linked to school performance evaluation. BISE inspectors undertake school inspections to determine eligibility for grants, while DIA officers conduct financial auditing.

Some action has been taken recently to institute measures to conduct evaluations of secondary schools. In December 2001, MOE adopted a set of five criteria to evaluate secondary schools. These are: (a) infrastructure; (b) management; (c) academic matters; (d) results of learner assessment; and (e) co-curricular activities. The criteria, which add up to 1,000 points, are weighted: academic matters receiving 30 per cent, management 25 per cent, learner assessment/examination results 20 per cent, and infrastructure and co-curricular activities taking up the remaining 25 per cent. Schools are to be evaluated on these criteria by Zonal Deputy Directors working with Inspectors of Schools, DEOs and Upazila Project Officers, in order to identify 'standard' and 'sub-standard' schools.

46

School self-evaluation

There is no structured mechanism for schools to undertake self-evaluation. But all schools are required to undertake a review of their round-the-year activities at the end of each academic year, and to plan for the new year. However, there is no specified format or indicators for such a review and, in effect, such 'self-evaluation' (even if it may be loosely termed that), is strictly an individual school affair. Furthermore, such reviews are usually conducted by the school management and may include teaching staff. Parents or district officials are not involved, nor is any review report sent to the education authorities, parents or other stakeholders.

1.2   Challenges in school evaluation

While some progress is being made with regard to education evaluation, particularly in the use of examination or achievement data to assess systemic efficiency, the evaluation of schools per se remains quite inadequate. Key challenges are:

1. The existence of distinct primary and secondary systems of education administered by two separate ministries with little co-ordination between the two has resulted in a lack of concerted efforts on policy formulation, planning and management of education, which is reflected in the evaluation of schools as well.
2. Clearly, the evaluation of secondary schools is much weaker than primary schools. The coverage demands on district officials are overwhelming, and except for the national exit examination, the Secondary School Certificate (SSC), there are few if any measures to evaluate school performance.
3. Devolution and decentralization of key management and administration functions with authority and accountability to

47

local administrative units (districts, Upazilas and schools) holds some promise for developing a more comprehensive evaluation system. However, building management capability to undertake evaluation responsibilities at these levels requires a systematic ongoing capacity-building programme. At the same time, how to develop a culture of local autonomy and accountability to local communities will require more than technical training.

A crucial element of any strategy for education quality improvement in Bangladesh will be the development of a rigorous monitoring and evaluation system, with the assessment of individual student achievement, evaluation of school performance, and systematic monitoring and evaluation feeding back into policy and practice at all levels of the education system.

2. School evaluation in Indonesia[5]

Indonesia's educational system reflects its diverse religious heritage, and the challenge of resource allocation in a developing nation with rapidly growing population. Indonesia has a 6–3–3–4 school education system: formal schooling begins at the age of 7, with six years of primary education (grades I–VI), followed by three years of junior secondary education (grades VII–X), and three years of senior secondary education (grades X–XII), and four years of tertiary education. Primary education is normally free, though parents have to pay small admission and examination fees. Indonesia has two parallel systems of general and religious education. The Ministry of National Education (MONE) and the Ministry of

5. This account is in large part a summary based on: *Education quality control (EQC) in Indonesia*, prepared for the ANTRIEP Seminar, Malaysia, 2002.

48

Religious Affairs (MORA) are responsible for managing general schools and *madrasah*, respectively. MONE administers formal public and private schools and universities, as well as non-formal modes of education. MONE is the major provider of education, accounting for about 84 per cent of primary enrolment.

During the 1990s the reform of basic education focused on expansion, enhancing science and technology, curriculum decentralization, improving the quality of textbooks and teachers' guides, developing the effectiveness of in-service teacher training, and promoting a conducive school and classroom environment. From January 2001, the management of schools under MONE has been decentralized to the district level under the Law on Regional Governance (22/1999) and Law on Fiscal Decentralization (25/1999). Under these laws, the office of the *Bhupati* (elected district/municipality), under the Ministry of Home Affairs and district parliament, manages primary education.

2.1   Overview of school evaluation mechanisms

The main instrument for assessing quality in Indonesia is through examinations, even though they provide mainly systemic or individual student data. Indirectly, they give parents and students an idea of which schools are producing students with higher achievement. The country report for Indonesia presented at the seminar did not provide any information on external inspections or self-evaluation, which are being introduced in the context of decentralization and the latest education law. Article 58 of the law states: "Evaluation of learners' achievement, of institutions, and of educational programmes shall be conducted by independent bodies regularly, comprehensively, transparently, and systematically in order to assess the achievements of national education standards."

Article 59 adds that government and the community and/or professional organizations and local governments shall carry out evaluations of education providers, units, streams, levels and types of education.

Examinations

Examinations are used widely as a means of evaluating student learning in Indonesia. Some serve simply to assess individual student performance (e.g. the elementary school final examination). Others intend to assess the health of the system as a whole (e.g. the Basic Skills Assessment or the Survey of Student Achievement). A few try to combine these purposes (e.g. the junior and the senior high school final examination). The types of common examinations and tests are as follows:

School Final Examination for Elementary School/Islamic Elementary School. Schools conduct the grade level annual examination under the guidance of the official regency/city or district education unit. Results are used mainly for promotion purposes and feedback to teachers for learning and teaching improvements; it serves little or no school evaluation function.

Basic Skills Assessment. This is mandatory for all students in the third and fifth class of the elementary school and second class of the junior high school, and provides data on student mastery of basic skills in reading, writing and mathematics. Largely serves a systemic assessment function and feedback.

National Final Examination for Junior and Senior High School/Islamic Senior High/Vocational School. A national assessment of student learning achievement undertaken to 'measure' quality of education by type or level/grade of education. Used as a

means to: (a) monitor quality of systemic education provision; (b) for student graduation through different levels of the education system; and (c) feedback to schools for quality improvement measures. It also serves as an instrument of accountability, as information is made available to parents and the public reflecting on school quality. The National Final Examination is co-ordinated by the Testing of Research and Development Centre in co-operation with the Directorate General of Elementary Education, Directorate General of Guidance and Development for Religion, Directorate General of Elementary Education.

Selection Test. In addition to the final national examinations for the different levels (elementary, junior high, secondary), students are also required to take selection tests based on a scholastic aptitude or competency test by level.

University entrance examination. This is conducted by a consortium of universities for placement in universities. These examinations tend to be very difficult due to the interests of top universities to select the best candidates. Many teachers in senior secondary school focus on preparing students for these examinations rather than on the prescribed secondary school curriculum. Students who have a consistently high performance during senior secondary school may be exempted from the examination.

Survey of student achievement. A sample of a student's performance and other relevant variables, conducted periodically. At present, surveys conducted are not professionally designed and the instruments tend to be of poor quality. A National Assessment Programme is foreseen.

51

International Assessment. In 1995, Indonesia took part in TIMSS but was not included in the TIMSS report officially issued at the end of 1996 because of problems associated with sampling design. Participation in this type of assessment is to compare Indonesian students' achievement with other students from other countries, and to provide an idea of systemic performance and not that of individual students or schools. However, the results may be used to assess schools by types, regions, etc., depending on the analysis of the data.

Examination results are used primarily for selecting students for higher classes. However, more informally they do serve some means of evaluating the school performance with schools being considered acceptable or weak according to their examination results.

2.2   Challenges in school evaluation

Developing a school evaluation strategy has to be seen in the context of the need for comprehensive reform, incorporating all aspects of the teaching/learning process: teachers, materials and facilities, role of society. Some specific challenges include:

1.   Strengthening the decentralization and bottom-up planning processes (including enhancing the skills of the Ministry of Education planning officers and managers in the provincial, district, and sub-district offices in evaluation) is a great challenge.

2.   The expectation of local involvement (at school and community level) fully materializing quickly is unrealistic due to the complex nature of the education system in the country. The changing of institutional and public behaviours requires a slow

step-by-step process that allows for both reflection and feedback.

3. Defining not only minimum basic learning competencies for all levels and types of education, but for the performance of schools are required. This is no easy task in the context of Indonesia, given the divergence of opinion with regard to educational philosophy among key stakeholders.

3. School evaluation in Nepal[6]

The present structure of formal education (academic) is twelve years of schooling and five years of university education. Since the early 1990s, two years of higher secondary education have been introduced. Two years of proficiency certificate level and a three-year bachelor level have been scheduled to phase out the current the university system. The Ministry of Education and Sports (MOES) is responsible for planning, management and service delivery. Evaluation of schools is the responsibility of the Department of Education (DoE) established in 1999 with the objective of taking responsibilities for overall implementation, supervision and monitoring of the formal and non-formal education. Besides examination, other means of evaluation are rarely used in schools and colleges. About 4.9 million students study in about 26,000 Nepalese schools, from Grade 1 to 10, with about 142,000 teachers.

6. This account is in large part a summary based on: *Nepal: a national study on school evaluation*, Nepal country report prepared by His Majesty's Government of Nepal Ministry of Education and Sports, Kathmandu, and Tribhuvan University Research Centre for Educational Innovation and Development (CERID), Kathmandu.

Overview of school evaluation mechanisms

Examinations

Examinations are used widely as a means of evaluating student learning across the region. Nepal is no exception to the regional trend, to the extent that the term 'evaluation' is often synonymously used for examinations in Nepal. In lower primary (grades 1-3), Continuous Assessment (CA) is used to assess the individual student's performance. CA is not used for promotion purposes, or as an indicator of a school's quality. Up to high school level, the evaluation of students is done through terminal, half yearly and annual examinations at school cluster, district and national levels. These examinations serve largely to assess individual student performance, and as a gateway to higher levels. The types of common examinations and tests are as follows:

Cluster Level Grade 5 Test. Schools conduct the grade 5 test as geographical clusters in public schools, and umbrella-wise clusters in private and boarding institutional schools. While groups of schools evaluate individual students, there is little comparison of performance between schools.

District Level Send-Up Test. This test was used in practice until 1997 to select the candidates to sit for the School Leaving Certificate Examination. After 1997 the send- up test has been conducted in cluster similar to the grade 5 test. It is also used to ensure curriculum uniformity.

National Level Examination. The School Leaving Certificate Examination for the final grade 10, conducted nationally by the Office of the Controller of Examinations under Ministry of Education and Sports, has been in place since 1934.

54

Examination results are used primarily for selecting students for higher classes. However, more informally they do serve some means of evaluating the school performance with schools being considered acceptable or weak according to their examination results. Since examination results are the only readily available indicator of school performance, some parents select in which schools to enrol their children based on their performance on district and national examinations. At the same time, in one national and five development regions, awards of cash, a shield, a certificate and a banner are awarded to the best performing secondary schools in the National School Leaving Certificate Examination on Education Day every year. The criteria for evaluating the schools are those schools with the highest result, both as a percentage and quality of achievement. This national award, which serves as a motivator for better performance, depends on school ranking, and thus acts indirectly as a means of evaluation.

However, the national level examination in particular may have some undue negative consequences. It receives an inordinate amount of attention across the country acting as the gateway to higher secondary education, for jobs, and even to find a suitable and able bridegroom for marriage for female students. Therefore, the teaching in all levels is examination oriented. Although many attempts have been made to adopt a more holistic evaluation system that includes continuous comprehensive evaluation (e.g. quarterly tests, observation of skills, attitude, classroom participation and final comprehensive examination), these efforts have not been successful.

External school inspections or audits

Most external evaluation of schools in Nepal is geared towards improving management of human and financial resources with the

55

objective of achieving quality education. At this stage 'inspections' or external school audits are focused largely on teacher performance, rather than on school performance as such. To this end, a variety of supervisory levels and agencies provide the professional support services to school teachers and evaluate them through a set of criteria. Some of these are outlined below with the proviso that their role is largely advisory and supportive rather than evaluative. The possible conflict between these two functions – evaluation and support – is visible at every level, but in particular for the resource centres. They may serve an indirect 'evaluation function' through school visits, classroom observation, sharing experiences and bringing uniformity across the schools. However, resource centres are involved in supervision and professional support by providing such services as holding Friday head teacher meetings, dissemination of curriculum policy and programmes, preparation of annual work plans, and conducting cluster examinations, and training in the use of instructional materials, teaching methodologies and examination results.

Resource Centre Evaluation Scheme. Resource centres play a more direct role in evaluation of primary schools through the Resource Centre Evaluation Scheme where the best ranked school is awarded a cash prize each year. The criteria for selecting the best school include: net enrolment rate, girls net enrolment rate, raising education awareness, school environment, internal management, school improvement planning and academic achievement.

District level supervision. School supervisors co-ordinate the resource centres of their area and monitor their activities. In this capacity, supervisors visit the lower secondary and secondary schools, meet the teachers, head teachers and the members of school

56

management committees, village education committees, and discuss learning and teaching activities and the school's overall progress. Such supervision involves some evaluation of school performance, but again indirectly, and there is no formal feedback mechanism or ranking of schools.

School classification criteria. A system of school classification has been introduced where schools are to be categorized according to: physical facilities; management of teachers; maximum number of female teachers; the enrolment of students; number of girl students, the teacher:student ratio; educational achievement; the ratio of expenditure on teacher/staff salary to maintenance and instructional materials; and the duration and number of days. It is hoped that school classification creates competition among schools, and assists in quality enrichment. It hoped that this regulatory framework assists fee-paying parents to choose schools by quality.

School self-evaluation

The School Management Committees (SMCs) are key structures involved in evaluation at school level. The roles and responsibilities of SMCs are specified by education regulations and acts. The overall evaluation of a school by the SMC involves the parents, village social workers and teachers working together. SMCs, which should be led by the parents and village level social workers, recruit the teachers, conduct performance evaluation of individual teachers, and make recommendations on the promotion of teachers, national and district level awards and teacher training to the Department of Education (DEO). The participation of the parent teacher association, the school management committee and the teachers in school evaluation is focused on the smooth

57

management of the school, and the achievement of quality in education. While SMC play some role in evaluating teachers and assisting the school management with the running of the school, at this stage its participation in any formal evaluation of the school is virtually non-existent. For all intents and purposes, schools really do not engage in self-evaluation per se. At the same time, many SMCs are not yet functioning. Where they are, they are very regularly controlled by the school principal or by a powerful person in the community, and do not allow for wide participation.

4.   School evaluation in Malaysia[7]

Malaysia provides eleven years of free schooling, and officially Malaysian children begin primary school education at age 7 with over 95 per cent of them being enrolled in public funded schools. Malaysia has a student enrolment rate in secondary schools of more than 85 per cent, and a literacy rate of 93 per cent. The formal education structure consists of three main levels: Primary education (ages 6-12), secondary education (ages 13-17), and post-secondary (ages 17-19). The Malaysian Ministry of Education is responsible for regulating the operations of all schools and educational institutions from pre-school education to tertiary education. Such regulation includes the evaluation of all schools in the Malaysian education system.

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7.   This account is in large part a summary based on two reports presented at the seminar: *Malaysia: overview of evaluation system of schools* (Dato Dr Wan Chik Rahmah Wan Din, Director, Institut Aminuddin Baki), and *External school inspections as a form of school evaluations* (Dato Abd. Rahim Bin Tahir, Chief Inspector of Schools, Malaysia).

58

4.1   Overview of school evaluation mechanisms

Traditionally, evaluation of schools in Malaysia relied almost exclusively on school inspections or school audits conducted by the Inspectorate of Schools. Although examinations tend to focus on the assessment of individual student achievement, they are beginning to play a bigger role in the evaluation of overall school performance. More recently, the Inspectorate of Schools introduced the Higher Quality Education Standards to help schools engage in school self-evaluation. However, the extent to which it contributes to the overall system of assessing school quality is limited, during what is undoubtedly still the initial stage of the implementation of a new evaluation policy.

Examinations

Two main bodies, the Malaysian Examination Syndicate and the Malaysian Examination Council are responsible for centralized examinations. The Malaysian Examination Syndicate administers all primary and secondary examinations. The Malaysian Examination Council administers post-secondary examinations such as the *Sijil Pelajaran Tinggi Malaysia* or Malaysian Higher School Certificate Examination, and the Malaysian University English Test. They prepare the tests, set examination rules and regulations, revise syllabi, co-ordinate registration of students, and mark and process results.

Ujian Penilaian Sekolah Rendah (UPSR) or Primary School Evaluation. This is required for all students in Standard 6 (end of primary education) to evaluate student progress in language acquisition (Malay and English), mathematics and science. The examination serves formative purposes and complements ongoing classroom and school-based assessments to diagnose students'

59

strengths and weaknesses, and monitor progress. Students are not denied entry into secondary education because of their results in the UPSR.

Penilaian Menegah Rendah (PMR) or Lower Secondary Examination. This is taken by students in Form 3. In addition to the formal centralized test/examinations, it incorporates school-based assessment through student portfolios in history, geography and life skills assessed by teachers at school level. The achievement scores on the PMR are used to stream students into either the science or arts stream in the upper secondary level.

Sijil Pelajaran Malaysia (SPM) or Malaysian Certificate of Education Examination. This is taken by students in Form 5, before graduating from secondary school. After SPM, students would have a choice of either studying Form 6 or the matriculation (pre-university). Should they choose to continue studying in Form 6, they will also take the *Sijil Pelajaran Tinggi Malaysia* or Malaysian Certificate of Higher Education examination.

Examination data are used mainly for assessing individual student performance as a means of progression through the system and for systemic evaluation. However, examinations are beginning to be used more to reflect on the quality of individual schools as they are incorporated into assessments of schools through inspections and school self-evaluation in terms of the Higher Standard (driven) Quality Education (HSQE) policy (see following sections for a discussion of this policy and resulting evaluation activities).

60

External school inspections or audits

The Inspectorate of Schools conducts inspections, external school reviews or audits in order to ensure schools as institutions of quality learning and teaching. Types of inspections undertaken include:

Normal inspections. Mandatory routine inspection (three times a year) to check that administration and management is being carried out in accordance with MOE regulations and rules.

Full inspections. Panel inspection by a team of inspectors at a particular school for a week covering administration/management, curriculum, school climate, leadership.

Follow-up inspections. To check whether recommendations arising from other inspections are being implemented.

Special inspections. Carried out on request from the Minister or Director-General of Education to address some issue or in response to complaints from parents or the public.

While the inspections are expected to play a dual accountability and support or advisory function, they appear to be used more for accountability. The adoption of the HSQE policy in 2000 introduced a multi-tier system of standards that would underpin school inspections and school evaluation more broadly. HSQE standards comprise eight 'imperatives' covering areas such as mission and vision, organizational system, organizational climate, strategic planning, implementation, evaluation and improvement, information and school products. These are broken down into sixteen 'elements' or school performance indicators covering such aspects as educational structure and functions, management,

61

resources, rewards system, short- and long-term planning, analysis of educational programmes, lesson plans, homework, etc. It is important to note that the 'school product' imperative refers to the "development of pupils' potential at the end of: preschool, level 1 of primary education, level 2 of primary education, lower secondary, and upper secondary". Potential is determined on the basis of pupils' performance in the internal school tests and the various centralized examinations (outlined in the previous section). Thus, as envisaged in policy, examination or achievement data is one of the indicators to be used in evaluating school performance. The three phase routine evaluation will use these standards as follows:

Evaluation 1 – Take-off value. Entry point or base line evaluation. Based on these, the school is advised on setting targets and designing its developmental plan.

Evaluation 2 – Operational target increment. Evaluates progress in the developmental plan. Formative aspect enables the Inspectorate of Schools to inform and advise District Education Officers (DEOs) to supervise, monitor and undertake direct intervention in schools not making progress in reaching targets.

Evaluation 3 – Expected targeted result. Assesses the gap between schools' actual achievement/performance and the targets set in terms of the HSQE. Leads to the ranking of the school and/or a realignment of its development plan. As with Evaluation 2, may result in appropriate action by DEOs.

The various inspections result in diagnostic and prescriptive confidential reports that provide information on the school's performance and include recommendations for quality improvement. Inspections are also the basis for the National Aspiring School

Award and the Minister's Quality Award for schools that exhibit quality management.

School self-evaluation

The transformation of inspection services in Malaysia is aimed at stimulating a culture of accountability, support and greater participation of school actors in evaluating school performance and thus contributing to quality improvement. As part of the HSQE process, schools are expected to engage in 'self-assessment' and 'internal quality auditing'. For its self-assessment, the school is required to use School Self Appraisal instrument, which allows it to identify and assess issues, problems and challenges that may hinder its performance. The information derived from this self-assessment is to be used by the school to rank its current performance on a seven-point scale, ranging from extremely weak (score 1) to par excellence (score 7). This enables the school to determine its take-off value. The school is also expected to use this information to formulate its improvement and development plan. During the course of implementing its school improvement plan, the school uses the Internal Quality Auditing (IQA) developed in terms of HSQE, to review progress and prepare for the external inspection by the Inspectorate of Schools.

The new processes and instruments in place for school self-evaluation are an important start in developing a more holistic approach to school evaluation in Malaysia. It gives school personnel a greater stake in engaging in a key activity for quality improvement. However, other school stakeholders, such as parents, play little or no role in evaluation. While all schools have parent teacher associations, these bodies provide support and resources and are not involved in administration and management nor in any other school decision-making processes, including evaluation.

63

4.2   Challenges in school evaluation

Key challenges in transforming school evaluation in Malaysia so that the process is more holistic, attends to accountability and support functions, and is directly linked to school quality improvements:

1. While schools are being afforded greater autonomy (which includes participation in evaluating their performance and developing local accountability), the interest and capacity to do so is not always up to the task. Furthermore, some teachers are loath to adopt school improvement advice arising from the inspections or even self-assessment.
2. Transforming a culture of inspection that is based on control and compliance to regulations takes time and commitment. Many officials may be reluctant to cede powers that they have enjoyed for a long time, and may see the new system of evaluation as undermining.

Despite these and other challenges that exist, attempts at creating a more holistic and appropriate system of school evaluation geared towards individual pupil, school and systemic improvement are well under way in Malaysia.

5.   School evaluation in the Philippines[8]

Universal access to elementary education was reached as early as the mid-1960s; the adult basic literacy rate is about 93 per cent, and enrolments in higher education are among the highest in the developing world. Elementary education is free and provided to over 16 million schoolchildren. Elementary education consists

8.   This account is in large part a summary based on a report presented at the seminar: *School evaluation in the Philippines public education system*.

of six grades, although rural areas have some 4,000 plus 'incomplete' schools, i.e. limited to the first four grades. Secondary schooling consists of four years, and the cycle culminates in the examinations for the High School Diploma. The average pupil:teacher ratio is 1:36 for elementary level, and 1:34 for secondary, with wide regional variations. The net enrolment ratio (participation rate) at 96.95 per cent (grade 1) is high, but completion rates are lower at 68 per cent and 47 per cent for elementary and secondary schools respectively.

The Department of Education (DepEd) is the primary education policy-making body, and has direct responsibility for administration, supervision and regulation of public schools and sets mandatory policies for private schools. The Bureaux for Elementary, Secondary and Higher Education in the DepEd supervise functional and regional offices. Line authority extends from the DepEd through sixteen regional offices to 134 provincial and city school divisional offices, down to some 2,100 district offices that oversee schools at the local level. In addition, decentralization of school management starting in 1997 has given some degree of administrative and fiscal autonomy to schools. While the Elementary and Secondary Bureaux have overall supervisory authority and are involved in evaluation, the National Educational Research and Testing Centre (NERTC) within the DepEd has specific responsibility for evaluation and assessment of education.

5.1   Overview of school evaluation mechanisms

Evaluation of schools in the Philippines relies almost exclusively on examinations co-ordinated by NERTC to determine systemic performance, and on some cursory external inspections conducted by divisional and regional superintendents and

65

supervisors. In addition, a national school competition also serves as an evaluative function of sorts.

Examinations

National centralized examinations are the primary instrument for evaluating schools in the Philippines. The National Educational Research and Testing Centre (NERTC), in its role of overseeing evaluation and assessment of elementary and secondary schools in the DepEd, is responsible for centralized examinations. In addition to co-ordinating the administration of the tests, test results are analyzed by the Research and Evaluation Division of NERTC or by educational institutions contracted by NERTC to provide information on student and school performance. Tests and examinations co-ordinated by NERTC, that are linked to school evaluation include:

The National Elementary Assessment Test (NEAT). This is administered annually to all Grade 6 pupils in public and private elementary schools. NEAT tests abilities and skills in five subject areas: English, Pilipino, science, mathematics, and *Hekasi* (social studies). In addition to providing achievement data on individual students for entry to secondary schooling, NEAT has been used over the years to determine the performance variations among population groups of Grade 6 pupils (e.g. regional level, division level, school types, etc.).

The National Secondary Assessment Test (NSAT). This is administered annually to graduating fourth-year high-school students. NSAT tests abilities and skills in five subject areas: communications arts in English and Pilipino, science, mathematics, and *Araling Panlipunan* (social studies). NSAT assesses the

66

competencies to have been developed in second, third and fourth years in high school. While NSAT provides information on students for access to post-secondary degree courses, it also serves the school evaluation purposes similar with that of NEAT.

Results of NEAT and NSAT are used to rank schools nationally and regionally, and at district and school levels. The master list of test results by school is available to DepEd, divisional offices, and schools themselves. Test results are used by the Elementary and Secondary Education Bureaux as part of the criteria in judging schools in the external evaluation. Results and ranking of schools are also published in newspapers. Of note is that after the publication of somewhat dismal NEAT results (mathematics and science, 49.75 per cent, and English, 47.70 per cent) in 2000-2001, the new Education Secretary, Raul Rocco was horrified by the results, and ordered the scrapping of NEAT and NSAT. Thus in the 2001-2002 school year, no national tests were conducted.

Other tests/examinations co-ordinated by NERTC, relating more to individual student performance than school performance, are: the Philippine Validating Tests, the Philippines Educational Placement Test (PEPT), and Accreditation and Equivalency Program (AEP), which are used to retrieve out-of-school youths and place them in the formal school system, if they so desire, and to place over-aged in-school youths in the grade/year level corresponding to their ages, and to accredit their non-formal experience and knowledge in order to facilitate employment.

External school audits

The Philippines has no formal system of external school audits, but some evaluation does take place through the ongoing work of

67

supervisors and through a national school competition. Both of these are elaborated below:

Supervisory Visits. Supervisors provide curriculum advice and feedback to teachers on an ongoing basis during regular school visits. Regional supervisors also undertake supervisory skill enhancement visits to orient new headmasters. In the course of these school visits, regional, divisional and district supervisors do check that DepEd policies and instructions are being carried out, and school facilities are being maintained. Recommendations based on these visits are sent to regional directors.

'Search for Effective Elementary and Secondary Schools'. While not part of systemic school evaluation per se, there is a dedicated programme, or more rightly 'competition' to identify the most effective schools. This is the national 'Search for Effective Elementary and Secondary Schools', funded by such private organizations as the Metro Bank Foundation, who provide funds for monetary awards to the winning schools. The objectives of the 'Search for Effective Elementary and Secondary Schools' are: (a) to identify and recognize achievements of public schools in delivering quality; and (b) to encourage school staff, students, parents and the community to participate in efforts to improve the quality of education. Regional and divisional officials are responsible for selecting divisional and regional winners. These officials include Superintendent and Assistant Superintendents, Supervisors, Education Committee, LGU and PTA representatives (divisional level), and Director or Assistant Directors, Chief and Assistant Secretaries of Education, Supervisors, and Non-Governmental Organization (NGO), PTA and Industry Representatives (regional level). Criteria used in selecting the winners are: instructional leadership (30 per cent), school performance (20 per cent),

68

professional development (20 per cent), school climate (10 per cent), student services (10 per cent), resource generation (5 per cent), and community development (5 per cent).

School self-evaluation

There is no formal DepEd policy on school self-evaluation in the Philippines. Some schools might be conducting self-assessment and internal quality auditing, but it is only through their own initiative or as part of a NGO or private school project. School principals undertake yearly performance evaluations of teachers but this is no way linked to an overall assessment of the school.

5.2   Challenges in school evaluation

A key challenge in transforming school evaluation in the Philippines is how to ensure that evaluation is more holistic, attends to accountability issues and offers support and incentives. External and internal assessments of schools are necessary to complement the assessment provided by examinations. A major challenge is the lack of capacity. Beyond skills, the number of supervisors per division (usually comprising more than 600 schools) is inadequate to provide both supervisory support and the necessary 'inspection' or auditing services. While schools are being afforded greater autonomy, there is little dedicated effort to develop a sense of local accountability among teachers and other members of the school community. The task of developing school-based evaluations requires training and re-culturation among teachers, headmasters and parents.

Furthermore, the fact that examinations are driving evaluation may have negative equity implications. For example, parents complained that only the 'best' students were selected by teachers

for 'reviews' to prepare students to take the national tests. Thus, underperforming students (more often children from lower socio-economic backgrounds) who need extra attention and support, are excluded.

III. Selected seminar papers

1. School self-evaluation and external inspection: a complex couple

Anton De Grauwe, IIEP/UNESCO

The issue of school evaluation is becoming more urgent and ever more complex as countries worldwide engage in restructuring their education systems in the face of economic, social and political imperatives. In the past, external inspection was seen as the main driving force in the evaluation of school and pupil performance – it was accepted that schools could only perform well or improve with some pressure, such as from external inspections. More recently, however, there have been growing calls for internal, self-evaluation, arising from the desire of schools and teachers to assess for themselves, how well they are doing. Although there is growing emphasis on the need for school self-evaluation to complement external inspections, difficulties still remain, arising from the fact that self-evaluation and school inspection could be in conflict, as they are undertaken by different staff, with different objectives in mind.

In many contexts, tensions between the (external) requirement for inspection and (internal) school-based desires for self-evaluation and improvement remain. The Education and Manpower Bureau in Hong Kong, for example, which uses school self-evaluation (SSE) and external school review (ESR) to enhance school accountability highlighted the successes of its model in providing a solid foundation for further improvement of learning

71

and teaching. However, despite these successes, the bureau acknowledged that there has been considerable disquiet and concern about some elements of its School Development and Accountability (SDA) framework and the implementation processes (Education and Manpower Bureau, 2004). Nonetheless, these dual processes are beginning to be seen in many countries as invaluable complementary processes – a 'complex couple', one informing the other, and both informing subsequent action for the benefit of the learner, the school, and the system as a whole.

1.1 School evaluation, school quality and accountability

Before examining the concept of school self-evaluation and its relationship to inspection or external review, it is useful to examine why school evaluation, and self-evaluation more specifically, are in the spotlight. Many reasons can be put forward to explain this trend, of which the following seem particularly important.

1. Policy-makers have become aware that many of the basic problems that schools (mainly in underprivileged areas) are facing – such as teacher absenteeism, poor parental interest, student indiscipline and irregular school attendance – can only be properly solved at school level. Too many programmes for quality improvement have been imposed on schools from above and failed. Ministries have realized that quality improvement cannot be imposed from outside. In the end, it is the teacher, together with the principal, who has to deliver the goods. Without such commitment, very little happens, and this commitment has to come from internal conviction. Consequently, schools should be encouraged and empowered to assure themselves the quality of the services that they

72

have to deliver. School self-evaluation is felt to be a more effective evaluation and improvement tool.

2. The case for self-evaluation is also made on the grounds of ownership and relevance – on the logic that those who are closest to everyday practice are best placed to evaluate, develop and improve it. There is a growing conviction that empowerment of school-site actors (principals and teachers as well as parents and communities) is the way out to make schools responsive to their environment and to the needs of their clients. It is expected that such empowerment will liberate enough initiative and creativity to allow schools to find solutions to their own problems than the standard ones designed by central ministries. In other words, school-based monitoring and supervision is not only seen as a guarantee of better quality but also as a means to ensure greater relevance.

3. In some cases, specific reference is made to the need to democratize the management of schools. To give just one example, the Education Reform Strategy of the Organization of Eastern Caribbean States argues: "to achieve democratization, a management board should be established for each primary school. The board, which would be linked to the National Education Advisory Council, would be mandated to foster closer links between the school, the homes and the community it serves."

4. Linked to the issue of democracy is also the idea of local accountability. Nowhere is this new responsibility more evident than in New Zealand, where administrative reforms made schools accountable to the community for their performance. The Education Act of 1989 gave the governance bodies of individual schools, the boards of trustees, responsibility for assessing the performance of teachers. Guidelines developed by the Ministry of Education require the governance body of

73

each school to develop and implement personnel and industrial policies, which promote high levels of staff performance.

1.2   *School self-evaluation: one term, different realities*

School self-evaluation is an increasingly popular term. Its popularity can be explained at least in part by the fact that the same concept refers to many different realities and, as such, can serve the interests of many different actors.

An analysis of the practice of school self-evaluation should examine several questions, including the following:

1. Is school self-evaluation a voluntary activity, is it compulsory or is it in between: strongly encouraged?
2. Who is involved in this self-evaluation? Different scenarios are possible: the head teacher with senior staff; a school governing board or school management council; the whole staff, the staff with parents and students.
3. Who sets the agenda for this evaluation? Who defines its objectives and develops the tools? This can be left to the school staff, but is in many cases a framework proposed, if not imposed, by the national authorities.
4. To whom is this evaluation addressed? More specifically, who will receive the report: will it remain within the school, will it be sent to the school's supervisors and to the ministry, will it become a public document?
5. What follow-up action is expected? For what purposes will the report, if a report is prepared, be used?
6. Which of the two following objectives is this evaluation supposed to serve: accountability (schools should prove that they spend public money wisely) or quality improvement (the

74

identification of a school's strengths and weaknesses as a crucial step in an improvement process)?

The different responses to these questions will lead to very different types of school self-evaluation, as these responses are an expression of particular opinions about the running of a school, how to improve a school, and the 'ideal' level of teacher autonomy. Saunders (1999: 419) for instance makes a sharp distinction between, on the one hand, an "instrumentalist, action-oriented, rationalistic and managerial" model of school self-evaluation, and, on the other hand, a school self-evaluation process, which integrates "the ethical, affective, non-rational and democratic modes of thinking". Behind these two models lie different visions of the school: on the one extreme, a rational organization, characterized by clear goal-setting, a bureaucratic distribution of formal authority and easily changeable through the right incentives and, on the other extreme, a living organization with a plurality of visions and agendas, where incentives can have perverse unintended effects.

One issue that the remainder of this paper will comment on concerns the relationship between school self-evaluation and external evaluation – in particular, school supervision or inspection. There are at least two reasons why we are interested in this issue. First, the growing interest in school self-evaluation as a monitoring and improvement tool has not always been accompanied by a more global reflection on the contribution of the other monitoring tools, in particular external inspection, and on their interrelationship. The result can be harmful to the schools: when different strategies, carrying different messages, reach the school, the result might be teacher confusion rather than teacher development. Secondly, the relationship between these two tools, and the balance of 'power' (or, in other words, their respective influence on school practices)

offers us an insight into the agenda behind the promotion of school self-evaluation and in the respective opinions on teacher and school autonomy.

1.3 The relationship between school self-evaluation and external inspection

Education systems have responded in very different ways to the question of: What is the relationship between, on the one hand, external review or school inspection and, on the other hand, self-evaluation that teachers and in-school supervisory personnel engage in as part of their ongoing school improvement processes? The following paragraphs present a comprehensive, although undoubtedly incomplete inventory. In doing so, we make a distinction between five scenarios, as follows:

No relationship

In some instances, there is no relation whatsoever between the two processes. This is the case mainly in countries where the preparation of school development plans is being officially encouraged, but not taken very seriously by the supervisors who stick to business as usual. This encouragement is in some cases the result of a desire on behalf of the government to follow international trends, especially when these are promoted by international financing agencies. This situation is possibly harmful because it only widens the gap between supervisors and teaching staff. Both parties might well end up by using totally different frameworks and criteria for making judgements about school practices; the teachers referring to a professional or a partnership model of accountability and the supervisors to a traditional compliance or state control model (Kogan, 1986).

76

It could be argued that the promotion by ministries of education of school self-evaluation serves objectives which have very little to do with school improvement. In many developing countries, where school improvement programmes have gained popularity, they represent more the agenda of international agencies or NGOs than a change in culture within the education system.

Example

Nepal can be taken as an example of such a scenario. Each school has been asked to prepare a school development plan, which is expected to be a reflection of the staff's internal assessment of institutional strengths and weaknesses. School Management Committees have been set up to exercise some control over schools and to participate in this process. However, in a few schools the preparation of such an improvement plan follows a participatory process. It is interpreted as one more demand, coming from the central level. The head teachers feel it to be more of an obligation, reflecting national preoccupations, than an internal initiative, reflecting the school's needs. At the same time, the classical inspection service continues to function as before: a few control-oriented visits by inspectors and resource persons, who soften their message through the inclusion of pedagogical advice. But the internal and external processes do not meet.

Self-evaluation as an alternative for external supervision

In a few countries, self-assessment by schools is seen as an alternative to external supervision. The supervision functions are being totally decentralized at school/community level and external control visits are cancelled. In some cases, the school staff has much autonomy in developing the evaluation instruments and in defining their own yardsticks. In many other countries, national or

77

regional bodies provide the schools with a series of instruments. This will generally include national performance benchmarks, at times a series of data on specific categories of schools to allow each school to make a comparison with the average for a group with a similar profile. The fact that the data made available are mainly, if not exclusively, of a quantitative nature, might focus the internal evaluation towards judging the performances of teachers rather than building a participatory, reflective process.

Example

Finland offers a good example of this model. The national inspection system was discontinued in 1991. Decision-makers felt that the benefits from external inspection and advice services were minimal and that, in view of the high level of training and professionalism of teachers and the strong parental interest in the schooling of their children, quality control could be entirely entrusted to them. Since the system was introduced, some pressure has developed to accompany this culture of self-evaluation with some effort of streamlining it by organizing optional nationwide comprehensive tests, the drafting of national performance indicators and the preparation of common evaluation procedures. The objective of the self-evaluation process is above all school improvement. The result is not meant to become an instrument to judge the school. A very similar situation exists, however, in Norway, where – in part as a result of what has been interpreted as a disappointing performance on the PISA test – attempts are under way to strengthen school monitoring.

Self-evaluation as a preparation for external reviewing

In opposition to the trend observed in Finland, most countries that have introduced school-based management have

78

counterbalanced schools' autonomy with a central monitoring framework, in the form of regular audits or reviews. At the same time, self-evaluation by schools is considered a necessity, but is given varying weight according to the overall philosophy behind the reforms. At least two different scenarios can be distinguished, presented hereunder.

One option is to place the main emphasis on the external accountability and although self-evaluation by schools can have its own logic and use, it is largely seen as a preparation of the external review process. Generally, the school will undertake the self-evaluation as a 'general repetition' and will therefore follow strictly the inspection agenda proposed by the outside evaluators, rather than its own agenda. The objective of school self-evaluation is more to ensure the smooth running of the external audit than to improve the school's functioning in the long term.

Examples

Good examples of this model are New Zealand and the United Kingdom.

In New Zealand, each school is requested to prepare yearly strategic plans in line with its school charter which sets out the educational objectives for the school under the umbrella of the national curriculum framework. It should also complete an annual self-review document to be submitted to the Education Review Office. Furthermore, school personnel also have to complete a self-review questionnaire in preparation of the external review exercise, which takes place about once every three years (Ferguson, 1998).

In the United Kingdom, realities are slightly different. Schools are involved in the preparation of OFSTED audits by providing a

79

variety of documents and information and in the follow-up by preparing action plans for the implementation of audit recommendations. In many schools, this has led to a voluntary practice of systemic self-review based on the OFSTED official framework. In many instances, this self-reviewing is seen by schools as a means of influencing the external audits (Wilcox and Gray, 1996). The development by OFSTED of a detailed inspection manual has been interpreted as a sign of its willingness to be transparent, but can at the same time be construed as an attempt to enforce a particular evaluation framework and specific expectations upon schools. The more precise and detailed this framework, the greater the risk it will turn into a straitjacket.

External reviewing as a validation of self-evaluation

In this case, there is also a combination of an internal evaluation process and an external review, but the self-evaluation process has much more weight and autonomy than in the previous case. This reflects a much greater trust among policy-makers and administrators in the validity of the internal school assessment, which might or might not be done based on a precise framework and following standard assessment procedure. The external review process is light, and consists in the checking and validating of the self-assessment prepared by the school. The balance of power between the two monitoring tools has definitely shifted towards the internal evaluation.

Example

The state of Victoria in Australia provides a good example of this approach. As in New Zealand, accountability starts with the development of a charter by each school that has to prepare a self-review every year. The annual school report will be built up using,

80

in part, opinion surveys among teachers, parents and pupils. The Department of Education at state level provides all schools with questionnaires, which have to be used by each school. Once every three years a more complete school review is undertaken. It is only then that external evaluators will come in. Their role is simply to validate both the process and the outcomes of the internal evaluation process. The external review is conducted by one person spending only one day in the school, and "acting as a critical friend" (Gurr, 1999).

A somewhat similar approach is used in the Bahamas (Miller, 1999). Since 1995 the Ministry of Education has introduced a new system of accountability, which dispenses with school inspection, but relies on schools assessing themselves in terms of targets they set within the framework of overall goals set for the school system by the Ministry of Education. Allied to this new system is the grouping of schools into districts under the leadership of superintendents with overall responsibility for their district. The elements of this new system of accountability are as follows:

1. The Ministry of Education sets general targets for the school system in seven areas over a five-year period.
2. Each school develops goals and objectives annually in relationship to the overall targets for the school system and within the imperatives of the communities it serves.
3. Annual reports, which assess performance in relation to the goals, and objectives set for the particular year are submitted by the principals of schools in each district to the superintendent. The superintendent amalgamates these reports and submits an annual report for the district to the Director of Education.

81

4.   The Annual Confidential Report is being modified to include goals and objectives set by each teacher annually with respect to the goals and objectives of the school.

External supervision as a support to internal self-evaluation

In the two previous models, the main emphasis of the review processes is accountability rather than support. The case for review rests on the need for an external reality check. The school should be able to prove that it is using its resources well, and that it is respecting the overall policy objectives of the government. The main task of the external reviewers is not to give advice or to provide support in planning and self-reviewing at school level, but to exercise an accountability function.

A different model altogether is the one in which external supervisors support school-level actors in their internal quality monitoring efforts. The core belief here is that schools need to go through a self-evaluation process, if they want to improve in a consistent way. However, such an exercise is need-evident and encounters many constraints, even in well functioning schools. Conflicts might arise between teachers and with the head teacher, while the tools to be used or the indicators to be looked at might be missing. Schools therefore need to receive support from advisers or supervisors. External supervision is expected to become a support service rather than a control-oriented one.

Example

A good illustration of this approach is the case of Chile, mentioned earlier. What happens in this case is that supervisors work together with the teachers in preparing and implementing

82

school projects that serve as the basis for continuous self-assessment and school improvement. For this purpose, supervisors have to visit schools regularly (every two weeks) and provide continuous support as needed. Their intervention therefore is purely developmental. The administrative (mainly financial) accountability is left to a special cadre of specialized accountants called inspectors, while pedagogical accountability is monitored via national standardized examinations and tests (Navarro *et al.*, 2002).

Although school self-evaluation is still foreign to most Asian school systems, a number of countries in the region are likely to experiment with forms of school self-evaluation in the future – particularly in the context of education decentralization – and calls for greater school and local autonomy and accountability. Many school systems may begin to explore the concept of self-evaluation as an essential mechanism for monitoring and improving teaching and learning at the institutional level, with definite implications for their traditional inspection systems. Despite the growing popularity of school self-evaluation, the role of external inspections in accountability is unlikely to diminish very much. In most countries, school education is not a free market. It is a service provided and funded by the state, and therefore regulated by the state, which insists on the external monitoring of schools and standards of attainments (Macnab, 2004). Consequently, a balance has to be found among the ever-changing external demands from central government, from the community, and from parents and learners. Internal accountability arrangements have to respond to these pressures while embodying values and practices that will maintain the commitment and ensure the effectiveness of all those working within the organization.

2. External school inspections as a form of school evaluation in Malaysia[9]

Dato' Abdul Rahim bin Tahir,
Chief Inspector of Schools, Malaysia

2.1 Introduction

School Inspection in Malaysia is the primary concern of the Inspectorate of Schools. The Education Act 1996 stipulates the responsibility of the Chief Inspector to ensure that an adequate standard of teaching is developed and maintained in educational institutions.

Pursuant to this responsibility, the Inspectorate of Schools has to review the nature, purpose, structure, functions and operations of the school system and outcomes. This act of constant review and re-evaluation of the school system is very crucial indeed, because changes within and without the system inevitably affect, effect and infect the total functioning of the system, and consequently its product. Facts about the health status of the school system, and how the system functions, are needed to determine factors affecting the behaviour of the system. These factors eventually determine the trend of quality standards of education and its products – whether it is progressing (up-turn) as scheduled or regressing (down-turn) or remains stubbornly unchanged (static). This cybernetics function (learning from feedback) of the system enables stakeholders, school administrators and teachers to capture relevant information, knowledge and predictive intelligence to forecast the productivity

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9. *External school inspections as a form of school evaluations*, presented at the ANTRIEP International Seminar on School Evaluation for Quality Improvement, 4 July 2002, Kuala Lumpur**.**

and quality standards of the school system in terms of return on investment.

2.2   *Background to school inspection in Malaysia*

Inspection means to witness or verify the quality and standard of teaching, school system management and conditions of education resources befitting its potential, prospects and projection of returns.

The operation of higher quality standards of educational services and outcomes should correspond with the national aspirations of socio-economic development and progress. Consequently, the Inspectorate of Schools undertook the task of formulating a system of multi-tier standards in a continuum of twelve years of education, taking into consideration two conditions: (a) the unequal entry points of development of every school in the nation; and (b) the uneven rate of progress of various geo-economic and cultural configurations of the country wherein each unit of school system is situated. The continuum also subsumes the concept of development administration of the education system. This standard continuum represents seven stages of development. However, it does not represent a linear progression of achievement, but an imaginary targeted line of progression of quality development in every school, which may be accomplished rapidly. Hence, the quality standard is stylized as the Higher Standard (driven) Quality Education (HSQE).

The construction of HSQE was motivated and informed by General Systems Theory (GST), which views the school as a social system. As a system, it is structured by sub-systems, each with specific functions interacting and interfacing symbiotically to achieve the prescribed HSQE. A system is never static. As such, it

85

is like a human being: learning is an immanent act of every individual person. For the school as a system to accomplish its mission or purpose, it has to be engineered to take deliberate control of its own potential and capacity development to realize and actualize itself for higher stages of auto-dynamic equilibrium. Therefore, a school system evaluation that may assume various forms and intentions shall not be conditioned to a given ideology, but must be consonant to a system's construction that is a nature-purpose, function-operation of education as a system of self-realization and actualization. In other words, evaluation in Malaysia is in accordance with the principles of GST and a given theory of education and school administration.

2.3 HSQE documents

The Inspectorate of Schools anticipates problems and uncertainties of HSQE among head teachers, teachers, supporting staff, district and state education officers, and the public at large. To ensure a smooth and effective implementation of HSQE, the Inspectorate of Schools has published five documents for their use and reference. The five publications are: (a) *Higher standard quality education policy statement*; (b) *Higher standard quality education statement*; (c) *Instrument for self-assessment based on higher standard*; (d) *Quality education*; (e) *Instrument for inspection of higher standard quality education*; *Internal quality auditing*. In addition to the above publications, the Inspectorate of Schools has prepared a *Manual for installation of higher standard quality education* and is scheduled for publication.

Higher standard quality education policy statement

The premise underpinning the development of HSQE is to provide an opportunity for schools to reach their full potentiality

and capacity, in order to facilitate the development of the full potential and capacity of every pupil. It also points to the needs and demands that schools and pupils have to be motivated and equipped with the capacities and capabilities to contribute effectively to nation-building and the world around. The policy statement was created purposefully to explain the concept, goals and conduct of the installation and operation of HSQE.

Higher standard quality education statement

The standard statement prescribes eight imperatives with sixteen elements for efficient and effective management of the school system: It is important that head teacher, teachers and persons responsible for the management of the school system scrutinise, understand and internalize each of the sixteen elements before implementing them. See *Table 3.1* for the imperatives and elements.

Table 3.1   Imperatives and elements of higher standard quality education

Imperatives	Elements
Mission and vision	Formulation and review
Organizational system	Educational structure and function; and organizational management Management and usage of teaching-learning resources Human resource Rewards system for teachers, staff and pupils Strategic alliance with parents and community
Organizational climate	Health status, social and physical environment, and conflict resolutions

Table 3.1   (continued)

Imperatives	Elements
Strategic planning for education development, organizational and management development	Long-term and short-term strategic and tactical planning SWOTAC analysis (strengths, weaknesses, opportunities, threats, advantages and challenges) on educational programmes and organizational development Development of pupils' potentials and abilities Lesson plan according to pupils' potentials and abilities, experiencing curriculum, flexibility of timetables, integration of curriculum and co-curricular activities
Implementation, supervision and evaluation	Supervision and monitoring
Evaluation and improvement	Homework Summative and formative evaluation
Information and documentation system	Functional, retrievable
Model of school products	Development of pupil's potentials at the end of: 1. Pre-school 2. Level 1 of primary education 3. Level 2 of primary education 4. Lower secondary 5. Upper secondary

Instrument for self-assessment based on higher standard quality education

Self-assessment is a form of organizational sensing mechanism for a school to identify, limit and assess issues, problems and challenges that hinder its performance and accomplishments.

88

Schools need to reflect on their functions and actions before determining their position in the ranking system. The information derived from the self-assessment exercise will then be used by the school system to formulate its improvement and development plan.

The document explains in detail how a school system should carry out self-assessment in order to determine the take-off value of the school teachers, support staff, pupils, resources and processes in all dimensions which contribute to the total quality effect of the school system. From the score obtained the school system should be able to rank itself as in *Table 3.2*.

Table 3.2   School ranking

Rank	Achievement level	Percentage
7	Par-excellence	96-100
6	Excellent	90-95
5	Good	70-89
4	Average	50-69
3	Weak	30-49
2	Very weak	10-29
1	Extremely weak	0-9

Instrument for inspection of higher standard quality education

This instrument contains a list of critical actions to be carried out by the school system to achieve HSQE. It focuses on five dimensions of development: (a) development of vision and mission; (b) development of school as a system; (c) development of

89

education and schooling climate; (d) development of school programmes (strategic planning management, experiencing curriculum programme management, teaching and learning management and co-curricular management); and (e) development of school character and its product (curriculum achievement, co-curricular achievement and character building).

Internal quality auditing

This document introduces the school system to Internal Quality Auditing (IQA), its roles, functions and especially the rules and procedures to implement IQA.

2.4   School inspection

Prior to 1998, inspections by the Inspectorate of Schools focused on schools' compliance to policies, circulars and school plans. However, since 1998, the Inspectorate of Schools has re-engineered its focus according to the changes that have been made in the context of HSQE. The emphasis now is on educational development, organizational development and management development.

As stated earlier, the Education Act 1996 confers the Inspectorate of Schools the responsibility to ensure that an adequate standard of teaching is developed and maintained in educational institutions. It is therefore mandatory that School Inspectors inspect every school at an interval deemed appropriate by the Chief Inspector.

Since 2003, every school is inspected three times a year, based on the principles of take-off value, Operational Target Increment and Expected Targeted Result. School Inspectors employ the

90

Higher Standard Quality Education Instrument for Inspection (HSQE-II) in a school to detect its health status, system's operation and the quality standard of its product.

Evaluation 1. The first inspection evaluates school performance and outcomes at entry point (take-off value) as a baseline for measuring its developmental trend. Based on the results and outcomes, the school is advised to set its targets (Expected targeted result), to chart and design its developmental plan.

Evaluation 2. The second inspection (Operational target increment) evaluates the progress made by the school after its developmental plans are set in motion. The other purpose of evaluation is to generate, release and sustain the flow of energy, direction of actions and results of development plans. In cases where a school does not exhibit progress, the Inspectorate of Schools informs, advises and recommends the District Education Officers, to supervise, monitor and perform direct intervention on the operation.

Evaluation 3. The third inspection (Expected targeted result) analyzes the gap between the school's actual achievement and the target under HSQE. In fact, this third inspection is part and parcel of the school's self-assessment and Inspectorate of Schools system and product evaluation. At any point of the evaluation and verification process, should there be any deviation or skewed development in the ranking paradigm, the Inspectorate of Schools will readjust the position of the school in the ranking paradigm and realign its development plan. Accordingly, the Inspectorate of Schools will again inform, advise and recommend, and thus caution the District Education Officers, to supervise, monitor and perform direct intervention in the school.

Report to the Minister

Following every inspection, a full report, after being endorsed by the Chief Inspector is tabled to the Minister of Education. The report to the Minister is a confidential document and at the discretion of the Minister may be made available to the school concerned. Any mention or directive by the Minister shall be conveyed to the respective divisions in the ministry for immediate action. The Inspectorate of Schools will keep track on the actions taken by the divisions concerned to ensure that the corrective measures are duly accomplished.

Advice to school

Likewise, the school will be informed of its performance and the corrective measures needed to be taken following the advice of the School Inspector. The school is then required to submit a plan of action to the Inspectorate of Schools, the State Education Officer and to the District Education Officer. The State Education Officer and District Education Officer will conduct close circuit supervision (follow-up and follow-through) on the school, to ensure that its improvement and development plans are implemented and have secured the desired and intended results and outcomes.

School adherence to advice

Based on previous practice, it has been found that the School Inspector's recommendations were not taken seriously ("Cabinet report on implementations of education policies", November 1979), and as a result the same issues and problems kept recurring. This is due to oversight and negligence (and perhaps incompetence) on the part of those who responsible for the proper management of the school system to institutionalize the control system. Therefore, I

92

strongly believe that there is an urgent need to reactivate the control system and deliberately re-engineer the evaluation mechanisms system to ensure effective follow-up and follow-through by all parties concerned. Supervision in the light of the aforesaid control system is indeed in the pipeline, and should be duly sanctioned shortly. Parallel to that, the Inspectorate of Schools intends to exercise the power of authorization as stated in Section 122 of the Education Act 1996, as and when deemed appropriate.

2.5   *Ensuring System for Elevation of Higher Standard Quality Education (HSQE-ESE)*

The successful implementation of the Ensuring System for Elevation of Higher Standard Quality Education requires high commitment and support from all divisions in the Ministry of Education to motivate and activate education officers, head teachers and teachers towards developing the schools' and pupils' potential and capacity to the fullest as required by the National Philosophy of Education and Vision 2020. This system for elevation of HSQE is developed and based on GST. It is expected that every division in the Ministry of Education should function systemically, and that school administration and education enterprise will be geared towards self-realization and actualization.

93

3.   School-based evaluation: a theoretical approach

Eligio B. Barsaga, Innotech, The Philippines

3.1   Evaluation and school-based evaluation

According to Webster's *New world dictionary* (1995), to evaluate means "to determine the worth of; to appraise". Evaluation is the determination of the worth of a thing. It includes obtaining information for use in judging the worth of a programme, product, procedure or objective, or the potential use of alternative approaches designed to obtain specific objectives. It is the collection and use of information to make decisions about the programme, product, process or system; in every evaluation between measuring and judging, between a quantitative and a qualitative approach.

In a similar vein, evaluation is defined as the systematic process of collecting and analysing data in order to determine whether, and to what degree, objectives have been, or are being achieved. To evaluate is to determine the value of something. Moreover, that something has value if it is necessary, desirable, useful or important. It is also of value if it can serve a purpose or cause an effect.

Evaluation highlights two major points, namely: collection and analysis of information, and use of such information for decision-making. School-based evaluation (SBE) is a means of providing relevant information for decision-making in the school. Its objectives are: (a) to assess the quality of what the school offers; (b) to identify problems by collecting and analyzing information; and (c) to develop proposals for change or innovation.

SBE also serves to monitor the implementation of strategies of change and review their success. It is a process of educational change. It is initiated and conducted primarily by personnel within

94

the school and its ultimate aim is to improve the quality of educational experiences offered to individual students.

SBE's foci differ from school to school. It can focus on assessment of all curricular offerings of the school or on a single instructional programme, on a group of related curricular programmes, on the school context and philosophy, or on the school-community linkage.

3.2   Rationale for SBE

There are several reasons why SBE should be conducted. They are as follows:

1.   First, research has found that effective schools frequently monitor and evaluate their programmes and services. This school practice enables staff to determine their needs, strengths and weaknesses, resources and constraints, as well as challenges and opportunities. With this objective knowledge on hand, the school staff can systematize their efforts at improving school programmes and services.

2.   Second, SBE provides feedback that the school and its staff can use as information inputs in undertaking planned change and innovation. This change and innovation can be in the form of new instructional systems, procedures, techniques and learning delivery modes. It can also be in the form of new learning materials, enriched curricular programmes, improved programmes for assisting at-risk students (e.g. potential leavers, low achievers, low motivated students, etc.). It can also be new ways of approaching parental and community participation in improving student academic and non-academic performance.

3. Third, SBE is a school empowerment strategy. SBE clothes the school with authority to ensure that its curricular and co-curricular programmes, instructional systems, methods and materials, and school organization and management are working in unison to achieve the school's educational and related goals and objectives. SBE makes the school accountable for results it produces to its different publics or stakeholders.

4. Fourth, SBE reduces the uncertainty about educational practices when experience is limited. Information generated from SBE provides guidance on how the school should go about carrying out school-related activities. Current school practices can be submitted to closer scrutiny by including them as foci of SBE. Decisions on whether such practices should be amended or recast can thus be made more objectively.

5. Lastly, SBE is an integral part of school improvement efforts. SBE results provide valid and reliable information inputs for discussing ways by which educational contents and processes can be improved. It is a methodology used for justifying or not justifying the continuation, expansion, institutionalization or termination of existing school programmes and services.

3.3 Advantages of SBE over other approaches to evaluation

1. *SBE is less threatening.* This is because the school staff themselves undertake the entire evaluation process. They decide on the objectives and foci of the evaluation, the design and methodology, the evaluation instruments to be used, the plan for analysis, etc.

2. *SBE encourages valid and reliable assessment.* The teachers themselves are the proponents of the evaluation, the data

96

collectors and analyzers and ultimate end-users of the evaluation results. It is they who will implement whatever decision is made based on the results. Thus, the pressure on the teachers to ensure valid and reliable results is quite strong.

3. *SBE develops the competence of teachers in evaluation.* SBE does not require the use of overly sophisticated methodologies and analysis techniques, whether quantitative or qualitative. It requires no more than valid and practical answers to questions or problems encountered by teachers. It does not have to deal with the issue of generalizability of results since it does not seek to apply results to other schools. Although external experts may be called in as resource persons or consultants, this does not stand in the way of teachers making decisions by themselves. This minimal dependence on external experts encourages the school to develop its own pool of evaluation specialists. It also encourages the transfer of skills and technologies from the external consultants or resource persons to the teachers.

4. *SBE is initiated, planned and carried out by teachers of the school under the leadership of the school head.* An empowered school whose activities are choreographed by the school head conducts it. The school head and his/her staff act as problem-solvers and decision-makers. They exercise initiative, resourcefulness, creativity and innovativeness. In certain cases, parents, community leaders and other school staff, district or division offices provide assistance in successfully carrying out the SBE programme.

5. *SBE focuses on what the school staff agree are important goals of the school.* SBE is well aligned with school goals and priorities since nobody knows these goals and priorities better than those who are tasked to plan and implement them.

3.4   Approaches to school-based evaluation

In certain educational systems, there is a general concern that schools should be more involved and responsible for the evaluation of their activities and services. They have employed SBE as an essential strategy for school improvement, which is deemed much better than the practice of school inspection. SBE is used as a school improvement and accountability procedure.

In other educational systems, SBE is a co-operative activity among the staff of the school, the principal and the inspector aimed at both school improvement and accountability. Still in others, SBE is a co-operative activity between the schools and school boards. It is aimed at assisting whether the aims, objectives and practices of schools reflect the needs of students and the community, and whether requirements of the Department/Ministry of Education are being met by schools. SBE then enables schools to undertake continuous improvements on the quality and relevance of their programmes and services to the community.

In some school systems, SBE has been practised as an integral part of effective school-based management aimed at building schools that are more effective. The SBE approach, for instance, can start with a meeting of school heads and teachers in a school district. In the meeting, performance reports of the schools in the district are discussed and analyzed; persistent problems are defined and each school prioritizes and decides on the particular problems it wants to address. Thus, different schools have different problem aspects to be evaluated. Each school conducts an in-depth evaluation of the aspect(s) it has selected, and assumes responsibility for the entire conduct of the evaluation, including utilization of results in designing, planning and implementing its school improvement

programme. SBE then responds to the school's needs rather than those of an external agency.

3.5   Conclusion

SBE as a school improvement and accountability strategy can yield optimum results when the following factors are present. The school and its staff, teachers, school head, and other staff are committed to SBE. It is through commitment that a sense of common purpose is developed. The school staff must possess appropriate evaluation skills – basic skills in planning, instrumentation and data collection, analysis and interpretation.

The overall morale of the staff should be high; this will facilitate the introduction of SBE as an approach to school improvement.

Lastly, school staff should be actively involved in problem-solving and decision-making. Involvement should not only be limited to implementing or carrying out the evaluation plan. It should start from the identification of the problems, which should offer focus for the planning and implementation of the whole evaluation activity, and should lead to the crafting and carrying out of change or innovation for improved school performance.

4. Examinations and test systems at school level in India: their impact on institutional quality improvement

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4.1 Rethinking assessment

In the global economy, assessment of student achievement is changing mainly because, in an ever-changing knowledge based society, students would not only be required to learn and understand the basics but also to think critically to analyze, and to make inferences for making decisions. Educators, policy-makers and parents are beginning to recognize that minimum standards and basics are no longer sufficient and are calling for a closer match between the skills students learn in schools and the skills they will need upon leaving school. Besides, in today's information age, they also need to acquire and constantly upgrade skills that match the requirements of the workplace. In this context, the process of schooling, as it exists now, has to change to keep in pace with the skill requirements of a growing economy like India. This implies that helping students acquire the required skills and knowledge would require changes in public examination systems and assessment techniques at the school and classroom levels. We therefore need to redefine the role of student assessment in improving the quality of education, and in facilitating the implementation of school improvement initiatives. This brings us to the highly debatable and controversial issue of defining the concept of 'quality schooling'.

What is quality education? It is difficult to provide an answer to this question that is acceptable to all, or even to most of us. It is

100

easy to accept that 'quality education' is a relative and dynamic concept. There are likely to be as many answers to the question as there are respondents. Generally, though, 'quality education' has to do with what students learn in the school, i.e. acquiring usable knowledge and skills. Yet it is undeniable that most of us would be hard pressed to come up with a precise definition of quality education that would apply anywhere. This makes it imperative that we at least try to contextualize the concept.

Even without being able to define it, we can usually recognize quality education in our own context. Broadly, we can make an attempt to understand the concept of 'quality education' by recognizing it as: (a) more of a process than a product; (b) more of an orientation than an objective; (c) that which is recognized rather than finitely defined; (d) more about outputs than inputs; and (e) that which is related to equity, efficiency and effectiveness. To assess the effectiveness of schooling in any country we need to gather information on the above aspects of quality. Experience suggests that the prevailing student assessment and institutional evaluation practices are critical means to gather information on various aspects of quality education in any country. In this context, this article attempts to discuss the prevailing external and internal student assessment practices, with a focus on school-based evaluation, in India and their implications for institutional quality improvement.

The article has six sections, including the introductory section. Policy perspectives on internal and external evaluation at school level in India are reported in the second section. The existing public examination and school-based evaluation systems in India are briefly discussed in the third and fourth sections. An attempt is made in the fifth section to examine the management structures for conducting public examinations in India. In the concluding section,

101

possible areas for reform, not only to improve the effectiveness of pupil assessment systems, but also the relationship between the test systems and the quality improvement of schools in India are suggested.

4.2   *Policy perspectives*

The concept of school-based evaluation in India has evolved through the last five decades. The Radhakrishnan Commission first mooted the idea of Continuous and Comprehensive Evaluation (CCE) in 1948. The commission suggested that one-third of the marks be kept for internal assessment. In 1952, the Secondary Education Commission, also known as Mudaliar Commission, categorically recommended internal assessment and use of the school records maintained by the teachers for final assessment of pupils. It even went a step further to emphasize that if properly done, a school certificate[10] may be a better substitute for the certificate given based on the external examinations. This was the period when the idea of providing supplementary information about the student's performance in schools surfaced. Accordingly, the Commission advocated one single certificate with two parts: one giving the details of the pupil's performance in school; and the other, indicating the level of performance in the public examinations. The basic idea was to test (besides scholastic achievements) the non-scholastic aspects of personality through school-based evaluation.

As a follow-up to the recommendations of the Secondary Education Commission, the Government of India established the All India Council for Secondary Education in 1955 for developing approaches and operational strategies for conducting public as well

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10.   Based on internal evaluation and analysis of student records maintained by the school.

102

as internal examinations in the country. In 1956, the All India Council for Secondary Education organized a seminar on examination reforms in Bhopal, Madhya Pradesh, which strongly recommended school-based evaluation. Specifically, it recommended that, "as an initial measure, 20 per cent of the total marks, in each subject, should be allocated to the assessment of the candidate's performance as given in his/her school records."[11] This seminar was a landmark in the history of examination reform in India. Subsequently, the recommendation of the seminar was implemented by a number of states, but was not found effective as internal assessment scores of the candidates were disproportionate to the scores obtained in the external examination. It was later on withdrawn by the states/boards.

In 1966, the Committee on Education and National Development (i.e. the Kothari Commission) again recommended internal/school-based evaluation. It specifically suggested that school-based evaluation should be comprehensive and continuous, covering personality traits, interests and attitudes, etc., and that it should be part of the teaching-learning process. Tools and techniques of such school-based evaluation need not be the same as those of the external examination and the internal assessment should be more diagnostic in nature than for certification, more formative than summative.

In 1971, the Central Advisory Board on Education (CABE) Committee on Examination Reform, while recognizing the importance of the external assessment also advocated for internal assessment and felt the need for a separate certificate of internal assessment. In 1986, the National Policy on Education (NPE)

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11.   B. P Khandelwal, *et al. School based evaluation in India,* p. 9, 1997.

103

strongly called for the school-based evaluation to be built into the total teaching-learning process. It stated that, "Continuous and Comprehensive Evaluation (CCE) that incorporates both scholastic and non-scholastic aspects of education need to be spread over the total span of instructional time".[12] This statement in the National Education Policy document later on became the basis for developing the concept of the CCE.

The CCE, as a concept, has been interpreted differently in different contexts. In the Indian context, the CCE is to provide valid and reliable measures of pupil growth and it should act as a powerful instrument for improving teaching-learning process. In that sense, the CCE, if effectively implemented, should necessarily lead to school improvement. As has been mentioned earlier, the continuous[13] and comprehensive[14] evaluation[15] or school-based assessment should test the total growth of the pupil in the non-

12. *National policy on education, 1986* and *Programme of action 1992.*
13. It implies pupil evaluation spread over the entire span of the educational endeavour.
14. It implies that, besides scholastic aspects, pupil evaluation needs to cover the non-scholastic aspects of personality, which include interests, attitudes, personal and social qualities, proficiency in co-curricular activities, health of the pupil, etc. In technical terms, it means that not only the cognitive but also the affective and psycho-motor domains of pupil growth should be covered in the evaluation.
15. It is different from the term 'measurement', which is basically quantitative in nature. It is qualitative as well as quantitative; takes into account relative assessment and progress over the given span of time; serves as the basis for moving towards value judgement; aims at improving the level of achievement and proficiency through diagnosis and remediation; and uses unconventional tools such as rating scales, checklists, inventories, observation schedules, etc., besides tests.

104

scholastic[16] areas, and therefore be in-built into the teaching-learning process. This characteristic of the CCE makes it distinct from the external/public examination. The CCE has direct implications for improving the quality of the school as a unit.

4.3   Public examination system

The formal school system in India (i.e. up to the senior secondary level) has twelve grades. It consists of eight years of elementary education, two years of secondary schooling and two years of senior secondary education. In other words, in principle, India has a 5–3–2–2 school education system. However, in practice, the structure of the school education varies between different provinces, but all provinces have twelve years of school education. Accordingly, different provincial governments follow different models of public examination.

As one moves from the bottom of the educational ladder, one finds that the relative emphasis on internal evaluation or school-based examination for pupil evaluation is more at the primary, and the elementary level of school education. At the secondary and senior secondary levels, public examinations are given primary importance in assessing pupils' achievements. This does not mean that public examinations do not have a role at the elementary level of education. At the primary and upper primary levels of education, public examinations are usually held at the end of the educational cycle for transition from one level to the other. Internal examinations are held for deciding eligibility for promotion from one grade to the

16.   In India, work experience, arts, and health and physical education are generally categorized as non-scholastic areas. The National Curriculum Framework (NCF) has emphasized that these areas are essential for all round development of the child's personality. Being non-examination subjects, these areas are not taken seriously by the teachers and students.

105

other. Thus, at elementary school level, public examinations are conducted at the end of the primary and upper primary cycles of education, i.e. at the completion of grades IV/V and VII/VIII depending on the structure of elementary education in various states/provinces. Mid-term and terminal (i.e. at the end of the educational cycle at particular level of education) are conducted at the secondary and senior secondary levels.

Public examinations are one-shot affairs and mainly focus on testing the scholastic achievements of the pupil, and thus only cover the cognitive domain. Such examinations/tests are highly structured and institutionalized. The curricular areas covered by assessing scholastic aspects in external examinations are knowledge, understanding, application of knowledge, skills, etc. Accordingly, to prepare pupils for public examinations, the teaching-learning activities in schools are largely objective and content based. Whether such a process of teaching and learning maintains stereotyping is an issue still open to debate in India. It has direct implications for the growth of teachers and students and ultimately on the quality of the school as a unit. In other words, the nature of public examinations largely influences the teaching-learning process at the school level, thereby leaving little scope for innovation and creativity on the part of the teacher. Such external examinations, in practice, do not lead to school improvement, and in turn, make schools ineffective. The outcome of such an examination system in the country, particularly at the secondary school level, has led to a mushrooming of private tutorial shops, mainly in the urban areas.

The techniques followed in public examinations for evaluating scholastic aspects are written, oral and practical tests. Public examination is considered as one of the best methods to test scholastic achievements of a child. However, in public examinations,

there is an overemphasis on written tests, which usually compels the pupils to go for short memorizations. It also leads to poor content, subjectivity and lack of local contextuality. Eventually, the curriculum, which forms the basis for public examinations, becomes a sequence of development of mastery of content and not its applications. Oral tests, on the other hand, have become the replica of the written tests, having little scope to test the abilities of a pupil that cannot be assessed in written tests. Similarly, practical examinations have only focused on product performance rather than the process performance.

Even with its limitations, public examination/external evaluation is considered very effective in assessing the scholastic achievements of a pupil. The public examination scores in different subject areas are accepted as the most reliable indicators for channelling the pass-outs of secondary/senior secondary schools to various streams of higher education, and even to occupations in the labour market. In India, examination results are taken to be the predictors of future success. The reality is that, in most cases, the quality of a school[17] is determined based on the percentage of annual turnover of school graduates.

Many critical questions requiring further empirical investigation remain: Do the existing evaluation systems in India exert any impact on school improvement? Has it led to any sort of school-wide reform and/or motivated the individual schools to go for regular self-assessment? Do public examinations facilitate innovations and experimentations at the institutional level? Are such examinations reproducing educational inequality, both between institutions and within the school? Has it made the school, in any form, effective from the point of view of the larger society? Answers to questions

17. Quality as perceived by the parents and the larger community.

107

like these need to be provided to generalize anything about the relationship between the external/public examinations and school improvement.

4.4   School-based evaluation

Besides the NPE (1986), the National Curriculum Framework(NCF) 1988 also considered the limitations of the existing evaluation system, which relies mostly on one-shot, end-of-the-year impact evaluation. Such annual examinations measure skills attainment of the pupils, which again are confined to the scholastic areas. These examinations do not evaluate the affective domain of the child. To overcome this problem, the NCF recommended that evaluation should be treated as an integral part of the classroom teaching-learning process. Moreover, evaluation, conducted periodically, should provide the type of feedback on student achievement that enables teachers to improve their methodology of teaching. The NCF, therefore, recommended for interactive teaching[18] in schools.

As has been emphasized earlier, currently, school-based evaluation in India is a supplement to the external examination with the potential to become the substitute in future. It covers both scholastic and non-scholastic areas. Besides scholastic achievements, the non-scholastic areas covered in CCE include personality and social qualities, interests, attitudes, physical health, literacy and scientific activities, and other co-curricular activities. Observation by the teacher serves as the main technique for evaluation of the non-scholastic aspects. Tools for evaluation of

18.   An interactive teaching methodology involves continuous dialogue between the teacher and pupils (i.e. discussions, investigation, problem-solving, etc.). It could therefore provide an educational environment more conducive to developing certain abstract cognitive skills.

108

these traits/aspects are rating scales, inventories, checklists, periodic tests, observation of classroom behaviour, etc.

The scheme of CCE up to grade VIII is usually developed by the provincial/state governments and suggested to the individual schools. Therefore, one comes across varying models of the CCE in different provinces/states. The CCE may or may not rely on formal testing of students' achievement. An experienced teacher while teaching carries out the informal evaluation. A more formal evaluation is done in the form of unit tests and periodic tests. The CCE motivates the students to remain alert throughout the academic year and also helps teachers in teaching more effectively.

CCE involves the issue of a separate certificate by the school at the secondary and senior secondary levels. The certificate provides information on the assessment of those aspects of personality development of the pupil, which cannot be evaluated through external examination. The state and the national level School Education Boards usually give the format for certification. In some cases, in the certificates of the boards issued based on public examinations, a footnote is given that reads: "there is also another certificate being issued by the school as a supplement to this certificate. It covers those aspects of personality, which are not possible to cover through the external examination, but are important for success in life. This school certificate may also therefore be studied along with this one to judge the total personality of the student."[19] This elevates the status and the credibility of the

19. Accordingly, the National Council of Educational Research and Training (NCERT), the Central Board of Secondary Education (CBSE), the State Councils of Educational Research and Training (SCERT) and the State Boards of Secondary Education have initiated a number of projects to improve the classroom transactions in both scholastic and non-scholastic subject areas.

109

school. In other words, to gain public credibility, the certificate issued by the school based on CCE, serves as an effective instrument.

Theoretically, CCE is considered desirable and effective to evaluate the overall development of a child. But, in practice, it suffers from a number of limitations. One of the major limitations of CCE is that its implementation is limited to schools located in urban areas, and even a large number of rural schools do not have any idea about the existence of CCE. Wherever CCE has been implemented, it has been found that there exist huge deviations between internal and external assessment scores. In other words, the internal examination scores are disproportionately higher compared to those of the external examination scores of the child. It may be noted that the great strength of CCE is its flexibility, which makes it applicable to all schools under all types of management, and having different levels of infrastructure and teaching-learning facilities. It has been found that schools implementing this scheme have become relatively more disciplined.

In India, most of the teachers are provided with a syllabus, and no guidelines to transact the syllabus in a meaningful manner. Many teachers do not have the requisite capacity to divide the curriculum into units for internal assessment and they also lack the skills to carry out the school-based evaluation. Tools for internal assessment are not available in most of the schools. Schools do not have regular support services to formulate their own plan for CCE. There is no monitoring mechanism to ensure that CCE is being implemented effectively. CCE involves subjectivity in assessment of pupils, which leads to lack of confidence in parents and other users of the results of the internal assessment. There is lack of inter-school, inter-teacher and inter-subject comparability of the

110

scores awarded through CCE. Moreover, teachers are hardly involved in developing the scheme of CCE. In brief, CCE is yet to become a mass movement in the school sector in India, where each school adopts it and each teacher practices it. There is a general agreement in the country that CCE, if properly implemented, would definitely lead not only to school improvement, but also to the improvement in the quality of the work force produced by the school sector. However, countrywide effective implementation of CCE is yet to take off.

4.5   Management of examinations

India is a huge country having one of the largest school education sectors in the world. It is difficult to manage the evaluation activities of such a huge system. Therefore, for effective management of examinations, several authorities have been established, by both the state and national governments. Public examinations are mostly centrally co-ordinated at the state and national level School Education Boards. The administration of public examinations in India has been largely decentralized.

At the primary level, internal assessment serves the basis for certification and, at the upper primary level, both the CCE and the public examination at the end of the cycle form the basis for certification. At secondary and senior secondary levels, certification authorities have been established. Several Boards for School Education have been created in the states and at the national level. It may be mentioned here that, the first board for managing examinations at the school level in Northern India was created in 1921. Seven years after, in 1928, the second Board for School Education was established in Ajmer, Rajasthan. Currently, there are 36 boards for school education in the country including three

111

national level Boards: the Central Board of Secondary Education (CBSE), the Council for Indian School Examination, and the National Open School, which was earlier part of the CBSE. These boards manage the evaluation and other related activities for around 22 per cent of the population in the age group 14–16. The individual schools manage the CCE, though the boards provide tools and often guidelines.

The main functions of the Boards for School Education include: (a) development of curriculum with the support of teachers; (b) development of supporting materials; (c) orientation of teachers; (d) publication of textbooks; (e) inspections and panel inspections; (f) institutional evaluation for affiliation; (g) evaluation for certification and conduct of examinations; and (h) research and studies. Evaluation of students' achievements by the boards is done based on the National Curriculum Framework. However, the state/ provincial governments in a participatory mode decide the curriculum. Since 1921, the boards have been conducting examinations in time and have provided valuable inputs for examination reform in the country.

4.6   Reform prospects

The NPE 1986, envisages the senior secondary level as terminal of the school education. At this stage, the products of the school education sector are bifurcated into two groups: (a) those opting for vocational and technical education; and (b) those going for general higher education. Therefore, the output of the school sector determines the quality of the available manpower in the economy. This brings us to the issue of effective schooling. What are the factors that influence the quality of a school graduate? Studies have shown that three types of factors affect school quality

and, in turn, quality of the graduates. These are (a) input factors (namely socio-economic status of households and the physical infrastructures, availability of teaching-learning materials, curriculum, academic and professional qualifications and training status of teachers, class size in the school, etc.); (b) process factors (namely methods of teaching and learning, supervision and support services, prevailing techniques of student assessment, innovations and experimentations by the teachers, nature and frequency of teacher upgrading, etc.); and (c) a set of exogenous factors beyond the control of the education sector (namely population growth, the growth rate of the economy, the rate of job generation in the labour market, credential inflation, the pace of change of skill requirements of various occupations, globalization and resulting increase in competitiveness, poverty and social exclusion, resource constraints, etc.).

Thus, evaluation, external as well as internal, is just small part of the whole story of school improvement in India. Often, exogenous factors make an effective school irrelevant. For example, in the absence of countrywide effective school-based evaluation, public examinations have become stereotyped and do not keep pace with the changing requirements of the economy and the society. We have over-produced the educated work force, particularly secondary school graduates. It has reached such a level that the market premium of a high school graduate is almost the same as that of an illiterate. The problem of educated unemployment in India has pushed down the effectiveness of secondary schools. The parents and the community focus on examination results, and opportunities in the labour market usually determine the institutional effectiveness. Is it really effective schooling? We therefore need to contextualize the concept of quality improvement of schools.

113

Evaluation as such is a dynamic concept that keeps on changing. However, it is the nature and the pace of change that determines the effectiveness of an evaluation system. In the Indian context, the public examination system has more or less remained static and the school-based evaluation system has not taken off properly. Therefore, while looking ahead, one finds enormous scope for reforming public examination systems and school-based evaluation practices. Besides evolving appropriate strategies for implementation, the need of the hour is to look beyond the school education sector, and accordingly bring about changes in the curriculum, teaching and learning processes and evaluation systems. We have to go for radical reforms in public examinations and school-based testing. In brief, a move from an academically oriented school education towards a more functional life-oriented approach in contents, methodology and operational strategies is very much desired.

Some of the critical issues that need to be addressed in the process of examination reform and implementation of school improvement initiatives are as follows:

1. We need to bring about changes in the existing student evaluation practices to assess the total personality development of the child.
2. There is a need to control subjectivity (wherever it exists) in the existing student evaluation practices, and bring in greater objectivity and comprehensiveness.
3. Government and School Education Boards need to take appropriate steps to protect and improve public credibility of student evaluation practices in the country.

4. There is a need to ensure co-ordination between various boards and also to ensure uniformity of evaluation at different levels of school education.

5. We need to introduce and experiment with research-based innovative methods of student and institutional evaluation.

6. Effective steps should be taken for countrywide implementation of CCE.

7. We need to recognize accountability on the part of the schools as an important factor determining the effectiveness of student assessment practices.

8. At the same time, an appropriate level of autonomy should be given to the schools. Schools should be empowered to speak for themselves.

At present, the focal concern of policy-makers, academicians and evaluation experts is to make the content and process of evaluation as an instrument for quality improvement. We also need to understand that accountability tends to be the purpose for assessment of student achievements and school performance, usually preferred by politicians and policy-makers. Educators always tend to prefer empowerment, staff development and school improvement as major factors influencing evaluation practices in the country. After all, school assessment is premised on the recognition that how a school performs is a matter of value judgement and perspective. The immediate need, however, is to equip schools with the necessary tools and capacity and provide a reasonable degree of autonomy to enable them to carry out schooling and evaluation activities effectively. Schools in India should be empowered to contextualize their performance and tell their own story and stories of their pupils with conviction and self-confidence.

5. Teacher performance management as a method of school evaluation in Sri Lanka

Wilfred J. Perera, CPDEM, NIE, Sri Lanka

5.1 Background

In order to re-vitalize public administration, the Sri Lankan Government decided to introduce performance and aptitude appraisal for public servants from January 1997. Initially, the scheme was confined to staff officers whose appraisers would be senior members of the public service.

The objectives sought by the government with the introduction of this scheme were: (a) to make activities of government more efficient; and (b) to enable members of the public to obtain expeditious and friendly service from government institutes.

All institutes were required to establish mission statements and ensure employee participation to review current practices through quality circles. Existing work methods were to be revised in order to eradicate activities that did not serve the corporate purpose. A process of continuous improvement was to be established.

5.2 Recommendations of the General Education Reforms of 1997

The 1997 Presidential Task Force on General Education in Sri Lanka report on General Education Reforms (Section 18) states that the success of the entire reform programme depends, ultimately, on how the teacher performs in the classroom and interacts with the pupils. The best-laid plans will fail if the fullest co-operation of the teachers is not obtained. Much time, effort and expense will be

116

incurred by the education system in order to build up the quality and efficiency of the teaching community. However, in order to acquire desired results, a well-planned monitoring programme is essential.

The Presidential Task Force decided on the following steps:

1. Introduction of a Teacher Performance Appraisal (TPA) in all schools.
2. Under this system, each teacher will enter into a contract with the Principal/Sectional Head in respect of an agreed range of activities to be carried out by the teacher during the school calendar year. The teacher is named the 'appraisee' and the person with whom he or she engages in the contract is called the 'appraiser'.
3. At the end of the year the appraiser will review to what extent the contract has been met.
4. TPA will be used as a basis for decisions regarding increments, transfers, promotions, selection for training programmes and workshops, and for the award of scholarships.
5. Within the education sector, the introduction of performance appraisal of teachers and principals in Sri Lanka focuses on school evaluation and improvement rather than appraising an individual. The scheme is to help the school to improve itself – its management and teaching – through pervasive evaluation.

5.3   *Performance appraisal of teachers*

Performance appraisal is an important initiative to assist in achieving quality education in schools through improving educational leadership and management. Many schools in Sri Lanka design School Development Plans (SDP), which focus on outcomes.

117

The suggested TPA, while offering regular feedback about performance and career development in relation to agreed targets and outcomes, would also serve as a primary source in developing SDP.

TPA is based on the process model and would enhance total school evaluation. Teachers will become active participants of the school development plan. The first step in the design of a school development plan is a situational analysis. A careful examination would show that the performance appraisal scheme provides the basis for such an analysis. The following are key benefits:

1. This scheme is an important element in developing a professional and collaborative relationship between principals and school middle management, and between middle management and classroom teachers.
2. It is an important management tool. Its implementation is central to the teacher's individual and professional development, school-focused management and to the achievement of the corporate objectives of the Sri Lankan education system.
3. This scheme will assist in achieving an organizational culture where regular feedback and communication about performance becomes an integral part of the way in which work is done. The process is designed to maximize organizational performance through aligning individual and team performance with the wider objectives that the school sets for itself.
4. Staff at all levels view this as an opportunity to recognize and reward good performance, and to provide support and encouragement, for staff to undertake learning and development opportunities. The scheme provides the prospect for teachers to collaborate in the school Vision and Mission

118

Building. Commitment of all staff taking part in the development of the school plan is guaranteed through the performance appraisal scheme.

The aim of the performance appraisal is to improve the management of individual performance and thereby increase efficiency and productivity in the teaching service. This means that in particular, performance appraisal will:

1. Link teaching responsibilities of individual teachers to the plans and goals of the school.
2. Establish agreed targets and outcomes as a basis of the evaluation of each teacher's performance thereby helping the school to achieve its targets.
3. Provide ongoing feedback to assist in improving teacher performance by implementing staff development programmes.
4. Identify the needs of teachers for professional development and assist in establishing career plans of individual teachers as well as provide opportunity for total staff development.
5. Provide a basis for the school self-evaluation which emerges as a natural outcome.
6. Enhance public confidence in the individual school in public education system, through ensuring high levels of competence, efficiency and performance in the teaching service.

5.4   The appraisal cycle and how it works

The appraisal cycle is the period between the establishment of a performance appraisal plan and the final formal appraisal discussion. This cycle is the cornerstone of performance appraisal as it provides an agreed timeframe during which the teacher's performance can be appraised. In most cases, the timing of the

119

cycle will be linked to the developmental cycle of the school where the cycle will be one year in length. The operational stages in TPA are given below (see also *Figure 3.1*).

All teachers are designated appraisers and moderators. In designating appraisees and moderators, authority (position power), ability (professional power) and acceptance (personal power) are considered. Span of control is also considered when allocating appraisers. One appraiser may have eight to ten appraisees. Therefore, in a school with fewer than ten staff, the principal will be the appraiser for all. In a school with around forty staff, there may be five appraisers, and the principal will act as moderator. When the above five become appraisees, the principal will be their appraiser and the divisional officer, the moderator. In a large school the moderator may be another middle manager, in a middle-size school the principal, or the divisional officer. In general, the moderator will be identified from the next level in the organization above the appraiser. Moderation is a quality-control process to ensure equity and fairness in the process. The moderator is usually involved during the planning stage or during final review.

Stage 1

Here, the appraisee and appraiser sit together on an agreed date before the end of the school year, and will fill columns 1, 2 and 3 of the appraisal form. The appraiser is more to be a 'mirror' and the 'coaching technique' is used by him/her. They first negotiate on consented goals, targets and tasks with the appraiser and record them in Column 1 on the performance appraisal plan. Resource support, or training required, is also negotiated and written in Column 2. To do this the appraiser must have a fair degree of knowledge about the school's resources. He must be an integral

120

part of the School Management Team. In case of doubt, the appraiser should be able to consult the principal. If the school has a 'team management culture', the process is easier. However, the scheme will help schools to develop such a culture. Indicators to measure the goals, targets and tasks that have been agreed upon are written in Column 3.

Stage 2

Stage 2 is the review of progress made by mid-year. This may involve re-negotiation of some goals, targets and tasks in the light of the realities of the first half-year's work. Schools may have two reviews in between, as there are three terms. First review is at the end of the first term, followed by another at the end of the second.

Stage 3

Stage 3 is the annual review of achievements and evaluation of results at the end of third term, or in other words at the end of the year. At this time the appraisee will write the achievement listed and the appraiser will write his/her comments. The appraiser will then evaluate the performance of the teacher on a four-point scale.

Stage 4

Stage 4 is the time of decision and development when goals are negotiated for the following year in the context of school and individual needs.

In negotiating the goals, targets and tasks for inclusion in a teacher's performance appraisal plan, many purposes may be served. Priority may be established for government initiatives,

121

national goals, provincial/zonal plans, school needs, the teacher's professional development requirements, as well as the teacher's career aspirations. In fact, all of these could be included within the annual plan.
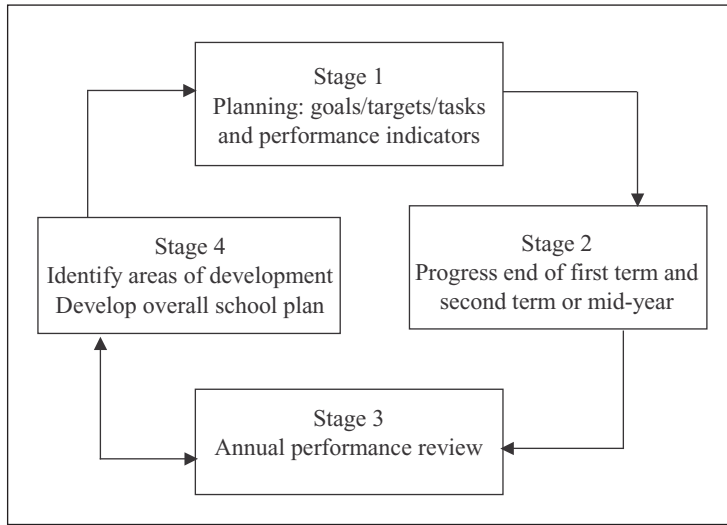
Figure 3.1   TPA cycle

122

Figure 3.2 Performance appraisal plan

Stage 1:	*Performance Appraisal Plan* Prepare goals/targets/tasks Indicate resources, support, training needed Signed by appraisee and appraiser when agreed
Stage 2:	*Mid-year or end of term progress reviews* Achievements so far, discussed by appraisee and appraiser Modifications with the agreement appraiser Facilitated by moderator only if disagreements of conflicts occur
Stage 3:	*Annual performance review* Achievement listed by appraisee Comments made by appraiser Moderator consented
Stage 4:	*School progress review (developmental)* Staff meetings SMT meetings Areas for development identified into school plan for next year.

The appraisal plan (see *Figure 3.2*) is a device to integrate the individual teacher's own work plans with that of the school and the wider system. The individual's achievement then becomes aligned with the school development plan and the corporate goals of the system.

1. The performance appraisal scheme incorporates professional developmental elements as well as accountability elements. (Its objectives are listed below.)
2. The indicators allow to measure achievement or performance both quantitatively and qualitatively.

123

3.   The scheme links into wider school supervision issues with school planning and school development in focus.
4.   Performance appraisal is done by line supervisors, in this case the school middle managers.
5.   The moderator will ensure equity and fairness.
6.   Information provided by the scheme will also identify school needs.
7.   The performance appraisal links itself with the training and development of staff, and the provision of sufficient resources and support to achieve the goals, targets and tasks agreed upon.
8.   Each individual's performance appraisal links itself to the objectives set out in the school's annual development plan.
9.   The performance appraisal scheme starts with clear and unambiguous target statements. The performance appraisal process will require role clarification through promulgation of clear statements.

Box 2.   Objectives of teacher performance appraisal

1.   Promote teacher self-appraisal.
2.   Help establish realistic objectives.
3.   Acknowledge teacher achievement/s.
4.   Help agree appropriate action to overcome difficulties.
5.   Assist in decisions that involve resource allocations/ commitments.
6.   Help individual teachers understand the organizational needs/objectives.
7.   Help evaluate and revise job-specifications.
8.   Assist in career development.
9.   Assist in identifying institutional and organizational strengths and weaknesses.

124

5.5   Other benefits

The scheme challenges the ad hoc teacher transfer and recruitment policy. The school will call for stability in the policy and its implementation. The government has declared that there will be no mid year transfers.

The role of the principal in the appraisal scheme will be crucial. He is now 'pushed' by teachers and 'pulled' by the authorities. He can no longer be lethargic. The system has already linked TPA to increments, promotions in the teacher service and other reward systems such as foreign scholarships.

TPA will facilitate the production and installation of the school-based management initiative that is to be implemented this year. There will be cultural re-orientation, a paradigm shift. The schools will be empowered through the TPA scheme. The schools will liberate themselves from overdependence.

The in-school supervision is activated by TPA and the internal management of schools is strengthened. The teachers and principals will be made more accountable. There will be clear lines of accountability.

The divisional officer has a key role to play in the TPA scheme. In most circumstances, he will be the moderator. He has a definite developmental role/task to perform, but with authority, TPA becomes a potent instrument in the hands of a creative divisional officer.

The performance appraisal scheme for principals is also to be implemented and is in the pilot stage now.

125

5.6   Conclusion

Holly and Hopkins (1988) have distinguished three aspects of evaluation: evaluation of, evaluation for, and evaluation as school improvement.

Evaluation of school improvement is often of a summative kind, drawing conclusions about the worth, rationality, effects and implications of areas being evaluated. Evaluation for school improvement is often intended as formative evaluation, seeking to stimulate and guide those trying to improve schools. Evaluation as school improvement can be seen as action research, improvement work and evaluation where all three are tightly integrated. The distinction between evaluation as and evaluation for improvement is clear; the latter presupposes a dichotomy between evaluation and its utilization, while the former suspends the difference.

The Teacher Performance Appraisal is more on the lines of evaluation for school improvement.

Teachers react with suspicion to many state initiatives and this move forms no exception. The introduction of the scheme, therefore, had a lot of pre-preparation. Principals, officers at all levels have been educated on the scheme. They are supposed to educate teachers. The Centre for Professional Development (Education Management) of the National Institute of Education has made this an integral part of all their courses.

The performance appraisal scheme is simple and requires minimum documentation. It will also establish a 'document culture', which the system lacks, and has considerable potential to assist teachers in their organization of work and their effectiveness. It

126

does not call for extra work but gives meaning to the work teachers already do.

This scheme, I would argue, is one that takes into consideration the contextual realities and the major thrust is on the process. There is no single determinant on school effectiveness. Process variables are extremely important. Teacher behaviour is at the heart of quality. Real quality improvement depends on what happens in schools. The TPA scheme is all about improving teacher behaviour, which is the key to school improvement.

127

6. Community participation and school governance: diverse perspectives and emerging issues

R. Govinda, NIEPA

6.1   Introduction

Moves towards involving the community members, and empowering them to govern the schools, currently find a prominent place in education policy documents and programme perspectives in almost all countries. In fact, community participation in school management has a long historical legacy. After all, the first schools were founded, and even funded solely by local community groups. The state entered the scene much later in the history of schooling. Initially, the role of the school had been to wean the individual away from the emotional world of the home in order to socialize in the outside world and to introduce young men and women to the rational world of knowledge and learning. With the onset of industrialization, along with the emphasis on compulsory schooling and education for informed citizenship, national governments began to take over the responsibility of funding and organizing school education. This, in some ways, set the stage for distancing the home and the community from school organization. With the evolution of 'national systems of education', governments began asserting their authority and control over the system of schooling as fully legitimate. Today, all over the world, it is the prerogative of the national governments to determine the shape of the school system as a publicly funded phenomenon.

Seen in the above evolutionary perspective, the current focus on participation of the community in school governance is actually an instance of 'coming round full circle'. But this return of the prodigal is not out of volition or self-experienced compulsion, but

128

because that is the fiat of the state. Is it not paradoxical? Perhaps one has to unscramble the backdrop and context to understand what this return of the community to school governance means, in rhetoric and in reality. Are community members eager to play the role of school governors? What are its ramifications in different contexts and with regard to different aspects of school functioning? What are the prospects of this becoming a central means of improving school quality? Does it represent a genuine interest of the state to reconfigure its relationship with the school and the civil society in a more democratic manner? Or is it the political and economic expediency that is pushing the governments to take recourse to such actions? These are some of the critical questions examined in this article.

6.2 Understanding the context: changing face of school as an organization

Reforming education policies and programmes is a periodic phenomenon that all countries adopt from time to time. Focusing on school functioning has been an integral part of all such exercises. However, in all the educational reform exercises attempted across the globe during the last two decades, 'school functioning' has been the focus of central attention as never before.

Individual school as the primary unit of improvement

Perhaps the most distinguishing feature that is common to the school autonomy reforms in all the countries is the recognition that individual school is the primary unit of improvement. This recognition also places school improvement or development planning at the centre stage of the reform movement. This has also become linked to the means of developing a sense of ownership in and commitment to the projected plans of school efficiency

129

improvement among school authorities as well as community members (Govinda, 1998).

Increased autonomy to the school

Recognition of the school as the primary unit of action has been accompanied by several changes in the basic management framework adopted for running the school system. Traditionally, school has been at the receiving end of innovation and change process in the education sector. Changes that bring about reforms in school education are designed on a system-wide scale and the role of the individual school is to implement this change process. In contrast, the most widespread current trend in this regard is the provision of greater autonomy to the school and the introduction of 'school-based management'. One can say that 'individuality or uniqueness framework' is beginning to replace the 'standardized framework' applicable to all schools. In this, the 'school development plan' has become a powerful instrument, not only for setting the direction of change and improvement within the school, but also for receiving recognition and support from public funds. Another component of school-based management with far-reaching implication is the establishment of school governing boards with authority to oversee the functioning of the school, and also give policy directions for school improvement.

Getting the community involved

Finally, as part of the reform processes in school education, policy-makers all over the world have come to view active community participation as an effective means of promoting and improving schools. In line with this, legislations on school governing boards ensure that they are well represented by parents and community representatives. For instance, the South Africa School

130

Act specifies that more than one-half of the members will consist of elected community representatives. Further, community participation and empowerment in decision-making has commonly been understood and propagated as an attempt to counteract centralized actions. It is assumed that they have the potential to make a major contribution in educating people, increasing their awareness levels, bringing improvement in their health and living conditions, as well as improving their life styles.

A direct consequence of the increased autonomy for the school and the focus on internally generated school development plans manifests itself in terms of heightened emphasis on productivity and performance. The government-school direct linkage model has also made school administrators and the teaching community more vulnerable to criticism from the state authorities as well as community representatives. As West-Burnham (1997) describes, there has been a polarization tendency for power to become increasingly centralized (i.e. with government) and for accountability to become increasingly institutionalized (i.e. located with the school). The traditional mediating role of local government or middle level bureaucracy is being increasingly undermined and diminished. Schools are therefore far more exposed and have far fewer support agencies to draw on. At the same time, they are far more visible as individual institutions in terms of their performance.

6.3   Community participation: deriving the meaning from practice

While there is no simple definition of what 'community participation' means, a burgeoning education literature is beginning to emerge which treats community participation as the single most effective means of improving school functioning. However, is there

131

clarity on the meaning of 'community participation'? The concept seems to acquire diverse meanings in different contexts in terms of practice and implementation.

Attempting to bring the school and the community together is not a new phenomenon in any country. Education of the children has always been recognized as a joint responsibility of the home and the school. This is well illustrated by the existence or promotion of parent-teacher associations. Yet there is a significant change in the way this joint responsibility is currently being interpreted. One can observe a distinct shift from having informal PTAs to the creation of formal School Management Committees, as is the case in many countries of Asia with specific roles and responsibilities in the management of the local school. The school autonomy reforms have further deepened this move towards community involvement by vesting legal and statutory powers in these bodies as Governing Councils or Boards (Govinda, 1998).

Who represents the community?

The question appears to have led to different interpretations and implications for involvement of the community in school governance. Three lines of thinking can be traced from prevailing practices. First is the natural and traditional choice of parents of the children enrolled in the school. But this is not accepted as genuine representation of the community as interested and committed individuals without their wards in the school get excluded in this arrangement. This becomes important in many developing countries where universal school participation, even during the compulsory education age group is yet to be achieved. The second line of practice is that community representation should imply involvement of the local/neighbourhood civil society members, irrespective of their

direct link with the school. This could work in compact neighbourhoods where the catchment area of the school is well defined. But one gets into difficulty where the community is dispersed and parents have a free choice to select the school for their children, irrespective of its location. The third approach is to consider elected representatives in the local self-government bodies, such as municipalities and ward committees, to represent the interests of the community. In fact, this approach is gaining considerable acceptance in some of the developing countries, as in India. While in a democratic decentralized set-up, it is difficult to question the legitimacy of these people, many fear that it could turn schools into places for party-based politics. Experience seems to support this argument. For instance in England and Wales, governing bodies throughout the country, and, well into the 1980s, were in thrall to a paternalistic, party-led approach. Invariably the councillors of the ruling group became involved in school boards. However, legislations on school-based management in most of the countries have opted for direct election of representatives from the community.

Practices in this regard are also influenced by the perception of policy-makers on the relationship between the school and the community. The free-market terminologies have made extensive inroads. Some prefer to view parents and community members as 'consumers' and schools as 'service providers', again with varying interpretation of the terms. Gann (1998: 34-35), reviewing the literature, differentiates the traditional view of consumer and the current thinking on parents as consumers. In the conservative model, the consumer is seen as: (a) free from responsibility for the quality of service, except by complaining when it falls below an acceptable standard; (b) acting out of self-interest, rather then as a member of a potentially forceful society; (c) reactive to services, rather than

133

proactive; (d) having a one-dimensional purchaser provider relationship with services; and (e) likely to be a member of one or another constituency or interest group. In contrast, in the radical model, the member of the community is seen as responsible for the direction, content and quality of services; and committed long term to the community and having a complex set of relationships with it.

Framework for community participation

Theoretically, and in legislation, the issue of community participation seems to be a settled one. However, the contours of participation in practice seem to be still in a process of evolution. Even in countries where legislations have been in place for several years, the reality continues to be in a highly fluid state. One can only discern certain trends as to what is determining the nature and scope of community participation in matters pertaining to school governance. Examining the situation in several countries that have implemented school autonomy measures, and adopted the practice of community participation in school governing boards, O'Donoghue and Dimmock (1998: 1) identify two broad strands of community participation: (a) empowering the community to monitor/control/oversee the school functioning – typically a process promoted at least in policy documents in developing countries; and (b) a deregulated, decentralized system replacing central planning, control and supervision associated with school-based management, school-based budgeting, and the community management of schools.

The extent of real empowerment, or the extent of decentralization, is again dependent on several contextual parameters. Yet it is clear that the moves have brought about significant changes in the pattern and nature of relationships within and among school communities. A heightened sense of politicization

134

is usually one consequence, particularly in environments, which has incorporated teachers and parents, in addition to principals in redefining roles. Further, depending on the nature of authority vested in different actors involved in school governance, the professional landscape of school management and governance has been reconfigured in a number of ways. An important question to be deliberated upon in this context is how sustainable are these changes? Implementing the new practices in a consistent manner would represent a significant change in organizational architecture from hierarchical, bureaucratic structures and decision-making forms to decentralized, co-operative, professional and lay-controlled structures (O'Donoghue and Dimmock, 1998: 170). However, such moves have to contend with resistance of the authorities, the bureaucracies, to make themselves redundant and share power. Also, a majority of parents seem to be reluctant to be active participants in formal decision-making structures involving issues related to core processes of teaching and curriculum, considering the settings to be uneven playing fields and conceding their own difficulties to be equal partners in such matters.

6.4 Why community participation? Diverse perspectives

Though originally schools were the creation of local community groups, recent history shows that throughout much of the world public education has been the preserve of bureaucracies that have left little room for non-professional participation in shaping education policy and practice. Parental involvement, where it has existed, has usually been limited to activities such as fund-raising, providing school equipment and sitting on various auxiliary bodies such as parents' and friends' associations (O'Donoghue and Dimmock, 1998: 18). What are the motives behind the ongoing

135

radical shift in the school management framework? One can discern varying responses across countries even when actions are on almost similar lines. Drawing any generalization becomes even more compounded with dichotomy between rhetoric and reality, prescriptions and practice, as well as expectations and actualities. Following are some of the broad motives that provide the official rationale for bringing community participation in school governance in different countries.

Democracy rationale

One view on the recent reforms sweeping different countries and bringing community to the school governance is that it is prompted by a genuine desire on the part of the governments to broad base decision-making processes, and promote democratic principles of participation. Obviously, whether in Australia or in England, this is not a sudden move. It is preceded by debates with distinct political underpinnings. Some also link the move towards democratization to parental activism in many countries for obtaining a larger role in decision-making.

Decentralization rationale

A pervasive feeling that the school education systems have not only grown in size but also in complexity, placing the national governments under severe stress underscores all these efforts. As a response to this perceived problem, it is taken almost axiomatically that the central government has to shed some of the powers and authorities, transferring them to people operating nearer to the schools, in order to improve the efficiency of the system of school management (Govinda, 1998). It is argued that the community members are the final stakeholders in school education and the authority for school management should finally vest with them.

While apparently this seems to have a broad agreement among all concerned, in practice it seems to have led to greater private control in education, and has raised questions of equity.

Social justice and equity rationale

Where the society consists of multicultural settings and diverse socio-economic groups, it is considered that parental participation on a democratic basis in school governance will contribute to goals of social justice and equity. In fact, throughout the 1960s and 1970s a major force behind the development of increased parental involvement in the United States stemmed from concerns about social justice and equity. In many developing societies with wide differences in economic capabilities, the argument finds great favour among policy-makers. The South African School Act states this as one of the main goals of setting up school governing bodies with majority participation from community members.

Economic rationalism and free-market principle

Traditionally, the education system has remained very little affected by the development in the world of economy and production. However, this phase of protective isolation appears to be coming to an end as economic rationalist and corporate managerialist policies have been sweeping the public sector provisions in all sphere of life. Governments have come under severe pressure for restructuring of bureaucratic organization to achieve greater outputs for the given inputs. Applying these principles to the education system requires a leaner, tighter, more precisely defined management structure, and more precisely articulated policy goals, as well as the "devolution of action" (O'Donoghue and Dimmock, 1998: 21). Devolution of authority to the schools and to the community members seems to be a part of this larger restructuring process and

137

requirement of downsizing the government establishment. As Scott (1989: 11-22) observes, reasons for managerialism in education seem to be both structural and ideological, with notions of efficiency, productivity and accountability becoming the driving force for the reforms.

Accountability principle

A long-standing complaint of the common taxpayer has been that the education system in most of the countries is run in a non-transparent manner, and the people managing the system have no direct accountability to anyone, though the system is dependent very heavily on state funding. Introducing school-based management and involving the community in school governance are seen as answers to this criticism. With adequate representation of the parents, who are the direct stakeholders in school governance, it is expected that the system would become more open and accountable. This is also expected to improve significantly the efficiency of every school. The principle is based on the requirement that those who want the school to be accountable to them have to take part in management. Since the system is too large for government bureaucracy to take part in the governance of individual schools, the task should be left to the local community and other stakeholders from the school.

6.5   *Role of community in school governance: emerging challenges and issues*

The new management framework for school education with active community involvement may have effectively responded to several criticisms of the traditional approach; but it has brought with it new issues and challenges. New actors are introduced into the task of governance with which they have very little familiarity.

138

While the new actors acquire the necessary skills and orientation, old actors are required to change their mindsets and reconfigure the relationships. Departmental authorities have to be willing to shed some of their prerogatives and powers while parents and teachers have to learn to discharge their newfound responsibilities effectively. As already pointed out, the new school-based actors do not have the scope to pass the buck and put the blame on the ubiquitous 'systemic problems' which are beyond their purview. Some of these emerging issues are discussed below.

1. As O'Donoghue and Dimmock (1998: 167-168) highlight, a major manifestation of a widening of parental involvement is greater decision-making, through legislated representation on school councils, involvement in school development planning and membership of a variety of school committees. These initiatives provide parents with greater voice in school policy, planning, governance and administration. Several issues in this connection need to be examined: (a) how much or how little power and influence are exercised by parent representatives in the various decision-making groups; (b) the extent to which elected parents on school councils can and do represent diversity of interests, values and views of the parent body as a whole; and (c) Is this a genuine attempt to embrace parent and community involvement in democratizing school decision-making, or an attempt by the governments to avoid criticism on themselves?

2. As noted earlier, building a system of accountability has been one driving force behind the move to involve parents and the community in school governance. But the accountability framework remains unclear. Accountability cannot be seen in a fragmented manner in terms of administrative efficiency and professional capabilities. To whom should the school be

139

accountable – to the government, the parents or the public at large (taxpayers). Are community members ready take on this role? It is found that parents in general are interested in their children's education and that they wish to be informed about their progress and prospects ... However, it is the experience of many schools that parents have no wish to interfere in professional matters relating to the organization and management of internal affairs. The emerging evidence suggests that they are more interested in outcomes than in processes. While there have been a few politically motivated parents who have seized the opportunity to exercise the new powers available to them, there has scarcely been a rush by parents to put themselves forward even for election to governing bodies. There has been a similar lack of enthusiasm to take part in the new accountability procedures through which parents can question the school's performance and possibly take corrective action.

3. There is some evidence of an increasing involvement of parents in evaluating and reviewing whole school performance. In some countries, parents are represented on school review and inspection teams. Even in India, though no powers have been vested in school managing committees, community members are exhorted to monitor and oversee the functioning of the local school. This also raises several issues: (a) parental contribution to quality assurance through school review and evaluation – How satisfactory is it and can it be meaningfully enhanced? (b) How much accountability is being and should be rendered to parents, what form should it take? and to what extent are performance measures valid. It is necessary to examine the question of community participation and the structures created for the purpose within the local political and developmental context. While school governing council

or village education committee can become the main body for decision-making with respect to general management issues, questions of academic and professional management have to be independently dealt with. How the community members can be brought into academic decision-making cannot have a uniform prescription as it depends very much on the profile of the members constituting such management bodies and the mutual confidence that the teachers and the members of the committee enjoy.

4. An important rationale for the restructuring of policies emanates from the concern shown by many governments to cut public spending and to secure greater efficiency and value for money in education. This pursuit of economic, rationalist policies in education has led to criticism from parents and teachers that governments are placing more responsibilities on schools while failing to provide adequate resources. This cannot be considered as mere activist posturing. It calls for examining certain basic issues and challenges if the policies have to be effectively implemented, and are not seen merely as a means of passing over the burden to the already burdened common person. Two issues are at the core of this argument: (a) there is an issue of equity in the expectation that local communities and parents will contribute directly to the human, physical and financial resources to school; and (b) some parents may consider that the payment of taxes entitles their children to an otherwise cost-free, publicly provided education.

5. Though most countries in the developing world also advocate community participation as an important component of their efforts to improve the education system, two significant questions are being raised, particularly in the context of several Asian countries (Govinda, 1998). The first apprehension is that, under the low state of educational development in many

141

countries of the region, such extreme localization of authority may make school the locus of an unwarranted power struggle, undermining the basic concern of improving school efficiency. This is well illustrated by the studies of school management committees in several countries of Asia. The second apprehension is more global in nature. Many fear that handing over school control and management to local councils and boards may, in the end, lead to de-professionalization of school administration, and even cut into the authority of the school heads. As has been pointed out by scholars investigating the effects of school autonomy reforms in some of the industrialized countries, this may gradually erode the power and authority of the school itself and lead to further central control on vital matters of schooling – such as curriculum, learner evaluation, personnel management, etc.

6. Rationales for restructuring are rarely articulated in educational terms. Instead, the preponderance of economic, financial and political elements in the restructuring process tends to lead the school community invariably to becoming a more politicized arena, where tensions and insecurities are played out between the major players – principals, teachers and parents – and where education, as a result, may suffer (O'Donoghue and Dimmock, 1998: 170). Apprehensions are expressed on this count. Some observers feel that the transfer of the school management authority to legally formed local bodies would take away the professional freedom and authority of the school head in shaping school development programmes. It is felt that the head teacher's subordination to the wishes of the local community is likely to lead to short-term gains but not sustainable positive changes as it takes away the initiative for development action from the head teacher.

7. Even though several issues remain to be tackled, studies also reveal that active participation of the community in school governance has added substantial value in terms of effective school functioning. However, lack of clarity and internal contradictions in the system tend to undermine the contribution of parental involvement in school governance. Pascal (1989: 82-92) found in her study that primary school governing bodies in which parents were prominent were making a valuable contribution to the functioning of the system as a whole, but observed that governing bodies worked under several conflicting pressures and demands. Four central dichotomies were identified: (a) elitism versus pluralism (elite models of distribution of power present public institutions as largely dominated by ruling groups); (b) centralization versus devolution; (c) professionals versus laity; and (d) support versus accountability.

6.6   Conclusion

In summary, one may conclude that the policy of community involvement in school governance has resulted in changes in three basic areas. First, forms of parental and community involvement, particularly in school decision-making, are widening and diversifying. Second, tighter public spending policies are redistributing responsibilities for the resourcing of schools with consequent ramification for parents and other non-government sources. Third, emphasis is placed on improving learning outcomes for all students, a policy which involves increased expectations of both parents and schools (O'Donoghue and Dimmock, 1998: 167-168). But these changes may be transient unless all concerned pursue the policy with consistency and commitment.

143

It is necessary to recognize that there is still a long way to go for realizing a transformed system of school governance in many developing countries that are still struggling to meet basic quantitative targets of providing education for all. Many countries are also deeply entrenched in hierarchical management structures that are not accommodative of change processes. The dynamics of transforming such centralized and hierarchical management structures steeped in bureaucratic rigidities into a 'people friendly' decentralized system is not just a technical exercise. Nor can one expect that a few rounds of exhortations to the community members through participatory processes will suffice. Changing the framework of power sharing can never be a simple process, whether it is with regard to school governance or any other public system. It requires everyone concerned – the political personage, the bureaucracy, school authorities, parents and the common citizenry – to imbibe a new 'world view' on human relations that underscores mutual trust and confidence in each other. When such a transformation of the system is linked to empowerment of the people it makes it doubly complex and challenging. But there is no alternative. It can only be pursued through continued strengthening of democratic processes in school governance (Govinda, 2000).

In recent years, the intensive attention paid to the functioning of schools the world over is quite perplexing. Just a few decades ago, education discourses were fired with calls for de-schooling the society. It appears that the education world has moved very quickly from de-schooling a few decades ago to deeper entrenchment of bestowing on the school monopolistic and monolithic control over the enterprise of organized education. But this euphoria is not likely to last long. Undoubtedly, the challenge of the information revolution and open learning systems looms large, and is gearing to overshadow the new reform processes even before they fully

take root. As Drucker (1993: 209) points out: " ... Indeed, no other institution faces challenges as radical as those that will transform the school." The school is faced with the choice to perform or perish. The challenge is not with regard to the way it operates and meets the government curriculum prescriptions effectively. The real challenge is with regard to what it delivers – how it equips the children to face the new digital world. The state may have been the norm-setter and arbitrator during the present round of reforms. However, in the final analysis, it will be the parents and the fast changing world of work that will determine the fate of the school and the shape in which it will survive and serve the society.

145

7. Alternative models in reforming school supervision

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7.1 Introduction

School supervision services have been the subject of much criticism in recent years. Schools, governments and international agencies alike consider this service to be inefficient: its role in monitoring is simply procedural, rarely innovative, and its impact on the quality of schools seems insignificant. In response, many countries have attempted to reform their supervision service.

Some of the reforms have been fairly marginal, at times not going much further than to rename the service. Others (for example in England, New Zealand, in some states in Australia and in Chile), represent a global transformation in the organization and the regulation of the education system. They stem from a deep reflection about the role and usefulness of supervision, which mirrors similar thinking about the role and effectiveness of the state. In some cases, the supervision mandate has been submitted to thorough questioning and reinterpretation. A growing number of countries are reflecting on a similar global reform. Within Asia, Hong Kong, Malaysia or the Republic of Korea have taken substantial steps in reforming their supervision services. However, almost all countries represented at the ANTRIEP seminar have engaged in similar attempts to a lesser or greater extent.

Diverse supervision services have been developed, amongst which four models[20] – the classical supervision model, the central

20. The term 'model' should not be understood as 'an ideal example', but as a 'typical case', which is a simplification of reality. Such simplification allows for more clarity in the description of the different models.

146

control model, the close-to-school support model, and the school-site supervision model – can be identified. Each of the models is inspired by a different vision of the role and the efficacy of the supervision service. In reality, most countries have borrowed elements from different models and their service can be considered a hybrid. This is probably best; each model has a number of assets, but also implies risks, and its success depends strongly on the context of each country and on its institutional culture.

7.2   Three strategic options

Before presenting the different supervision models, it is important to identify the strategic choices that distinguish one model from another. These choices deal with three fundamental questions: First, what will be the principal role of the external supervision service? Secondly, what significance will be given to the major monitoring tools when evaluating the functioning and efficiency of schools and teachers? Thirdly, to whom are schools and teachers accountable and how is such accountability interpreted?

The response to these questions will have an impact on the organization of the service, its structure, the location of the supervisors, and the nature and scope of the supervision activities. The following paragraphs examine the different answers that can be given.

The role and objectives of school supervision

In most countries, supervision has to combine three roles: control, support and liaison. Each role has two dimensions: pedagogical and administrative. In principle, in addition to individual teachers, inspectors can also take an interest in schools as institutions and in the education system as a whole. *Table 3.3*

147

summarizes the main tasks, the two dimensions and the three levels (teachers, school, system).

Table 3.3   Key functions of supervisors

Tasks	Dimension					
	Pedagogical			Administrative		
	Level					
	Teacher	School	System	Teacher	School	System
Control						
Support						
Liaison/Link						

Each supervision system can be analyzed on the relative emphasis placed on different cells. We will see that the four models presented hereafter, have indeed given a different role to the supervision service.

Tools for monitoring the functioning of schools

To monitor the functioning and efficiency of schools, three principal tools are available: (a) the external supervision service; (b) the school's internal evaluation; and (c) examinations and assessment. The relative importance of these tools, their degree of use, their objectives and characteristics differ profoundly from one model to another.

External supervision can be carried out by different actors, but in general, comes under the responsibility of a department of the Ministry of Education, or a more or less autonomous agency linked to the same ministry.

148

Internal evaluation of an institution often involves self-evaluation, in which each member of staff examines his or her performance and the members of staff evaluate the school as a whole. It could be carried out by the school's head teacher or principal, in conjunction with the heads of departments from time to time. At times, the community close to the school could be involved. The school can initiate this process and follow the guidelines developed autonomously by its staff. A different scenario is one where self-evaluation is an obligation imposed on the school by the ministry, in which case it will follow a precise procedure developed by the ministry. The main objective could be to improve the school or to provide an evaluation of its performance to an external body.

A third tool is examinations and assessment. In a growing number of countries, these are no longer used simply to select students for certification and further progress. Examination results are increasingly being used to judge the performance of each school and to rank schools accordingly. These results are regularly made available to schools, together with the national and regional average, as a source of information and an encouragement to self-improvement. In various countries, these results are also made available to the public. It is hoped that this leads them to put pressure on schools or even that the public uses examination results to choose schools, thus creating competition to be the best amongst schools. However, in many, if not most countries, such choice does not exist and what schools need is not more competition but collaboration.

149

The accountability of schools and teachers

A third option concerns an answer to the question: To whom are teachers held accountable? In this regard, one may distinguish between three types of accountability: contractual accountability, professional accountability, and public accountability.

Contractual accountability. Teachers are held responsible to the person or the unit with which they entered into a contractual relationship, their employer (in general the Ministry of Education), represented at local level by a school director or by an inspector. Teachers are seen as civil servants; as such, they form part of a bureaucracy and are in a hierarchical relationship. The term 'bureaucratic accountability' is used from time to time as a substitute.

Professional accountability. Teachers are viewed as professionals. They belong to a professional community and are thus accountable to this community and its code of ethics. In other words, the teacher is responsible to the body to which he or she belongs, and thus his or her colleagues exert control.

Public accountability. Teachers are seen as members of a 'public service' and they are therefore accountable to the public, or in other words, to the clients of the education system. There are two possible interpretations of the term 'client', with different implications. On the one hand, the students and parents of a specific school could be viewed as the immediate clients of that school. The teacher is accountable to the local community. Accountability is then enforced through parent meetings or reports prepared for limited distribution. On the other hand, the term 'clients' could be interpreted as the public of the education system in general. In this

150

instance, teachers and schools are held accountable to the general public through the publication of examination results or supervision reports, for example.

Each of the four models (below) offers its own response to the issue of accountability and relies on a different mixture of the three accountability types. This is strongly related to a country's context, involving amongst other things, opinions about the professionalism of teachers, the effectiveness of the government's bureaucracy or the civil service and the interests of parents and the community in education.

7.3   Four models in school supervision

The following section analyzes in more detail four models, which we have named: (a) the classical supervision model; (b) the central control model; (c) the close-to-school support model; and (d) the school-site supervision model.

We begin with a discussion of the role assigned to the supervision service, its structure and some of its strong and weak aspects. We then examine the importance accorded to the different monitoring tools as well as the concept of accountability that underlies each model.

The classical supervision model

The first model came about as a result of the adaptation of the supervision service to the expansion of the education system and to the deconcentration of the administration that accompanied it. Supervision retains the role it was first assigned: that is, to control and provide support in pedagogical and administrative areas. In

151

addition, coverage is supposed to be global: each school and teacher has a right – or could be submitted – to supervision.

In order to undertake this ambitious mission, inspectors find themselves in all the echelons of administration: at district level, in general, they exercise control over primary schools and provide support to teachers; at regional level, they have the same tasks, but in secondary schools; at central level, their role might include an evaluation of the evolution of the education system, such as that of the General Inspectors in France or the Standards Control Unit in Zimbabwe.

Table 3.4   The structure of the classical supervision model

Central level	Central supervision service	Responsible for the elaboration of supervision policies, global planning, training and system control
Regional level	Regional supervision office	Responsible for supervision in secondary schools, control of the development of education in the region
District level	District inspectors	Responsible for supervision in primary schools, control of education development at district level
	Advisors and resource centres	Advises primary- and secondary-school teachers
School level	Principal or head teacher	Informal supervision of teachers

This model can be called 'classical' because the essence of the supervision exercise has little changed since its creation. Even though there have been some reforms in response to some demands of teachers – for example the creation of pedagogical advisers or the demand for more transparency by announcing visits and

152

systematic debriefing sessions – these innovative elements have not profoundly modified the service.

This model was implanted in most developing countries, particularly in the previous British and French colonies. The United Republic of Tanzania is a good example, among many others. A supervision service in the Ministry is responsible for the definition of policies and training. Seven zonal offices organize the supervision in their zone, supervise secondary schools and supervise the operation of the district office. The district offices, which are expected to have nine primary school inspectors, undertake the genuine school inspections. Alongside these inspectors, there are resource centres that organize training sessions in schools and in the centres. At a level closest to the school are Ward Education Officers. They were originally in charge of supervising adult literacy classes, but are now helping inspectors especially with the control of school finances.

The two assets of this model are: (a) its global coverage (in principle, all schools have an equal chance of being supervised and none is forgotten); and (b) its comprehensive role (the inspectors accompany their control and evaluation with support and advice). However, the model has a number of weaknesses. The most important of these is that it is costly, with its many offices and high number of professional staff. In fact this model was originally developed in countries where the services of the state were effective and well financed and was then, in some cases, implanted into an almost totally different environment: a weak state without resources. The model works best in countries that have a competent public service, with civil servants who are rather well paid.

153

A number of developing countries have kept this model in one form or another, for example Cuba and Viet Nam. The reasons could be the easy integration of its basic principle – an omnipresent control – in a system where the role of the state is viewed as essential, and the fact that the deconcentration of the state's administration is accompanied and reinforced by the deconcentration of the machinery of the single party.

Beyond the problem of resources and the issue of the state's effectiveness, two other problems will crop up:

1. The first is well known: supervision is characterized by role conflicts, which stem from an ambiguous description of the post, combining control and support, while covering administration and pedagogy. In general, administrative control is given more importance to the detriment of pedagogical support.
2. The second weakness is the cumbersome structure. The co-ordination between the levels and amongst the different actors is complex. The most worrying effect is that there is little follow-up of recommendations arising from supervision visits. The distance between the person who drafts the recommendations and the one responsible for action is long and not always very clear.

In its pure form, this model places a strong emphasis on the external supervision service, which is the most important monitoring tool of the establishment. The internal evaluation of the school is weak and examination results are used to inform the supervision process, but play no further role in controlling schools. The concept of accountability, which underlies this model, is clearly contractual accountability: the teacher is accountable to his or her employer,

154

the Ministry of Education, and is controlled by this body – by the intermediary of ministerial agents, the body of inspectors.

However, it is important to emphasize that even though this model remains the main inspiration in many countries, almost everywhere reforms are put in place, which aim at integrating other tools in the monitoring process. The publication of examination results and the preparation of school improvement plans are the best-known examples; and these tools reflect an accountability that is not purely contractual.

The central control model

The weaknesses of this 'classical model' were a source of inspiration for reforms, which have led to the development of what we will call the 'central control' model. This model is based on the following convictions:

- Supervision should concentrate on one task: control. It is harmful to ask supervisors to combine support and control as the conflicting roles that this entails renders ineffective their interventions in the two domains.
- The heavy bureaucracy that characterizes the classical model is not only expensive, it also prevents it from functioning effectively: there are too many small offices and the different levels lengthen the time between the supervision visit and follow-up to its recommendations.
- External supervision cannot, on its own lead to school improvement. This is the responsibility of the actors at school level (the principal, the teachers, the board, the parent association). But school inspection can be an incentive to start

155

internal school reform, by informing the school and the public of the school's progress and weaknesses.

The role of the supervision service is therefore simple: to inspect each school from time to time and to publish a public report. Such an inspection, and its report, examine all the aspects of the school's functioning and could be considered an 'audit'. The structure of this model, which is presented in *Table 3.5*, reflects its role: a strong central control; few, if any supervisory actors at lower levels, while support is made available through private providers.

Table 3.5   The structure of the central control model

Central level	Central Inspection Body (autonomous)	In charge of full inspection of all schools, every 3, 4 or 5 years and informing the public
Regional level		No specific officers
District level		No specific officers
School	School board	Supervision of school management
School	Head teacher	Regular supervision of teachers; decides on the need to purchase advice from private providers
Private service	Private providers	Offer advice to schools and teachers upon their request

The supervision systems functioning in England and Wales and in New Zealand exemplify the central control model. In these countries, the new system is intrinsically linked to a more global reform of the public service and the management of the education system. The context of this reform was an economic crisis and severe criticism of the public service – the public education system

156

in particular. The inspection was also criticized: a heavy inefficient bureaucracy, a derisory impact on school improvement, far too conservative and individualist inspectors. These criticisms brought about a profound restructuring of inspection. In New Zealand, a very classical structure was replaced with an independent unit, the Education Review Office, while local and regional offices were abolished. This review office has a mandate to inform the ministry and the public of the effectiveness of the system and all its schools. Each school is inspected every three years. During these visits, the review officers do not offer formal support. Schools are expected to use their own budgets to buy support (for example training courses) offered by universities and other training institutions. The report is a public document, which contains a summary that is specifically addressed to the local community. Each school has a Board of Trustees, an elected administrative board, which recruits the school principal and supervises its management. Each school must develop an evaluation system, through which the principal and the senior staff assess the performance of the teaching body.

This model has certain evident assets:

1. The role of the supervision service is relatively uncomplicated (though not without ambition): control the school in a comprehensive manner. This control covers the pedagogical aspects, the administration and management. The inspector or review officer is not confronted with conflicting roles because he or she is not supposed to offer advice.

2. The organization of the inspection service is also simple. Due to the fact that its sole task is to inspect schools every three years or more, it is better for this body to be centralized than dispersed in many small offices. The distribution of functions is clear: the inspection controls, private service providers offer

157

advice, at the request of the school. This avoids role overlaps and the co-ordination between actors and services causes fewer problems.

3. Inspection visits are meant to provoke schools to assume responsibility for their own improvement through the preparation of an action plan. This model therefore assigns responsibility for improvement to those actors who can make the difference.

However, these assets rapidly reach limits, particularly with schools facing difficult circumstances. The following can be mentioned as some of the weaknesses:

1. Schools receive too little support. Many teachers in England and New Zealand complain that an incitement to improve is far from sufficient if it is only accompanied by some recommendations but without any help towards this process of renewal. Successful schools of course do not suffer from this lack of support. Schools in crisis are, however, left feeling de-motivated after a process that stresses their weakness and offers few solutions.

2. The process puts too much pressure on the schools, and above all on their principals. Principals complain about excess responsibility, because they are the last in line, have excess work, especially administrative tasks, to the detriment of their pedagogical role.

3. The inspection visit conditions the future of the school. A critical report, especially if published, can create a vicious cycle that brings about the downfall of the school. Before the visit, the preparation period is one of great anxiety, causing conflict amongst teachers and in many cases kicks off a process that deteriorates more than improves.

This model can, in principle, function only through inspection visits and reports as a unique monitoring tool. In general, however, the role of examinations and assessment tests is also being strengthened; and the publication of results in league tables has become probably the best-known and most controversial form of intervention in the monitoring system in a country such as the United Kingdom. Self-evaluation develops also, but mainly as a stage in the process of external inspection. It takes place before an inspection visit and has two objectives: first, to facilitate the inspection process by gathering documents and by preparing an initial analysis of the status of the school; second, to prime the school for this external audit so that it comes out better. Indeed, quite a few schools use this self-evaluation process as a rehearsal for the audit. In many schools though, the obligation to prepare an internal evaluation report before the visit has helped the school in developing a culture of self-review.

In this model, the school and the teachers are accountable, on the one hand to their employer (the ministry), who controls through the regular inspections, and on the other hand, to the public. The publication of inspection reports and examination results are intended precisely to make the school feel directly responsible towards its 'clients' and to allow these clients to choose a school and to put pressure on schools. Their conclusions are at the same time used as advertisements by schools: praising quotes decorate their websites and information brochures.

Other countries, such as Guyana or Malaysia, have adapted certain elements of this model, particularly the institutional audit carried out by a specific corps of inspectors. These countries have nevertheless kept a classical supervision process, which concentrates more on support than control. The objective of the audit is to

159

reinforce the evaluation of schools, and to give it a formal structure and character. This allows for a more intensive use of the reports of these audits, which however (in contrast to the situation in England and Wales, for example) remain confidential.

The close-to-school support model

This third model has started off, as did the second model, from a criticism on the classical model, but drew very different conclusions. It is based on the following reasoning. The main weakness of the classical model (and of the central inspection model) is to consider all schools as rather similar units. The supervision system can therefore treat all schools as equals and use the same strategies towards all. However, schools have very different characteristics: their environment, pupils, teachers, parents, resources and so on are all specific to each school; and the supervision system should take those diverse needs into account.

This diversification of the supervision strategy becomes even more necessary when we consider that the core role of the supervision service is to assist the weakest schools, to offer them advice and guidance on how to improve. With such a purpose in mind, each school will need to be treated differently and supervision will have to adapt itself to the needs of each school. The drawback of the 'classical' model is precisely that, by trying to cover all schools without distinction, it fails to give due attention to those schools most in need of its intervention. What those 'weaker' schools need is not control alone, surely not a three-yearly audit, but consistent pedagogical support and regular visits by support-oriented supervisors.

These points have implications for the supervisory structure. To enable supervisors to make regular visits, most are based as close to the schools as possible, while central and regional offices no longer visit schools, but are in charge of policy-formulation and of training. To avoid supervisors spending too much time on administration, a specific cadre of administrative controllers is created. To ensure that they focus on the schools most in need of their support, a database identifies a limited number of schools with which each supervisor has to work. The structure in *Table 3.6* is thus developed.

Chile, following the return to democracy in the 1990s, developed such a supervision system. The authoritarian regime of General Pinochet had introduced a series of reforms, which led to a more efficient system, but characterized by much deeper disparities. For the incoming democratic government, addressing these disparities was a priority. Education plays a key role: from a creator of disparities, it should become a tool for more equality. School inspection, which under the military regime had been a control agent of the state, was transformed in different ways: its name changed from 'inspection' to 'technical-pedagogical supervision' and its role has become to support the schools facing challenging circumstances. As such, it forms part of a much wider 'compensatory program' which, through the provision of various resources, assists the poorest schools. This model has three strong points:

1. The structure is top-light, with by far most personnel in the offices closest to schools. This makes it easy to undertake regular visits.
2. Supervision is freed from its administrative work overload, and can therefore concentrate on its essential work, offering support.

161

3. Supervision becomes a flexible service, by adapting itself to the characteristics of schools: effective schools are to a large extent left to get along on their own, while supervisors concentrate on schools with the most needs.

Table 3.6   The structure of the close-to-school support model

Central level	Central supervision service	Small team in charge of development of supervision policies
Regional level	Regional supervision office	Small team in charge of training supervisory officers
District level	District supervision officers	In charge of offering intensive and development-oriented supervision to those schools most in need
	Administrative controllers	In charge of controlling especially the finances of all schools
School	Head teacher	Informal supervision of teachers

The following challenges might be encountered and have indeed been preoccupations in the case of Chile:

1. Supervision does not cover all schools. This will not be a concern for the best performing schools, but there might be a large group that is not sufficiently weak to benefit from supervision and not sufficiently strong to function without any support.
2. Setting up such a needs-based model demands a strong database on the needs of schools, which goes beyond a simple league table. Chile has such data, but few other countries do.

162

3. The most intricate challenge resides in the need to change the culture of the supervision service, from one of control over a large number of schools to support to a few selected schools, from an authoritarian to a democratic and collegial relationship.

In Chile, such a cultural change was achieved, but not through what could have been the easiest way – namely a radical replacement of existing staff. The same staff was used, but to change its outlook and practice, several steps were taken, including training, new job descriptions, taking away all control functions, and new working tools.

Supervision visits, in this model, are an important monitoring tool, but there is a close linkage between such external supervision and the school's self-evaluation. The supervisor, when in school, works with the school's staff on identifying its strengths and weaknesses and on developing a school improvement plan. Supervision thus becomes a stage in the process of school self-evaluation and improvement, while in the preceding model the school's self-evaluation is a phase in the external inspection process. In other words, in this model external supervision helps the school undertake its own evaluation, while in the 'central inspection' model self-evaluation helps the external inspectors to carry out their inspection. Examinations play an important role, namely to allow the ministry and the supervision service to know which schools to focus on and to monitor the reduction of disparities. Their role in monitoring schools is thus very different from the previous model, where examination results are public information and parents use them to choose a school.

The close-to-school support model incorporates two concepts of accountability. On the one hand, the contractual accountability: the school staff is accountable to the supervisors, who are representatives of their employer, the ministry. There is, on the other hand, a strong aspect of professional accountability: the involvement of the teaching staff in a self-evaluation and school improvement process implies a sense of responsibility towards the colleagues. In the same way, the change of the supervisor from a control-agent to a collegial adviser expresses a desire to instil a sense of professional accountability.

The school-site supervision model

This model has not been developed in reaction to the inefficiencies of the 'classical' model. It has existed in some countries for a long time. These countries have the following characteristics: great homogeneity, a society with few disparities, well motivated teachers, public trust in their professionalism and strong parental interest in education. The conviction exists that the teaching staff has the skills and professional conscience to participate in self- and in peer-evaluation, without being supervised from outside, and that the local community is willing and competent to exercise some control over the school. Both groups are sufficiently close to the classroom to have a direct impact on the teaching process. In such an environment, the teachers and the local community might appear the best monitors of the quality and the functioning of the school.

In other words, there is no need for a formal supervision service organized by the Ministry of Education. At the local level, there are different scenarios. The self-evaluation can be very informal, without much structure or organization, relying on the individual

164

initiative of the teachers; or it can be the responsibility of a specific structure such as a school governing board, which can be in charge of one or a few schools. While there is no external supervision, there are central-level tools to monitor the schools, such as examination and test results and indicator systems.

In Finland, the external inspection service was abolished in 1991. In the same vein, the strict national curriculum was replaced in 1994 by a much lighter framework. Schools were encouraged to undertake their own evaluation, although no national strategy or guidelines were developed on how to do so. The schools took that initiative, many of them pushed into doing so by the municipality. However, allowing schools so much autonomy in their evaluation does not mean that the central government is not preoccupied with the quality and functioning of schools. Their preoccupation is expressed in at least two ways:

1. The ministry organized optional achievement tests, has developed national performance indicators and proposes to evaluation procedures that the municipal level can employ. At the end of 2001, a proposal was made to set up a National Board of Education, which, among other things, would evaluate the operations of educational institutions.
2. The abolition of the inspection service and of the national curriculum was counterbalanced by the development of a framework, with norms and indicators that allow the ministry to compare schools.

Table 3.7 shows the structure of this model, where all supervisory actors are based at the school-site, at local level or in the school.

This model has two important assets. First, it puts a strong emphasis on the role of the school, the teachers and the local community in improving teaching and learning. Experience and research has shown that for a school to change for the better in a sustainable way, the commitment and commitment of the school-site actors is a requirement. Quality cannot be imposed from the outside. A second asset is the absence of a supervisory structure, which has become a burden for the government in some countries.

Table 3.7   The structure of the school-site supervision model

Central level	No specific supervision officers	No external school inspection as such, reliance on indicator systems, examination and test results
Regional level	No specific supervision officers	
District level	No specific supervision officers	
Local level	School board or council	In charge of supervision of the management of the school: the role of the head teacher
School	Head teacher and senior staff	Regular supervision of teachers; decide on the need to ask advice from teacher training officers
	All staff	Involved in school self-evaluation and development of school improvement plans

There are several challenges:

1.   The absence of governmental controls and support structures may present problems for 'weak' schools that do not have

166

the internal resources to start off or sustain improvement processes. In many countries, such 'weak' schools are often in the majority. In such a situation, breaking down all external supervision would be an abandonment of responsibility.

2. This model functions well only if the absence of a supervisory structure is balanced by other evaluation mechanisms, such as examinations and tests and a comprehensive and regularly updated indicator system, and a good normative framework.

3. There is also a risk that national policy objectives will be threatened if there is little external control over what goes on in schools and in the classrooms. A country such as Finland, characterized by great homogeneity and few disparities, nevertheless had that preoccupation and after some years started to tighten the regulatory framework. In multi-cultural countries, this issue might be much more serious.

It will have become clear that, in the absence of external supervision, the role of the other two monitoring tools, examinations and assessment and self-evaluation, have grown in importance. Where these are functioning properly, it could be argued that teachers might actually have less autonomy in their classroom than in a system where reliance is put mainly on an external supervision system that is not functioning efficiently.

The school-site supervision model relies on a combination of professional and public accountability. Teachers are held accountable towards their colleagues, with all participating in a self-evaluation process. Relying on teachers' professional accountability makes sense when there is trust in their professionalism, and when efforts are made to develop teaching

167

into an attractive career. There is also an element of public accountability: parents and even pupils play a role in the school evaluation process and exercise some control. Their involvement is very different from what the public is expected to do in the central inspection model. They are meant to put pressure on 'their' school, to motivate the whole school community to improve rather than to go and look for the best possible school to send their kids to. Parents are considered in this school-site supervision model partners of the school rather than clients.

7.4   Conclusion

Models are not realities

The description and analysis of the models above may have given the impression that these four models are complete contrasts and mutually exclusive. In reality, the differences are somewhat less clear-cut and it is not evident to find these models in the real world, for three reasons. First, the adoption of a new policy at central level does not immediately imply its realization at local level. In other words, what happens precisely in the schools and in the classrooms surely is influenced by national policies, but also by a set of formal and informal factors – including the relationships between teachers, the principal's leadership and the resources available.

Secondly, countries that have adopted an extreme position are at present shifting towards a more mixed one. The United Kingdom, Chile and Finland all three are examples. In the United Kingdom, OFSTED is now requesting its inspection teams not to limit themselves to controlling, but to give also some feedback and advice to the teachers, whom they observe. In Chile, the ministry feels at present that its supervision system does not exercise enough control and that there is a need to find a new balance between

168

support and control. In Finland, as the preceding section noted, the autonomy of schools in its evaluation is being tempered by the strengthening of national frameworks and the setting up of a national evaluation board.

Thirdly, in each model, the state continues to exercise its regulatory and monitoring functions. Each puts in place a system to evaluate and control schools and teachers. The strategies, actors and tools used differ from one model to another, but nowhere has the state given schools complete autonomy.

There is no ideal model

Such a comparison between models almost automatically raises the question: which model is the best? Which model should countries follow? The answer is straightforward: there is no best model. Education systems with very different characteristics have obtained equally good results. International studies that compare education systems have shown that there is no one single formula that all systems should follow.

The search for an ideal single model is unproductive for at least two reasons. First, the four models presented above assign quite different objectives to the supervision service. These also reflect different preoccupations. It is true that the final objective is the same for all four: the improvement of the schools and of the education system. But behind that shared general objective, a significant variety appears. The 'classical model' is preoccupied above all with the respect of rules and regulations; its objective is conformity to those rules. The 'central inspection model' wants to develop a sense of public accountability in the school. It wants schools and teachers to feel more directly responsible for the quality of the education they offer, and it therefore allows its supervision

169

reports to be made public. Its objective is not so much that all schools conform to the central regulations, but that they respond to parental demand. The close-to-school support model argues that a system cannot be considered effective as long as it is characterized by strong disparities. Its objective is to help the weaker schools catch up. The school-site supervision model aims to develop a close and fruitful relationship between the different actors at the school level: teachers, parents, students and the local community or the local authorities. Such a relationship will engender a sense of professional and public accountability among teachers, a guarantee for long-term improvement.

The second factor that renders a comparison between models futile is that the effectiveness of a supervision model depends, above all, on its adaptation to the context of a country. Each model is appropriate to a specific social and educational situation. Relying strongly on school self-evaluation and parental involvement, as does the school-site supervision model, makes sense when teachers are strong professionals, parents show great commitment and there are few disparities between schools. Where teachers are poorly trained and motivated and where parents express little interest, an external control system strengthened with some pedagogical advice, might be much more appropriate.

The complicated exercise that each country has to undertake involves reflecting on the strengths and weaknesses of its supervision system in order to identify, within the above-mentioned models, those elements that could help enrich its present system so that it becomes a genuine tool for quality improvement.

170

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174

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Appendix
The Asian Network of Training and Research Institutions in Educational Planning (ANTRIEP)

The Asian Network of Training and Research Institutions in Educational Planning (ANTRIEP), which currently brings together twenty Asian institutions, offers an innovative answer to the question of how to strengthen national capacities in training and research in educational management. Without capacity-building, policies and programmes to improve the quality of education will have little chance of survival, let alone success. In its eight years of existence, the ANTRIEP network has grown to be a concrete and creative example of South–South co-operation.

Why a network?

There has been an impressive acceleration in the demand for training education planners and managers at different levels of decision-making in recent years for two reasons: the gradual expansion of educational management structures, and the trend towards decentralization and school autonomy. Both have broadened the range of actors requiring new management skills. In addition to top-level decision-makers and planners, the new breed of managers includes officers and administrators across ministerial departments, right down the hierarchy to district and school levels and the various

177

partners involved in educational development, including NGOs, local community groups and even parents.

Building a critical mass of skilled managers at all levels is increasingly seen as a prerequisite for improving the functioning of existing education systems, implementing the ambitious goals of 'Education for All' and developing human resource targets set by national governments. This in turn implies the development of a strong institutional framework for training different categories of personnel at national level.

In Asia, several institutions are involved in training and research in educational planning and management. Yet despite their long-standing experience in assisting their respective governments to strengthen planning and management capacities, they had no established mechanism for exchanging experiences amongst themselves for a long time. As a result, the level of communication between these institutions was generally poor and many were eager to increase interaction and engage in co-operative activities.

In order to achieve this goal, a network of national and regional Asian institutions was created in December 1995, with the support of the International Institute for Educational Planning (IIEP). It was considered that such a network would effectively harness the capacity-building potential available within the region by strengthening individual member institutions and placing them in a better position to respond to the training needs of their respective countries.

ANTRIEP's objectives

The overall objective of the network is to create synergy between the participating institutions to enable them to respond better to the growing and increasingly diversified needs for skill development in educational planning and management in the Asian region. More specifically, the network has the following operational objectives:

1. The regular exchange of technical information amongst members about specific issues relating to capacity-building in educational planning and management.
2. The continuous upgrading of knowledge and skills amongst professionals in the participating institutions by learning from each other's experience.
3. The instigation of co-operative research and training activities in areas of common interest.

Member institutions and organizational modalities

The network is known as ANTRIEP (Asian Network of Training and Research Institutions in Educational Planning). The original thirteen member institutions have expanded to twenty from ten countries. The network is open to all Asian training and research institutions involved in educational planning and management. There is no membership fee and current members are encouraged to contact other institutions that might be interested in participating. Institutions from the same country are invited to set up national networks.

One member organization is elected by consensus during the annual meeting as the 'focal point'. It assumes responsibility for

179

the publication of the *Newsletter* and the overall preparation of the annual meeting, in co-operation with other members and particularly with the host institution. At present, the Indian National Institute for Educational Planning and Administration (NIEPA) is acting as the 'focal point'.

The chair of the network changes at each annual meeting: the meeting's host automatically becomes chairperson. In addition to the hosting and presiding over the annual meeting, the chair examines new applications for membership in consultation with the 'focal point'.

Potential new members are requested to send a detailed institutional profile to the 'focal point'. If accepted for membership, profiles are published in the *ANTRIEP Newsletter*. Membership is continuous as long as institutions take part in the network's activities.

IIEP is providing special support until the network becomes self-sustained and self-directed.

Activities

Networking revolves around four main activities:

Collaboration on themes of common interest

Member institutions collaborate on research and training activities on themes of common interest, and several institutions have signed memoranda of understanding on a bilateral basis. In addition, several members have co-operated in an IIEP sponsored project 'Improving Teacher Supervision and Support Services for Basic Education'. The project has enabled member institutions to

180

enrich their training materials and strategies in supervision. In 2003-2004, a new research programme was undertaken, 'Successful School Management', through a series of case studies, it described and analyzed the management interventions and the process of change that have made specific schools 'successful'. Other joint activities include the publication of a newsletter and the organization of a regular policy seminar.

Exchange of information among member institutions

Most information is exchanged via the *ANTRIEP Newsletter*, published twice a year. It presents thematic, in-depth articles on issues of common interest, and news about activities in the member institutions. Themes already tackled include decentralization, teacher supervision and support, and policy reforms in primary education. Research reports, training materials, course design prototypes and other materials are also exchanged on a bilateral basis. The ANTRIEP website, set up in 2003, is turning into an interactive forum for exchange and discussion among members, while being a source of information for outsiders.

Organization of a regular ANTRIEP members meeting and policy seminar

This activity is crucial to the effective functioning of the network. It enables professionals to learn from each other in a systematic way, and facilitates the implementation of various training and research activities. Each meeting lasts one day, and is preceded by a policy seminar on a central theme (chosen after consultation at the previous meeting). Participants in the seminar include senior decision-makers from ministries of education and regional and international experts. This allows ANTRIEP to publicize its research findings to an influential public. ANTRIEP

181

has published the reports of the third and the fourth meetings, and is preparing the fifth and sixth meeting reports.

Six seminars have so far been organized. The venue rotates between members.

1. The first one, hosted in New Delhi by NIEPA in December 1995, had as its theme 'Decentralized Management of Primary Education and Capacity-building'.
2. The second, organized in Seoul by the Korean Educational Development Institute in May 1997, examined issues related to 'Improving Teacher Supervision and Support Services'.
3. The third, hosted by the Sri Lanka National Institute of Education, in December 1998, debated 'Improving School Efficiency in a Context of Increasing School Autonomy'.
4. The Shanghai Institute for Human Resource Development organized the fourth seminar, 'Improving School Management: the Role of the Head Teacher' (September 2000).
5. The fifth took place in Kuala Lumpur, in July 2002. The Institut Aminuddin Baki was the local host. Its theme was: 'School evaluation for quality improvement'.
6. The sixth seminar, hosted by Innotech in Manila, the Philippines, was entitled: 'Improving school management: learning from successful schools'.

Staff exchange programmes

Such staff exchanges, which are not yet systematically organized, have taken different forms: short study visits; collaboration between two or three institutions on a specific training course; collaborative research. They enable staff to gain an inside knowledge of another institution and country and to exchange and

discuss research results and take part in each other's training and research activities. Eventually, member institutions could act as nodal points for the respective countries in order to facilitate the exchange of professionals from a broader spectrum of organizations.

Resources

The continued success of the network requires the mobilization of internal resources by each member institution and contributions from external agencies. Each member provides support through e.g. staff time or publications. The network's launching was supported by the United Nations Children's Fund (UNICEF) and Overseas Development Administration (ODA, now Department for International Development, DfID). In addition, ANTRIEP has received assistance from the Norwegian Ministry of Foreign Affairs, the European Commission, the World Bank, the Colombo Plan Secretariat, IIEP and UNESCO.

List of current member institutions

BRAC (previously *Bangladesh Rural Advancement Committee)*, Dhaka, Bangladesh

Campaign for Popular Education (CAMPE), Dhaka, Bangladesh

National Academy for Educational Management (NAEM), Dhaka, Bangladesh

National Center for Education Development Research, Beijing, People's Republic of China

183

Shanghai Institute of Human Resource Development (SIHRD), Shanghai, People's Republic of China

Centre for Multi-Disciplinary Development Research, CMDR, Dharwad, Karnataka, India

National Council of Educational Research and Training (NCERT), New Delhi, India

National Institute of Educational Planning and Administration (NIEPA), New Delhi, India

State Institute of Educational Management and Training (SIEMAT), Uttar Pradesh, India

Office for Educational and Cultural Research and Development (Balitbang Dikbud), Jakarta, Indonesia

Korean Educational Development Institute (KEDI), Seoul, Republic of Korea

Institut Aminuddin Baki, Pahang, Malaysia

National Centre for Educational Development (NCED), Kathmandu, Nepal

Research Centre for Educational Innovation and Development (CERID), Kathmandu, Nepal

Academy of Educational Planning and Management (AEPAM), Islamabad, Pakistan

Aga Khan Educational Services (AKES), Karachi, Pakistan

184

The Institute for Educational Development, Aga Khan University (IED – AKU), Karachi, Pakistan

*Centre for Professional Development in Educational Management**, National Institute of Education* (NIE), Maharagama, Sri Lanka

Regional Centre for Educational Innovation and Technology, South East Asian Ministers of Education Organization (SEAMEO, INNOTECH), Quezon City, the Philippines

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185

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