



USAID
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INDONESIA

Decentralized Basic Education 1: Management and Governance

Implementing School-Based Management in Indonesia

The DBE1 Experience: 2005 – 2010

Impact Study



DBE 1 Special Report

July 2010

This report is one of a series of special reports produced by Research Triangle Institute (RTI), Implementing Partner for the USAID-funded Improved Quality of Decentralized Basic Education (IQDBE) program in Indonesia



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Prepared by
RTI International
3040 Cornwallis Road
Post Office Box 12194
Research Triangle Park, NC 27709-2194

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Executive Summary

The USAID-funded Decentralized Basic Education (DBE) Project aims to improve basic education delivery in Indonesia. The DBE1 component aims specifically to improve the management and governance of basic education at the level of districts as well as schools and Islamic *madrasah*. This report describes the impact of DBE1 on schools and madrasah, as assessed in a number of studies.

DBE1 commenced work early 2006 in the first cohort of elementary schools; some 526 schools in 50 districts spread over eight provinces. With more schools taking part in the second cohort, DBE1 total number of partner schools was 1,074. Working in partnership with MONE and MORA under a bilateral agreement with the national Coordinating Ministry for People's Welfare (*Menkokesra*), and with local governments, the project has developed and implemented a comprehensive program to support school-based management in these schools. This includes leadership training for principals, school committee strengthening and school development planning supported by the use of ICT.

DBE1 built on the work of previous and concurrent projects in Indonesia, particularly the UNICEF CLCC and USAID MBE projects.¹ The focus has been on deepening and strengthening the methodologies developed by these projects through, for example, longer and more intensive training and on-site mentoring and more comprehensive programs at district level.

Prior to commencing the program, DBE1 collected base line data from all schools. Routine performance monitoring was subsequently conducted every six months. This data provides good evidence of impact. Following three years of project implementation, DBE1 conduct a comprehensive series of studies over a two year period (2008-2010) to better assess the impact of DBE1 programs on schools.

DBE1 works extensively to improve the management and governance of basic education at both district and school level. The scope of this Impact Study is confined to impact at the level of school and community. The study is also confined for the most part to the first cohort of 526 target schools, where the program had been running for at least three years. It aims to address the following research questions:

- What is the impact of DBE1 at the school level?' (To what extent are we achieving our objectives?)
- What factors are associated with maximum impact?
- What factors are associated with minimal impact?
- Are there any unintended impacts; positive or negative?

¹ Creating Learning Communities for Children and Managing Basic Education.

- What can DBE1 and partners do to increase the impact and sustainability of outcomes during the remainder of the project?

This Impact Study is really a series of studies, using a variety of methodological approaches; qualitative and quantitative. Put another way, this is a multi-method, multi-site impact study. This report is the outcome of those studies. Components of the Impact Study include:

- routine project performance monitoring and analysis;
- quantitative and qualitative studies exploring the extent to which school development plans have been implemented in target schools, including field surveys by both the project team and national counterparts from MONE and MORA;
- three studies on school funding, which investigated: (1) the level of community support for local schools following DBE1 interventions, (2) a program to help school committees obtain funding from village budgets through Village Development Planning Forums (*musrenbangdes*), and (3) the impact of school unit cost analysis (BOSP) on district and provincial funding for schools;
- a survey of the principals of all target schools on their perceptions of the project's impact in their schools;
- an in-depth, qualitative participant observation study conducted in eight school clusters located in two provinces; and
- a series of four quantitative and qualitative studies on the project's impact on non-target schools through dissemination funded by local government and other agencies.

Taken together these various studies provide a comprehensive overview of DBE1 impact on school management and governance in schools. This Impact Study, while not strictly independent, in the sense that it was mainly conducted by *RTI International*, the implementing agent, is comprehensive and rigorous. Freedom was granted by USAID to conduct the study, independent consultants were engaged for some of the studies, national stakeholders took part, and the report was submitted for peer review by an independent consultant and senior researchers from Research Triangle Institute. The multi-site, multi-method approach also provides a powerful argument for the validity and reliability of findings.

What these studies cannot tell us is the ultimate impact on learning outcomes as a result of improved management and governance. The movement towards school-based management has taken place all over the world. However, it is difficult to find evidence directly linking school-based management to improvements in quality of education or learning outcomes for children. What we can expect, based on the results of international research, is that school-based management can help create the enabling conditions for improvements in teaching and learning. Good practice in leadership, administration, planning and budgeting, together with transparency, accountability and

improved parental and community participation, provide the foundations necessary for making teaching and learning more active and relevant. Experience demonstrates that it is the combination of programs to improve management and governance together with teaching and learning that creates an enthusiasm for change which can transform schools.

What these studies do consistently tell us is that the DBE1 interventions are having a significant impact on Indonesian schools. Project interventions have resulted in better management and governance in target schools and are being disseminated to large numbers of non-target schools by partner government and non-government agencies.

We know that many principals are becoming more open, transparent and participative in their management approach, school committees are becoming more active, and schools have prepared and are implementing school development plans based on comprehensive data analysis and involving a range of stakeholders. In short, school-based management has been successfully implemented in target schools.

Of the 526 target elementary schools surveyed, 96% now have good quality school development plans. Of the 7,603 programs listed in these plans, 74% were implemented by schools and their communities in the first year (79% in the second year). This is resulting in targeted professional learning programs for teachers, improvements to the learning environments in many schools and better teaching resources, such as the addition of computers, texts and teaching aids. The programs which were delayed were mostly dependent on higher levels of funding from district budgets, such as major infrastructure and teacher upgrading.

During the three years since DBE1 interventions commenced, local communities have contributed over Rp 25 billion (approximately \$2.6 million) as either cash or non-cash support for schools to implement their development plans. This is an average of \$2,446 contributed to each school by local communities. It seems clear that this contribution is a direct result of involving school communities in the preparation of school development plans. These voluntary contributions were made despite many local governments adopting new 'free schooling' policies which prevented schools from levying parents.

Through Village Development Planning Forums (*musrenbangdes*) in 2009, school committees leveraged some Rp 1.1 billion (\$120,000) for school development programs in the 106 villages studied (about \$1,132 per village or \$283 per school). This is a new source of funding for Indonesian schools. Some 82% these funds were allocated to infrastructure programs including local roads to improve access to schools, which could not be funded from BOS.²

² BOS is an abbreviation of the Indonesian term Bantuan Operasional Sekolah, school operation grants provided by the national government direct to schools on a per-capita basis since 2005.

Significant increases in local government funding for schools have also occurred as a result of the DBE1 school unit cost analysis (BOSP). This methodology allows policy makers to determine the real cost of educating a student at each level according to national standards. As a result of DBE1 school unit cost analysis in 49 districts, allocations to schools have increased by over Rp 1 trillion (over \$100 million) as at the middle of 2010.

Some 99% of principals believe that DBE1 has had a positive impact on their school. Many of those surveyed gave detailed accounts of concrete examples of impact. The most frequently mentioned impact was on school planning, followed by management, leadership and administration. The qualitative field case studies found that DBE1 is having a strong, broad and deep impact on schools, school committees, parents, teachers and students. The evidence found for transparent, participatory and responsive management practices was especially strong.

The take-up by local government has been impressive, funding has been increased in many districts, and the commitment of national government to formally adopting and promoting the methodologies developed by the project is very encouraging. The core strategy of DBE1 is to develop good practices in target schools and promote dissemination of these to other schools. The target set by USAID was 3,000 additional schools. As of June 2010, good practices developed under the project have been disseminated to over 10,000 schools with funding from local government, MORA, private foundations and the schools themselves. Studies conducted in 2008 and 2010 found that the programs in these schools are generally good quality and are producing good results, albeit somewhat less than in target schools, due to the fact that dissemination programs are generally less comprehensive than the original DBE1 program. Furthermore the study found that the quality, comprehensiveness and impact of dissemination programs is improving over time.

Many of these impacts, such as the scale of dissemination and the size of voluntary community contributions to schools as a result of their participation in school development planning, have substantially exceeded expectations. Other impacts are the result of programs and methodologies which were developed during the project and were unanticipated in the original design. These include the school unit cost analysis (BOSP) and the Village Development Planning Forum (*musrenbangdes*) methodology.

Key factors associated with maximum project impact were identified in the study as follows:

- The program is firmly and explicitly based on government policy.
- Stakeholder ownership is strong.
- Institutional and human capacity is built.
- Technical assistance rather than funding is provided.
- The program is manageable and affordable for local partners.

- Scope and geographical focus is limited.
- A locally-based implementation methodology is adopted.
- A complete and integrated school-based management program is provided.
- Commitment is built at provincial and district level.

These factors are briefly explained below.

Indonesia's policy on school-based management is regarded as essentially well-founded. The challenge is in implementation in Indonesia's vast and diverse system of elementary schools. Working with national counterparts from MONE and MORA, DBE1 has played the role of developing and piloting methodologies designed to implement these policies. In some cases these methodologies have been revised and updated in response to changes in national policy during the project implementation period. The positive response of schools, districts and related agencies is in large part due to the explicit alignment of these methodologies with current regulations as well as with established good practice.

Ensuring that local government stakeholders and community members are involved in the process for preparing school development plans and implementing other aspects of the program is another key to success. This approach builds ownership at the local level, increases support for the school in the form of both financial and social capital, and spreads the sense of responsibility for implementation of school based management and school improvement.

DBE1 does not provide funds, but only technical assistance. This approach increases ownership and reduces the risk of donor dependency, whereby recipients come to believe that they cannot implement or sustain an innovation, such as school-based management, without additional funding. All the improvements made in schools have been made with local funding and resources. DBE1 has only provided training and mentoring.

In addition, the methodologies for school development planning and other aspects of the school-based management program are generally within the financial reach of local government and schools, and can be implemented by local education authorities and other agencies as demonstrated by the scale of dissemination. The total cost of implementing DBE1's school-based management program is around Rp 8.5 million (\$900) per school. A school, working within the cluster system, could fund the complete DBE1 school-based management program, without reducing quality, over a period of 3-4 years at \$200 - \$300 per year. This is affordable within current school funding (BOS) arrangements.

Scaling up to large numbers of schools in dissemination programs is politically appealing for districts. But if the resources are inadequate, the result is usually failure and wasted resources. International studies in school reform

have consistently shown that training is best provided in the school and involving the whole school staff, sometimes in school clusters. For this reason, follow up on-site mentoring is also important as discussed below. Limiting the target number of schools to ensure that the capacity and funds are there for the complete program is important. DBE1 provided the full program in two clusters of approximately ten schools each per district. This meant that the change could be supported in a very intensive way over a relatively long period.

The locally-based approach taken in DBE1 was recognized as a key to project success by participants, including school principals, and by observers, including the GoI monitoring team. In particular, on-site mentoring known locally as '*pendampingan*' is seen by project personnel and the central government officials who took part in monitoring as a key factor in maximizing impact. This on-site mentoring enables the participation of all stakeholders in the school and, importantly, supports the implementation of new approaches learnt in the classroom-based training. For example, district facilitators visit each school and sit with working groups to complete preparation of school development plans and, subsequently, to discuss implementation.

Other aspects of the locally-based implementation methodology regarded as successful include the whole-school approach, training and use of local school supervisors (*pengawas*) as facilitators, use of the school cluster (*gugus*) system as a base for training, and participation of school and community stakeholders. Including teachers, parents and community members in training, along with school principals, school supervisors and local officials is one success factor. The school cluster system which operates amongst elementary schools in Indonesia is well established and provides an excellent basis for localized training and school improvement programs.

Like other demand-driven development projects, DBE1 is a partnership. The two key partners – local government and the project implementation team – share responsibility for achieving agreed objectives. Internal factors, external factors and the interplay between the two are all associated with maximum and, conversely, minimum impact. The most significant element in this partnership seems to be the level of commitment of the district or province and the capacity of the implementation team to leverage and build that commitment.

In order to sustain the impressive impact of the DBE1 project, in the final phase of project implementation increased efforts should be made to ensure that government officials at sub-district, district, province and national levels really understand the methodologies and fully support them – and where possible institutionalize the approach to school based management in policy.

The study demonstrates that school-based management can be successfully implemented in Indonesia and that this improves the management and governance of schools. The DBE1 project is strengthening the system of

education in this context. As a result of DBE1, both project and dissemination schools are experiencing more open, transparent and participative management, better school planning based on good data analysis and community consultation, and enhanced participation of local stakeholders through school committees.

The lessons for USAID and other donors that can be taken from this study are clear. Factors associated with impact have been identified. DBE1 is making a difference. Based on these findings it is recommended that USAID continue to support the development, implementation and dissemination of good practices in school-based management in Indonesia after DBE1 ends.

It is our hope that this Impact Study can contribute not only to project planning and implementation for USAID but to the broader international and local effort to support the Indonesian government and people in their efforts to improve basic education for Indonesia's children.

Ringkasan Eksekutif

Program *Decentralized Basic Education* (DBE) yang dibiayai oleh USAID bertujuan untuk meningkatkan mutu pelaksanaan pendidikan dasar di Indonesia. Secara khusus, DBE1 bertujuan untuk meningkatkan mutu manajemen dan tatalayanan di tingkat kabupaten/kota maupun di tingkat sekolah/madrasah. Laporan ini menggambarkan dampak program DBE1 di tingkat sekolah/madrasah berdasarkan berbagai penelitian yang dilakukan oleh DBE1.

DBE1 memulai kegiatannya pada awal 2006 di 526 sekolah/madrasah di kabupaten/kota mitra di delapan provinsi yang termasuk dalam Kohor 1. Dengan penambahan jumlah sekolah untuk Kohor 2, sekolah/madrasah mitra DBE1 adalah 1,074 SD/MI. Dalam melaksanakan program, USAID menandatangani perjanjian kerjasama bilateral dengan Kementerian Koordinator Kesejahteraan Rakyat dan DBE1 bermitra dengan Kementerian Pendidikan Nasional dan Kementerian Agama serta dengan pemerintah kabupaten/kota. Program ini dikembangkan dan dilaksanakan secara terpadu untuk mendukung manajemen berbasis sekolah. Kegiatan program meliputi pelatihan kepemimpinan untuk kepala sekolah/madrasah, pengembangan kapasitas kepala sekolah/madrasah, dan pengembangan rencana kerja sekolah yang didukung oleh Teknologi, Informasi dan Komunikasi.

Pengembangan program DBE1 dilakukan dengan menggunakan input dari program lain yang telah dilaksanakan di Indonesia, terutama CLCC dari UNICEF dan MBE dari USAID³. Fokus dari kegiatan DBE1 adalah memperdalam dan memperkuat metodologi yang telah dikembangkan oleh program-program tersebut di atas, misalnya, pelatihan yang dilakukan dalam jangka waktu yang lebih panjang dan mendalam serta melalui pendampingan langsung. Program juga melakukan pendampingan yang lebih terpadu di tingkat kabupaten/kota.

Sebelum pelaksanaan program, DBE1 mengumpulkan data *base line* dari seluruh sekolah/madrasah mitra. DBE1 juga melakukan kegiatan pemantauan teratur setiap enam bulan. Data-data yang dikumpulkan dalam kegiatan-kegiatan pemantauan ini memberikan gambaran mengenai bukti dari dampak kegiatan. Setelah pelaksanaan program selama tiga tahun, DBE1 melakukan penelitian yang terpadu yang dilakukan dalam dua tahun (2008-2010) untuk melihat lebih jauh dampak program di tingkat sekolah.

DBE1 telah bekerja secara mendalam di tingkat sekolah maupun kabupaten/kota untuk meningkatkan manajemen dan tatalayanan pendidikan dasar. Cakupan Studi Dampak ini dibatasi hanya untuk tingkat sekolah dan masyarakat saja dan terfokus kepada 526 sekolah/madrasah mitra DBE1 yang berada di Kohor 1 dan telah melaksanakan kegiatan DBE1 selama paling

³ *Creating Learning Communities for Children dan Managing Basic Education.*

sedikit tiga tahun. Studi Dampak ini bertujuan untuk menjawab pertanyaan-pertanyaan berikut:

- Apakah dampak dari program DBE1 di tingkat sekolah? (Sampai di mana DBE1 mencapai tujuan yang telah ditentukan sebelumnya?)
- Faktor-faktor apa saja yang berhubungan dengan dampak yang maksimum?
- Faktor-faktor apa saja yang berhubungan dengan dampak yang minimum?
- Apakah ada dampak yang tidak diperkirakan sebelumnya; positif atau negatif?
- Apa yang bisa dilakukan oleh DBE1 dan mitra-mitranya untuk meningkatkan dampak dan kesinambungan dari hasil-hasil yang dicapai hingga program DBE1 berakhir?

Studi Dampak ini pada dasarnya merupakan kumpulan dari beberapa studi yang menggunakan berbagai metode pendekatan baik secara kualitatif maupun kuantitatif dan dilakukan di berbagai tempat. Komponen dari Studi Dampak ini termasuk:

- Kegiatan pemantauan dan analisis secara rutin,
- Penelitian kuantitatif dan kualitatif untuk mempelajari lebih jauh hingga sejauh mana rencana kerja sekolah/madrasah telah dilaksanakan di sekolah/madrasah mitra, termasuk juga survei lapangan yang dilakukan oleh anggota DBE1 bersama-sama dengan pemangku kepentingan nasional dari Kementerian Pendidikan Nasional dan Kementerian Agama,
- Tiga penelitian dalam pendanaan sekolah yang mempelajari: (1) dukungan dari masyarakat yang didapat oleh sekolah/madrasah setelah sekolah/madrasah terlibat dalam program DBE1, (2) program yang dilakukan untuk membantu anggota komite sekolah/madrasah mendapatkan dana melalui Musyawarah Perencanaan Pembangunan Desa (Musrenbangdes,) dan (3) dampak dari pelaksanaan program Biaya Operasional Satuan Pendidikan (BOSP) terhadap pendanaan sekolah/madrasah dari kabupaten dan provinsi,
- Penelitian terhadap seluruh kepala sekolah/madrasah mitra mengenai pengertian mereka tentang dampak DBE1 terhadap sekolah/madrasah,
- Penelitian kualitatif yang dilakukan secara mendalam di delapan gugus di dua provinsi, dan
- Serangkaian penelitian yang terdiri dari empat penelitian kuantitatif dan kualitatif mengenai dampak dari program DBE1 terhadap sekolah/madrasah non-mitra yang terjadi melalui kegiatan diseminasi yang dibiayai oleh pemerintah kabupaten/kota ataupun lembaga lainnya.

Semua penelitian ini memberikan gambaran umum yang menyeluruh mengenai dampak kegiatan DBE1 dalam manajemen dan tatalayanan sekolah/madrasah. Walaupun tidak sepenuhnya independen, Studi Dampak ini dilakukan secara mendalam dan teliti. Selain itu, Studi Dampak ini pada dasarnya dilakukan oleh *Research Triangle Institute (RTI) International* yang merupakan pihak pelaksana dari program DBE1. USAID memberikan kebebasan kepada *RTI International* untuk melaksanakan penelitian ini, dimana konsultan independen juga terlibat dalam beberapa penelitian, pemangku kepentingan nasional juga ambil bagian, dan laporan ini juga melalui proses “*peer review*” yang dilakukan oleh konsultan independen dan peneliti-peneliti senior dari *RTI International*. Penelitian yang dilakukan di tempat-tempat yang berbeda dengan menggunakan berbagai metodologi juga mendukung validitas dan kebenaran dari hasil penemuan-penemuan yang ada.

Namun demikian, hasil penelitian ini tidak dapat menunjukkan apakah hasil pembelajaran yang lebih baik merupakan hasil dari kegiatan manajemen dan tatalayanan sekolah yang lebih baik. Dari berbagai upaya mendukung manajemen berbasis sekolah yang telah dilakukan di seluruh dunia, tidak mudah untuk mendapatkan bukti yang menghubungkan secara langsung kegiatan manajemen berbasis sekolah dengan perbaikan mutu pendidikan atau pembelajaran bagi anak-anak. Apa yang bisa kita harapkan, berdasarkan hasil dari penelitian yang telah dilakukan di dunia internasional, adalah manajemen berbasis sekolah mendorong menciptakan kondisi yang mendukung perbaikan dalam kegiatan belajar mengajar. “*Good practice*” dalam kepemimpinan, administrasi, perencanaan dan pendanaan, bersama dengan transparansi, akuntabilitas, dan partisipasi orangtua murid dan masyarakat yang lebih baik, memberikan dasar yang diperlukan untuk menjadikan kegiatan belajar dan mengajar menjadi lebih aktif dan relevan lagi. Pengalaman selama ini telah menunjukkan bahwa kombinasi antara berbagai program untuk meningkatkan manajemen dan tatalayanan dan kegiatan belajar dan mengajar yang mengembangkan rasa antusiasme terhadap perubahan dapat merubah sekolah itu sendiri menjadi lebih baik lagi.

Secara konsisten, hasil dari penelitian-penelitian ini menunjukkan bahwa program-program DBE1 memiliki dampak yang penting terhadap sekolah/madrasah di Indonesia. Program-program DBE1 telah menghasilkan manajemen dan tatalayanan yang lebih baik di sekolah/madrasah mitra dan tengah disebarluaskan kepada sekolah/madrasah non-mitra oleh pemerintah kabupaten/kota ataupun lembaga non-pemerintah lainnya.

Kita juga mengetahui saat ini bahwa sudah lebih banyak kepala sekolah/madrasah yang menjadi lebih terbuka, transparan dan partisipatif dalam mengelola sekolah/madrasah nya, anggota komite sekolah/madrasah yang menjadi lebih aktif, dan sekolah/madrasah telah menyiapkan dan melaksanakan rencana kerjanya yang disusun berdasarkan analisis data yang menyeluruh dan melibatkan berbagai pemangku kepentingan. Secara singkat

bisa dikatakan bahwa manajemen berbasis sekolah telah dilaksanakan secara sukses di sekolah/madrasah mitra DBE1.

Dari 526 sekolah/madrasah dasar mitra yang diteliti, 96% telah memiliki rencana kerja sekolah/madrasah yang baik. Dari 7,603 program yang ada dalam rencana kerja sekolah/madrasah tersebut, 74% telah dilaksanakan oleh sekolah/madrasah dan masyarakat dalam tahun pertama (79% dalam tahun ke dua). Pelaksanaan dari program-program ini telah membawa hasil yang baik seperti program pembelajaran yang profesional untuk guru, perbaikan suasana pembelajaran di banyak sekolah/madrasah, dan adanya sumber pembelajaran yang lebih baik seperti misalnya penambahan komputer, buku, dan alat bantu mengajar. Untuk program-program yang harus diundur pelaksanaannya biasanya berhubungan dengan pendanaan kegiatan yang harus berasal dari tingkat kabupaten/kota seperti misalnya program perbaikan mutu guru atau pembangunan sarana atau prasarana.

Sejak DBE1 memulai program-programnya tiga tahun yang lalu, warga masyarakat telah memberikan kontribusi sebesar Rp. 25 milyar yang berbentuk tunai atau non-tunai guna mendukung sekolah/madrasah dalam melaksanakan rencana kerja sekolah/madrasah mereka. Hal ini berarti setiap sekolah/madrasah menerima rata-rata sekitar Rp. 23 juta dari warga masyarakatnya. Kontribusi ini merupakan hasil langsung dari adanya keterlibatan pihak masyarakat pada saat mengembangkan rencana kerja sekolah/madrasah. Bantuan sukarela ini tetap dilakukan oleh warga masyarakat walaupun banyak pemerintah kabupaten/kota yang menerapkan kebijakan “pendidikan gratis” dan melarang sekolah/madrasah menarik iuran dari orang tua murid.

Melalui kegiatan musrenbangdes pada tahun 2009, komite sekolah/madrasah mendapatkan dukungan sekitar Rp. 1.1 milyar untuk program-program pengembangan sekolah/madrasah di 106 desa yang di kunjungi (sekitar Rp. 10,754,000 per desa atau Rp. 2,688,500 per sekolah.) Hal ini merupakan sumber baru pendanaan untuk sekolah/madrasah di Indonesia. Sekitar 82% dari dana ini dialokasikan untuk kebutuhan infrastruktur, misalnya perbaikan jalan untuk memudahkan akses ke sekolah yang biaya pengerjaannya tidak dapat dibiayai oleh dana BOS.⁴

Peningkatan yang sangat berarti dalam pendanaan kabupaten/kota untuk sekolah/madrasah juga telah terjadi dan hal ini juga merupakan hasil dari kegiatan analisis Biaya Operasional Satuan Pendidikan (BOSP) yang dilakukan oleh DBE1. Metodologi ini memungkinkan pembuat kebijakan untuk menentukan biaya yang sebenarnya diperlukan untuk mengajar seorang anak dalam setiap jenjangnya, sementara biaya dan analisis tersebut dilakukan dengan mengacu kepada standar nasional. Sebagai hasil dari analisis BOSP yang telah dilakukan di 49 kabupaten/kota, alokasi dana untuk sekolah telah meningkat sebanyak Rp. 1 trilyun pada akhir tahun 2009.

⁴ BOS adalah Bantuan Operasional Sekolah yang merupakan bantuan pemerintah nasional untuk sekolah yang mulai dilakukan sejak tahun 2005.

Sekitar 99% kepala sekolah percaya bahwa program-program DBE1 berdampak positif terhadap sekolah mereka. Sebagian besar dari mereka yang ambil bagian dalam penelitian ini memberikan banyak contoh konkrit dampak-dampak positif tersebut. Dampak yang paling sering disebutkan adalah yang terjadi dalam perencanaan sekolah, dalam manajemen, kepemimpinan, dan administrasi sekolah. Selain itu, penelitian secara kualitatif menunjukkan bahwa DBE1 memiliki dampak yang kuat, luas, dan dalam terhadap sekolah/madrasah, komite sekolah/madrasah, orang tua murid, guru, dan pelajar, khususnya dalam manajemen sekolah yang transparan, partisipatif, dan responsif yang sangat baik.

Hasil penelitian menunjukkan bahwa tingkat keikutsertaan pemerintah kabupaten/kota juga sangat baik. Pendanaan telah meningkat di banyak kabupaten/kota dan komitmen dari pemerintah nasional untuk secara resmi mengadopsi dan mempromosikan metodologi yang telah dikembangkan oleh DBE1. Strategi utama dari DBE1 adalah mengembangkan “*good practice*” di sekolah/madrasah mitra dan menyebarluaskan “*good practice*” tersebut kepada sekolah/madrasah lainnya. USAID menentukan target bahwa program DBE1 didiseminasikan di 3,000 sekolah tambahan. Pada bulan Juni 2010, “*good practice*” yang dikembangkan oleh DBE1 telah didiseminasikan di lebih dari 10,000 sekolah dengan pendanaan yang berasal dari pemerintah kabupaten/kota, Kementerian Agama, yayasan, dan juga dari sekolah. Penelitian yang dilakukan pada tahun 2008 dan 2010 menunjukkan bahwa program-program di sekolah/madrasah ini memiliki hasil dan mutu yang cukup baik, walaupun cenderung masih kurang jika dibandingkan dengan hasil dan mutu yang ada di sekolah/madrasah mitra. Hal ini disebabkan karena program-program diseminasi di sekolah/madrasah tersebut biasanya tidak selengkap program-program yang dilaksanakan di sekolah/madrasah mitra. Penelitian juga menemukan bahwa mutu, kelengkapan, dan dampak dari diseminasi bertambah baik seiring dengan berjalannya waktu.

Berbagai dampak dari program-program DBE1, seperti cakupan diseminasi dan jumlah kontribusi sukarela masyarakat sebagai hasil dari keikutsertaan mereka dalam pengembangan rencana kerja sekolah/madrasah, pada dasarnya telah melebihi harapan. Dampak lain yang merupakan dampak yang tidak diperkirakan pada saat program DBE1 didesain, misalnya dampak kegiatan yang didampingi oleh DBE1 yaitu Biaya Operasional Satuan Pendidikan (BOSP) dan musrenbang.

Faktor-faktor kunci yang bisa memaksimalkan dampak baik dari program-program DBE1 adalah:

- Program-program DBE1 secara jelas dan tegas dirancang berdasarkan kebijakan pemerintah.
- Kuatnya rasa kepemilikan dari pemangku kepentingan terhadap program-program ini.
- Adanya pengembangan institusi dan kapasitas peserta kegiatan.

- Pemberian bantuan dalam bentuk bantuan teknis, bukan uang.
- Program-program yang ada mudah untuk dikelola dan dapat dibiayai oleh mitra lokal.
- Cakupan dan fokus geografis dari kegiatan DBE1 terbatas.
- Program-program dilaksanakan dengan menggunakan metode berbasis lokal.
- Program Manajemen Berbasis Sekolah yang terintegrasi dan lengkap.
- Komitmen yang dibangun di tingkat kabupaten maupun provinsi.

Faktor-faktor tersebut dijelaskan secara singkat dibawah ini.

Kebijakan-kebijakan pemerintah Indonesia dalam manajemen berbasis sekolah dirasakan sebagai hal yang baik. Tantangan yang dihadapi adalah bagaimana melaksanakan kebijakan-kebijakan tersebut dalam sistem pendidikan dasar di Indonesia yang terdiri dari berbagai keragaman. Bekerja sama dengan pemangku kepentingan dari Kementerian Pendidikan Nasional dan Kementerian Agama, DBE1 berperan penting dalam mengembangkan dan mengujicoba metodologi yang didesain untuk melaksanakan kebijakan-kebijakan tersebut. Dalam beberapa situasi, pada saat pelaksanaan program, beberapa metodologi telah diperbaiki dan dimutakhirkan sesuai dengan perubahan yang terjadi dalam kebijakan nasional. Pihak sekolah, kabupaten/kota dan lembaga terkait memberikan tanggapan yang baik karena mereka melihat adanya hubungan yang jelas antara kegiatan-kegiatan DBE1 dengan kebijakan-kebijakan tersebut ataupun “*good practice*” yang telah dilakukan dan tertanam selama ini.

Keterlibatan pemangku kepentingan kabupaten/kota dan anggota masyarakat dalam mengembangkan rencana kerja sekolah/madrasah dan melaksanakan aspek-aspek dari program-program dalam rencana kerja sekolah/madrasah juga merupakan kunci penting dalam mencapai kesuksesan pelaksanaan program DBE1. Pendekatan ini mengembangkan rasa kepemilikan pada tingkat lokal, meningkatkan dukungan untuk sekolah/madrasah dalam bentuk keuangan maupun modal sosial, dan menyebarkan rasa tanggung jawab terhadap pelaksanaan manajemen berbasis sekolah dan perbaikan sekolah/madrasah.

Dukungan yang diberikan DBE1 berbentuk bantuan teknis, bukan uang. Pendekatan ini meningkatkan rasa kepemilikan penerima bantuan terhadap program yang dilaksanakan. Pendekatan ini juga mengurangi resiko adanya ketergantungan terhadap lembaga donor, dimana penerima bantuan merasa bahwa mereka tidak dapat melakukan kegiatan seperti manajemen berbasis sekolah, tanpa adanya dana tambahan. DBE1 hanya memberikan pelatihan dan pendampingan, sedangkan semua perubahan dan perbaikan yang terjadi di sekolah/madrasah dilakukan dengan pendanaan dan sumberdaya lokal.

Selain itu, DBE1 mengembangkan metodologi untuk perencanaan pengembangan sekolah dan bagian-bagian lain dari manajemen berbasis

sekolah sedemikian rupa agar pemerintah kabupaten/kota dapat mendanainya dan agar pihak pendidikan setempat atau lembaga lainnya dapat melaksanakannya dengan mudah. Dari luasnya cakupan diseminasi saat ini, bisa disebutkan bahwa upaya tersebut berhasil. Total biaya untuk melaksanakan program manajemen berbasis sekolah yang dikembangkan oleh DBE1 adalah sekitar Rp. 8,5 juta per sekolah. Satu sekolah/madrasah yang memanfaatkan keberadaan sistem gugus, dapat mendanai program manajemen berbasis sekolah yang lengkap dengan mutu yang baik, dalam jangka waktu tiga sampai empat tahun dengan harga Rp. 1,900,000 hingga Rp. 2,850,000 per tahunnya. Dengan adanya dana BOS, sekolah/madrasah dapat melakukan hal ini.

Menambah jumlah sekolah/madrasah yang ikut serta dalam mendiseminasikan program DBE1 biasanya secara politis menarik untuk dilakukan oleh pemerintah kabupaten/kota. Namun demikian, jika sumber daya tidak cukup, upaya ini seringkali tidak berhasil dan hanya menjadi ajang membuang sumber daya secara percuma. Penelitian internasional dalam reformasi yang terjadi di sekolah telah menunjukkan bahwa pelatihan paling baik dilakukan di sekolah dan melibatkan semua staf sekolah, terkadang di satu gugus.

Berdasarkan hal ini, pendampingan yang dilakukan di tempat langsung, dalam hal ini di sekolah/madrasah sebagai tindak lanjut pelatihan adalah hal penting yang juga dilakukan. Membatasi jumlah sekolah/madrasah untuk memastikan bahwa kapasitas dan dana yang tersedia juga mencukupi untuk menghasilkan program yang baik dan lengkap juga merupakan hal yang penting. DBE1 melaksanakan program yang lengkap di dua gugus per kabupaten/kota, yang terdiri dari sekitar sepuluh sekolah per gugus. Hal ini berarti perubahan yang terjadi dapat di dukung secara intensif dalam waktu yang cukup panjang.

Pendekatan secara lokal juga dirasakan sebagai salah satu hal penting untuk mendukung pelaksanaan program DBE1. Bentuk pendekatan tersebut adalah pendampingan yang dilakukan langsung ditempat (di sekolah/madrasah.) Dengan pendampingan langsung, peserta kegiatan yang terdiri dari pemangku kepentingan sekolah dapat berpartisipasi dan mendukung pelaksanaan dari pendekatan-pendekatan baru yang dipelajari pada saat pelatihan sebelumnya. Misalnya, fasilitator kabupaten/kota mengunjungi setiap sekolah/madrasah dan duduk bersama dengan anggota kelompok kerja pengembangan rencana kerja sekolah/madrasah untuk menyelesaikan pengembangan rencana kerjanya dan juga membicarakan mengenai rencana pelaksanaan dari rencana kerja sekolah/madrasah tersebut. Oleh berbagai pihak, pendekatan seperti ini diakui sebagai faktor kunci yang mendukung keberhasilan program DBE1 dan berdampak positif untuk sekolah/madrasah. Adapun pihak-pihak yang berpendapat seperti itu termasuk kepala sekolah, tim DBE1, maupun para pengamat penelitian, termasuk beberapa wakil dari pemerintah Republik Indonesia.

Bagian-bagian lain dari pendekatan secara lokal adalah pendekatan yang dilakukan secara keseluruhan dimana pengawas terlibat sebagai fasilitator

kegiatan, sistem gugus digunakan sebagai basis untuk lokasi pelatihan, dan keterlibatan pemangku kepentingan sekolah/madrasah dan masyarakat. Upaya melibatkan guru, orang tua murid, dan anggota masyarakat dalam pelatihan, bersama-sama dengan kepala sekolah/madrasah, pengawas, dan pemangku kepentingan kabupaten/kota merupakan upaya baik yang dapat mendukung kesuksesan pelaksanaan program-program DBE1. Sistem gugus yang ada digunakan untuk sekolah dasar di Indonesia telah berjalan dengan baik dan memberikan basis yang baik untuk melakukan pelatihan secara lokal dan melaksanakan program peningkatan sekolah.

Seperti proyek pembangunan lainnya yang dilakukan berdasarkan permintaan-permintaan yang ada, program DBE1 adalah program kemitraan. Dua mitra kunci – pemerintah kabupaten/kota dan tim pelaksana program – berbagi tanggung jawab dalam meraih tujuan-tujuan yang telah disetujui sebelumnya. Faktor internal, eksternal, dan faktor-faktor lain diantaranya mempengaruhi mutu dari dampak itu sendiri, baik secara positif maupun negatif. Hal yang paling penting dalam kemitraan ini adalah tingkat komitmen yang dimiliki pada tingkat kabupaten/kota maupun provinsi dan kapasitas yang dimiliki oleh tim pelaksana untuk mendukung komitmen itu sendiri.

Untuk mempertahankan dampak yang sangat baik dari program-program DBE1, upaya-upaya yang telah disebutkan diatas harus dilakukan lebih sering lagi selama periode akhir pelaksanaan program. Hal ini perlu dilakukan agar wakil pemerintah di tingkat kecamatan, kabupaten/kota, provinsi, dan nasional benar-benar mengerti metodologi DBE1 dan mendukung secara penuh. Jika memungkinkan, upaya untuk melembagakan pendekatan-pendekatan manajemen berbasis sekolah dalam bentuk kebijakan juga dilakukan.

Hasil dari penelitian ini menunjukkan bahwa manajemen berbasis sekolah dapat dilakukan secara sukses di Indonesia dan hal ini mendukung perbaikan mutu manajemen dan tatalayanan di sekolah/madrasah. Dalam konteks ini, DBE1 menguatkan sistem pendidikan di Indonesia. Sebagai hasilnya, sekolah/madrasah mitra maupun sekolah/madrasah yang terlibat dalam diseminasi memiliki manajemen yang lebih terbuka, transparan, dan partisipatif, memiliki perencanaan yang lebih baik dan berdasarkan analisis data dan dilakukan dengan berkonsultasi kepada warga masyarakat, dan partisipasi yang lebih baik dari warga setempat melalui adanya komite sekolah.

Berbagai pelajaran dapat diambil oleh USAID dan lembaga donor lainnya dari hasil penelitian ini. Faktor-faktor yang berhubungan dengan berbagai dampak telah diidentifikasi. DBE1 telah mengadakan perubahan. Berdasarkan hasil-hasil penelitian-penelitian ini, DBE1 merekomendasikan kepada USAID untuk mendukung pengembangan, pelaksanaan, dan diseminasi dari “*good practice*” dalam manajemen berbasis sekolah di Indonesia setelah DBE1 berakhir.

Adalah menjadi harapan kami bahwa Studi Dampak ini dapat memberikan kontribusi tidak hanya untuk perencanaan dan pelaksanaan program USAID namun juga untuk mendukung upaya lembaga internasional maupun lokal

dalam mendukung pemerintah dan masyarakat Indonesia meningkatkan mutu pendidikan dasar di Indonesia dimana manfaatnya dapat dirasakan oleh semua anak di negeri ini.

Chapter 1 - Introduction

The USAID-funded Decentralized Basic Education (DBE) Project aims to improve basic education delivery in Indonesia. The DBE1 component aims specifically to improve the management and governance of basic education at the level of districts as well as schools and Islamic madrasah.¹ The purpose of this study is to describe the impact of DBE1 on schools and madrasah, as assessed in a number of studies. Throughout this report, the term ‘school’ is taken to include madrasah and regular schools, both public and private.

Project activity commenced early 2006 in the first cohort of elementary schools; some 526 schools in 25 districts spread over eight provinces.² In early 2009, after three years of project implementation, DBE1 began to conduct a comprehensive study to assess the impact of DBE1 programs to support school-based management in these schools, as reported in Chapter Two. While routine monitoring, which is reported in Chapter Three, provides evidence that suggests project outputs are having an impact in improving management and governance in schools, its main purpose is to measure project implementation performance. This present Impact Study using both qualitative and quantitative approaches is needed to better measure impact of DBE1 interventions as well as the nature of that impact and factors associated with success and failure.

While DBE1 works intensively at both district and school levels and has pioneered important approaches to improving the management and governance of basic education at both, the scope of this study is confined to the level of school and community. The study is also confined for the most part to the first cohort of 526 target schools, where the program has been running for at least three years with direct support from DBE1. An additional 550 elementary schools joined the program in the second cohort commencing in early 2007.

Background

Decentralized Basic Education (DBE) is a bilateral program between the Government of the United States of America, represented by the United States Agency for International Development (USAID), and the Government of the

¹ Since the 1970s, madrasah in Indonesia have operated as regular schools, teaching the national curriculum including a full range of regular subjects in addition to extra Islamic studies to regular students. Madrasah at elementary level are known as Madrasah Ibtidaiyah (MI) and at junior secondary level as Madrasah Tsanawiyah (MTs).

² Note that the figure for the total of target schools/madrasah in Cohort 1 varies slightly for different studies reported in this document. This variation is the result of minor changes occurring during the period of project implementation such as schools closing or amalgamating.

At the commencement of the DBE1 program, the total number was 536, consisting of: Banten: 52; West Java: 60; Central Java: 107; East Java: 82; South Sulawesi: 88; North Sumatra: 100; NAD: 40; and DKI Jakarta: 7, making a total of: 536. This number has dropped by 10 due to various factors including schools and madrasah closing or merging.

Republic of Indonesia, represented by the Coordinating Ministry for People's Welfare (*Kementrian Koordinator Kesejahteraan Rakyat* or *Menkokesra*).

DBE consists of three separate but coordinated projects: DBE1, which is focused on the management and governance of basic education, DBE2, on the quality of teaching and learning in elementary schools, and DBE3, on the relevance and quality of junior-secondary schools. DBE1 is implemented by *RTI International*.

The objective of DBE1 is to assist the government of Indonesia to improve the quality of basic education in Indonesia through more effective decentralized educational management and governance. At the school level this means assisting schools to implement an effective approach to school-based management.³

DBE1 commenced in April 2005 and will run until September 2010. As illustrated in the map below, the core program operates in eight provinces located on the islands of Sumatra, Java and Sulawesi⁴.

Figure 1.1: DBE1 Target Locations



The current target is 1,076 elementary schools (SD/MI) and 203 junior secondary schools (SMP/MTs) in 50 districts. This represents over 1,500 teachers and 245,000 students. The current anticipated target for dissemination of DBE1 programs, funded primarily by local government, is over 10,000 schools. See Appendix 4 for a list of districts.

School-based management in Indonesia

With a population of 240 million, Indonesia is the fourth largest nation in the world and has the largest Islamic population of any country. Like many developing countries, Indonesia has a young population, with 28 percent of its

³ *Madrasah* in Indonesia are Islamic schools, run in most cases by private foundations. They differ only slightly from regular schools, teaching the national curriculum and adding additional lessons in Islamic studies. For further information on the organization of the Indonesian basic education system including the roles of state and private schools and madrasah, see DBE1 report, *Study of Legal Framework for the Indonesian Basic Education Sector* (September 2009).

⁴ Note that West Papua and DI Yogyakarta are also identified on the map as DBE1 collaborated with private enterprise in Public-Private Alliance programs in these locations.

people under the age of 15.⁵ Approximately 215,800 public and private schools and madrasah at elementary and junior-secondary levels⁶ provide a basic education to some 34,700,000 children⁷ in a massive national education system spread across approximately 11,000 inhabited islands, encompassing remote coastal and jungle communities in far-flung locations through to urban communities in large cities on the central island of Java.⁸

Of all the arms of government, basic education has the greatest reach into Indonesia's often remote communities. For most Indonesians, schools offer the first and most accessible experience of government or indeed any formal sector organization. School based management policies, such as are supported by the DBE1 program, improve management, increase transparency and enhance local community participation in school development planning.

School-based management implies the devolution of significant authority within an education system to the school level. The approach is also sometimes referred to with the terms 'self managing school', 'school autonomy' or 'local management'. Following Brian Caldwell and colleagues, in this report 'school-based management' is taken to refer to:

'...a school in a system of education to which there has been decentralized a significant amount of authority and responsibility to make decisions related to the allocation of resources within a centrally determined framework of goals, policies, standards and accountabilities'.⁹

In Indonesia the term has been adopted and localized as '*Management Berbasis Sekolah*' or MBS.¹⁰ With the passing of the Law on the National Education System (20/2003)¹¹ Indonesia formally adopted a policy of school-based management for all of its public and private schools and madrasah. Implementation of this policy is a work in progress.

School-based management requires good leadership, data management, school development planning and the active participation of all stakeholders at the level of the school. The achievement of this good practice in Indonesian

⁵ <https://www.cia.gov/library/publications/the-world-factbook/geos/id.html> Accessed on 1st October 2009.

⁶ Data on number of schools and madrasah from MONE: *Workshop BOS dalam rangka persiapan pelatihan kepada sekolah untuk penyusunan perencanaan sekolah (RKS/RKAS) dan manajemen keuangan. Tanggal 19 Februari 2010, di Hotel Century.* Jakarta: SD: 147,000, SMP: 33,500, MI: 21,800 and MTs: 13,600.

⁷ Data on student numbers from the MONE website for 2006/2007: PADATIWEB: <http://www.padatiweb.depdiknas.go.id/?t=page&id=statistik&jenis=sd#> Note that this figure is likely to be understated due to incomplete and out-of-date data on the website.

⁸ <http://www.nationsencyclopedia.com/economies/Asia-and-the-Pacific/Indonesia.html#ixzz0VUfic5Tj> accessed on 1st October 2009

⁹ Caldwell, B. and Harris, J. (2008) *Why not the best schools?* ACER Press, Camberwell.

¹⁰ The Ministry of Education in Indonesia has adopted the term *Manajemen Berbasis Sekolah*, abbreviated as MBS, as official policy. The concept of school-based management in this policy includes three pillars: management, community participation and active learning (known locally as PAKEM). The DBE1 project focuses only on two of these pillars; management and governance, (or community participation). For this reason, and to align with international understandings of school-based management, the definition of school-based management which applies in this report does not include a teaching/learning component.

¹¹ *Undang Undang Sisdiknas 20/2003* – This and other relevant laws and regulations may be found on the DBE website, <http://www.dbe-usaid.org/> under the Resource Materials section.

schools requires a shift in how people think about schooling as well as a significant improvement in the capacity of school principals, teachers and school committees.

Indonesia's historically centralized education system has served well to unify the nation, providing Indonesian citizens with a single political ideology (*Pancasila*), a single language (*Bahasa Indonesia*) and a common national identity. Indonesia's aim to provide access to education for all children, across a vast archipelago of over 13,000 islands with around 300 ethnic groups, has been largely successful. Although the Education For All (EFA) goal of universal access is yet to be achieved, progress has been impressive. According to UNESCO EFA reports, approximately 92% of Indonesian children receive some elementary schooling. Around 80% complete elementary school and the trend is improving.¹²

While Indonesia has yet to perform well as a nation on comparative international tests in math and science, it has been successful in giving the basic skills of literacy to approximately 90% of its large and mainly poor population. These are significant achievements for a young nation which 50 years ago provided schooling to less than 10% of its citizens.

But this success has come at a cost. Education designed as an instrument for nation building has not worked as well for building the foundations of a democratic society or for empowering local communities or village schools. While the centralized top-down model worked well for Indonesia's first phases of political and economic development, it is no longer appropriate. For Indonesia to build an open, competitive and democratic society, it needs a new model of education. In order to implement models of good practice in school-based management, school personnel together with their local communities need to feel a renewed sense of ownership and responsibility for quality in their local school.

The highly centralized system developed during the initial 50 years since Indonesian independence in one sense disempowered principals, teachers and local communities. In a centralized system, school principals and teachers tend to see themselves as implementers of national government policy;¹³ parents, communities and children see themselves as passive recipients. They do not typically feel a sense of ownership for their local school and consequently do not feel that they have rights or responsibilities attached. With the new government policies on decentralization this is beginning to change.

¹² See: UNESCO (2007) *Indonesia EFA Mid-Decade Assessment Report* and Fasli Jalal, Nina Sardjunani, (2005) *Background paper prepared for the Education for All Global Monitoring Report 2006 Literacy for Life: Increasing literacy in Indonesia*

¹³ See Bjork, C. (2005) *Indonesian Education: Teachers, Schools, and Central Bureaucracy*, Taylor and Francis Group, New York



In 2002, the Ministerial regulation, Kepmendiknas No 044/U/2002,¹⁴ concerning school committees and education boards, set out the roles, rights and responsibilities for governing bodies at school and district level. Following this, in 2005, the Government issued a regulation clearly identifying the standards for school-based management, including school development planning (PP 19/2005). Also in 2005, the Government introduced School Operational Funding (Bantuan Operasional Sekolah, known as BOS).¹⁵ As a result, since then schools have received per-capita

grant funding direct from the central government, giving them for the first time some financial independence.¹⁶ In 2009, BOS funding was increased by more than 50%.¹⁷

Since the adoption of these new school management and governance policies, the Indonesian Government has been working to implement them across its 171,500 basic education (grades 1 - 9) schools.¹⁸ It is in this context that DBE1 has provided assistance by developing and implementing a model of school development planning, supported by training in leadership for school principals, training to empower school committees and a new school database system (SDS).

DBE1 was the first major donor-funded project to develop and implement an approach to school-based management since the introduction of these policies. This makes the project very significant. Prior to the regulation on school committees, school communities were represented by the traditional BP3, the role of which was confined to raising funds from parents.¹⁹ Prior to the introduction of BOS, school planning lacked a certain degree of substance, since schools had such inconsequential budgets. Since BOS funding has been

¹⁴ *Kepmendiknas* is an abbreviation of *Keputusan Menteri Pendidikan Nasional* or Decree of the Minister for National Education.

¹⁵ See the DBE1 report, *Study of Legal Framework for the Indonesian Basic Education Sector* (September 2009) for a full explanation of the BOS scheme along with the Law on the Education System (20/2003) and other significant government laws, regulations and policies.

¹⁶ A typical rural elementary school prior to the introduction of BOS had an annual budget of around Rp2million (\$200), enough to buy a few stationary items. Text books and other requirements were supplied centrally. Since 2005 the same school has had a budget of over Rp25 million (\$2,500) and since 2009, Rp40 million (\$4,000). Parent and community contributions along with funding from other sources such as the district government can further increase this amount.

¹⁷ For elementary schools and madrasah, the rate per student in cities increased from Rp254,000 to Rp400,000 per year in 2009.

¹⁸ Data on schools and student numbers from the MONE website for 2006/2007: PADATIWEB: <http://www.padatiweb.depdiknas.go.id/?t=page&id=statistik&jenis=sd#>

¹⁹ BP3 stands for BPPP, or *Badan Pembantu Penyelenggara Pendidikan*, which literally means Education Implementation Support Body. The BP3 usually consisted of a small group (or individual) appointed by the principal which theoretically represented the parents but usually functioned as an agency for collecting parent fees and signing off on the annual budget.

available, school budgets are more significant. School planning is thus much more important, as is the role of school communities, and particularly school committees in school governance.

One of the most significant aspects of the DBE1 approach has been to consistently align models and manuals for school-development planning, leadership training, school committee strengthening and school database systems to the latest government regulations and policy. This approach has enabled the project to successfully translate



established international good practice into the Indonesian context. By strategically aligning the project's inputs to current regulations the potential for implementation, dissemination and sustainability is greatly increased.

Building on predecessor projects

The significance of the DBE1 project and of this comprehensive study should be seen in the context of the history of donor assistance in the education sector in Indonesia and of the current context of reform.

“Indonesia has been the recipient of considerable donor support in its efforts to improve the quality of the education sector. There has been little independent, published analysis of this donor assistance or consideration of its effectiveness in developing Indonesian education.”
(Cannon and Arlianti, 2008)²⁰

This Impact Study, while not strictly independent, is comprehensive and rigorous. Freedom was granted by USAID to conduct the study, national stakeholders took part in the field surveys reported in Chapter Four, independent consultants were engaged for the research reported in Chapter Seven, and this report was submitted for peer review by an independent consultant and senior researchers from *RTI International*.

While government and donor supported projects continue to develop basic education across Indonesia, this is a vast and diverse country with a huge education system. No one project can have all the answers; each develops and pilots a slightly different approach. DBE1 operates in 50 districts and over 1,000 schools, none of which are participants in other donor-funded projects.

DBE1 builds on the cumulative experience of many previous projects in Indonesia. This experience has demonstrated the efficacy of what Cannon and Arlianti (2008) refer to as the ‘CLCC family’ of projects.

²⁰ Cannon, R. and Arlianti, R. (2008) *Ibid.* p.11

“The CLCC family can also be described as ‘people-centered projects’ as they share a focus on the professional development, empowerment and encouragement of people in schools, communities and government organizations. CLCC’s integrated approach to school development has been taken further by later projects including NTT-PEP (2002 - 2007), MBE (2003 -2007), IAPBE (2004 – 2007), DBE, (2005 - 2010), and MGP-BE (2005 – 2009). The approach is also being implemented by AIBEP (2006 – 2013) and LAPIS (2004 - 2009) as ‘whole school development’.” (Cannon and Arlianti, 2008)²¹

Primarily DBE1 is focused on deepening the approaches that have been successfully developed and pioneered by the CLCC and MBE projects. While these projects correctly integrated school-based management with new teaching methodologies (active learning, PAKEM), the DBE1 project was mandated to focus on management and governance while other components of DBE focused on teaching and learning. Concerted efforts were made in the implementation of the project to try to integrate these components; this integration was not always ideally synchronized.

As described above, at the time the project began new government policies on school-based management had just come into effect. In consultation with MONE and MORA it was decided that DBE1 would develop a more in-depth program to support implementation of these regulations. DBE1 adopted the essential methodological principles of the predecessor projects, such as the heavy emphasis on community participation involving to the extent possible stakeholders such as principals, teachers, parents, school committees and community members, and following up initial training with on-site mentoring.

The project has built on the success of these earlier projects in a number of ways:

- DBE1 does not provide grants to schools, instead assisting schools to better manage the new BOS funds.
- DBE1 methodologies are more explicitly aligned to current government policy and regulations.
- DBE1 provides longer and more comprehensive training in school-based management, backed up by more intensive and focused on-site mentoring.
- The school database system (SDS) is a new innovation.²²
- DBE1 provides much more comprehensive and intensive support to improve management and governance at district level than the earlier projects.

²¹ Ibid. pp. 43-44 CLCC is the UNICEF-UNESCO project , Creating Learning Communities for Children, NTT-PEP is the AusAID-funded Nusa Tenggara Timor Primary Education Partnership, MBE is the USAID-funded Managing Basic Education project, IAPBE is the AusAID-funded Indonesia-Australia Partnership for Basic Education, DBE is the USAID-funded Decentralized Basic Education project, MGP-BE is the UNICEF, EU-funded Mainstreaming Good Practices in Basic Education project, AIBEP is the AusAID-funded Australia Indonesia Basic Education Project (often referred to as BEP) and LAPIS is the AusAID-funded Learning Assistance Program for Islamic Schools.

²² See the next chapter for a discussion of SDS

Measuring the impact of school-based management

The movement towards school-based management has taken place all over the world. However, evidence directly linking school-based management to improvements in quality of education or learning outcomes for children is rare. What we can expect, based on the results of international research, is that school-based management can help create the enabling conditions for improvements in teaching and learning.²³ Good practice in leadership, administration, planning and budgeting, together with transparency, accountability and improved parental and community participation, provide the foundations necessary for making teaching and learning more active and relevant. Experience demonstrates that it is the combination of programs to improve management and governance together with teaching and learning that creates an enthusiasm for change which can transform schools.

Recent research in developing nations suggests that the introduction of school-based management can impact on student learning outcomes over a long time period.²⁴ There is also strong evidence from the USA to show that school-based management interventions require five to six years before impact on student learning outcomes is evident (Borman et al 2003).²⁵ Short term projects can also demonstrate impact on learning outcomes ‘...but only if *very strongly* coupled with exemplary pedagogics; that is, if one demonstrates how the improved management is used for improved pedagogy using pretty

²³ See for example:

Felipe Barrera-Osorio, Tazeen Fasih, Harry Patrinos and Lucrecia Santibáñez, (2009), *Decentralized Decision-Making in Schools: The Theory and Evidence of School-Based Management*, World Bank (IBRD)

Crouch, L. and Winkler, D. (RTI International), (2008), *Overcoming Inequality: why governance matters. Governance, Management and Financing of Education for All: Basic Frameworks and Case Studies* Background paper prepared for the Education for All Global Monitoring Report 2009 (UNESCO: 2009/ED/EFA/MRT/PI/04)

Caldwell, B., (2005), *School Based Management*, No.3 in the *Education Policy Series*, jointly published by The International Institute for Educational Planning (IIEP), Paris and The International Academy of Education (IAE), Brussels, UNESCO

Fullan, M. and Watson, N. (2000), *School-Based Management: Reconceptualizing to Improve Learning Outcomes in School Effectiveness and School Improvement*, Volume 11, Issue 4 December 2000, pages 453 – 473; Ainley, J. and McKenzie, P. 2000, School Governance: Research on Educational and Management Issues in *International Education Journal Vol. 1, No 3*, ACER.

Umansky, I. and Vegas, E. (2007), *Inside Decentralization: How Three Central American School-based Management Reforms Affect Student Learning Through Teacher Incentives*, Published by Oxford University Press on behalf of the International Bank for Reconstruction and Development / The World Bank. journals.permissions@oxfordjournals.org

Mundial, M. (2006), *A comparative analysis of school-based management in Central America*, World Bank Working Paper No. 72, World Bank (IBRD)

Bengoteko, B. and Heyward, M. (2007), *School-based management; Can it work in Indonesia?* Jakarta Post, Feb 3, 2007

²⁴ Felipe Barrera-Osorio, Tazeen Fasih, Harry Patrinos and Lucrecia Santibáñez, (2009), *Decentralized Decision-Making in Schools: The Theory and Evidence of School-Based Management*, World Bank (IBRD)

²⁵ Borman, et al (2003) report a meta-analysis of the effectiveness of school-based management models in the USA. The analysis is of 232 studies from which the authors compute the size of effects on student achievement. They find that the number of years of implementation of school-based management is a statistically significant predictor of the student achievement effect size, with an approximate doubling in effect size from the fourth to the fifth year of SBM implementation and another doubling from the sixth to the eighth year. This finding, from another national setting, confirms the as yet unresearched experience of those working with school-based management over the past decade in Indonesia. That experience is indicating that the common project cycle of school-based management support of approximately three years, and sometimes less, is insufficient to ensure sustainable change. Yet this implementation lesson of change continues to be ignored, even though the Borman finding has been in the public domain for more than seven years. (Borman, G., Hewes, G., Overman, L. and Brown, S. 2003. “Comprehensive school reform and achievement: A meta-analysis”. *Review of Educational Research* 73 (2), 125-230.)

specific improved pedagogy (original emphasis).²⁶ In summary, the link between school based management and improved learning outcomes has been established but is difficult to prove in the short term. The evidence also seems to suggest that the gains in decentralization accrue mostly when decentralization reaches the ‘last step in the chain’, namely the school itself, and the community of parents and teachers, in a form of decentralization often called ‘school autonomy’ or school-based management.



The purpose and value of school-based management extend beyond improving learning outcomes. Schools are important places for community development and learning about localized collective action. Consequently indicators on improved planning, transparency and participation are key. Countries such as Indonesia pursue decentralization and localized school autonomy for many reasons, mostly having to do with broad political and social development.

Goals of the study

This study is confined to a consideration of the impact of DBE1, which does not include a teaching and learning component. For these reasons we do not expect to find impact in terms of improved learning outcomes in the short term. However, we can and do expect to find evidence of impact in improved management and governance. DBE1 aims to strengthen the system, to demonstrate that school-based management can be effectively implemented in the Indonesian context, and to show that this can have a positive impact on schooling for Indonesian children.

A number of typographies exist for describing and classifying the impact of projects. For the purpose of this study, ‘impact’ is defined as change in practice in schools and their communities resulting from project interventions. Based on this definition, if participants report that they acquired new understandings as a result of training, this does not yet qualify as ‘impact’. If they apply those new understandings to improve school management and governance it becomes impact. Overall, the study aims to address the following research questions:

- What is the impact of DBE1 at the school level?' (To what extent are we achieving our objectives?)
- What factors are associated with maximum impact?
- What factors are associated with minimal impact?
- Are there any unintended impacts; positive or negative?

²⁶ Luis Crouch, personal email, January 4th 2010

- What can DBE1 and partners do to increase the impact and sustainability of outcomes during the remainder of the project?

Methodology

Every effort has been made to make this Impact Study objective and to draw valid conclusions based on valid and reliable data and analysis. The authors are as interested, or perhaps more interested, in the challenges and failures in implementation and lessons to be learnt from these, as in the success stories.

Although the methodological approaches vary for each of the studies reported, a number of strengths and weaknesses are common to most. One strength of the methodology in a number of the studies is that 100% of target schools were studied. Where sampling was undertaken, the sampling method is described. Another methodological strength is that a range of different studies was undertaken to address the same research questions. Quantitative and qualitative data and analysis were used to increase both reliability and validity of the findings and to provide rich description and analysis of factors associated with implementation.

The use of a baseline assessment and consistent monitoring every six months enables the study to describe the situation before and after DBE interventions in target schools. The fact that the baseline data set includes all target schools is a methodological strength. In lieu of a control group or a counterfactual, a pre-post design enables the study to make strong claims about impact. Patterns of change are also documented since regular data collection took place and the project was able to compare change from one period to another.

One of the challenges in internal project monitoring and evaluation is data verification. The following methodological weakness should be acknowledged as it is common to most of the studies reported herein. The data were collected by a range of personnel, some of whom are employed by the project (District Coordinators) and some by local government (District Facilitators), but all of whom have an interest in achieving a positive result. Over 100 persons assisted in data collection. The capacity and reliability of some of these data collectors may be questionable. The temptation to follow past practice and simply cut-and-paste or invent missing data in order to save time and avoid the inconvenience involved in real data collection is ever present. The potential for lack of objectivity is also always present. District Coordinators and District Facilitators are measuring the success of their own work. Similar issues apply at higher levels as the data are aggregated and analyzed at provincial and national levels.

This methodological concern was addressed in the following ways.

- Ongoing training was provided to provincial and district level personnel on the importance of valid and reliable data. Indeed the same personnel involved in data collection at these levels are involved in

providing training for district and school personnel on data management including monitoring and evaluation.

- When the data were analyzed at national level, any anomalies, outlying results, or questionable data sets were identified. In order to verify the data and assist in analysis, the national team referred back to provincial and district personnel in these cases. On occasions where the validity of data was questionable, this resulted in re-collecting the data or excluding it from the analysis. More often it resulted in explanations for trends in the data which assist in analysis.
- Where possible data and findings were verified through triangulation of data sources and/or methods. This included: (i) interviewing a range of respondents in each school or location, (ii) reviewing documents such as school plans and budgets to verify comments made by respondents, (iii) directly observing impacts in schools, such as budgets posted on notice-boards or small infrastructure projects in progress, and (iv) monitoring by DBE1 national staff and government counterparts, primarily from MONE, MORA and Menkokesra, in a sample of schools to verify data collected in surveys of the entire population of target schools.

The higher level analysis for this impact study was conducted by a team of senior researchers including advisors external to the project in order to strengthen the quality of the analysis. External advisors were also employed for aspects of the design and implementation of the research.

External factors affecting impact

A number of external factors influencing project implementation and impact should be noted. DBE1 purposely selected districts and schools to target which did not have other donor-funded programs concurrently operating. However, in a number of cases the impact of previous projects, such as CLCC or MBE, was evident. A second factor is the significant number of changes to government policy affecting school-based management which occurred during the period of project implementation. These factors are discussed further in the report.

The methodology for each of the individual studies is discussed in more detail in the chapters that follow.

Organization of the report

This Impact Study is really a series of studies, using a variety of methodological approaches. Put another way, this is a multi-method, multi-site impact study. Chapter Two describes the DBE1 program. In Chapter Three the results of routine monitoring, describing basic indicators of impact, are discussed. Chapter Four reports on a series of special studies, which explore the extent to which school development plans, prepared with DBE1 assistance,

have been implemented in target schools. This chapter also investigates obstacles to the implementation of school development plans.

Chapter Five explores the issue of funding for implementation of school development plans. This includes impact on the level of community support for local schools, the impact of school unit cost analysis, and the process and impact of an innovative training program provided for school committees. The training aimed to assist them in seeking funding from village budgets in consultative Village Development Planning Forums.

The following Chapter Six reports on a study which surveyed school principals, and investigated the impact of the DBE1 program in target schools. In order to gain deeper and more contextualized understanding of project impact, and of the dynamics of program implementation in schools, a participant observation study was designed and implemented in eight school clusters located in two provinces in early 2009. This study is reported in Chapter Seven.

Chapter Eight then reports on the impact of DBE1 school based management programs on non-target schools through dissemination programs funded by local government and other agencies.

Taken together these various studies provide a comprehensive overview of DBE1 impact on school management and governance in schools. Chapter Nine draws on the project experience to date and particularly the results of the studies reported in the previous chapters. Based on this evidence, the impact of the project on elementary schools is summarized and recommendations are made for maximizing potential, building on success, addressing areas of concern and further increasing impact. The final Chapter Ten briefly draws conclusions from the Impact Study.

Conclusion

Ultimately it is intended that this report will assist in improving efforts of the Government and people of Indonesia together with their international donor partners to develop education in Indonesia. In the immediate term, it should assist in improving the DBE1 program in the final implementation phase and increasing the impact both for core target schools and for dissemination schools, where the program is funded by local government and partner institutions.

As always it is hoped that this work will result in better management and governance, better schools and better basic education for the children of Indonesia.

Chapter 2 – The DBE1 program to support school-based management

Introduction

The purpose of this chapter is to explain the background to the DBE1 project. In this first section the project is briefly introduced. In the second section, the context of school-based management in Indonesia is discussed and, in the third and final section, the DBE1 program of interventions to implement a comprehensive school-based management approach is outlined.

DBE1 began working in districts in late 2005 and commenced program implementation in schools in early 2006. The aim of the DBE1 programs is to increase the capacity of schools and districts to improve the efficiency and effectiveness of their basic education services. At school level this means implementing Indonesia's policies on school-based management. In addition to strengthening the capacity of schools and their communities, DBE1 aims to improve school governance and increase the role of stakeholders at the school level: parents, teachers, and school committee members. The project also works to improve the management and governance of basic education at district level. This includes strengthening the role of education stakeholders such as District Education Boards (*Dewan Pendidikan*), local parliament (DPRD), civil society organizations and the local press as well as district education offices.

In the three year period from early 2006 until early 2009, DBE1 completed implementation of all programs in an initial cohort of 526 elementary schools, including the following:

- training school teams to produce school development plans,²⁷
- training of school committees to strengthen their role in assisting the school,
- leadership training for the school principals.

In addition, in year four, following the data collection for this study, DBE1 assisted schools to implement computer-based school database system (SDS).²⁸

²⁷ The first cohort of schools and madrasah prepared school development plans known as RPS based on Government Regulation (PP 19/2005). Subsequently, the government introduced a new policy (Ministerial Regulation (*PermenDiknas*) 19/2007) on school development planning, the DBE1 approach was modified, and the second cohort prepared plans known as RKS, following the new government approved terminology. The former plans are referred to in Indonesian as *Rencana Pengembangan Sekolah (RPS)*, which translates as School Development Plan. Following the shift in government policy, these plans are now referred to as *Rencana Kerja Sekolah (RKS)*, or School Work Plans. Throughout this report, the term *Rencana Kerja Sekolah (RKS)* is used to include both *RPS* and *RKS*. In English, the term 'school development plan' is used to refer to both. DBE1 assisted these schools to update the plans in line with the 2007 regulation, but this took place after the study was completed.

²⁸ As the SDS was implemented after the data collection period, it is not included in this impact study. A separate impact study is planned for this program.

Each of these interventions is described briefly below.

School Development Planning (RKS)

DBE1 introduced 'bottom-up' school development planning known as *Rencana Kerja Sekolah (RKS)* in the period January - May 2006. More than 500 schools had completed both RKS and RAPBS (school budget, known as *Rencana Anggaran Pendapatan dan Belanja Sekolah*) by June 2006 for the following school year, 2006/7.

Following the DBE1 model and in line with government mandate, school development plans are multi-year (four-year), multi-source plans which include programs and an indicative budget to improve the quality of the school.



Election of KKRKS in one of the schools

The plans are prepared by a team called KK-RKS (*Kelompok Kerja RKS* or RKS Working Group.) This working group consists of four components: school principals, teachers, parents or community leaders, and school committees. DBE1 trained the working groups in planning techniques and other governance aspects such as transparency and accountability. In

designing programs and activities, the KK-RKS also involved other community stakeholders such as village officials and women's organizations. DBE1 estimates that some 12,000-15,000 people have had some involvement in the RKS process. The program consists of the following five steps in assisting the schools to develop their RKS plans.

Developing a school profile

The school profile describes both the real condition of the school and its environment such as the parents' profile and the general condition of the local people. Six categories²⁹ were used for this purpose:

- school achievement,
- teaching and learning process,
- school size and its growth,
- school responsibility,³⁰
- school resources, and
- community participation.

²⁹ The later regulation (19/2007) requires nine categories for the school profile.

³⁰ This category in Indonesian is '*Kewajiban sekolah*' and includes the responsibility of the school to provide schooling to all school-aged children in the catchment area.

Based on these six categories, the school collects basic data needed for planning and is able to identify areas of strength and weakness in relation to the vision and mission of the school and aspirations of stakeholders. This is a new approach for schools in Indonesia.

Setting expectations

Once a school finishes developing its school profile, the next step is to establish the school's expectations for improvement. This process includes identifying the expectations of all stakeholders, not just those of the teachers or school principal. All stakeholders – including parents, school committee members, religious or community leaders – take part in discussing and reaching agreement on expectations for school development.

These expectations are based on analysis of data in the school profile and are expressed in concrete, measurable terms such as: increasing test scores in math from 5 to 6 (on a scale to 10), increasing the transition rate from 90% to 100%, decreasing the drop-out rate from 1% to 0%, or increasing the provision of toilets and hand-washing facilities to improve sanitation.

Identifying the challenges and their causes

In this context, 'challenge' refers to the gap between the current and the ideal condition. An example of a challenge is an average test score of 5 in grade 6 math, while the expectation of the school is a score of 6. So the challenge that the school should overcome is to increase the grade by 1 point. Once the challenges are identified, the school plan development team (KK-RKS) can identify potential causes; for example, the causes of low test scores in math may be low teacher competence, lack of adequate texts and resources, and/or low student motivation to learn math.

Problem solving

Once potential causes of problems have been identified, the school, along with the community, can explore possibilities for solving these problems. For example, to address low teacher competence the school may propose sending the teacher to pursue higher education or providing additional training for teachers in certain subject material.

Designing programs

The final step is to design programs. Programs actually consist of one or more alternatives to solve the schools' problems. There are several steps to develop a program: setting the target, defining an intervention, identifying performance indicators, identifying people who are responsible for the programs, breaking down programs into discrete activities, and deciding a schedule for activities.

Finally, a budget is prepared to resource the plan. Schools are encouraged to think creatively about a range of potential sources for funding and non-financial contributions including the local government, BOS grants, parents and local business.

DBE1 supported schools to prepare their plans through a series of cluster-level workshops for the working groups followed by on-site mentoring in schools provided by DBE1 trained district facilitators. Most of the district facilitators are local school supervisors (known as *pengawas*), employed by the Education Office.

School Committee Training

DBE1 provides school committee training to support the implementation of school-based management. This training aims to increase understanding of the role and function of the school committee, to improve skills in school governance, especially planning and budgeting, and to enhance participation, transparency, and accountability.



Example of a school committee structure

When parents, community members, teachers – and, where appropriate, students – participate in decision making and planning, they are likely to be more committed to supporting the implementation of decisions and plans. Ideally schooling is a partnership between home/community and school with everyone sharing the same vision for quality improvement; everyone sharing a sense of ownership, responsibility and a commitment to work together to realize the vision.

Parents and communities can support their local schools in many ways, sharing the responsibility for education delivery with the government. Community participation not only provides an additional income stream for schools, helping them to implement school development plans. It can also include non-cash contributions such as donation of labor, classroom assistance, goods and services from local business, and sharing responsibility for school planning and governance by participating in the school committee.

In addition to the school committee, many schools have established class-based parent groups, known as *paguyuban kelas*.³¹ These groups sometimes provide direct help in the education of children: parents run extra-curricular programs, train sport teams or help in the classroom. More often they help with fundraising to provide equipment, books and teaching aides for classrooms.

Perhaps even more important than these forms of financial and non-financial assistance, by working together with the school, communities are taking back a sense of shared ownership of their local school and an increased responsibility for the quality of schooling provided. This can have a significant

³¹ *Paguyuban Kelas* is a Javanese term which translates loosely as Class Community.



Cover of School Committee Capacity Building Training Manual

impact on the quality and relevance of education. It can also have a powerful psychological impact. Research has shown that children whose parents, families and communities are involved in the school tend to perform better, in the knowledge that their parents care about their schooling and have an understanding of the process.³² Teachers and principals who feel supported by, and observed by, their communities tend to perform better. In the best cases, the contribution of community can create a dynamic; an energy for change and improvement that impacts on quality in ways that a centralized, top-down change process never could.

It is not just the members of the school committee who participate in the DBE1 training, but also school principals and teachers so that each has a good understanding of the role and function of the other. It was found that prior to the training most of the school committee members had little knowledge about their role and function as stated in the government regulations (*Keppmendiknas 044/U/2002*).

DBE1 developed fourteen modules on three major themes for school committee training:

- Self assessment and organization strengthening, including committee formation and representation, gender sensitivity, sensitivity to diversity and marginalized groups, and school committee organization;
- Strengthening the relationship between parents and community, including participation, transparency and accountability, assessing community participation, partnership and alternative funding sources;
- Role enhancement in supporting the school programs, including RKS as a working document, identification of learning sources, simplified financial reporting, and simplified outcome reporting.

This approach gives schools the opportunity to select the most relevant modules from a menu, following completion of standard introductory training. In the first three years of project implementation, the initial cohort of 526 elementary schools took part in five training sessions.

³² See for example:

Rose, L. C., Gallup, A. M., & Elam, S. M. (1997), The 29th Annual Phi Delta Kappa/Gallup Poll of the public's attitudes toward the public schools. *Phi Delta Kappan*, 79(1), pp. 41-56.

Alyssa R. Gonzalez-DeHass and Patricia P. Willems, (2003), Examining the Underutilization of Parent Involvement in the Schools, *The School and Community Journal*, pp.85-100.

Leadership Training for Principals

Leadership training for school principals is the third program implemented by DBE1 at the school level. The program of two one-day sessions focuses on the need for, and skills required for, open and participative leadership.

In addition to school principals, the sessions were attended by school supervisors (*pengawas*) and sometimes representatives of the District Education Office and Office of Religious Affairs. The training was designed to help principals to become more active and open to the participation of school committee members, teachers, parents and other education stakeholders in the management and governance of their schools. Training topics include the following:

- Government policy relating to school based management and school leadership.
- Defining leadership.
- Self reflection: What kind of leader am I?
- How to involve teachers and community to increase education quality.
- The role of school principal as Educator, Manager, Administrator, Supervisor, Leader, Innovator, Motivator, and Entrepreneur.³³

During the initial three years of project implementation, principals from all 526 elementary schools took part in the two training sessions.

School Database System (SDS)

The school database system (SDS) is an initiative of DBE1 designed to enable schools to enter basic data into a user-friendly computer *Excel*-based platform and produce reports in formats previously designed to meet variety of MONE requirements including:

- a school profile for school development plan (RKS),
- School Operation Funds (BOS) reports,
- school accreditation applications, and
- reports for community members and parents on annual school performance (School Report Card).

SDS is intended to improve the implementation of school based management, increase transparency and accountability and provide the school and community with data to enable them to voice concerns, needs and aspirations to both the school and to district level decision makers (better governance).

The program is implemented in a series of workshops which train trainers and schools to process data and produce reports. Two persons from each district were identified as trainers for the schools and trained in Train of Trainer

³³ The acronym EMASLIME has been adopted by MONE to cover these aspects of the principal's role and it was at their request that this concept was included in the training.

courses (TOT). These trainers are typically district education supervisors, district education office staff, and teachers who are computer literate.

The SDS methodology was developed somewhat later than the others described above. At the time that data was collected for this study, it had not yet been implemented in the first cohort of schools. For this reason it is not included in this impact study. At the time of writing, the program is in the process of being implemented. MONE estimates that 50% of elementary schools and nearly all junior secondary schools now have computers. Although it is too soon to report on the impact of this program, the response of schools and districts has been extremely positive and the intervention is timely.

Conclusion

DBE1 is a bilateral project, funded by the USAID, which aims to support the Indonesian government and people to implement policies and practices to improve the management and governance of basic education. This includes, at school level, a comprehensive set of program interventions designed to assist schools to implement school-based management.

The context for this project is dynamic. Indonesia is a vast and diverse nation. It is currently in the process of reforming its education sector, within a broader context of decentralizing and introducing a more open and democratic form of government. In this context, school-based management may be seen as a strategic tool for both improving the management and governance of basic education – and potentially helping improve the quality of schooling – and at the same time for encouraging grass-roots democracy.

Response to DBE1 school-based management interventions has been significant. MONE and MORA have approved and are in the process of officially sanctioning the use of these materials. MONE has now introduced them to all provinces and districts in the country and portions of the materials have been taken up and implemented by a number of local governments both within and beyond target provinces, other donors, and other Indonesian education institutions such as Muhammadiyah.

In the next chapter, basic measures of the impact of these programs on schools are discussed. Following chapters will look in greater depth at this impact.

Chapter 3 – Basic Indicators of Impact on School Management and Governance

Introduction

This chapter describes the DBE1 approach to monitoring project implementation performance by measuring achievement on certain indicators against a baseline. Some assumptions of impact can be made from this monitoring in schools.³⁴ Based on these findings, some analysis is provided and preliminary conclusions are drawn.

DBE1 collected baseline data in 2005, the first year of project implementation. Subsequently, every six months the project has monitored progress against a range indicators at the school level such as the quality of school development plans (RKS), the level of involvement of school committee in school activities, and financial transparency.

These indicators were designed in line with an agreed Performance Monitoring Plan (PMP). To determine the progress and impact of DBE1 programs, each monitoring report compares the result of the relevant measurement against all of the previous measures. All target schools are included in the six-monthly monitoring. In line with the PMP, five measures were taken for Cohort 1, with the fifth and final measure taken in July 2008.³⁵

This monitoring provides a good measure of basic impact, showing the extent to which DBE1 interventions have resulted in changes in the management and governance of basic education in target schools. In this chapter, the approach to routine monitoring and evaluation is explained and achievement against each of the following school level indicators is discussed:

- The number of schools which have produced school development plans which meet minimum quality standards.
- The number of schools which disseminate their financial plans and reports in more two or more venues.
- The number of schools with plans which identify three or more sources of funding.
- The percentage of school committee members active in the preparation of school development plans.
- The frequency of visits by school committee members to monitor school performance.
- The number of school committees supporting financial transparency.

³⁴ To date five progress Monitoring Reports have been published; see DBE website <http://www.DBE-USAID.org>

³⁵ Jakarta and Aceh are an exception. As these two provinces were late in joining DBE1, at the time this report was written only four measures were had been completed.

- Changes in opinion of school committee members regarding groups that should be represented on the school committee.

Methodology

Study population

DBE1 collects data to monitor project implementation progress against basic indicators in all 1,076 schools. This study focuses on the first cohort of 526 schools targeted in 28 districts and eight provinces. It particularly focuses on elementary schools in the first cohort and does not include cohort two, or junior-secondary schools, for the following two reasons: (1) At the time of the study, DBE1 has assisted cohort one schools for more than three years and it is considered a good time to see the impact; (2) DBE1 has been working in the second cohort of elementary schools and in junior-secondary schools in both the first and second cohorts, for less than two years. At the time of data collection, some of these had only recently completed development of their RKS.

Table 3.1: Number & location of Cohort 1 elementary schools

Name of Province	Total Number of schools
1. Nanggroe Aceh Darussalam	35
2. North Sumatra	100
3. Banten	50
4. West Java	60
5. DKI Jakarta	7
6. Central Java	105
7. East Java	82
8. South Sulawesi	87
Total elementary schools in Cohort 1	526

Data collection and analysis

Data were collected through individual or group interview with the school administrators including teachers, school principals, and school committee members. In addition, DBE1 assessed other documents such as school committee reports and various attendance records where these were available in the schools. To assess the quality of school plans each individual plan was evaluated against 32 criteria that DBE1 established for good planning. The criteria are listed in Appendix 1.

The data were collected by DBE1 District Coordinators (DC) and district personnel, typically school supervisors who act as District Facilitators (DF) for the project. The purpose of involving these district staff is to empower

them and to provide an experience in effective monitoring, data collection and data analysis. Since many districts are now disseminating DBE1 programs, the role of district staff is very important especially in monitoring the success of the replication programs.

The baseline data were collected in December 2005, with subsequent measures in July 2006, January 2007, July 2007, January 2008, and July 2008.

The raw data are collated and presented in tables and figures which illustrate overall progress against each indicator, comparing the result of the relevant measures against previous measures including the baseline.

Findings

Overall, the monitoring of achievement against indicators of good governance and management is encouraging. Analysis of the data shows improvements on all indicators. In general, almost all schools have produced good quality school development plans and appear to be implementing these to improve the quality of their schools. The analysis also shows increased financial transparency in over 50% of schools and increased involvement of the school committees in supporting school improvement and governance.

The following discussion also highlights areas in which the data analysis raises questions which should be answered by further research. In particular it is noted that achievement against some of the indicators trends downwards in some provinces after the initial period of improvement when the project provided intensive support.

The number and quality of school development plans

RKS Development



RKS Development Process in Aceh

DBE1 introduced ‘bottom-up’ *Rencana Kerja Sekolah (RKS)* school development plans in early 2006. All of the initial DBE1 target schools (489) had completed both RKS and RAPBS (*Rencana Anggaran Pendapatan dan Belanja Sekolah*) for the school year 2006/7 budget by August 2006. The plans were submitted to district stakeholders including the District Education Office (*Dinas*

Pendidikan Kabupaten/Kota) and the District Development Planning Body (*Badan Perencanaan Pembangunan Daerah*). Some districts have incorporated the school plans into district planning.

The RKS were prepared in each school by a team called KK-RKS (*Kelompok Kerja RKS* or RKS Working Group.) These working groups are made up of

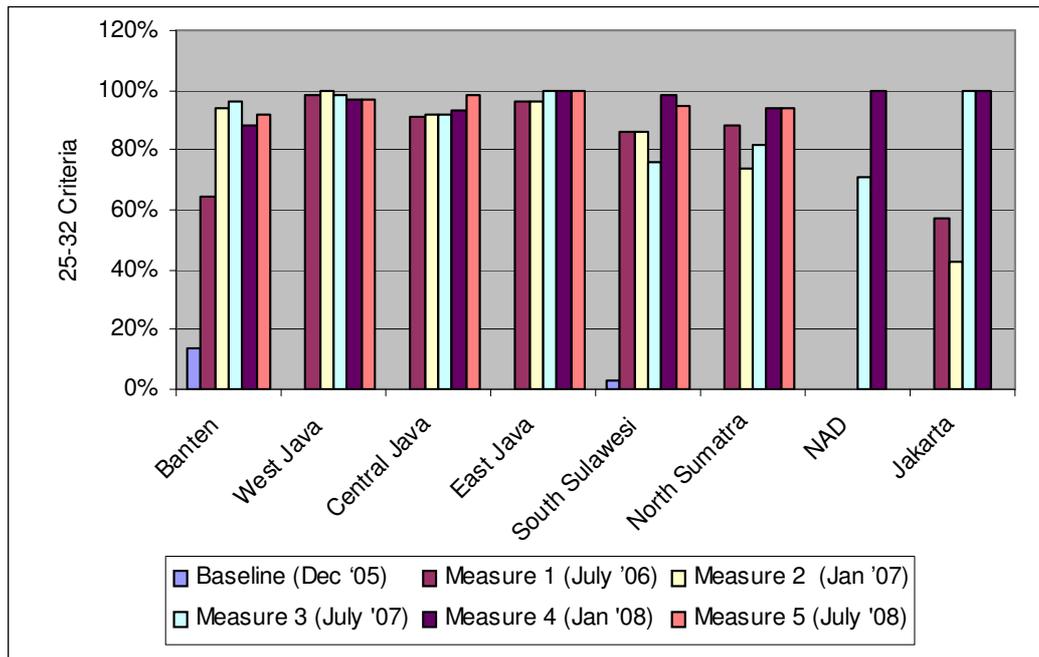
school principals, teachers, parents, and school committee members. DBE1 trained the working groups in planning techniques and other governance aspects such as transparency and accountability. In preparing the plans, the working groups also involved other community stakeholders such as village officials and women's organizations. DBE1 estimates that some 12,000-15,000 people have had some involvement in the RKS process.

The quality of the school development plans is assessed by analyzing the actual documents. Quality is measured against a list of thirty-two criteria. (See Appendix 1). To be judged good quality a school development plan should meet at least 25 of these criteria. Project performance is determined by measuring completion and quality of plans against these criteria. Figure 3.1 below shows the performance of each province over the first three years of project implementation against this indicator. After three years, the quality of RKS in all target schools has improved significantly. Based on this measure, 96% of schools in Cohort 1 have developed good quality school development plans.

This is a significant finding, demonstrating an important impact of the DBE1 project. It was decided to measure not just the existence of school development plans, but the existence of plans which meets minimum quality criteria. In the past, and still today, many schools produce plans and budgets in order to meet mandatory requirements. These documents, however, often do not reflect reality, are not based on accurate school data, and are not used to improve the management, governance or quality of schools.

The plans often simply reflect a formalistic exercise undertaken in order to satisfy inspection by school supervisors. Anecdotal evidence and previous experience suggest that many schools use a cut-and-paste method to prepare plans, with no reference to realities or needs of the school and no participation of stakeholders. The requirement that schools prepare plans which meet a minimum of 25 quality criteria is a way of measuring real impact rather than just a formalistic exercise.

Figure 3.1: Percentage of schools with school development plans (RKS) that meet threshold criteria (total 526)



DBE1 established 32 criteria for assessing the quality of school plans. It was determined that a good school plan meets 25 or more of the 32 criteria. The baseline data, shown in blue above, demonstrate that prior to DBE1 assistance only 2% of schools in Cohort 1 possessed school development plans or budgets (RKS or RAPBS) that met more than 25 criteria. The results illustrated above show that 96% target schools have now prepared good quality plans. This data confirms the impact of DBE1 on school development planning in project schools.

East Java was the most successful province, with 100% of schools producing good quality plans, whereas Banten and North Sumatra were less successful, 92% and 94%, respectively. Analysis of these results reveals a number of relevant factors. There are reportedly a number of reasons why some schools in Banten and North Sumatra were unable to meet all of the criteria for good quality school development plans:

- some insisted on using their own version of RKS, which differs from that in the DBE1 RKS manual;
- some of them were unable to finalize their plans because they changed the membership of their working groups (KK-RKS);
- some schools were still updating the plans when the measure was being conducted; and

- particularly in North Sumatra, some schools had already changed their RKS to the new RKS³⁶ format so that the criteria will be different.

The success of the school development planning program in East Java is regarded as mainly due to:

- strong commitment from the local education offices (*dinas pendidikan kabupaten/kota*) and other stakeholders;³⁷
- intensive monitoring of schools both by District Coordinators (DC) and District Facilitators (DF); and
- many of the target schools in East Java are used as *sekolah rujukan* (reference schools) so that they tend to perform as well as possible.

Differences between the DBE1 teams in different locations may also account for some of the difference. External and internal factors are both likely to play a part in determining the degree of success in a particular location.

Note that Aceh (NAD) and Jakarta joined the program somewhat later than the other provinces. As a result, data for these two provinces are only available for Measures 2-4. The result of this measure shows that all target schools in these areas have developed good quality of RKS.

Financial transparency

One aspect of good governance is financial transparency. Financial transparency is assessed by monitoring how schools have reported the amount of money that they receive from all sources (BOS, APBD,³⁸ school community) and how the funds have been spent.

The indicator for measuring transparency is the number of venues or forums in which financial reports are given.³⁹ In order to meet the minimum of disseminating financial reports in at least two separate venues, the school may, for example, post their financial report on the school notice board, send the report in a letter directly to parents or announce reports in formal occasions such as during meetings with parents, the school committee and/or other stakeholders.



Parents read information on school's plan, recent activities and spending

In the past, many schools did not report at all, or posted their income or expenditure in only one venue such as the school notice board or reported

³⁶ DBE1 apply different criteria to assess the quality of RKS. In RPS we applied 32 criteria whereas in RKS 40 criteria. RKS is designed in accordance with *Permendiknas* No. 19/2007.

³⁷ East Java is the province with the highest number of schools that replicate DBE1 programs.

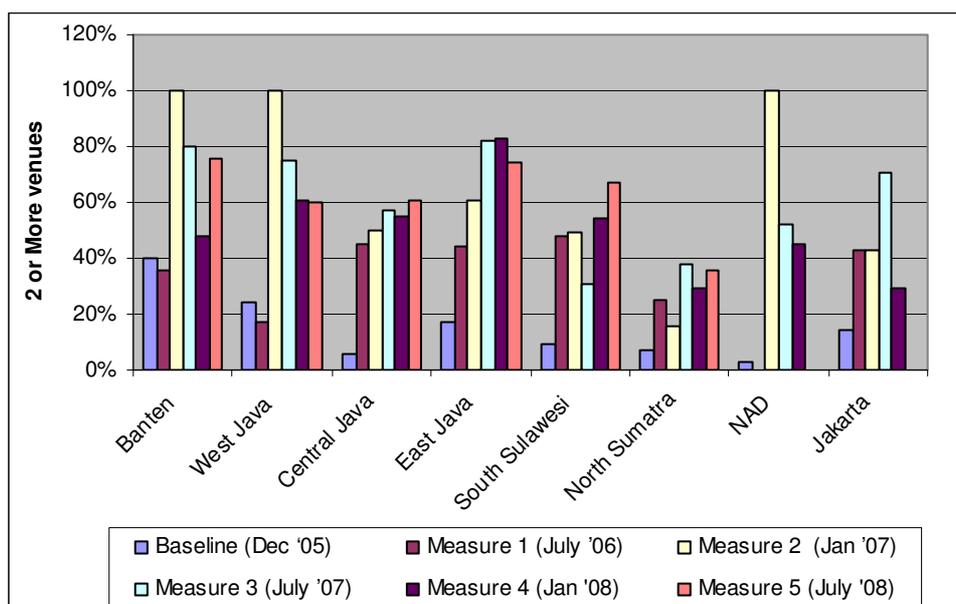
³⁸ APBD is an abbreviation for *Anggaran Pendapatan dan Belanja Daerah*, the annual district budget.

³⁹ Data were collected through document review as well as by interviewing the school personnel.

orally to parents during an annual meeting. Data in the baseline show that over 50% of target schools did not report or only reported in only one venue.

In addition to assisting schools to develop RKS and in some cases to search for more sources of income to finance the school programs DBE1 also supported them to increase their financial transparency and through this to increase their accountability to parents and local stakeholders.

Figure 3.2: Percentage of schools disseminating their financial report in more than two venues (total 526)



Based on this measure, impact on transparency has been less successful and less consistent than for other indicators. The sustainability of impact is also questionable in some areas.

Overall, the data show that over 50% of schools have disseminated their financial reports in two or more venues. This confirms that after three years of DBE1 assistance, school transparency has improved significantly. However, as illustrated in Figure 3.2, above, in three provinces the percentage of schools achieving the indicator has declined since the second measure, taken in January 2007 (Banten, West Java and Aceh).

Based on this data, North Sumatra stands out from among the DBE1 target provinces with a relatively low awareness of the need for financial transparency. Only 30% of the schools in this province usually posted or published their financial reports. The most common reason cited by schools are that posting the school income and budget in this way may cause trouble for the schools, other organizations or unauthorized reporters are likely to come and ask money from them. As a result of these concerns, even where the schools do display their report, they will typically only do so in the school principal's office or the staff room.

In general, comparison between the baseline data and the following measures shows that the awareness among target schools of the need to post their financial report in more than two venues increased significantly. As illustrated in Figure 3.2, above, the highest percentage of schools posting their budget in two or more places occurs in Measure 2 and 3 (one year and 18 months after DBE1 began assisting schools). This is the period in which DBE1 provided the most intensive assistance to schools to help them prepare their RKS. The following period, in which the level of transparency as measured by this indicator, falls, coincides with a reduction in the intensity of DBE1 support.

On this basis, it appears that increases and decreases in school transparency are related to the intensity of DBE1 intervention: the more intense the mentoring of schools, the more transparent the schools. Performance is logically related to the intensity of interventions. As this intensity decreases, performance tends to fall off somewhat. However data show that the significant increase in performance over the baseline is sustained. Therefore it will be important for local governments to ensure that a certain level of support is maintained. (See the conclusion to this chapter for further discussion of this point.)

Multi-source funding

As described in the previous chapter, in July 2005, the Government of Indonesia (GoI) introduced School Operational Funding (*Bantuan Operasional Sekolah*, known as BOS).⁴⁰ Since then schools have received per-capita grant funding direct from the central government, giving them for the first time some financial independence.⁴¹ DBE1 was the first major donor-funded project to develop and implement an approach to school planning and school-based management since the introduction of this policy.

Prior to the introduction of BOS, schools relied mainly on tuition fees to finance the school program. As a result of the national BOS program, many districts and provinces have declared a policy of 'free education' making it difficult for schools to supplement the income from BOS with parent contributions or other funds. DBE1 addressed this challenge by encouraging schools to seek funding from a range of sources, including where allowable under current local regulations from parents and the school committee.

The School Unit Cost Analysis (BOSP)⁴² program, implemented by DBE1 has also enabled district administrators and legislators to more accurately calculate the actual cost of providing education for students at each level of schooling and to identify the difference between funds required and the amount provided by the national government through the BOS scheme.⁴³ This

⁴⁰ See the DBE1 report, *Study of Legal Framework for the Indonesian Basic Education Sector* (September 2009) for a full explanation of the BOS scheme along with the Law on the Education System (20/2003) and other significant government laws, regulations and policies.

⁴¹ See Footnote 15

⁴² BOSP is an acronym for *Biaya Operasional Satuan Pendidikan* or School Operational Cost

⁴³ DBE1 intends to conduct a study in the near future to determine the impact of BOS on schools and madrasah.

has resulted in a growing number of districts developing and implementing policies to provide additional funding from district and/or provincial budgets for school operations. However, at the time of Measure 5 in July 2008, the impact of the BOSP program was only just beginning to be felt. As a result many schools have reportedly experienced difficulty in seeking funds outside of BOS.

DBE1 defines a multi-source funding plan as a plan that has more than three sources of funding. Data in the baseline show that 60% of the schools rely on 1-3 sources funding, mostly from BOS and the local government budget (APBD). When assisting the schools, DBE1 always emphasizes that the schools should search for additional funding for implementing the school's programs. In designing the plans, DBE1 encourages schools to list more than just two or these funding sources.

After three years of assisting the schools, an awareness of the need to consider more diversified sources of school funding has increased. Measure 5 reveals that more than 60% of the schools now identify more than three sources of funding in their plans.

Figure 3.3: Percentage of schools with plans which identify more than three sources of funding (total 526)

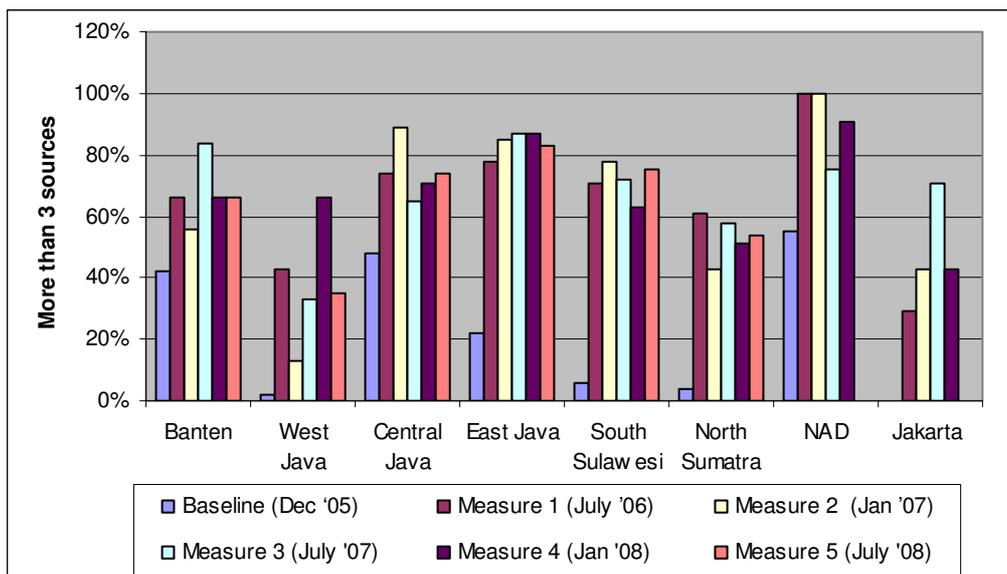


Figure 3.3 shows that the listing of several sources of school funding varies from province to province. West Java and North Sumatra stand out as two provinces with less than 60% of the schools listing more than three sources funding in their plans. The following reasons were given by local DBE1 personnel as to why the schools in these two provinces generally list less than three sources of funding:

- Based on their previous experience, the schools felt that there was little use in stating many sources of income (such as from the parents, APBD, APBN) as these never seem to materialize.
- Some districts in these two provinces prohibit schools from requesting money from parents. As a result schools in these districts only include sources of school funding from the government (such as BOS) in their budgets. More and more schools reportedly now rely on BOS as a single source of school funding.

In general, the performance against this measure has declined in most provinces since the early measures. This raises issues of the nature of the impact. Because a number of new policies have been introduced during the period of project implementation, it is difficult, if not impossible, to isolate the impact of project interventions. Throughout the study we try to call attention to those issues that are beyond the control of the project which may affect impact. In this case, we are unable to determine if the recording of funding sources is due to poor performance on the part of school management or if school management was responding to new policy directives from local government relating to ‘free schooling’ and legitimate funding sources for schools. Once again, differences in performance between provinces may in part be a result of internal as well as external factors (cf. Page 49 below).

The role of school committees in school-based management

A Ministerial regulation issued in 2002 (Kepmendiknas No 044/U/2002)⁴⁴ sets out the roles, rights and responsibilities of school committees.

In order to support the implementation of this policy and the change to greater partnership between schools and communities, DBE1 developed and piloted training materials to strengthen the role of school committees in school-based management. The training was designed to increase understanding within school committees of their role based on Kepmendiknas No.044/U/2002 and to strengthen their capacity to fulfill that role. DBE1 school committee training consists of a series of fourteen modules, designed to be implemented in six phases. This approach gives schools the opportunity to select the most relevant modules from a menu, following completion of standard introductory training.



School Committee training in North Sumatra

⁴⁴ *Kepmendiknas* is an abbreviation of *Keputusan Menteri Pendidikan Nasional* or Decree of the Minister for National Education.

For the purposes of monitoring and evaluation, it is assumed that the school committee should fulfill at least two roles: the first role is to participate with the school and other stakeholders in school planning and the second role is to monitor financial transparency and school performance (teaching and learning, national examinations, and school achievement).

Participation in preparing, socializing and implementing school development plans

The baseline survey found that prior to receiving DBE1 assistance schools rarely involved their school committees in preparing either plans or budgets. Even where the school committee was involved, the role was typically limited to only signing the document, as formally required by the government. Baseline data showed that only 13% of school committee members were very active in preparing the RKS. As of July 2008 this figure had risen to 84%.⁴⁵

There are several reasons why the school committee members were not previously involved in preparing school plans. First, in many cases, the school did not want the involvement of other institutions or persons from ‘outside’ the school involved. Second, school committee members typically did not know the role and function of school committee as set out in the regulation, *Keppmendiknas No.044/U/2002*.

Figure 3.4: Percentage of school committee members active in RKS preparation and implementation (total 526)

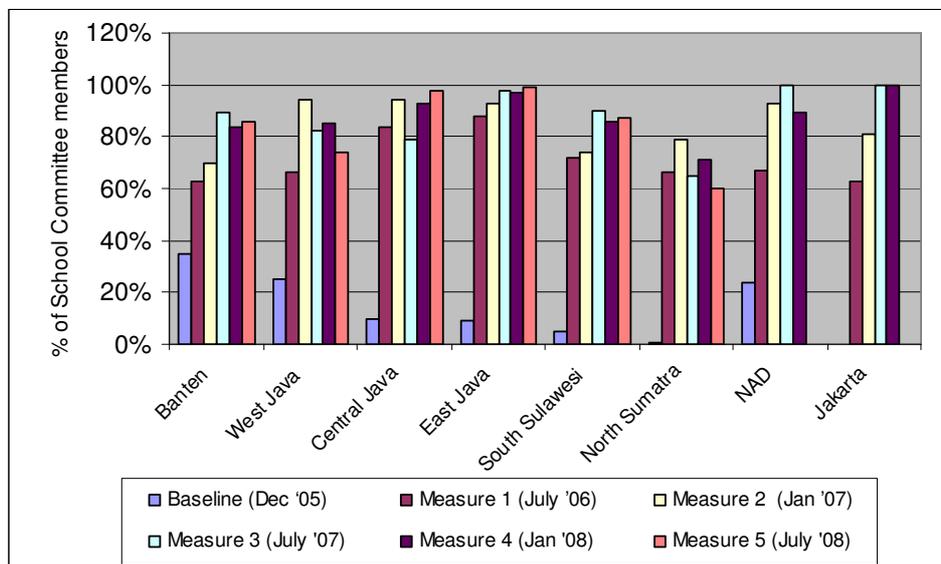


Figure 3.4 confirms that DBE1 interventions have had a significant impact on the participation of school committee members in the school development planning process in target schools. After nearly three years since beginning the

⁴⁵ Seven criteria were used to measure the level of participation: (1) participation in planning, (2) community consultation, (3) collating information, (4) problem solving, (5) program set up, (6) informing parents, (7) posting the plan for public viewing. ‘Very active’ means meeting five or more of these criteria.

intervention, overall participation rates remained high in comparison to the baseline.

The province least successful in gaining school committee participation in the preparation of the school plans is North Sumatra (around 68% on average per measure). One of the possible reasons given for the relatively low involvement of school committees in North Sumatra is the fact that schools in North Sumatra were prohibited from requesting funds from the parents. As a result school committee members may have felt that their participation was not relevant.

Role of school committee in monitoring school performance

According to the *Kepmendiknas No. 044/2002*, the school committee should play a role in supporting, monitoring, advising and mediating in schools. Data from the baseline survey shows that in the majority of schools, members of the school committee did not fulfill this role and function. The experience of project personnel confirms that the great majority of school committee members were not aware of the roles and functions specified in the regulation.

Prior to DBE1 assisting the schools, the monitoring rate per person per six months was only 3.5. This means that the school committee member surveyed (usually the head of the committee) visited the school for the purpose of monitoring, on average, three to four times in a six-month period. After DBE1 provided intensive assistance to schools, the average monitoring rate is typically stable at seven times per six months. The highest monitoring rate occurred during the period in which DBE1 involved the school committee in preparing the school development plan (RKS).

Figure 3.5: Frequency of monitoring visits per person in a six month period (total 526)

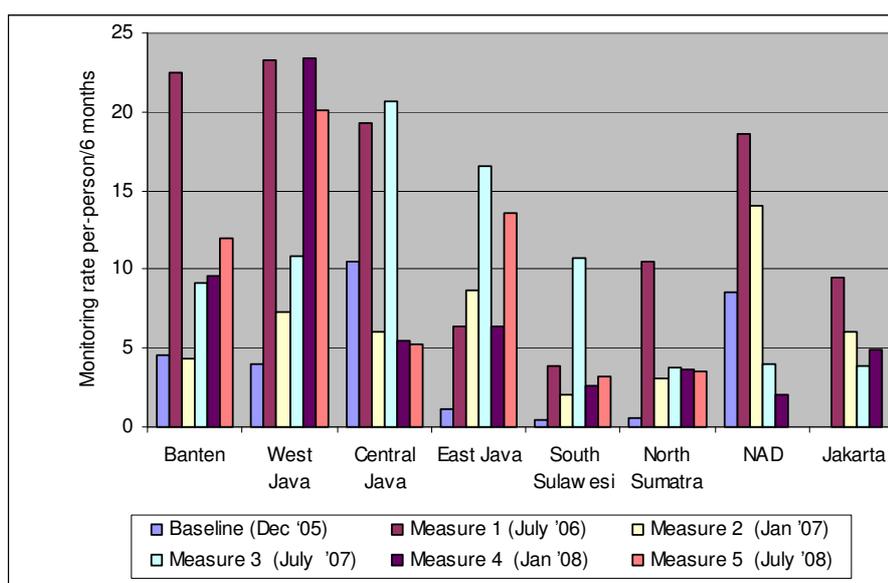


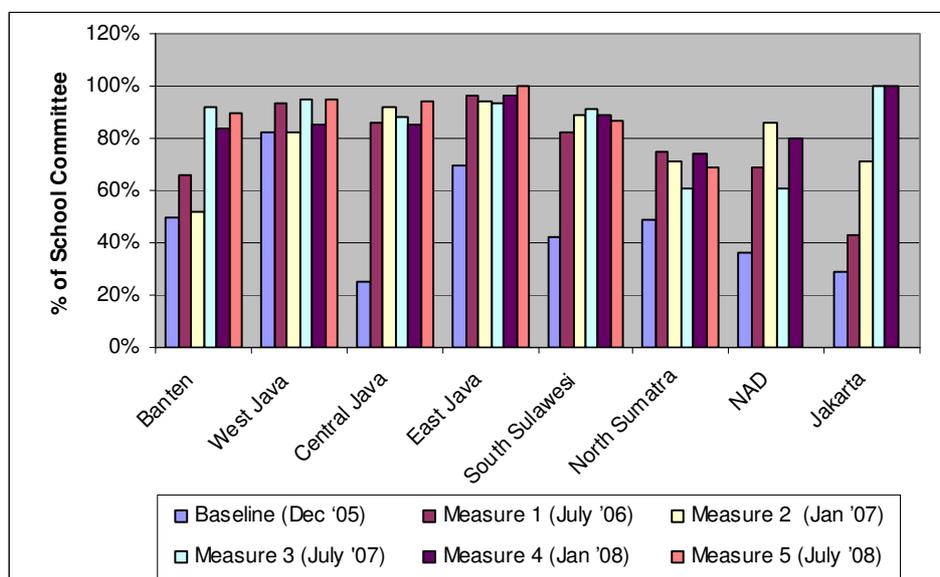
Figure 3.5 also shows that while school committee involvement in monitoring increased dramatically when DBE1 activity was intense, there is a tendency for monitoring rates to fall over time especially as DBE1 intervention becomes less intense in mentoring the schools, however, they still remain significantly higher than the baseline.

The decrease in monitoring rates may also be due in part to technical factors. Data were collected through school observation and examining visitors books or school committee records; the number of times per month the school committee member visited the school and what kind of activity they undertook while in the school. In a number of cases the school committee members, because they regard it as part of their routine performance, neglect to sign the visitors book or the book was unavailable. Anecdotal evidence from the field supports the finding that monitoring by school committees increased significantly following early interventions.

Role of school committee in promoting school transparency

Another role of the school committee is to promote transparency in school administration. There are a number of ways in which school committees can encourage their school management to be more transparent, such as asking the school to publish a financial report to the public, to post it at the school notice board or to send it directly to the parents.

Figure 3.6: Percentage of school committees supporting school transparency (total 526)



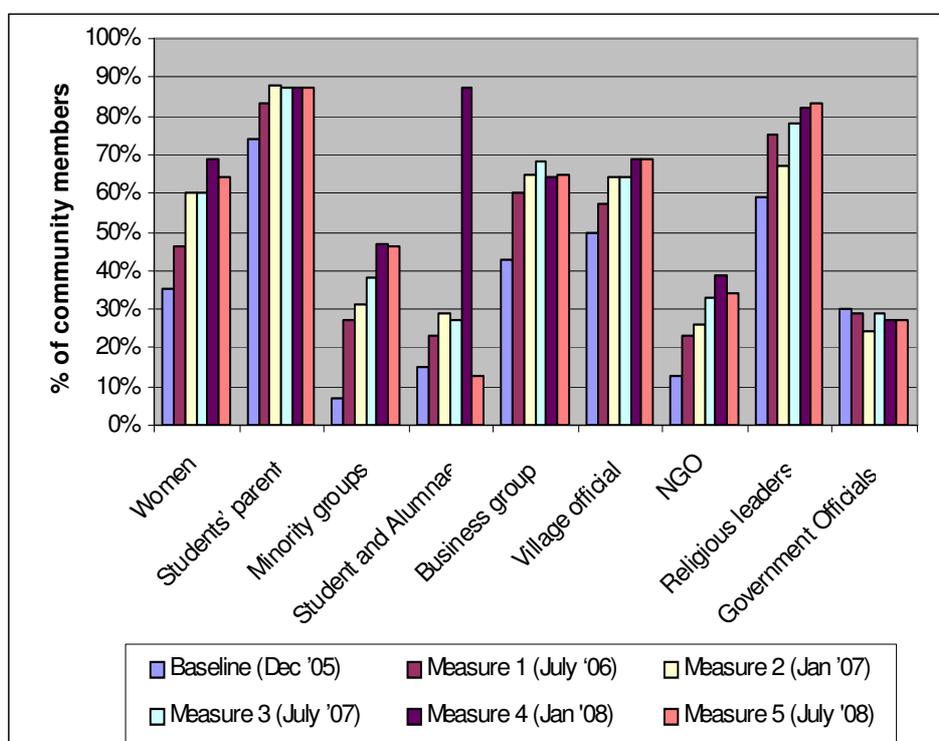
Prior to DBE1 intervention, 50% of the school committees had never been involved in promoting school transparency in this way. After three years of DBE1 assistance, more than 80% of the committees were supporting school management to be more transparent. DBE1 has increased the involvement of school committee in promoting transparency.

School committee views on the importance of broad representation

As is generally the case, in DBE1 schools the membership and leadership of school committees is typically dominated by parents or key people in the community (either formal or informal leaders). DBE did not intend to change the composition of school committees as the members are selected by the school management and the community. However, it is an aim of the project to increase the democratic representation on school committees, helping these institutions to more effectively represent the diversity of their communities.

Through school committee training, DBE1 emphasized that the school committee should represent various groups of people in the community such as women's organizations, minority groups, and local NGOs.

Figure 3.7: Changes in opinion of school committee members regarding groups that should be represented on the school committee (total 526)



Data on the opinion of school committee members was collected by asking school committee members the following question: 'In your opinion, which groups should be represented at the school committee?' The data shows the awareness among school committee members of the need for broad community representation on the committee has changed. More and more school committee members think that groups of people such as women, minority groups, and village officials should sit on the school committee.

Conclusions

Based on this project performance monitoring conducted over the first three years of project implementation, we can say that DBE1 is having an impact in significant ways on the management and governance of target schools.

Of the 526 target elementary schools in Cohort 1, 96% now have good quality school development plans.

School transparency has increased considerably. Prior to DBE1 interventions, most schools did not report their annual budgets (RAPBS) or their income and spending to the public – or at most gave their reports in one venue or forum.

Now, more than 50% of the schools have reported their finances by posting reports on the school notice board, sending them to the parents, or disseminating the reports in other places.



School Plan in one of the DBE1-schools in East Java

An increasing number of schools are considering diverse funding sources in their planning. In the past, most schools relied on single sources (specifically government funding). Notwithstanding the fact that in some districts regulations have been issued to prevent schools from seeking funds from parents, some schools are still receiving funding support from their communities.⁴⁶

Prior to DBE1 interventions, school development plans and budgets (RKS and RAPBS) were mostly developed internally by the school. Rarely did they involve the

school committee – other than as required to sign the budget document. As a result of DBE1 interventions, more than 80% of the school committees in target schools are now involved in preparing the RKS. In addition to participating in the development of the RKS, school committees are also active in monitoring school performance, promote transparency.

The awareness among school committee members of the need for broad representation on the school committee has also increased. There is now an increased recognition that school committee membership should include women, minority groups and other religious or community leaders.

DBE1 interventions at the school including providing assistance for schools in school development planning, school committee strengthening and leadership training have improved management and governance at the school. Not all provinces however, demonstrate the same performance. Results in most measures are relatively poor in North Sumatra when compared to other provinces.

⁴⁶ Note that this is a complex policy issue which is taken up again in Chapter Five.

The relatively poor performance may be partly due to external factors. North Sumatra has received very little support from donor-funded programs to improve basic education over the years. For virtually all districts and schools, DBE is the first project to support the implementation of school-based management. This contrasts to the more densely populated and accessible provinces and districts of Java.

In addition, internal factors are likely to account for some of the differences in performance between provinces. This includes the strength of project leadership, professional networks and ability to use them within the government and educational community to garner support for the project, and the varied capacity of team members.

Comparing the results of Measure 1 with subsequent measures on most indicators, it was found that performance in most provinces tends to decline. Possible causes for this decline are:

- less intensive mentoring by DBE1 and other facilitators;
- a decline in enthusiasm from school committee members in monitoring the school following the initial enthusiasm generated by early project interventions;
- a need for greater ownership of the programs by District Education Offices and other local stakeholders; and
- a lack formal job requirement, incentives, rewards, or recognition from within the administrative system to continue with the implementation of newly learned approaches.

Overall, measurement of performance indicators over the initial three years of project implementation demonstrates that DBE1 has had a strong impact on management and governance in target schools. The above analysis also raises concerns about sustainability, as performance against basic indicators tends to decline somewhat over the years. Sustainability requires continuous support for schools over time. The most obvious form of such support is that which could be provided by school supervisors (*pengawas*). These officials need the mandate for providing this support from local government as well as the capacity and resources to carry this out.

The primary purpose of routine monitoring presented in this chapter was not to measure project impact, but rather to monitor project performance. However, a number of conclusions can be drawn from the data. Notwithstanding the concerns over sustainability, the data show clearly that on every indicator, school performance improved dramatically following DBE1 interventions and, while the performance level dropped off somewhat in subsequent measures, in all cases it remained significantly higher after two and a half years than was demonstrated in the baseline data.

Schools have produced good quality development plans. The number of schools which disseminate their financial plans and reports in more two or more venues has increased. The number of schools with plans which identify

three or more sources of funding has increased. More school committee members are active in the preparation of school development plans, in monitoring school performance and in supporting financial transparency. School committee members are now more aware of the need for a range of community groups to be represented on the school committee.

In order to confirm and better demonstrate this impact, more data, both qualitative and quantitative was required. It was decided that further research would enable a better understanding of the ways in which school plans and other DBE1 programs are impacting on schools. This research is reported in the following chapters.

Chapter 4 - Implementation of School Development Plans

Introduction

In the previous chapter, data on basic indicators of project impact were discussed. One of the key focus programs of DBE1, particularly at the level of school, is school development planning, known as RKS or, subsequently, as RKS. Data were presented which demonstrate that 96% of target elementary schools have prepared school development plans which meet minimum standards of quality.

These data tell us that the training was effective, but they are unable to tell us whether or not the plans have been implemented and, if so, to what extent. Furthermore, we are unable to say whether or not the school development plans have had any impact on the improvement of schools. This is a particularly pertinent question, as we know that school plans are often prepared in order to meet formal requirements and make little difference to the programs of schools or to the quality of education they provide. This chapter examines the extent to which school plans were implemented and also presents some data related to the quality of the plans.

This chapter is divided into two parts. In the first part of this chapter, we analyze quantitative data relating to the extent to which school plans were implemented. The second part presents qualitative data derived from monitoring in the field. This monitoring aimed to triangulate the findings of the first study and to explore the dynamics of school development plan implementation and impact on schools. In the first monitoring activity, a national DBE1 team surveyed a sample of 36 elementary schools. In the second activity, a national team from MONE and MORA surveyed a different sample of 42 elementary schools.

The main focus of these studies is to examine whether or not the programs identified and budgeted in school development plans are implemented by the schools and, if not, what are the main reasons for non-implementation. As described above, according to government regulations all schools should have



Cover of RKS/M Development Manual

had a development plan in place at the time the project commenced.⁴⁷

However as seen in Chapter Three the vast majority of DBE1 supported schools either had no plan or the plan was of poor quality.

By August 2006, the first 489 target schools had completed preparation of a school development plan, or RKS, which includes a four-year program of activity together with an indicative budget.⁴⁸ All target schools should have commenced implementation of their first year programs in 2006/07 and second year programs in 2007/08.

In 2005 DBE1 started supporting the improvement of education governance and management at the school and district levels. As a preparatory activity, DBE1 staff conducted research into the school planning processes in use at the time, to better understand what was already in place and to identify potential interventions that could be taken to strengthen this important activity.

Beginning in December 2005,⁴⁹ DBE1 collected baseline data through interview and document review in all 526 targeted elementary schools. This data enabled the project to gain an understanding of the school planning process before DBE1. The following characteristics were observed:

- *Incomplete coverage.* The baseline survey found that only 2% of the target schools had plans that were assessed to be of good quality based on DBE1 criteria (cf. P.25). This suggests that schools did not receive adequate support to complete these plans, and that there were inadequate accountability mechanisms in place: neither the district education office nor the school community held the schools accountable for creating, let alone implementing, development plans. As a result, many schools were doing nothing on their own to address problems that, in many cases, were widely known and seriously detrimental to the education of the students.
- *Program development followed the budget.* Typically, school development plans were created not by identifying the issues, proposing plans to address them, costing out these plans, requesting funds to support them, prioritizing where needed, and agreeing on a set of initiatives. Rather, plans were created based on the funds already determined to be available. Put simply, the questions underlying planning were how much money is available and what should we spend it on, rather than what are the needs and how much money do we need to address them?

⁴⁷ Government Decree (*Peraturan Pemerintah*) number 19 Year 2005 regulates school development. According to this decree, every school should have a Four-Year School Development Plan. This decree also states that RAPBS is actually the annual implementation of a multi-year development plan. A subsequent decree from Ministry of National Education, *Permendiknas 19/2007*, requires that every school should have RKS as well as RKT/RKAS or annual school plan.

⁴⁸ 489 is the total number of elementary schools and madrasah in Cohort 1, excluding those in Aceh and Jakarta, which commenced somewhat later.

⁴⁹ Baseline data for Cohort 1 schools were collected in December 2005 and the following measure is conducted every six months. Up to July 2008, DBE1 has completed 5 measures. When the baseline data were being collected, not all of the schools had RPS therefore DBE1 used RAPBS for reviewing the school plans.

- *Lack of participation in budget preparation.* In general, the RAPBS was developed by the school and teachers and typically it was designed to fulfill the requirement of the Education Office (*Dinas Pendidikan*); for management of BOS or other block grants. Together, these factors resulted in plans that were designed by a small group to serve the purposes of district or national level actors, while ignoring the end beneficiaries. Consequently, there was typically either very low or no awareness at all on the part of the school community of the plan, and consequently little or no motivation on their part to see it succeed, since it was thrust on them and did not reflect their perspectives. While many school committee leaders signed the RAPBS, as required, they were not active in its development.
- *Lack of monitoring or evaluation.* Once developed, there was little or no evaluation of the implementation of programs, either qualitative or quantitative. As a result, many plans existed only on paper, and for those plans that were implemented, there was little attention paid to the impact.

Part 1: RKS program implementation survey

Methodology

Although the performance monitoring data reported in the previous chapter indicated that schools were producing good plans, there was no evidence to show whether or not the plans were being effectively implemented. In order to determine the extent to which the school development plans were being implemented in schools, in July 2007 and again in July 2008 DBE1 surveyed all schools. These surveys provide basic quantitative data on the level of implementation for each of the first two years from the four-year school development plans.

As described in Chapter Three, DBE1 collects data by interviewing and reviewing RKS documents in all schools on a routine six-monthly basis. Data in this form were collected in all 526 Cohort 1 elementary schools by District Coordinators (DC) and in some districts also by district personnel designated as District Facilitators (DF).

In addition to collecting data on the indicators described in Chapter Three, on two occasions DBE1 collected data on the number of RKS programs implemented. These surveys were conducted in July 2007 following the first year of planned RKS implementation in schools, and again in July 2008 following the second year. 100% of the Cohort 1 elementary schools were included in the survey.

These data were collected at the same time and in the same manner as the data for routine monitoring and evaluation described in Chapter Three above. The surveys tell us how many of the programs that were planned in school development plans (RKS) have actually been implemented, how many were

postponed and how many cancelled. They also tell us the reasons for non-implementation of some programs.

Findings

With the exception of schools in Aceh and Jakarta which started later, all 526 schools targeted in the first cohort had completed preparation of a school development plan, or RKS, in August 2006.⁵⁰ By the beginning of the new academic year 2006/07, the schools should have started implementing their first programs. By the end of this academic year, in July 2007, they should have completed a number of programs according to their school development plans.

The findings indicate that more than 70% of the plans had been or were in the process of being implemented. Because of the large number of programs and activities that were developed by schools, it was to be expected that not all of the programs would be implemented, as some may have been delayed or even cancelled by the schools due to unforeseen circumstances.

For the purpose of this study, a program that has been *implemented* means that one or more activities that make up the program were executed or were in the process of being executed, regardless of whether or not the school has completed the program in the relevant year. *Delayed* means the program was not implemented in the intended year but that the school intends to implement it in a following year. The majority of delayed programs relate to quality improvement, such as in-service training for teachers or purchase of computers and teaching aids.

Cancelled means a program has been removed from the school's plan, which can result from various factors including insufficient funds or inadequate human resources, support for the initiative having been taken over by a third party (i.e. District Education Office or *Dinas Pendidikan*), or funding being reallocated to other school activities. Cancelled programs are typically associated with rehabilitation or construction of new infrastructure, such as class refurbishment, construction of a new library, prayer room, or school principal office.

RKS program implementation rate

The result of the DBE1 survey of RKS program implementation in the year 2006/2007, the first year of implementation, found that 74% of the programs stated in the RKS were implemented, 24% delayed, and 2% cancelled.

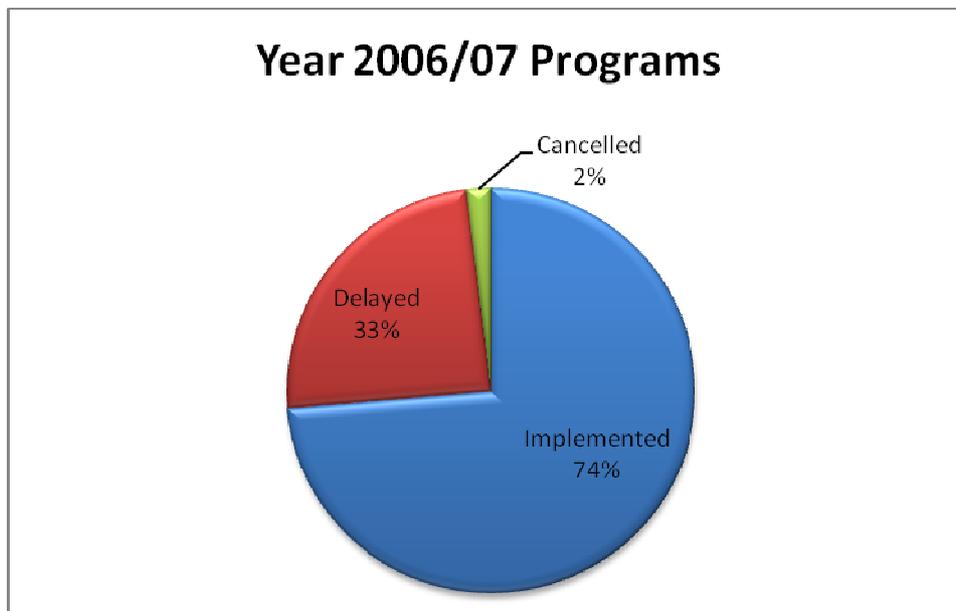
⁵⁰ As noted above, 489 is the total number of elementary schools and madrasah in Cohort 1, excluding those in Aceh and Jakarta, which commenced somewhat later.

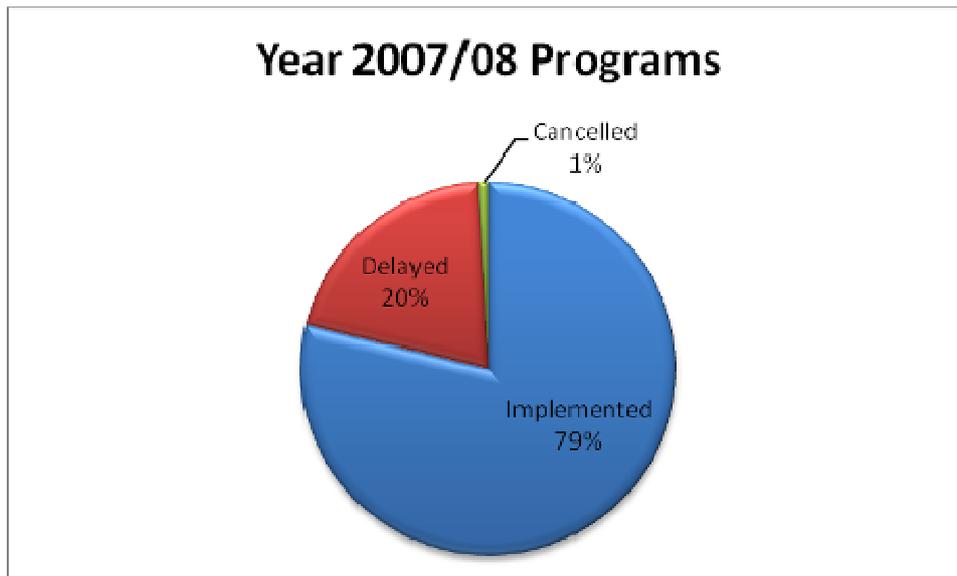
Examples of RKS programs being implemented in schools and madrasah

- Publicizing new student enrollments for class 1
- Providing stationery for new students in class 1
- Providing assistance to poor students to enable them to attend school
- Extra catch-up classes for drop-out students
- Support for participation in regional student competitions
- Extra tuition and guidance program for special-need students, including those with high intelligence
- Life skills programs
- Assistance for teachers to join in-service training, cluster training and workshops to improve their teaching
- Workshops for teachers to prepare new syllabus
- Purchase of desks, chairs and other furniture
- Purchase of teaching aids (such as a globe), contextual learning aids and textbooks
- Minor infrastructure projects such as construction of a fence for the school yard
- Conducting meetings and workshops with parents

The survey of program implementation for the second year, 2007/2008, found a slight improvement: 79% of the programs were implemented, 20% delayed, and only 1% cancelled.

Figure 4.1: RKS program implementation: 2006/07 and 2007/08 (total number of schools: 526)



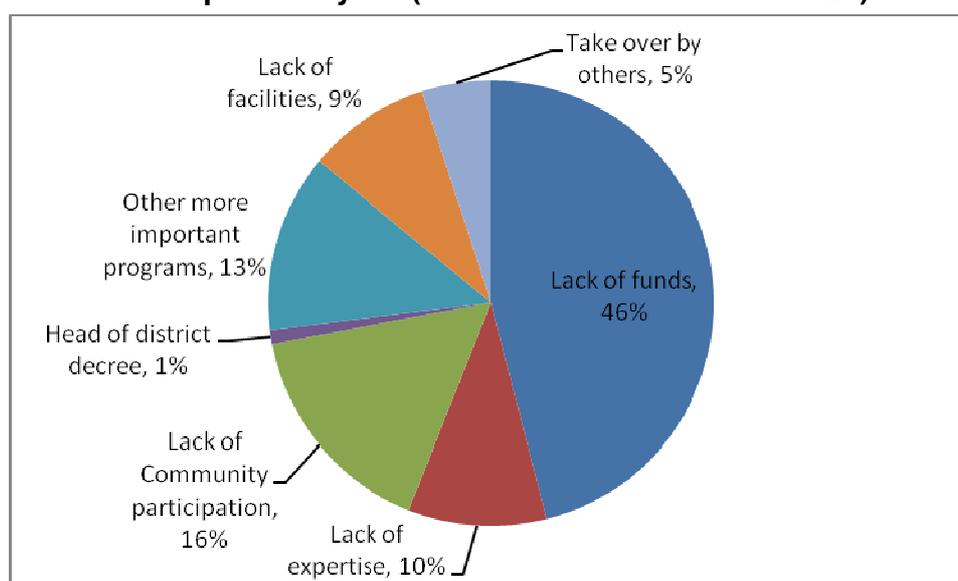


Reasons for non-implementation of RKS programs in the planned year

Respondents were asked to explain why the 20%-25% of programs which were delayed were not implemented in the planned year. In all provinces, lack of funds was cited as the main reason. This result is not surprising. The main and sometimes only funds that most schools were able to guarantee in this period were BOS grants. Large infrastructure programs usually require district (APBD) funding, which is at the discretion of the district government.

As explained in the next chapter, during the time of the survey several district and provincial governments were experimenting with implementing a policy of ‘free schooling’ which in many cases restricted schools from seeking funds from their communities. Since this is the first time that schools have prepared plans based on identified needs rather than working backwards from a given budget, the fact that some programs were not implemented due to anticipated funding sources not being realized is unsurprising. Other reasons given for non-implementation of some programs included limited ‘community participation’ (typically meaning financial contributions), and lack of expertise (typically limited access to qualified in-service teacher trainers or computer specialists).

Figure 4.2: Reasons given for schools not implementing RKS programs in the planned year (total number of schools: 526)



Based on the RKS document review, in the 2006/2007 year a total of 7,603 programs are listed in the school development plans and 74% of these have been implemented. In the year 2007/2008, 79% of the planned programs were implemented. This is a strong indicator of significant impact in schools.

Part 2: Field Surveys

In order to triangulate the findings reported above and to explore the factors associated with success of failure in implementation as well as the impact on schools, a monitoring survey was conducted. A sample of 36 Cohort 1 elementary schools was surveyed by the DBE1 team and 42 elementary schools from Cohort 2 were surveyed by a national team made up of personnel from MONE and MORA.

Methodology

Survey by National DBE1 Team

During the period December 2008 to February 2009, members of the national DBE1 team surveyed 36 schools in eight districts with the following purposes:

- to confirm the existence of and determine the quality of the RKS in sample schools;
- to determine whether the RKS have been disseminated to district offices;
- to investigate the extent of implementation of RKS, factors associated with success and barriers encountered by schools in implementing their planned programs; and

- to explore the role of school committees in planning, supporting implementation and monitoring implementation of the plans.

The survey sampling was purposive. The DBE1 team surveyed a number of districts, and selected schools to survey based on factors such as access and convenience in relation to other agendas and priorities. Survey visits were conducted without giving schools prior warning to increase the validity of data collected. At each school, the team met with the school principal and, where possible, other informants including teachers, committee members and school supervisors. The team also inspected the RKS document and observed impact in the school, such as posting of the budget and physical evidence of plan implementation.

The number and location of schools surveyed by the DBE1 team is presented in the table below.

Table 4.1: Sample of Cohort 1 schools surveyed by the DBE1 team

Name of Province	Name of District	Total number of schools
1. North Sumatra	1. Tapanuli Utara	4
	2. Sibolga	4
	3. Tapanuli Selatan	4
2. West Java	1. Indramayu	5
3. Central Java	1. Grobogan	4
	2. Klaten	5
4. South Sulawesi	1. Palopo	5
	2. Luwu	5
Total number of schools		36

Survey by national GOI team

During the period June 17-21, 2009, a team from the Ministry of National Education (*Direktorat Pembinaan TK dan SD*) and Ministry of Religious Affairs (*Direktorat Mapenda*) surveyed a sample of schools from the second cohort.

The purpose was:

- to confirm that there is a consistency between the content of manuals for school development planning, SDS, school committee training, leadership, and dissemination and actual program implementation in schools; and
- to provide a basis for input from national stakeholders involved in DBE1 program development, but who had previously not been involved in implementation.

DBE1 provided a complete list of target schools in every district, and the national GoI team selected schools on the basis of convenience. The number

and location of schools visited by the national team is presented below in Table 4.2.

Table 4.2: Sample of Cohort 2 schools surveyed by national Gol team

Province	Name of District	Total number of schools
NAD	Pidie	7
North Sumatra	Tanjung Balai	8
West Java	Garut	5
	Bogor	5
Central Java	Klaten	5
East Java	Bojonegoro	7
South Sulawesi	Makassar	5
Total		42

Findings

In general terms, the qualitative data collected in the two surveys confirms the findings of the quantitative data analysis reported in the first section of this report. Both surveys found that the schools surveyed had produced generally good quality school development plans (RKS).⁵¹ The surveys also confirmed that the schools were implementing their school development plans in partnership with school committees. These findings along with additional findings are discussed below.

The quality of school development plans

Of the 36 schools surveyed by DBE1 team, 34 were able to immediately locate and share their RKS documents with the team. In addition to the RKS document, most schools had also developed an RKT (*Rencana Kerja Tahun* or Annual Work Plan)⁵² that outlines the program implementation in the relevant year. In general the quality of plans developed by all sample schools was very good. All of the sample schools, with the possible exception of the two mentioned above, have developed RKS in accordance with the DBE1 manual. Based on document analysis, the majority met the criteria of a good plan such as including a school profile, the community (school committee, principal, and teacher) had been active in preparing the plan; and it had been approved by the teachers, school committee, and principal.

⁵¹ In the first cohort of schools, DBE1 implemented a form of school development planning known as RPS (*Rencana Pengembangan Sekolah*). Subsequently the government issued new regulations requiring schools to produce plans using the new format known as RKS (*Rencana Kerja Sekolah*). In consequence, DBE1 revised the manual and in the second cohort of schools implemented the new RKS.

⁵² RKT was introduced by DBE1 in July 2007 and all schools should have formulated RKT in the year 2008/09.

School development plans and district planning

Over 90% of schools surveyed in the first survey informed the team that they had submitted their documents to the local education office or *Dinas Pendidikan Kabupaten/Kota*. These RKS documents should assist districts in planning to improve education delivery.

All of the districts surveyed by the GoI team indicated that they support the continuation of DBE1 programs by allocating their own budgets (APBD) to support dissemination of DBE1 programs to new sub-districts and schools.

Program Implementation

Since most of the schools surveyed had developed annual work-plans (RKT), on the basis of their school development plans, it was relatively easy to assess the number of school plans being implemented. When the DBE1 team conducted the survey, most schools were in the middle of the program implementation. Notwithstanding this, the DBE1 team found that most of the BOS-funded programs were being successfully implemented. On the other hand, programs that were reliant on APBD (district budget) were proving difficult to implement.

Some examples of programs funded by BOS are teacher training, school committee training, learning support programs, and additional study hours to prepare for the final examinations. These programs are usually implemented by the schools while infrastructure programs such as school renovation, library or toilet development are difficult to implement because they require a budget from the districts (APBD).

The national GoI team found that, along with the school committee and other stakeholders, all of the 42 schools surveyed had already implemented, monitored, evaluated and updated the programs that were set out in their school development plans (RKS).

Obstacles to Program Implementation

Confirming the results of the quantitative survey reported in the first part of this chapter, financial constraint is the reason most commonly cited by school principals for non-implementation of planned programs. Activities which require substantial funds such as developing or renovating school infrastructure are frequently delayed or cancelled. In some districts, new local regulations prohibiting the school from seeking funds from parents resulted in dropping some planned programs.

School Committee Participation

The DBE1 team investigated three types of school committee participation: (1) participation in developing the school plan; (2) support for implementing the plan, and (3) monitoring implementation of the plan.

In all cases, the committees were active in plan preparation. While in some schools the school committee were reportedly active in supporting

implementation of school plans, this was not true in all cases. This is likely due in part to the policy restrictions on schools seeking funds from the community described above.

All principals surveyed by DBE1 indicated that school committees were very active in monitoring program implementation. The team, however, found that not all school committees recorded their activities, making it difficult to confirm that the school committee had monitored program implementation.

In the GoI team's survey, all schools indicated that they found the DBE1 programs to be very useful, especially in increasing the partnership between school and school committee.

School Database System (SDS)

As the schools surveyed by the GoI team were trained in the second cohort, this team was able to observe the impact of the school database program (SDS) which had already been delivered to this group as well as the revised format for school development planning (RKS). All 42 schools demonstrated that they could successfully use the computer for data entry and analysis and prepare school development plans. The team also observed that schools were using SDS for school reporting.

Additional findings

Following their monitoring, the GoI team met with the DBE1 team in Jakarta. In this meeting they reported that, based on their monitoring, DBE1 has successfully implemented its programs at the school level, including introducing the school database system, facilitating the preparation of school development plans (RKS) and annual work plans (RKT), increasing the capacity of school leadership, and empowering the school committee. In addition, the team reported that a key to the success of DBE1 is effective and efficient mentoring by District Facilitators and step by step training to support this.

Conclusions

As indicated in the previous chapter, 96% of target schools have completed preparation of school development plans which meet minimum quality criteria. What the various studies reported in this chapter demonstrate is that these plans are making a difference in schools.

Baseline data collected prior to DBE1 interventions in 2005 showed that, while many schools had prepared school development plans and budgets, in a majority of cases, these plans were not well implemented. Most schools either had no plans or they had documents which were prepared to satisfy the requirements of the education office and did not reflect the realities or aspirations of the school.

The studies outlined in this chapter tell us that the plans prepared with DBE1 support are not just documents, but represent a set of programs which are

being implemented to improve the quality of schools. In 2006/2007 a total of 7,603 programs were listed in the school development plans and 74% of these were implemented. In the following year, 79% of the planned programs were implemented.

Lack of funds was mentioned by respondents (mainly school principals) as the most common reason for schools not implementing the planned programs. Most schools rely heavily on BOS to finance their development programs. Consequently, some programs – mainly infrastructure – were delayed, cancelled or even dropped. Other reasons cited were lack of expertise, lack of community support, and changing priorities.

The DBE1 team found in its qualitative survey that the most schools keep their RKS documents in the school. The survey confirmed that the quality of school development plans is relatively good. Most of the programs planned are being implemented in the schools surveyed and school committees have become very active in monitoring the programs implementation. Financial constraints and lack of expertise were again given as the main reasons for non-implementation of some programs in schools. The monitoring confirmed that RKS programs funded through BOS (funds managed directly by the schools) have a high rate of implementation while those reliant on funds from the district government (APBD) are often not implemented.

The national GoI team found that the target schools have been successful in implementing school-based management and the DBE1 program is very well accepted both by the schools, the district education offices and local offices of the Ministry of Religious Affairs. Most of the districts have allocated funds from their annual budget (APBD) to disseminate the DBE1 program to new schools. This independent monitoring activity helps to verify the findings of internal project monitoring and supports the finding that the program has achieved successful outcomes at school level.

Taken together the quantitative and qualitative studies reported in this chapter show conclusively that the school development plans prepared with DBE1 assistance are being implemented in schools. A 74%-79% success rate in program implementation is impressive. The issue of funding for implementation of school plans stands out as important. Schools are able to implement most of their planned programs with BOS funds. However, in some cases, constraints on raising funds from the community and lack of support from district budgets (APBD) were identified as the main reasons for delay in the implementation of a small number of planned programs. This issue is taken up in the next chapter.

Chapter 5 - Funding for School Development Plans

Funding is a key element in the successful improvement of schools. As explained in Chapter One, since 2005, Indonesia has dramatically increased direct funding to schools in the form of per-capita operational grants, known as BOS. This has, for the first time, made school planning a significant exercise and by extension school-based management a real possibility.

Schools can allocate these new funds to school improvement programs such as in-service teacher training, curriculum development, procurement of teaching aids and books, learning assistance programs and small infrastructure development. BOS funds cannot be used for capital investment, such as building works. Consequently, schools usually look to support from the district budget (APBD) for these programs. As reported in the previous chapter, 74%-79% of programs planned by schools were implemented; the remaining programs were delayed, mainly due to financial constraints. The majority of these were infrastructure programs that did not receive anticipated support from the district budget (APBD).

DBE1 promotes multi-source budget planning in schools. Two additional sources of funding promoted by the project are contributions from the school community (including local small business) and village development budgets. District and provincial budgets (APBD) are a third important source of funding for schools.

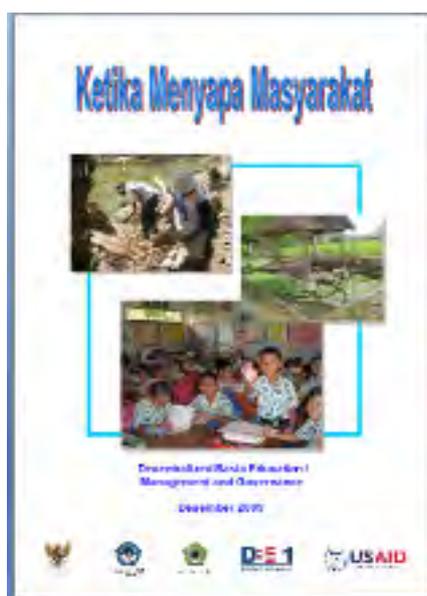
In many districts during this period, local governments created a barrier to increasing community support for schools, by declaring 'free schooling' policies, banning schools from levying fees. In some cases when the policy was introduced, it initially extended to a ban on schools seeking voluntary contributions from parents, further exacerbating the problem.

This chapter describes the impact of DBE1 interventions on funding for the implementation of school development plans. The chapter is divided into three parts. The first part describes a study of parent and local community contributions to schools which occurred after their participation in DBE1. The second part describes a study on the impact of a DBE1 program introduced in early 2009 to support school committees in lobbying for funding through the Village Development Consultation Forums, known as musrenbangdes. The third part describes the DBE1 school unit cost analysis approach which has resulted in increases to district and provincial funding for schools in some districts.

Part 1: Community contributions to school development

This section investigates the impact of school development planning, supported by other interventions, on school funding and the contribution of the

community. Plan implementation depends on availability of resources. The greatest part of financial resources for a school comes from government funding. However, community contributions in the form of cash or in-kind are also important sources of support. Community contributions are increasingly important because in most places school fees have been abolished or significantly reduced as a result of the introduction of BOS and local ‘free schooling’ policies. Contributions described in this chapter do not include fees or tuition costs.



“Ketika Menyapa Masyarakat,” booklet that contains information about community contribution to schools

DBE1 has been tracking the community contribution to school development in target schools since the beginning of the project as an indicator of project impact on the level of community support for local schools. In the first year DBE1 collected data retrospectively to show the level of community contribution before the project commenced. As a result, there is an annual record from 2004 onward. The data were collected through inspection of school budgets and interviews with the principal of each school conducted by DBE1 Coordinators and District Facilitators at the same time each year as the Monitoring and Evaluation data reported in the previous chapters were collected. Principals were asked to identify which community contributions could be said to have been

made as a result of DBE1 school-based management programs. Only these were counted.

Prior to the commencement of DBE1 interventions in the first cohort of 526 elementary schools, the total amount of community contributions to these schools was around Rp 450 million. Following DBE1 interventions in 2005-2006 this amount increased significantly to more than Rp 3.3 billion. In the following year (2006-2007) it jumped again, with the addition of a second cohort of schools to Rp 6.7 billion. The figure has been steadily increasing each year since then. For the 2008-2009 year, the total contribution was around Rp 8 billion. Over the three year period that DBE1 has worked with schools, more than Rp 25 billion (approx. \$2.5 million⁵³) has been leveraged from local communities in the form of both cash and non-cash contributions. Allowing for the fact that these figures include both the first and second cohorts of schools, this is an average of \$2,323 contributed to each school by local communities.⁵⁴

⁵³ Based on an exchange rate of Rp 10,000 = USD1

⁵⁴ Based on the total number of elementary schools and madrasah targeted in two cohorts = 1,076.

Table 5.1: Community contributions to DBE1 target schools (rupiah)

Province	2004/2005	2005/2006	2006/2007	2007/2008	2008/2009	Total (2005-2009)
Aceh	-	-	287,118,000	8,505,000	109,265,600	404,888,600
North Sumatra	834,000	270,612,000	423,641,500	367,830,100	463,554,500	1,525,638,100
West Java and Banten	328,359,000	1,445,850,500	2,758,674,200	3,342,101,425	1,844,764,901	9,391,391,026
Central Java	44,908,000	764,498,833	869,928,575	1,034,874,250	1,546,393,400	4,215,695,058
East Java	40,378,500	608,950,000	1,944,014,940	1,368,564,025	3,851,023,275	7,772,552,240
South Sulawesi	44,235,000	213,476,500	394,602,500	968,031,500	240,055,000	1,816,165,500
Total	458,714,500	3,303,387,833	6,677,979,715	7,089,906,300	8,055,056,676	25,126,330,524

Note: Total number of schools: 1,076

Much of this additional contribution to schools is a result of involving parents and community members in the school development planning process. When communities were consulted and presented with the results of school profiling and the identification of school needs in the RKS, many spontaneous contributions and commitments were made. This is a very different and far more positive process than the usual system in which parents are charged a routine fee that they often resent paying.

Table 5.1, above, shows the significant increase in community contributions to school development over the five year period 2004-2009.⁵⁵ Although the figures vary, the big increases in community contributions that occur in the year following school development planning occur across different provinces and districts and are repeated over two cohorts of schools, suggesting a common pattern. (See Appendix 2 for a breakdown per district.) The steady increase of the community contribution to school development in DBE1 target schools, which occurred over the three years of project implementation (2006-2009), is especially significant, given the changes in government policy which occurred during this period, effectively banning schools from seeking parental contributions.

The impact of the DBE1 program on schools is clear. Many schools now receive stronger support from their communities through school committees and parent class groups (*paguyuban kelas*). This support has steadily increased despite some confusion over the legitimacy of parent contributions as a result

⁵⁵ Data collection used an instrument to record all sources of financial and non-financial support for each school in the year. Non-financial support was given a nominal monetary value. Each type of contribution was coded as either a result of DBE1 interventions or not. Only the former were counted. As programs derived from the school development plans (RKS) were treated as related to DBE1 interventions these were included in the count.

of government 'free schooling' policies.⁵⁶ In the following section an approach to further increasing school funds through local village development budgets is discussed.

Part 2: Village Development Planning Forums

In early 2009, DBE1 conducted a survey to explore the dynamics of school committee involvement in Village Development Planning Forums and also to investigate how the school committee representatives voiced their concerns in their respective villages following the DBE1 training. The study targeted not only school committee members who have been involved in the training but also village officials, in order to examine their perspective on the involvement of school committee participation in the forums.



Participants of Musrenbangdes

The Village Development Planning Forum, locally known as *musrenbangdes* (*Musyawah Perencanaan Pembangunan Desa*), is a process of development planning which begins at the village, the lowest level of government administration which is known as *desa* or *kelurahan*. Through a community consultation process, each village decides on its priorities for development. These

recommendations are put to higher levels of government for funding from the village budget, known as known as ADD (*Alokasi Dana Desa* or Village Fund Allocation).

The Village Development Planning Forums usually take place in January, and are followed up with sub-district level forums in February. The process then continues at district, province and finally national level. In 2008, DBE1 saw that this program could provide an opportunity for schools to lobby for village development funds to finance their school development plans.

In order to prepare schools to take part in the forums, DBE1 conducted training in late 2008. This training was provided to school teams, consisting of the school principal, one teacher, and two school committee members. It was conducted in a total of 399 villages; in all districts in the six DBE1 target

⁵⁶ In addition, the district level school unit cost analysis (BOSP) conducted by DBE1 has resulted in increased funding for schools in a number of districts. Following the introduction of national BOS funding to schools, many districts and provinces adopted 'free schooling' policies. As a result, in many areas schools were prohibited from seeking parental contributions. Unfortunately the amount of BOS funding was generally insufficient to meet national standards in schools. DBE1 introduced a school-unit cost methodology known as BOSP (*Biaya Operasional Satuan Pendidikan*), which enabled districts for the first time to analyze real cost requirements of educating a student at each level in the system. As a result of this analysis many districts have subsequently increased funding to schools from provincial and district budgets. This matter was briefly discussed in Chapter Three.

provinces.⁵⁷ It was thought that involving the school committee in the forums would enable them to advise the village of the school's needs, based on their school development plans (RKS), and to advocate for funding from ADD for school development programs.⁵⁸ In addition to the school team, DBE1 also invited village officials to the training.

Early signs suggested that in some cases this approach proved effective in leveraging funds for school development and engaging the village level government in the process. However, since the approach was very new, the experience was expected to be quite varied. This is the first instance of a basic education project making the link and supporting school committees to lobby for funds under the national village development program for school improvement. As such it may be regarded as a very significant activity.

The study was conducted to determine the degree to which the training achieved its objectives and, specifically:

- To examine the dynamics of school committee involvement in the Village Development Planning Forums.
- To examine to the extent to which the proposals from school teams were accommodated and the types of programs funded by the village.
- To determine the need for further support to the school committee as a consequence of their involvement in the forums.

Methodology

DBE1 provides assistance to clusters of schools in sub-districts. One cluster usually consists of several villages. All of the school clusters in Cohort 1 and Cohort 2 districts were included in the Village Development Planning Forum training with the exception of Aceh, where the program was not implemented,⁵⁹ making a total of 101 clusters. Each cluster includes around ten schools, located in an average of four villages – although the number varies from two to five. A total of 399 villages were included in the DBE1 training conducted in late 2008. Of these, some 288 subsequently conducted development planning forums.

The study targeted this group of 288 villages, however, due to resource limitations, not all were included in the sample. The district coordinators who collected the data were asked to select villages which conducted the forum and to choose no more than three in each cluster for the study. These villages were selected for inclusion in the study according to two selection criteria: (1) they included the majority of schools and/or (2) they were the most easily

⁵⁷ NAD was excluded from this study for two reasons: (1) DBE1 in NAD faced difficulty in getting any information about *Musrenbang*; (2) *Musrenbang* in NAD usually is not conducted at the village level but decided at the sub-district (*kecamatan*) level.

⁵⁸ See *Alokasi Dana Desa* Article 212 of Law No. 32 about Local Government, concerning the sources of rural income

⁵⁹ In Aceh the Village Forums had not yet been conducted at this time.

accessible. This process resulted in a sample of 175 villages, located in five provinces.⁶⁰ The distribution of the sample is presented in Table 5.2, below.

However, due to problems with collecting valid, complete data and also with the consultative process itself in some villages, only 106 of the 175 villages monitored were included in the final sample for analysis (a sample size of about 25%). Consequently, the study only included villages where: first, there was no any intervention from the outside of the village such as from sub-district or district so that the forum was a genuinely transparent, democratic and bottom-up process, and second, data collected were complete and valid.

The aim of the program was to empower the school committee to participate actively in the consultative development planning process. For example, in villages located in Subang District, West Java, the process was deemed to have been non-democratic; the forum only rubber-stamped programs that had previously been designed by the sub-district or district level and there was no real participation from the community, including the school committee. The decision was taken to exclude these cases from the sample for analysis as it was considered it to be of little use to analyze this process.

Table 5.2: Sample of villages per province

Province	Number of villages monitored	Number of villages analyzed
North Sumatra	35	19
West Java & Banten	48	24
Central Java	46	29
East Java	10	10
South Sulawesi	36	24
National	175	106

Data were collected in the provinces of West Java/Banten, Central Java, South Sulawesi, and North Sumatra in the period of February-March 2009 and in East Java by May 2009.

The data were collected through interview and focus group discussion (FGD) at the sub-district (cluster) level with two to three people from each school participating, including two or three from the school team that was trained along with one or two village officials or from the village level parliament (known as *Badan Permusyawaratan Desa* or *BPD*). The data were collected by the DBE1 staff in each province.

The data were analyzed by coding all the answers of the group of respondents (school team and village staff) into entry data tables (Excel format). The results were then analyzed and discussed in a workshop in Jakarta. This

⁶⁰ Note that only ten villages were sampled in East Java. This occurred due to delays in data collection as a result of competing priorities for DBE1 personnel.

process enabled key themes to emerge from the data, resulting in the following breakdown of key findings.

Findings

The Village Development Planning Forum process

As illustrated in Table 5.3 below, of the 399 villages in which DBE1 provided training, 288 or 71% conducted the forum. There are a number of reasons why some villages did not participate. In several villages in North Sumatra, for example, the consultative process was not yet familiar; this event had never been held in those places. Some villages located in Central Java, East Java, and West Java also did not conduct the forum for a range of reasons, as follows:

- Village needs were determined through informal meetings with the heads of neighborhood (RT or RW) and other community organizations in which case forum became a formality.
- Some villages deliberately did not conduct the forum because the sub-district did not specifically ask them to do so.
- There was skepticism among the people that the consultative process was pointless and the result irrelevant because higher levels of government will ultimately enforce their own agendas.

Table 5.3: Number of assisted villages which conducted Village Development Planning Forums

Province	Number of DBE1-assisted villages	Number of villages conducting forums	Percentage
North Sumatra	68	22	32%
West Java / Banten	73	49	67%
Central Java	94	80	85%
East Java	80	53	66%
South Sulawesi	84	84	100%
National	399	288	72%

Number of villages which invited school committee members to Village Development Planning Forums

Prior to implementing the Village Development Planning Forum training program, DBE1 had confirmed that the following laws and regulations form the basis for the participation of school committees in the process:

- A circular letter from the Minister for National Development Planning and the Minister for Home Affairs⁶¹ states very clearly that school

⁶¹ Circular Letter no. 0008/M.PPN/01/2007 or Surat Edaran Bersama Menteri Negara Perencanaan Pembangunan dan Menteri Dalam Negeri No 0008/M.PPN/01/2007

committees have the right to participate in the consultative planning process at village level (musrenbangdes/kel).

- Law No 32/2004, concerning Regional Government, and Law No 33/2004, concerning Fiscal Balance between the Central Government and Regional Government, together with the associated regulations PP 72/2005 and PP 73/2005 concerning villages (desa and kelurahan) which explain the funds which can be used by villages.⁶²
- Circular Letter No 140/640/SJ concerning Guidelines for the Allocation of Village Funds from the District Government to the Village Government⁶³ which determines that funds which are managed by the village may be allocated, among others areas, to support the provision of basic education in the village.

These regulations were distributed to village and school authorities in the training program.

As shown in Table 5.5 below, out of 106 villages in the sample of villages trained for attending the forum, 77 (73%) actually invited the school committee to attend. In North Sumatra, West Java, and Banten all villages which conducted the forum invited the school committees. This data suggests that the training was effective.

Table 5.5: Number of villages which invited school committees

Province	Number of villages in the sample	Number of villages where the school committee was invited to participate	Percentage
North Sumatra	19	19	100%
West Java / Banten	24	24	100%
Central Java	29	12	41%
East Java	10	6	60%
South Sulawesi	24	16	66%
National	106	77	73%

Types of programs proposed in Village Development Planning Forums

The purpose of school committee attendance at the forum is to voice the aspirations and needs of the school in the forum which is designed to canvas community aspirations for local village development.

As illustrated in Table 5.6 below, the majority of programs proposed in the forums related to infrastructure which could be seen as supporting access to

⁶² Undang-Undang No 32/2004 tentang Pemerintahan Daerah dan Undang-Undang No 33/2004 tentang Perimbangan Keuangan antara Pemerintah Pusat dan Pemerintahan Daerah, yang diatur melalui PP 72/2005 tentang Desa, PP 73/2005 tentang Kelurahan

⁶³ Surat Edaran No 140/640/SJ tentang Pedoman Alokasi Dana Desa Dari Pemerintah Kabupaten/Kota kepada Pemerintah Desa

schooling or improved conditions for education: the development or renovation of village roads, drainage, and other school infrastructure. Very few schools proposed programs more directly related to instruction; some examples of these are: providing honorarium for teachers, a wall magazine.

Table 5.6: Types of programs proposed in Village Development Planning Forums (total 106 villages)

Province	Number of proposed programs	School infrastructure	Scholarship	Honorarium	PAUD*	Nutrition	Others
N. Sumatra	62	46 (74%)	3 (5%)	1 (2%)	0	11 (18%)	1 (2%)
W. Java / Banten	71	61 (86%)	2 (3%)	0	1 (1%)	2 (3%)	5 (7%)
C. Java	76	46 (61%)	13 (17%)	3 (4%)	4 (5%)	2 (3%)	8 (10%)
E. Java	27	24 (89%)	0	0	2 (7%)	0	1 (4%)
S. Sulawesi	132	125 (95%)	2 (-)	0	0	0	6 (5%)
Total	368	302 (82%)	20 (5%)	4 (1%)	7 (2%)	15 (4%)	6%

PAUD: Pendidikan Anak Usia Dini or Early Child Development

The focus on infrastructure is to be expected. It is common for local government officials to prioritize infrastructure projects because they are immediately apparent to the community. Furthermore, several other sources of government funding are available for non-infrastructure expenditures. BOS, the largest source of school funding prohibits use of BOS grants for infrastructure.

RKS as a source for proposed programs

During the RKS training, DBE1 consistently emphasized that schools should seek as many sources of funding as possible. Village Development Planning Forums offer a good opportunity for schools to bring the plan to the village level. Although not all of the programs proposed during the forums were derived from priorities identified in the school plans, many (60%) were (Table 5.7).

Several reasons have been suggested for why some schools did not promote their RKS programs in the forums:

- some school committees thought that programs that have been formulated and prioritized in the school development plans would not be approved, since they mostly relate to teaching and learning;
- some school committee representatives believed that proposals that would benefit the larger community such as constructing a new road for the school would more likely be accepted for funding;

- some of the proposed programs emerged after school plans had been drafted.

Table 5.7: Number of proposed programs derived from school development plans (106 villages)

Province	Number of proposed programs	Program from RKS	Percentage
North Sumatra	62	45	73%
West Java/Banten	71	47	66%
Central Java	76	41	54%
East Java	27	8	30%
South Sulawesi	132	99	75%
National	368	240	65%

Results of school committee participation in Village Development Planning Forums

Through the Village Development Planning Forum process in 2009, school committees leveraged some Rp1,143,200,000 (\$120,000) for school development programs in the 106 villages studied (about \$1,132 per village or \$283 per school⁶⁴). This is a new source of funding for Indonesian schools. Of the total of 368 programs proposed by school committee members in the forums, 82% may be categorized as infrastructure programs.

Part 3: District and provincial funding for schools

As explained in the previous chapter, schools typically rely on national BOS funds to implement school plans. In some cases, as described above, schools have attracted voluntary contributions from the community and village development funds to supplement implementation. It was intended that socializing the school development plans to district administrations would encourage districts to provide targeted funds from annual budgets (APBD) to support implementation of these plans in schools. The experience to date, however, is that this approach has not been successful because district budgets are quite limited and capacity is limited to meet individual requests from schools. However, we have found that some districts are able to add funds to supplement the funds that schools receive from the national government for operational costs through the BOS program.

To address this issue and assist districts to plan and budget strategically, DBE1 introduced a School Unit Cost Analysis methodology, known by its Indonesian acronym as BOSP.⁶⁵ At the end of 2008 a total of 29 districts had

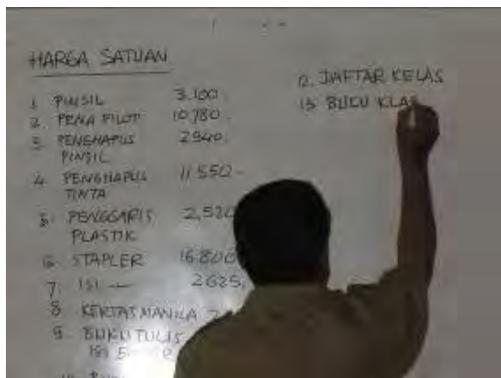
⁶⁴ Assuming an average of four schools per village.

⁶⁵ Biaya Operasional Satuan Pendidikan

conducted the BOSP assessment. By the end of 2009 this figure had increased to 49, exceeding the earlier project target of 35.

This program which was originally developed in response to demand in one district proved to be extremely popular with local district heads, legislature and administrations. In most cases for the first time it gives district managers and stakeholders an accurate assessment of the cost of educating a child at each level in the system, using the national education standards as a benchmark.⁶⁶ This in turn enables them to accurately predict costs, calculate short-falls (the difference between the centrally allocated BOS funds and actual costs calculated by BOSP) and formulate policy and allocate district budgets based on real needs.

In late 2008, for example, the Head of the District (*Bupati*) in Karawang, West Java, used BOSP results to formulate a new policy on school funding that stipulates that elementary schools will receive Rp 30,000 per student per year and junior secondary schools Rp 120,000 per child per year from the district's annual budget (APBD) in 2009; a major increase relative to 2008. The Head of the District, however, did not stop there but used BOSP results to advocate for additional financial support from the province of West Java to cover school operational expenditure. His efforts were successful in that he was able to convince the Governor to provide financial support to all elementary schools (Rp 25,000 per child per year) and junior secondary schools (Rp 125,000 per child per year) in the province.



Participants took part in one of the exercises to calculate and analyze costs

Another interesting example is Tangerang City in Banten Province. For some time, the Mayor (*Walikota*) had been looking for answers to the following questions: 'How much does it cost to operate an elementary, a junior secondary and senior secondary school?' The District Planning and Development Body (*Bappeda*)⁶⁷ was tasked to provide answers to these questions. The Head of *Bappeda* approached DBE1 and

asked for only technical assistance as *Bappeda* was able to fund the BOSP process by itself. As in Karawang, BOSP results helped the Tangerang district decide to provide financial support from the district budget (APBD) for 2009 to elementary schools (Rp 412,074 per child per year), junior secondary schools (Rp 705,651 per child per year) and senior secondary schools (Rp 1,502,563 per child per year) to cover operational expenditure. The local

⁶⁶ Note that BOSP only calculates school operational costs – salary and non salary - according to standards set by BSNP. It does not include the necessary investments at system level.

⁶⁷ *Bappeda* is an abbreviation of *Badan Perencanaan dan Pembangunan Daerah*, or District Planning and Development Body

government in Tangerang subsequently used this calculation to help prepare its 2009 Annual Budget in order to cover for the difference between costs allocated by BOS and the amount required to meet national standards.

The BOSP process in Tangerang City also triggered a much wider policy discussion on school funding which resulted in a broad range of policy recommendations that were presented during the multi-stakeholder event in December 2008. The thrust of the policy recommendations was to ensure that education would become free for students at the elementary and junior secondary level, which means that (1) the collection of financial contributions for a wide variety of schools activities (for instance special contributions for testing, tryouts, and additional lessons) should be discontinued and (2) payment of incentives and special allowances to teachers and school principals should be stopped.

It is rewarding to note that the elementary and junior secondary schools in Karawang and Tangerang districts now receive the funding needed to operate the schools adequately, which is achieved through the combined efforts of the central government through its BOS program, the provincial government through provincial APBD support and district government through district APBD support. It is fair to conclude that DBE1's BOSP program effectively informed the policy process and played a major role in achieving this positive development.

Since this period, BOSP has been widely implemented in DBE1 target districts and replicated in non-target districts with similar outcomes. BOSP results have been used in a number of districts and two provinces to formulate new policies on school funding through which local government funds (APBD) are used to help close the gap between actual operating costs and the school operations grants provided through BOS. Since 2009, DBE1 calculated that such school funding from two provinces (West Java and Central Java) and several district governments has totaled more than Rp 1 trillion (\$105 million).⁶⁸ Such policies are expected to result in lowering the burden of school costs for parents thereby resulting in improved access and quality of basic education. Some districts opt to provide more funding than is needed just to meet minimum operational standards. By raising the standards and providing the funds to meet the higher standards, quality of education is also expected to increase.

Conclusions

This first section in this chapter reported on increases in community contributions to schools to support the implementation of schools development plans. The second section explored the dynamics and the problems associated with school committee participation in Village Development Planning Forums. This includes the preparation process, the extent to which the

⁶⁸ DBE1, (2010), *Good Practice in Implementing Indonesian Decentralized Basic Education Policies*, DBE1 Special Report, January 2010, Jakarta, RTI report for USAID

proposals from schools were supported by village, and the need for further support to the school committee as a consequence of their involvement in the forums. The third section reported on the use of school unit cost analysis (BOSP) to advocate for increases to district and provincial funding for schools.

Analysis of data on community contributions to the development of local schools collected over the period of project implementation shows that DBE1 has had a significant impact in this area. The level of community contribution, in both financial and non-monetary terms, increased significantly following the preparation of school development plans and training for school committees. Since then it has steadily increased further, year by year. This increase occurred in spite of restrictions on schools collecting funds from parents, brought about as a result of 'free schooling' policies.

During the three years since DBE1 interventions commenced, local communities have contributed over Rp 25 billion (approximately \$2.6 million) as either cash or non-cash support for schools to implement their development plans. This is an average of \$2,446 contributed to each school by local communities.⁶⁹

Through the Village Development Planning Forum process in 2009, school committees leveraged some Rp1,143,200,000 (\$120,000) for school development programs in the 106 villages studied (about \$1,132 per village or \$283 per school⁷⁰). This is a new source of funding for Indonesian schools. Of the total of 368 programs proposed by school committee members in the forums, 65% of them were derived from the schools' development plans (RKS).

Significant increases in local government funding for schools have also occurred as a result of the DBE1 school unit cost analysis (BOSP). This methodology allows policy makers to determine the real cost of educating a student at each level according to national standards. As a result of DBE1 school unit cost analysis (BOSP) in 49 districts, allocations to schools have increased by over Rp. 1 trillion (\$105 million).⁷¹ This increased funding for schools should help them to meet national standards and improve the quality of education through implementation of school development plans.

These outcomes correspond to the objective of DBE1 training for school committees and principals in that they represent a broadening of the funding basis for achievement of school improvement aims identified in school development plans.

In summary, on the basis of the surveys and monitoring described in the previous chapter, we can say that the school development plans (RKS)

⁶⁹ Based on a nominal exchange rate of Rp9,500 = \$1- and the total number of elementary schools and madrasah targeted in two cohorts = 1,076.

⁷⁰ Assuming an average of four schools per village.

⁷¹ DBE1, (2010), Ibid

prepared with DBE1 assistance are being widely implemented in target elementary schools. On the basis of the first study reported in this chapter, DBE1 interventions in school development planning supported by leadership and school committee training have resulted in substantial increases in community support for local schools. In some regions, this impact has been further strengthened by increases in government funding resulting from school unit cost analysis and responses to ‘free schooling’ policies. Furthermore, the ‘experiment’ conducted by DBE1 in early 2009 to support school committees to participate in the Village Development Planning Forums and advocate for funding to support implementation of school improvement programs also had a positive and promising outcome.

The following two chapters, which report on findings of special impact studies, both highlight increased community support as a project impact.

Chapter 6 - Perceptions of Principals on Project Impact

Introduction

The purpose of this chapter is to describe a study which investigated the perceptions of principals from target schools on the impact of the program in their schools. During the period of March-April 2009, DBE1 conducted a survey of school principals in all 526 elementary schools working with DBE1 in 29 Cohort 1 districts, spread across eight provinces, including Aceh and DKI Jakarta. DBE1 had been working in these districts since late 2005. A total of 511 responses were collected, representing 97% of Cohort 1 schools.⁷²

The aim was to determine the perceptions of school principals on the impact of the DBE1 program on implementation of school-based management in their schools. Principals are in a key position when it comes to school reform – and judging the impact of a program such as DBE1. Their cooperation and active support is necessary to the success of the project.

The survey was constructed as two simple open-ended questions. Principals were asked if DBE1 has had an impact on their school and, if so, what impact?

Responses were subsequently collated and coded in order to identify the main areas of perceived impact. In this chapter, the methodological approach taken in this survey is outlined, followed by an analysis of the data. Key themes and findings of the survey are then discussed.

In summary, 99% of respondents (all but three) indicated that DBE1 has had an impact on their schools. All of these reported positive impacts. The greatest impact, in the view of principals, has been in the area of school development planning. However, the school development planning process (RKS/M and RKT) along with other interventions has also had broader impacts, according to the principals, particularly in relation to increased transparency, improved community participation, better, more strategic leadership, management and school administration, and greater accountability.

In addition to reporting positive impacts, three respondents also reported negative impacts. All of these related to the time taken by teachers away from their classes in order to attend DBE training.⁷³

The DBE1 interventions at school level take the form of an integrated and mutually supportive packet of programs to support the implementation of school-based management. Thus, for example, improved data management using the SDS software supports better school planning, which in turn is

⁷² The aim was to survey all the principals from the 526 target schools and madrasah in the first cohort. Data from 15 principals was unobtainable at the time of the survey, making a total of 511.

⁷³ This response suggests a short-term negative impact of DBE interventions which involve teachers.

supported by better leadership and greater community participation. It is thus difficult to separate out the impact of individual components.

Perhaps the most significant finding of this survey is thus that this integrated and holistic approach has, in the view of principals, been successful in improving the management and governance of target schools – and has been appreciated by the principals.

Methodology

Data collection

The survey consisted of two questions, asked by research assistants. In most cases these were DBE1 District Coordinators. In some cases the survey was conducted by research assistants who were hired to conduct an intensive participant observation in selected sub-districts located in East Java and South Sulawesi. In other cases, the survey was conducted by District Facilitators (district personnel, mostly school supervisors) acting on behalf of the project.

The survey was administered orally. Research assistants met face to face with the principals in their schools or in district or sub-district meetings. Responses were recorded by the research assistants and forwarded to the central research team in Jakarta for analysis.

The two questions asked were as follows: (1) Has the DBE1 project had an impact on your school? (2) What are the main impacts on your school?

Data analysis

Data were collated centrally and coded according to main areas of impact, using the following categories which emerged from the survey response data:

- Improved administration, management and leadership
- Improved data management
- Strengthened role of the community and school committee
- Improved teaching and learning
- Improved planning
- Improved financial management and greater transparency
- Other improvements such as general quality improvement.

It is important to note that these categories were drawn from the data. They were not imposed or structured into the survey questions prior to data collection but emerged from the process of collating and analyzing the responses.

This involved a two-step process. In the first step of coding the data, the categories were identified in an iterative process. Initial responses were coded and as more responses were analyzed, some changes were made resulting in the above categorization as the best fit for the responses received. In the

second step, all of the responses were coded using the categories that emerged from the first step.

Findings

Has DBE1 had an impact?

As noted above, the response to the survey was overwhelmingly positive. All but three of the principals surveyed gave a positive response to the question: Has DBE1 had an impact in your school?

Some illustrative examples of responses are as follows; the first from a principal in Enrekang District, South Sulawesi:

If we compare [the situation now] with how [the school was] prior to DBE1, clearly it is very different. Actually I became a principal after the DBE1 program had already commenced, nonetheless, I can see many changes. And there is a great difference between the schools supported by DBE1 compared with schools that are not supported. Because I was previously active in a school that was not supported by DBE1, I see this big difference, starting from the school environment, the teaching approach, the students, to the financial administration, it is much better. (Enrekang)

Some other typical examples are taken from Surabaya City in East Java. Principals commented independently as follows:

- School administration has become better than previously.
- In terms of administration, the school now has a good planning.
- School administration is becoming better.
- The school has a school committee and *paguyuban class* (parent group) as a communication forum for schools and parents / students' guardians. Through the initiative of the *paguyuban class*, each classroom now has a television.

Only three principals, located in Banda Aceh, Aceh, and Enrekang, South Sulawesi, indicated that DBE1 has had no discernable impact in their schools. One example is as follows: 'There is no impact whatsoever and the outcome of [the school's] program is not associated with the presence of DBE1.' (Banda Aceh)

According to the DBE1 personnel in Aceh, this response, from SD Swasta Kartika Candrakirana, may be interpreted as an expression of disappointment from the principal with the fact that DBE1 has increased the workload in the school without providing assistance in the form of equipment or funds as is the case with some other donors. Moreover, the school foundation (*yayasan*) has reportedly not been supportive of development in the school.

Two principals in Enrekang, South Sulawesi, also indicated that they cannot yet see the impact of DBE1. Investigation of these cases revealed that the principals in these schools have been rather resistant to the interventions of DBE since the outset. One commented that he believes we cannot expect parents to

become involved in the school due to the popular perception that schooling is now free and does not require parental ‘participation’. He went on to explain that he regards his own knowledge and capacity as a school leader to be sufficient but there may well be other schools which will benefit from the input of DBE1.

What is the impact?

The responses varied considerably, from brief general comments indicating positive impact, to detailed comments on how DBE1 has impacted in concrete ways on various aspects of school management and governance.

Those responses which indicated a positive, but not clearly defined, impact were coded as ‘Other’. For example: ‘Improve the quality of students, teachers and the quality of the school.’ (Deli Serdang); ‘The training activities increase our insights and experience.’ (Lebak)

Some responses specified an area of development within the school and were coded accordingly, but were still somewhat general and lacking specificity. Examples are as follows: ‘Developing school-based management.’ (Cilegon) ‘[DBE1] has helped the school principal and teachers a lot in the process of administration and teaching-learning.’ (Enrekang)

The fact that over 80% of respondents gave much more detailed, concrete responses gives greater weight to the claim that the project has indeed had a positive and substantial impact on management and governance in target schools. Examples of more detailed responses are as follows:

The preparation of the RKS now involves the teachers and school committee. We did display the school RAPBS, however because the school was flooded a few years ago, the school budget has not been displayed again on the school notice board but is only entered in a book. (Palopo)

The role of the community has increased; public awareness has increased. The village administration now comes to the school periodically to ask about the development of the school; not only that, but the village has also now provided the school with trash collection. (Mojokerto)

The Principal together with the working group (KK-RKS) completed 2008 RKS and RKT documents, which were submitted to the Office of Education through DBE1 and have been partly implemented, for example in the rehabilitation of the school, toilets, student tables and chairs, learning media and library books. (Aceh Besar)

Financial reports, aside from being posted, are also distributed during parent meetings, which were attended by the school committee, the village administration, stakeholders (small business). The school now has planning which is well established, focused and scheduled: namely RKS and RKT. (Klaten)

As illustrated in Figure 6.1 below, the major impact of DBE1 at school level, in the view of school principals in target schools has been in the area of school development planning (30% of responses highlighted this area) and school

leadership, management and administration (24% of responses highlighted this area). A further 17% of responses focused on the role of the community and school committee. Other areas highlighted were improved financial management and increased transparency, infrastructure, data management and teaching-learning. The inclusion of teaching-learning as a category that was highlighted in 9% of responses suggests that some principals do not differentiate between DBE1 and DBE2 inputs.

Figure 6.1⁷⁴

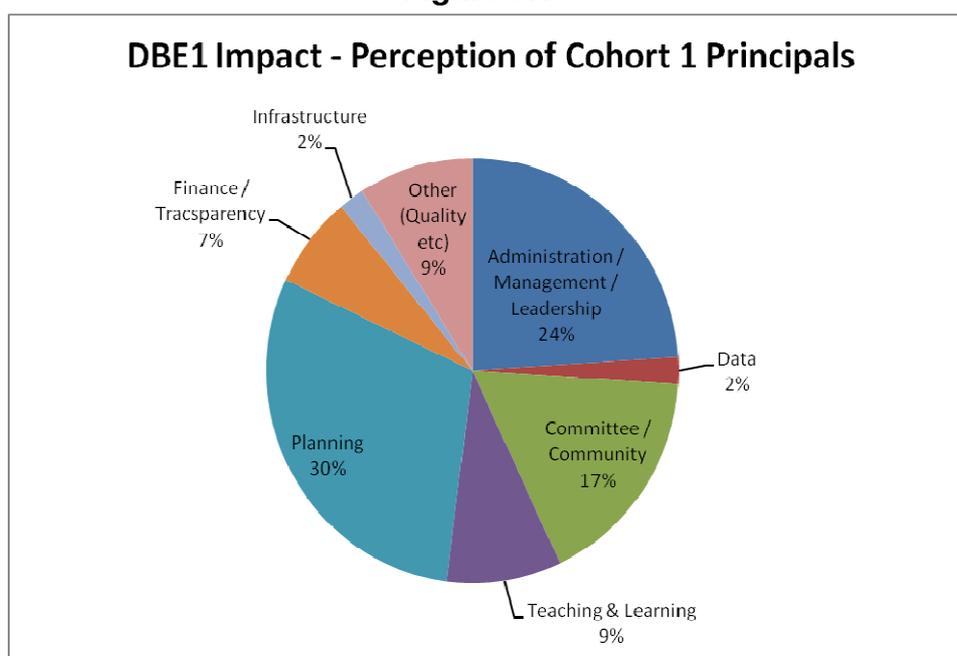


Table 6.1, below, shows the breakdown by province. While overall the responses were quite consistent, some variations between provinces are noted in the discussion below.

Table 6.1: DBE1 Impact – Perceptions of Cohort 1 Principals

Theme	Administration / Management / Leadership	Data	Committee / Community	Teaching & Learning	Planning	Finance / Transparency	Infrastructure	Other (Quality etc)	TOTAL
Aceh	5	0	4	1	24	1	0	1	36
North Sumatra	24	1	21	6	30	11	0	7	100
Jakarta, West Java & Banten	30	1	5	16	45	3	1	19	120
Central Java	16	1	39	8	20	11	8	5	107

⁷⁴ Note that the three negative responses are included here under the Other category.

Theme	Administration / Management / Leadership	Data	Committee / Community	Teaching & Learning	Planning	Finance / Transparency	Infrastructure	Other (Quality etc)	TOTAL
East Java	18	1	12	8	20	3	0	5	67
South Sulawesi	28	4	6	8	22	6	0	7	81
TOTAL	121	8	87	47	161	35	9	44	511

In Aceh, the strongest impact was felt to be in school planning, with 24 principals from the total of 36 in the two Cohort 1 districts identifying this as the main area of impact. Results were very similar for the two districts. A typical response is as follows:

The positive impact we feel is that the school now has a plan for the future; now there is a guideline or manual for what we can do for the future of the school, as in the RKS / RKT. (Banda Aceh)

Also in North Sumatra, West Java, Jakarta, Banten, and East Java the most common area of impact identified was planning. Other areas frequently mentioned were administration, management, leadership and school committee or community. Results varied somewhat between districts. Some typical responses were as follows:

Improved communication is occurring between the Committee and the Education Board (teachers) on school improvement. (Tapanuli Utara)

The school can prepare a madrasah work plan so that we have a reference for work and development for the years ahead and as a picture of work expectations for the next annual plan. (Sukabumi)

Increased community participation in all class groups, including supporting improved facilities and infrastructure as well as school activities. Increased understanding and knowledge of the school principal, teachers and school committee on school management. (Bangkalan)

Notable in the responses from East Java was the level detail in principals' comments, especially in Mojokerto and Tuban where the data were collected in the context of deeper participant observations. The following example from Mojokerto illustrates this point:

The school now understands the process / approach to establish a school committee; meanwhile prior to the DBE program the school did not know how to establish a school committee. (Mojokerto)

These kinds of responses suggest that the change in the school as a result of DBE interventions is real and substantial.

Response to the survey in Central Java was somewhat different to the other provinces in that the most frequently mentioned area of impact overall was not planning but school committee and community participation. Results vary

between districts. In Boyolali, a district recognized as one of the most successful in implementing and disseminating DBE1 programs, eleven principals indicated that the most significant impact in their schools was in the area of planning, while eight identified the area of community participation and the school committee. Meanwhile in Jepara and Karanganyar, no principals identified planning as the main area of impact. Two principals in Kudus and seven in Klaten identified planning as the main area of impact.

Several of the responses identified more than one of the categories. Examples are as follows:

The school, which did not previously have a well-established, scheduled and systematic planning approach, has now adopted mature and systematic planning and a participatory planning approach resulting in greater public support for implementation, although support sometimes stalled due to funding (agreed routine monthly fees). (Boyolali)

Financial reports as well as being posted are also distributed during parent meetings, which are attended by the school committee, village officials, stakeholders, small businesses. The school now has planning which is well-established, strategic and scheduled, namely: RKS and RKT. (Klaten)

Other responses were brief but specific, as follows:

Every school policy always includes teachers and the committee. (Klaten)

The school principal is more transparent and more often coordinates with teachers and the school committee. (Karanganyar)

In South Sulawesi the most frequently cited area of impact was administration, management and leadership, with school planning the second. Some examples are as follows:

Since the intervention of the USAID DBE1 programs, as principal, I feel that training has been provided in several areas which were previously completely unfamiliar in the school, such as how to prepare a school development plan (RKS) and an annual school plan (RKT) along with a plan for school income and expenditure (RKAS). The budget is now displayed in the room of the school principal. (Palopo)

We can now make school priorities, identify problems, challenges, indicators and alternative solutions. (Soppeng)

Training received from DBE simplifies the work of the school principal in preparing the RKS, RKT and the budget because we involve all stakeholders. In addition, the role of community in improving the school is very necessary because the progress of school education is not only the work of the school principal but requires the involvement of all parties, in this case the stakeholders. (Enrekang)

A small study on the impact of leadership training conducted in the Central Java district of Karanganyar in 2009 further supports these findings. While it is difficult to isolate the direct impact of the two days of leadership training

provided to principals and school supervisors, the study found that overall the DBE1 program has had a significant identifiable impact on the leadership and management approach taken by principals in target schools in this district. It seems likely that the leadership training contributed to this effect. In general, principals have adopted a more open, transparent and participative style in their schools and communities as a result of the DBE1 program.⁷⁵

Understandably, quite a few principals are unclear as to the difference between DBE1 interventions which focus on school-based management and DBE2 interventions, focused on teaching and learning. To most, the program is simply 'DBE', a complete and integrated package of interventions. As a result quite a few mentioned improved teaching and learning, improved classroom management and so on as positive impacts of the program.

Conclusions

The survey found that all but three respondents (99% of cases) believe that DBE1 has had an impact on their school. All of these described positive impacts.

The first program developed by DBE1 and implemented in the schools surveyed was school development planning (RKS). The take-up of this program by schools, sub-districts and districts – and more recently provinces – in self-funded dissemination programs has been strong. The DBE1 program has provided direct assistance to schools and districts in the form of training and a step-by-step methodology for preparing government mandated school plans which meet government requirements. Not surprisingly, the impact of DBE1 on school planning emerged in this survey as the most prominent.

A number of other areas of impact were also frequently mentioned. Particularly noteworthy is the number of principals who identified school leadership, management and administration or community participation as main areas of impact.

Once again, it is worth pointing out that the various DBE1 interventions at school level form an integrated approach to implementing school-based management. With this in mind, it is perhaps wise to interpret the responses of principals to this survey as indicating main areas of focus, rather than exclusive impact of different sub-programs. This means that, for example, where the response highlighted community participation as the main area of impact, the community participation may well have been principally through the school development planning process. Or, to take another example, where improved management was highlighted, it may have been the work on school planning that made the improvements possible. To take the example further, one outcome of the planning process may have been increased transparency.

⁷⁵ DBE1, (2009), *Unpublished report on the Impact of Leadership Training in target schools in Karanganyar District, Central Java*. This study interviewed school supervisors, principals, teachers and community representatives in all target schools in two clusters in this district to assess the impact of leadership training on principal behavior and school management-governance.

Comparing the results between districts and provinces suggests some difference in emphasis such as in Tapanuli Utara, North Sumatra, a high-need, culturally distinct rural district, the most significant impact mentioned was increased community participation.

The key finding from this survey is that, overwhelmingly, the principals indicated that DBE1 has had a positive impact on their schools. The majority of responses suggest, by the level of specificity, that that impact has been substantial. Most identified specific, concrete improvements in the management and governance of their schools as a result of DBE1. In the next chapter, a series of field case studies, which explore in a deeper way the impact of DBE1 at school level, is described.

Chapter 7 – Field Case Study Research

Introduction

The purpose of this chapter is to gain an understanding of the breadth and depth of project impact and of the dynamics of program implementation in schools and madrasah. To gain this understanding, detailed field case studies were designed to help construct answers to the main research questions of the larger study:

- What is the impact of DBE1 at the school level? (That is, to what extent is DBE1 achieving the objectives?)
- What factors are associated with maximum impact?
- What factors are associated with minimal impact?
- Are there any unintended impacts: positive or negative?
- What can DBE1 and partners do to increase the impact and sustainability of outcomes during the remainder of the project?

Eight school clusters, located in South Sulawesi and in East Java, were selected for study in early 2009. The two provinces were selected to include one on the island of Java and one on a neighbouring island. Within each cluster, data were collected from several informant groups – teachers, principals, school committee members, school supervisors, sub-district administrators, parents and students. One school was identified for the case study, and the school was studied within the context of its cluster, typically comprising ten regular schools and madrasah. In addition, interviews were conducted in all cluster schools.

Methodology

The methodology used in the case studies supports the purposes of the study by exploring the main research questions through the eyes of key stakeholders. The methodology sought to identify emerging themes related to the impact of DBE and both intended and unintended impacts that it may be having on schools. The methodology was more concerned to identify and explore these themes rather than to simply quantify them. However, in the brief analysis presented here, it is impossible to address all themes identified and so the focus is principally on those themes that recur in all, or in the majority, of school clusters.

The methodology comprised five main stages:

Stage 1: Professional preparation of research assistants.

Eight research assistants attended a three days training program prior to their fieldwork; four assistants were from South Sulawesi and four from East Java. A field practice was conducted in four DBE1 target schools in Surabaya, to

enable the participants to practice the techniques in a real-life setting. Following this practice, participants shared their experience and discussed practical and technical issues arising with the trainers and DBE1 specialists who attended the training.

Stage 2: Field case study research

Research assistants undertook in-depth observations and interviews in the field. Each assistant spent two weeks in one school cluster with special attention paid to one school in that cluster. The field research instruments provided the opportunity to capture data from in-depth, open-ended discussions as well as by using more closely structured interview and observation schedules, document study and unstructured conversations over the two weeks. Time spent in the cluster also enabled the checking and verification of data and clarification of emerging issues and conclusions.

Stage 3: Preliminary data analysis

In this stage, data cleaning and initial analysis was undertaken over three days at an intensive workshop for all the field research assistants. This process enabled assistants to compare their results with others, to verify issues with project staff and to begin to identify some of the key themes from their cases. The outcomes of this work were fully documented in text files and passed on for further analysis in Stage 4.

Stage 4: Indexing, thematising and analysis

The Stage 3 output was entered into a software package called *NVivo*, a qualitative data analysis package designed for deep analysis of complex text data. The software allowed the entry, indexing and thematising of the data from Stage 3. When this database was completed, relationships in the data were examined to help address the main research questions. The outcomes of the analysis provide the basis for this chapter.

Stage 5: Report preparation

Based on the outputs of Stage 4, the report that forms this chapter was prepared.

Sampling

Eight school clusters located in East Java and South Sulawesi were studied with a balance in each province from predominately urban and predominately rural areas. The clusters studied are as follows:

From East Java: Magersari and Prajurit Kulon in Mojokerto City; Palang and Jenu in Tuban District.

From South Sulawesi: Wara and Telluwanua in Palopo City; Anggeraja and Enrekang, in Enrekang District.

From all eight clusters, a total of 77 stakeholders contributed information as follows: 22 teachers, 8 principals, 10 school committee members, 8 school

supervisors (*pengawas*), 9 parents, 20 students and 3 officials from the sub-district education office.

Findings

The themes that emerge in response to the research questions from the analytical processes used by *NVivo* are numerous, broad and deep. The presentation and discussion in this chapter focuses on the most common themes that have been identified in a majority of participating school clusters. To emphasize the comparative ‘strength’ of a theme, it is generally identified here if it was found in more than 75% of clusters, that is, in six or more of the eight clusters. For some analyses, for example of minimal impacts where the numbers of identified themes is very small, it has been appropriate to illustrate these with the smaller numbers. It is possible to explore any theme in more detail by reviewing the database of themes in *NVivo*.

This section begins with a discussion of themes and findings, structured around five key research questions. The section on findings concludes with an analysis of outcomes in one field case study location that compares school management and governance before and after DBE1 interventions.

Question 1: What is the impact of DBE1 at the school level?

Table 7.1 summarizes themes that answer this question. The Table also provides answers to two other important questions:

- On whom is DBE1 having an impact?
- Where is DBE1 having an impact?

The data indicate that DBE1 is having a strong, broad and deep impact on schools in all clusters, both urban and rural. Table 7.1 also indicates that this impact is particularly strong on school committees, parents, teachers, and on students. The observation made by the research assistants, in seven of the eight clusters, that stakeholders were ‘open’ to providing information during the interviews and not hiding anything, suggests the validity of the responses. It is also a good indicator from outside observers of the schools of a move towards greater transparency. This, of course, is an important DBE1 objective.

The summary data presented in Table 7.1 shows that themes of major impact have been identified in at least 75% of the eight participating school clusters. This data, which is further supported by other stakeholder responses and researchers’ observations, indicates very clearly that DBE1 is having the intended impacts at school level and across all school clusters. This also suggests the data is reliable.

Breadth of impact on stakeholder groups is apparent. This answers the question: ‘On whom at school level does DBE1 impact?’ Unlike earlier development projects in basic education that relied on the myth of a ‘multiplier effect’ from the training of only selected groups such as school supervisors or principals, here there is evidence across the clusters of the

benefits of the whole school approach where teachers, school committees and parents are being influenced by DBE implementation. Across all clusters, students also reported positive outcomes from the impact of the introduction of active learning methodologies (known as PAKEM)⁷⁶ on their learning and on classroom activities.

Table 7.1: What is the Impact of DBE at the School Level?

DBE1 Objectives and School Impact Themes	Response Group	Anggeraja	Enrekang	Jenu	Magersari	Palang	Prajurit Kulon	Telluwana	Wara	Totals
Transparency: Stakeholders were open during interviews, not hiding anything.	Observation	1	1	1	1	1	1	1	0	7
Transparency: Stakeholders demonstrate the impact of more open schools since DBE.	Observation	1	1	1	1	1	1	0	0	6
Transparency: Schools now posting annual budgets (RAPBS) in public place	Observation	1	1	1	1	1	1	1	0	7
Transparency: Greater financial transparency and access since DBE.	School Committee	1	1	1	1	1	1	1	1	8
Transparency: Schools posting school development plans (RKS) and budgets (RAPBS).	School Committee	1	1	1	0	1	1	0	1	6
Transparency: Parents have access to school finance and program reports.	Parents	1	1	1	1	1	1	0	1	7
Participatory Leadership: Principal actively seeks teachers input, feedback, motivates teachers to participate in school development.	Teachers	0	1	1	1	1	0	1	1	6
Participation: Teachers and parents communicate better and more often since DBE.	Teachers	1	1	1	1	0	1	1	0	6
Participation: Stakeholders – the School Committee, parents and community are now involved in RAPBS, RKS with BOS developments and updating.	School Committee	1	1	1	0	1	1	1	0	6
Participation: Stakeholders now have greater input in many ways since DBE1.	School Committee	1	0	1	1	1	1	1	0	6

⁷⁶PAKEM stands for *Pembelajaran yang Aktif, Kreatif, Efektif dan Menyenangkan*, literally: Active, Creative, Effective and Joyful Learning. Teaching/learning methodology is implemented by DBE2, one of three DBE project components.

DBE1 Objectives and School Impact Themes	Response Group	Anggeraja	Enrekang	Jenu	Magersari	Palang	Prajurit Kulon	Telluwanua	Wara	Totals
Participation: Parents have improved communication on student achievement and behavior.	Parents	1	1	1	1	1	1	1	1	8
Participation: Stakeholder contributions occur through school committee, parent groups and facility contributions.	School Committee	1	1	1	1	1	1	1	1	8
Participation: Increased community contributions to the school.	Parents	1	1	1	1	1	1	1	1	8
Participation: Improved parents and school-communication and participation.	Parents	1	0	1	1	1	1	1	1	7
Participation/Accountability: Teachers now visit or call parents when student has a problem, to monitor child's development.	Teachers	1	1	1	1	1	1	1	1	8
Students: Teachers and the use of active learning methodologies (PAKEM) have encouraged students to ask teachers for help.	Students	1	1	0	1	1	1	1	0	6
Students: Students performance has improved; smarter.	Parents	1	1	0	1	1	1	1	1	7
Students: Students now more creative and willing to express themselves, ask questions, more active in class, make own learning aids.	Teachers	1	1	1	1	1	1	1	0	7
Resistance: Schools not posting budgets (RAPBS)	Observation	1	1	1	1	1	1	1	1	8
Replication: APBD funding for replication has been provided	The sub-district education office		1	1			1			3 ⁷⁷

The 'voice' of parents, teachers and school committees is shown in Table 7.1 as being particularly strong. Principals, in all clusters, reported positive impacts, mainly in terms of enabling the process of developing RKS and RKAS. The *pengawas*, also in all clusters, stressed the impact in terms of

⁷⁷ Only four sub-district education offices exist in the eight clusters studied and therefore responded to the study. One more was unavailable for interview. This means all these three the sub-district education offices (100%) studied are reporting funding being made available for replication.

participation and in ‘bridging the gap’ between schools, teachers, parents and the community.

Evidence of sub-district education officials’ perceptions of impact is comparatively slight as in four case study clusters there is no sub-district education office ⁷⁸ and, in one, the sub-district education official was unavailable for interview. Of the three officials from cluster sub-district offices that contributed to the study, the impact is seen in terms of transparency, empowering participation and replication.

The one main negative identified arises from the observation that there seems to be some ‘resistance’ to posting annual budgets, known as RKAS, in all sub districts, yet at the same time, there is contradictory evidence that school committees and parents recognize the positive impact and transparency of public displays and seem to be doing this. The important distinction here is that the resistance relates to the *posting of*, but not necessarily to *access to*, RKAS and RKS. Some examples below list a variety of reasons listed for not posting and these illustrate the distinction between posting and access:

MI Darul Huda: Did not post RAPBS because it has been reviewed.

SDN 137 Enrekang: Also did not post RAPBS because the announcement board is broken.

SDS Kristen (Wara): It is not safe to post the document outside

SDN 75 Surutanga, SDN Salotellue (Wara): There was flood

SDN 81 Langkanae, SDN 483 Patiware (Wara): School supervisor has the RAPBS to be verified.

The matter of posting budgets warrants further investigation and attention in future DBE implementation activities as it relates to accountability.

Two subsidiary questions asked of the thematised data presented in Table 7.1, and the answers to them, are as follows:

To what extent are we achieving our objectives?

The objective of DBE1 is to develop more effective decentralized education management and governance. This includes effectively managed schools with strong school committees that effectively voice the aspirations of all stakeholders. In addition, DBE1 seeks to promote management practices that are transparent, participatory, responsive, and accountable (that is, practices that are guided by principles of good governance).

Table 7.1 shows that this objective is being achieved. It is clear that the school-level governance structure, the school committee, is effective and

⁷⁸ Kota Mojokerto and Palopo do not have a sub-district education office as they are small cities and there is no need for branch offices of the Dinas Pendidikan.

enabling stakeholders to voice their aspirations as intended. The evidence for practices that are transparent, participatory and responsive⁷⁹ is particularly strong from both the voice of the stakeholders and from the observations of the researchers. The following extracts are examples from the database of the range of transparent, participatory and responsive practices. All are from parents and the original translated English is used, unedited:

Teachers are also visiting home for children who are less or naughty. For naughty children usually did not punish them directly but they were sent home early so that their parents know what happens to the child (SDN Palang). In MI Nurul Khoiriyah, because parents and teachers live in the same neighborhood, then the communication is much more closely. Parents can ask to the teachers directly to their home or via sms. (*Parent, Palang*)

In MI Manbaul Futuh, each month there is a meeting involving teachers, parents and school committee. Every three months, principal is conducting an evaluation meeting which is attended by school stakeholders - teachers, school committee, parents and foundation. (*Parent, Jenu*)

Each month parents meet with teachers to discuss how the development of children's achievement in school. At the end of mid-term, school made a report that contains the student achievement progress (SDN 81 Langkanae, SDN 274 Mattirowalie, MIS DDI 1). (*Parent, Wara*)

What seems to be missing in the data presented in Table 7.1 is evidence of accountability. Unlike participation and transparency, both of which are concrete concepts, evidence of which can be observed, accountability is an abstract concept. Because of that, it is more difficult, but not impossible, to identify. One source of evidence would be a shared school policy that clearly sets out accountabilities and responsibilities for the key actors, such as the school principal. Accountability, in the sense of final, ultimate responsibility at school level for something such as teaching quality, school funds, or building maintenance, is not clearly in evidence in this data. Some transparency and participation themes, of which 'Transparency: Parents have access to school finance and program reports' and 'Participation: Teachers now visit or call parents when student has problem, to monitor child's development' are examples that reflect the current enthusiasm for school-based management and for sharing accountabilities or responsibilities, but which may not last unless based on a clear school accountability policy for these activities.

Both of these examples indicate a move *towards* accountability but not accountability specifically. This is partly because there is no clear evidence of

⁷⁹ See Table 7.3 where responsiveness is shown as a sub-set of participation.

who is monitoring activities and partly because there is no evidence of how compliance with a policy or regulated practice in the school is established.

Evidence in the data for this move *towards* accountability, rather than *actual* accountability, is shown in Table 7.2. However, it is not clear from the examples, who is actually answerable for outcomes and processes and what the consequences for success or failure might be. In other words, there is the beginning of a basis for accountability, but it needs considerable development.

Table 7.2: What is the Evidence for Accountability at the School Level?

Response group and indicators of a move towards accountability	Example of how accountability is exercised	Anggeraja	Enrekang	Jenu	Magersari	Palang	Prajurit Kulon	Telluwanua	Wara	Total
Teachers: Teachers-visit or call parents when student has problem, to monitor child's development	Parents accountable to teachers	1	1	1	1	1	1	1	1	8
Pengawas: Parents-now make suggestions on improving teacher quality	Teachers accountable to parents	0	0	0	0	0	1	0	2	3
School Committee: School Committee has role to monitor implementation of RKS	Schools accountable to stakeholders via open processes	0	0	0	0	0	1	2	0	3
Pengawas: School RKS and RAPBS displayed, can explain them		1	1	0	0	0	1	0	0	3
Principals: Stakeholders can access school to review and monitor RKS and RAPBS		0	0	1	0	0	0	2	0	3
Teachers: Regular review meetings on RKS and RAPBS		0	0	1	0	1	1	0	0	3

Is there anything specifically on leadership and leadership training?

Yes. Teachers identified participatory leadership as a theme in six of the eight school clusters. The data shows that principals actively sought teachers' input and feedback, and that they motivated teachers to participate in school development. This change was welcomed by teachers and is evidence of the success of the DBE leadership training. The following is a sketch of leadership experienced by teachers since DBE:

A school principal who involves all of school stakeholders in the planning and program implementation makes teachers more motivated to participate in the school development. Without DBE, the school

principal will not involve the school stakeholders in the policy making. (Teacher, Jenu)

This delegation of tasks gave a positive impact to the teachers because they feel more valued and trusted, so that it increased teachers' motivation to work. For example: teacher holds a treasurer position and teachers also involved in the preparation of school programs (SDN Kedundung II and SDN Meri I). (Teacher, Magersari)

School principal is now asking for teachers' feedback on the school programs, for example: sport teacher opinion was asked for the development of the sport fields. (Teacher, Wara)

Question 2: What factors are associated with maximum impact?

This question is answered as a two-step process. First, exploring the database using key words drawn from the DBE1 project objectives identified impact factors. Second, as a measure of 'maximum impact', illustrative themes found in more than 75% of school clusters, that is, in six or more of the eight clusters, are also presented. As is the case with Question 1, it is possible to explore any theme in more detail by reviewing the database of themes.

Table 7.3 presents the outcome of this analysis. It shows that the major impact themes, for example participation, can be seen to be composed of a very large number of sub-themes, the more salient of which are reproduced in Table 7.3. So, in the case of the participation theme, relationships, accountability, communication and responsiveness are all shown as important sub-themes of this broader concept of participation. As is the case with the analysis presented in Table 7.1, it is possible to assess *where* DBE1 is having maximum impact (answer: in at least 75% of clusters and for many themes, in all clusters) and on *whom* (answer: particularly on students, teachers, parents and school committees).

The impact on students is especially noteworthy. There is evidence that they are being comprehensively influenced in ways that go well beyond the benefits of improved and changed learning and teaching. This appears to be occurring through a 'trickle-down' effect of the principles of good governance that are changing the attitudes and behavior of their parents, teachers and school principals. For example:

Student creativity is increased because every child required to independently working on its tasks, as well as in making the display or homework, too. The selection of the class head is a way of how students can freely give their opinion. Head of the class selected by the students themselves where each child writes down the name, most of the selected name will become the head of the class. Students are now also having courage to ask the teacher if they don't understand on the course subject. In SD Karangagung, only 3 classes out of 9 classes that the head class was selected by teachers. (Student, Palang)

and:

Students say that there are many extra-curricular activities. They are now daring to give their opinions and to participate in the championship. Students are happy and if friends' works are placed on display in the class, they immediately want to work better so that their works can also be displayed. Parents say that the displays stimulate children creativity and with discussion, students dare to give their opinions and answer. Many extra activities funded by schools and paguyuban stimulate children creativity, for example: 1) drum band in SDN Pulorejo 1 and 2; 2) dancing, drum band, volleyball, silat and boy scout in SDN 4 Mentikan. All schools said that extra-curricular activities can stimulate creativity and provides students meeting their hobby, and also encourage students to further achievement. Children provide their ideas for the election of the head of the class and also choose what extra-curricular that they desired (SDN Mentikan 4).
(*Student, Prajurit Kulon*)

As noted in the previous chapter, in some cases it is difficult to separate out the impacts of DBE1 and DBE2. The examples above are clearly impacts of DBE2 and not of DBE1. However, it appears to be the combined impact of a program which addresses governance and management issues as well as teaching and learning that creates the biggest impact. As many of the issues revealed in Table 7.3 have been considered in relation to the broader question of the impact of DBE1 at school level, they will not all be repeated here, as there is consistency in the outcomes from both analyses. However, the following key conclusions are noted:

The key concepts represented in the DBE1 objectives and principles of good governance are reflected in the thematic impacts on schools. These concepts, and illustrative themes, are:

- Transparency:

Parents can see the transparency of the school. Parents can find out the school programs because the school involved them in the preparation. In addition, in the financial report, the school also allows parents in the meeting, so that the school financial condition can be known by parents, such as the SDN 255 Mancani when there was financial abuse, parents can send SMS directly to the mayor. Parents also feel that there is transparency from teachers in term of students' learning achievement because they held regular meetings with parents to explain how to assess student learning, especially when there is UAS (National Exam), as in the SDN 374 Alaipan, parents were invited to school to discuss the preparation of students to follow the exams. (*Parent, Kota Palopo, Kecamatan Telluwanua*).

- Participation and responsiveness:

Because when you wait for help from Diknas/Depag, can be very long, so, the role of the local community is required. With such information, it is starting to attract public's attention. For instance: a study case in MI Manbail Huda. This is a private school that is located exactly on the side of the mosque Kaliuntu. Madrasah only have 5 classrooms. Because the class is less than the second grade students must occupy space in the mosque for almost 3 years. Due to transparency, community is now aware with the madrasah problem. Community tried to support the madrasah with their own way. Community around MI Manbail Huda conduct fundraising program or “*arisan*” with amount of Rp. 300.000,- per month. Total persons joined the program is 60 + 1 whereas the madrasah was included but they did not have to pay. In 2008, madrasah received Rp. 18 million from the program. With that fund plus contribution from parents, MI Manbail Huda can build 3 classrooms. (*Parent, Jenu*)

- Accountability:

Supervisors oversee, give direction and control the reports relating to financial transparency at every school so that the report submitted to public is accountable. As performed by supervisors in each school (*School Supervisor, Enrekang*)

To this list can be added the demonstrable impact of DBE activities on learning and teaching and the impact of participatory leadership being demonstrated by school principals with teachers. Strongly represented among the key stakeholder groups reporting major impacts are parents. Their reports are across a number of key sub-themes – management processes, participation, communication, responsiveness, and improved student learning. Teachers are also reporting a comparatively high number of strong sub-themes, for example, in improved relationships, improved learning, and in participatory leadership.

Although there are a limited number of comments about replication, this should not be interpreted as evidence of ‘minimal’ impact. On the contrary, these comments are from all three sub-district education offices that participated in the study and, it should be noted, compared with other stakeholders, the sub-district education office is in the most favorable position to have knowledge of what is happening in dissemination and replication. In other words, replication actually emerges as a comparatively strong theme from this analysis. Two examples suggest the ‘strength’ of replication at local levels:

Along with the increased school achievement in DBE schools, polemic is arising in the district Jenu. Why all schools did not get DBE assistance? Every school sees the need to develop RKS and RAPBS; and also to maintain DBE program. In Kabupaten Tuban, RKS replication was conducted in many schools in 10 sub-districts (total 20

sub-districts in Kabupaten Tuban). So, 50% of the sub-districts in Kabupaten Tuban have replicated RKS. Replication has been running. (*Sub-District Education Office, Jenu*)

Local government saw the success of DBE program and allocated funds to replicate DBE program in seven clusters. This will be funded by APBD⁸⁰ and starting in June 2009 to finance the workshop, TOT, practice and mentoring. DBE is 80% successful in the two clusters and the DBE program will be replicated to another seven clusters (there are nine clusters). The pilot group is coming from DBE clusters, and resource persons will be the principals and the teachers from the DBE assisted schools. The principals of 6 SDN and MI Kalijaga said that there will be DBE replication funded by APBD. Teachers from DBE assisted schools have heard the news about the replication in other clusters and they are ready to become resource persons. (*The Sub-District Education Office, Prajurit Kulon*)⁸¹

A question often asked is ‘What is the evidence to support the idea that improved management has an impact on students, classrooms and improved participation and learning?’ Table 7.3 provides evidence that suggests that there is an overall impact of improved management on learning and teaching, for example, parents reporting access to program reports, the existence of parents’ groups, teacher visitation programs, and improved communication between teachers and parents on student achievement and behavior.

Table 7.3: Factors Associated with Maximum Impact

Major Impact Themes	Sub-themes	Theme examples	Stakeholder group reporting theme	No of clusters reporting (Max=8) ⁸²
Transparency				
	Management processes	Parents have access to school finance and program reports	Parents	7
		Stakeholders are open during interviews, not hiding anything	Observation	7
		Schools posting RAPBS in public place	Observation	7
	Finances	Greater financial transparency since DBE	School Committee	8
Participation				
	Participation	Stakeholder school support contributions through participating in school committee, parent’s groups and contributions to development/maintenance of	School Committee	8

⁸⁰ APBD is an abbreviation for *Anggaran Pendapatan dan Belanja Daerah*, the Annual District Budget.

⁸¹ Note that, again, it is impossible to separate out the impact of DBE1 and DBE2 here. It seems likely that the impact is from both projects in this case.

⁸² Theme examples listed in Table 7.3 are limited, for reasons of space, to those that had the widest distribution across participating school clusters only, that is, in six or more of the participating clusters in the study.

Major Impact Themes	Sub-themes	Theme examples	Stakeholder group reporting theme	No of clusters reporting (Max=8) ⁸²
		facilities		
		Increased community contributions to the school	Parents	8
	Relationships & Accountability	Teachers now visit or call parents when student has problem, to monitor child's development	Teachers	8
		Teachers and parents communicate better and more often since DBE.	Teachers	6
	Stakeholder access to school	Greater financial access since DBE	School Committee	8
	Communication	Parents have improved communication on student achievement and behavior	Parents	8
	Responsiveness	Increased community contributions to supporting the management of the school	Parents	8
		Improved parent and school communication and participation	Parents	7
Students				
	Improved learning	Students performance has improved; smarter	Parents	7
		Students now more creative and willing to express themselves, ask questions, more active in class, make own learning aids.	Teachers	7
		Teachers and the use of PAKEM has encouraged students to ask teachers for help	Students	6
Leadership				
	Participatory leadership	Principal actively seeks teachers input, feedback, motivates teachers to participate in school development	Teachers	6
Replication		Local government allocates funds for replication	Sub-District Education Office	3 ⁸³

Question 3: What factors are associated with minimal impact?

Four key observations can be made in response to this question.

The first observation is that there are numerous themes in the data associated with minimal impact. Apart from one theme relating to an apparent 'resistance' to posting RAPBS, these themes are all comparatively very weak

⁸³ Only four sub-district education offices exist in the eight clusters studied and therefore responded to the study. One more was unavailable for interview. This means all these three the sub-district education offices (100%) studied are reporting funding being made available for replication.

as the numbers of school clusters, in which they occur, illustrate (see Table 7.4).

As one would expect in the study of schools in the first cohort, which at the time of the study had not yet implemented the school database system (SDS), one of these weak themes is related to the DBE1 objective to increase the use of computer technology to enhance management and governance and which seems to have had almost no impact on schools. This echoes the finding of the principal survey discussed in the previous chapter. A few isolated mentions were made of ICT in relation to supporting budgeting and planning but other comments about it are in the negative – the impact of a virus attack and one observation in a school that the database is poor. The fact that impact of ICT was not mentioned at the leadership level is unsurprising given that DBE1's school database system (SDS) had not yet been implemented in these schools at the time of the study.

Broadly similar conclusions could be made about the evidence of impact of work done in relation to the objective to disseminate and replicate project results through the Public Private Alliances (PPAs). First, no reference at all could be found to PPAs, so their role in replication cannot be evaluated from the available data, except to observe there is 'silence' about PPA impact. In the first year of implementation some effort was made to encourage schools to partner with local business in order to attract additional resources for the implementation of school development plans. This effort met with some success initially as reported in Chapter Five in the section on school funding and the community contribution to school development. However, as noted in the discussion, changes in government policy made it difficult for schools to seek additional funding outside the national government BOS funding. Subsequently DBE1 concentrated efforts on developing PPAs at the corporate level rather than school level.

The second observation about minimal impact factors, apart from the evident resistance that has been noted to posting annual budgets (RAPBS), is that most factors mentioned in the data are not widely distributed across clusters at all as they are idiosyncratic and characteristic of only one location. Some examples of these single-location factors are shown in Table 7.4. Nevertheless, one theme is expressed in a variety of different locations and that is the impact of poor community participation. While in Table 7.3 community participation emerges as a very strong theme associated with maximum impact, nonetheless there are also a small number of cases where lack of community participation or resistance from communities (blockers rather than enablers) is associated with minimum impact, or reducing impact. These cases are indicated in Table 7.4.

The third observation is that analysis of the database indicates that the school supervisors (*pengawas*) are the one group that has identified these minimal impact factors more than other stakeholders including principals, parents and school committees, by a factor of almost 4:1. This offers the possibility that

supervisors might be assisted to further strengthen this monitoring role through further professional development. An example of supervisor observations on community participation is:

In SD [elementary schools], PSM [community participation]⁸⁴ has been running, while in MI [elementary madrasah]⁸⁵ teachers and school committee that attended training always keep changing so PSM cannot be maximum. SD is becoming self sufficient, the school committee and PSM are more stand out from the schools that are not assisted by DBE. Without having to wait for the command from school or Dinas, the community takes initiative on their own. There is no school facilities improvement in MI, only in SD. School committee is now more active. If there is anything in the school, they become a bridge to the parents and the community. Coastal communities usually are people who do not want to care about the school. It is difficult to ask for donations for school development. So the role of school committee and *paguyuban kelas* [class-based parent support groups] is in approaching the parents and the community. Not only in the surrounding communities but also the business world like in SD Glodog and SD Karangagung.
(*Pengawas, Palang*)

Fourth, no instance of a reference to matters of leadership was expressed in relation to minimal impacts although clearly many factors call out for imaginative leadership to address them. One example is ‘DBE training - not all teachers have followed’ and another is ‘Parents - some still more concerned about work and farming than education’.

One conclusion that can be drawn from the data about minimal impact is that it is necessary to be very alert to localized factors that lead to minimal impact as it seems the impact of these on individual schools can be serious. For example, in three clusters, principals reported resistance to parents’ groups and contributions from parents to the schools. Analysis of ‘resistances’ to change and development demonstrates the impact of these localized factors. Three clusters – Wara, Prajurit Kulon and Palang may benefit from closer monitoring as they not only have the highest incidence of reported resistances but also have several different resistances compounding each other and potentially frustrating development. In Wara, for example, weak supervision, lack of parental interest and poor teacher participation in training occur together. In Prajurit Kulon and Palang, resistance from the principal is another factor.

Future monitoring might usefully seek out evidence of such factors as a basis for further development support. A conclusion is that apart from the issue of resistance to posting RAPBS, there is no clear evidence of widespread or

⁸⁴ PSM is a common acronym for ‘*peran serta masyarakat*’, literally ‘community role’.

⁸⁵ MI stands for ‘*madrasah ibtidaiyah*’ while SD stands for ‘*sekolah dasar*’.

systematic factors leading to minimal or to negative impacts of DBE1 activities on schools.

Table 7.4: Factors Associated with Minimal Impact

Major Theme	Theme examples	Stakeholder group	No of clusters reporting (Max=8)
Transparency	Resistance in school not posting RAPBS	Observation	8
	Resistance from principal who holds back on school finance	Teachers	1
Participation	Resistance surrounds school parent's group and contributions from parents	Principal	3
		Observation	2
	Teacher quality: parents-now make suggestions on improving teacher quality	<i>Pengawas</i>	2
	Stakeholders in Madrasah Foundation block change	Teachers	2
	Resistance to parent's group from Mayor but support from stakeholders	School Committee	1
	Poor community participation, those trained keep changing.	<i>Pengawas</i>	1
	School supervisor does not contribute to school progress, infrequent visits	<i>Pengawas</i>	1
Dissemination and replication	Resistance from reference schools – feel visits from other schools drain resources and funds	Principal	1
ICT	The database use is poor	Observation	1
	ICT issue of virus attack and lost data	<i>Pengawas</i>	1

Question 4: Are there any negative impacts of DBE?

In order to answer this question, a search was made of the database using key words from the DBE1 objectives – governance, transparency, participation, responsiveness and accountability. From this key-word search, only one negative impact was found and that is described by the observer as ‘slight’ – the disruption to teaching during DBE training. This corresponds with the finding of the principal survey reported in the previous chapter.

However, more ‘negatives’ were identified in the domain of students and teaching as shown in Table 7.5. Whether these can be directly attributable to the introduction of active learning (PAKEM) is not clear as most could arguably be found in any classroom and one is the result of double-use of classrooms by two different schools.

What is apparent, then, is that there is no evidence of systematic or localized examples of negative impacts, apart from some evidence of inevitable disruption during training and disappointment in the change-over to an active learning methodology (PAKEM) in a very few, isolated, cases.

Table 7.5: Negative Impacts of DBE

Major Theme	Theme example	Stakeholder group	No of clusters reporting (Max=8)
Students	Study group arrangement has weaknesses, because there are students who do not want to learn/study and only hope to be with their friends	Teachers	1
	Students – negative impact, classrooms crowded and noisy.	Teachers	1
	Students – negative impact, displayed work goes missing due to senior high school using classrooms.	Teachers	1
	Students – negative impact, less motivated students are supported by clever students.	Teachers	1
	DBE1 training slightly disrupts teaching learning activities in schools.	Observation	1

In addition to these points, a second concern relates to the idea of responsibility. This is more of a caution to note than a negative impact. It is surely a positive sign that parents and communities are becoming more engaged with their schools and supporting their children’s education. On the other hand, one can feel some sympathy for the coastal communities reflected in this observation from Palang:

Coastal communities are usually less aware for the needs of their children's education. Most of them are fishermen and they think that their children's education is the school responsibility. After an approach by the school committee and *paguyuban class*, their awareness for education has increased. (*Pengawas*, Palang)

Is it unreasonable to suppose among communities, especially those that are living at close to subsistence levels, that children’s education *is* the responsibility of the school? There is a danger that in a climate of too much shared responsibility that no one will actually take full responsibility at all and no one will be accountable either, because it is not clear where the real responsibility rests. The issue is reflected in this observation from the sub-district education office in Palang:

Before, policies are top down from the school. Parents did not have any input. But now, parents are more active in school activities. In SDN Beji 1, parents are very critical. Through the *Intip* class program,⁸⁶ the parents can see what happens in the classrooms. How the teaching learning process, whether the teachers teach it correctly, how students' participation in the teaching learning activities. Parents are able to criticize teachers who are less. So students’ education is a

⁸⁶ *Intip* translates as to ‘peep’. The *Intip* class program’ is a limited initiative in a few areas in East Java province. It was set up to enable parents to observe teaching using the new pedagogy in action.

shared responsibility. It does not depend entirely on the school. (Sub-District Education Office, Palang)

At a time when there are serious efforts to strengthen teacher professionalism in Indonesia, in this one case it appears that the professional independence of teachers is being eroded by parents evaluating teacher performance. Perhaps these are community participation practices that may not be appropriate to sustain and which may need to be carefully reviewed in terms of their longer term impacts. It is well understood that teacher stress from over-involved parents and conflict are serious issues in more mature school based management systems. It would be a shame if these known risks were not addressed early in the process of change in Indonesia. On investigation, it appears that this program, '*Kelas Intip*', was an isolated local initiative and not an officially sanctioned program of either DBE1 or DBE2. This case may be regarded as an unintended and potentially negative impact of DBE.

Question 5: Are there any unintended impacts of DBE1?

This is a difficult question to answer as DBE1 intends its development activities to have broad and deep impacts across a diverse range of school governance, leadership, and management. This means that stakeholders perceive a very large range of impacts almost all of which are positive and, in theory at least, 'intended'. Nevertheless, although they are not widespread, there are a few unintended impacts that emerge from an analysis of the data. These are shown in Table 7.6.

The first of these is in the strengthened relationships between the school and its community, particularly in giving parents the confidence and understanding to make effective contributions to the school and to their children's education which apparently contributes to school improved participation rates. Parents are demonstrating a strong sense of agency concerning their role in their children's education. There is evidence which shows that parents are actively advising the school on a variety of educational issues and that the lines of communication between school administration, teachers and parents are well established.

Opening up the lines of communication between teachers, parents and the community appears to have the unintended impact of making the work of teachers easier and improved attendance as absenteeism is less of a problem. Before DBE absenteeism was a major drawback to the quality of teaching.

Students are also clearly important beneficiaries from DBE's interventions, but sometimes in surprising ways. For example, students noted the impact of school improvements not only in a physical sense, but also from the perspective of a sense of security:

The development of a new building or addition of new classrooms in SDN 91 Walenrang pleases students they get new facility that can be used. Badminton field development is also beneficial for students because adding sport facility for students. (*Student, Tellewanua*)

School fences development also make students feel safe in the school without interference from outsider. (*Student, Tellewanua*)

They also noted the development of pride in their schools. Pride emerges as a strong theme among students and occurs in all clusters:

Many graduates who were accepted in SMPN 1 Palang or SMPN 1 Tuban, so that it make student proud to their school. Madrasah students also proud because they are able to follow general courses like SD students and receive additional religious courses more than SD. (*Student,, Palang*)

Students become more proud of the school. They are proud of the school because the school building is better, the teachers' way to teach is more fun, the class atmosphere is more life and joyful and student works are displayed. (*Student, Magersari*)

These comments suggest that before DBE interventions, students were 'less proud' or ashamed of their schools. The development of pride, in the positive sense of the idea, is an important, unintended impact of value to the educational processes of these schools.

Table 7.6: Unintended Impacts of DBE

Major Theme	Theme example	Stakeholder group	No of clusters reporting (Max=8)
Students	Pride in the school	Students	8
	School fences development makes students feel safe in the school without interference from outsider.	Students	1
Relationships	Teachers and parents communicate better, more often since DBE.	Teachers	6
	Parents can now approach teachers on any issue.	Parents	2
	Local community oversees out of school children and warns school.	<i>Pengawas</i>	1
	Parent's confidence has developed since DBE; they now dare to make suggestions and to have opinions.	Teachers	1
	Parents new awareness of the importance of school means drop out and absence rates are less and completion rates have improved	Teachers	1

Before and after DBE1

This section on findings concludes by looking at the case study data in a rather different way. This way is by asking 'is there any systematic evidence of stakeholder claims comparing the situation in their schools both before and after DBE1?' The answer to this question is a very clear 'yes'. There are, in fact a large number of positive themes that answer this question and Table 7.7 provides a brief glimpse from just one cluster of what is in the larger database.

While the principal survey reported in the previous chapter highlighted the impact on school development planning and school management, the findings of the field case study reported in this chapter highlight changes in governance more than in management. The themes illustrated in Table 7.7 indicate that DBE is achieving its intended goals and is having an impact, particularly in relation to the principles of good governance. There is a clear shift in emphasis away from the traditional, authoritarian, top down governance and management style to one that not only reflects the principles of good governance but is also more inclusive of stakeholders and which is having both intended and unintended benefits for the one group that all this work is essentially designed to support – the students.

Table 7.7: Before and After DBE1 – The Case of Magersari, Mojokerto, East Java

DBE1 Objectives and Impact Themes	Before DBE1	After DBE1	Group and Location
Transparency	Before DBE intervention, school is not too open to parents; the financial management is not exposed to them.	Now all school programs and financial management are presented and reported openly, no more suspicion among parents to the school (in all schools).	Parent Magersari
Transparency <i>through</i> participation	Prior to DBE1 intervention, many school committee members did not know their functions.	...before DBE1 intervention school committee was only a formality, but they are now a partner. School committees are actively involved in RAPBS and RKS preparation. School committees gave input to schools... committee performs its function as mediator...school committee also performs its function as mediator with private sector, and resulting the following: students can buy cheap shoes and free shoes for poor students.	School Committee Magersari
Transparency <i>through</i> participation	Before DBE intervention, parents come to school only at the time of the report reception or if there are problems that need to be discussed with the parents.	After DBE intervention, communication between parents and teachers becomes more intense. Parents are often coming to school, not only for monitoring their children's development, but also to learn about the school programs and also the use of the BOS funds (in all schools in cluster Magersaari).	Teacher, Magersari
Transparency <i>through</i> participation	Before DBE assistance, teachers were less involved in the development of school programs.	After DBE intervention, teachers are directly involved in the process of school programs development. The teachers' role in the school management is improved. Funds usage is always reported to the public. Principal does not keep the school funds, principal only approve the use of school funds. The money is held by the teacher who served as treasurer.	Teacher, Magersari
Participation	Before, policies are top down from the school. Parents did not have any input.	But now, parents are more active in school activities. Through the <i>Intip</i> class program, the parents can see what happens in the classrooms. How the teaching learning process, whether the teachers teach it correctly, how students' participation in the teaching learning activities. Parents are able to criticize teachers who are less. So students'	<i>Pengawas</i> Magersari

DBE1 Objectives and Impact Themes	Before DBE1	After DBE1	Group and Location
		education is a shared responsibility. It does not depend entirely on the school.	
Accountability	Before DBE interventions, school was disorderly.	DBE interventions increased the school knowledge and expertise. Principals and teachers' knowledge and skills have been growing. School administration becoming more orderly and neat. Principals make a clear division of tasks for each teacher. Each element of the school management knows their duties and functions.	Pengawas Magersari
Students, learning and teaching	Before DBE intervention, students only passively receive the materials from teachers.	The teaching learning process becomes more interesting, the learning process is no longer in one direction – coming from the teacher. Students can give their opinions and suggestions. Clever students able to help their less clever students, so that the learning environment in the classroom becomes more alive. Student achievements and works are much appreciated, so that students become more motivated and achievement increased.	Teacher Magersari
Responsibility	Before the community thinks that education is school responsibility.	Community increasingly aware and care about the schools. Public opinion is now changed since the school is becoming more transparent on their programs and financial management. School knowledge has been increased, so that they realize that education is a shared responsibility. Community becomes more active in supporting the school development. The school committee knows their role and function properly. <i>Paguyuban kelas</i> is also supporting the class progress (in all schools).	Pengawas Magersari

Conclusions

To bluntly answer a question posed of this case study: ‘What can DBE1 and its partners do to increase the impact and sustainability of outcomes during the remainder of the project?’ the answer is ‘not a great deal’.

This is because the impact of DBE1 is already quite high. ‘What’ could be done to further strengthen an already strong project is to focus attention on the following matters that emerged from the data analysis and that have been discussed in the chapter:

- Ensure that leadership development of school supervisors and principals is further strengthened.
- Monitor and evaluate the reasons for local resistances to change and build the understanding that will emerge from this into future localized change strategies. The data suggests that school supervisors and sub-district education officials can play a most useful role here as well as in replication.
- Initiate further work on the concept and practicalities of accountability to address the weakness identified with this area. This work could

usefully build a stronger commitment to the development and application of clear policies, and to the development of agreed professional standards that should not be weakened by an over-emphasis on participation and interferences to the professional work of the school by parents and communities.

- Review what may be an over-emphasis on the issue of physically posting budgets (RAPBS) and instead strengthen the ideas of participation in school management and easy access to information as the keys to transparency.

‘What can DBE1 and its partners do to increase the impact *and sustainability* of outcomes during the remainder of the project?’ The suggested answer to the second part of this question is to work very hard on sustainability issues and not lose, as most projects do, the impressive levels of enthusiasm and commitment that have been built up in schools and their communities. These levels of enthusiasm are plainly evident from this study.

In making this admonition to work harder on sustainability, there is one caution that emerges from a consideration of the themes in the data concerning sustainability. While there is clearly widespread enthusiasm for the work that DBE is doing among the full range of stakeholders, particularly students, teachers and parents, and the strong evidence of the positive impact of this work, it is important to ask the question ‘will this enthusiasm and demonstrable achievement be sustained and how?’

There is evidence that commitments made by local government to replication and dissemination have been made and this is very important. But will that support continue? It is not clear from the analysis of the data that the need for strategic commitments to replication, sustainability and to the mainstreaming of changed practices is understood and widely shared among stakeholders. This, then, could be a focus for DBE1’s continuing development activities in schools and districts. The theme is taken up in the following chapter.

Experience shows that enthusiasm and commitment often wane after a project withdraws. DBE1 has addressed this risk by providing extensive training to district facilitators and focusing on support for dissemination programs. Other strategies for supporting sustained commitment are discussed in Chapter Nine and include basing all interventions explicitly on current government policy, building strong networks at the cluster level, and providing user-friendly manuals and materials for ongoing use by schools and facilitators.

International experience further supports these approaches, especially the locally-based training approach, using school clusters as a focus for training, providing whole-school training and follow-up on-site mentoring.⁸⁷

⁸⁷ See, for example, Fullan, M., 2001. *Leading in a Culture of Change*, San Fransisco, Jossey-Bass; Caldwell, B. and Harris, J., 2008. *Why not the best schools?* Camberwell, ACER Press

Chapter 8 – The Impact of Dissemination

Introduction

The purpose of this chapter is to describe the broader impact of DBE1 on schools outside the initial target group. The previous chapters in this report have all been concerned with the impact of the DBE1 project on a group of target schools. The aim of the project, however, is much broader than this. The core strategy is to develop a limited number of target schools and districts as exemplars of good practice in the hope that this is taken up and implemented (or ‘disseminated’) by districts and other agencies, and that this process will influence government policy, creating a much wider impact.

In this context, the term ‘dissemination’ is used as synonymous with ‘replication’. The concept is related to that of sustainability. The following definitions are used for this study:

- **Sustainability** means that the positive impact of DBE continues beyond the life of the program.
- **Dissemination** (or **Replication**) means that programs, approaches and good practices from DBE are implemented by stakeholders using their own resources.

To put these operational definitions in concrete terms; as an example, if schools continue to implement school development plans and translate these annually into work-plans and budgets, and if this process is institutionalized within schools and districts after the completion of the program, then the outcome is sustainable. If the district takes up the approach and trains other schools in school development planning, then dissemination is occurring.

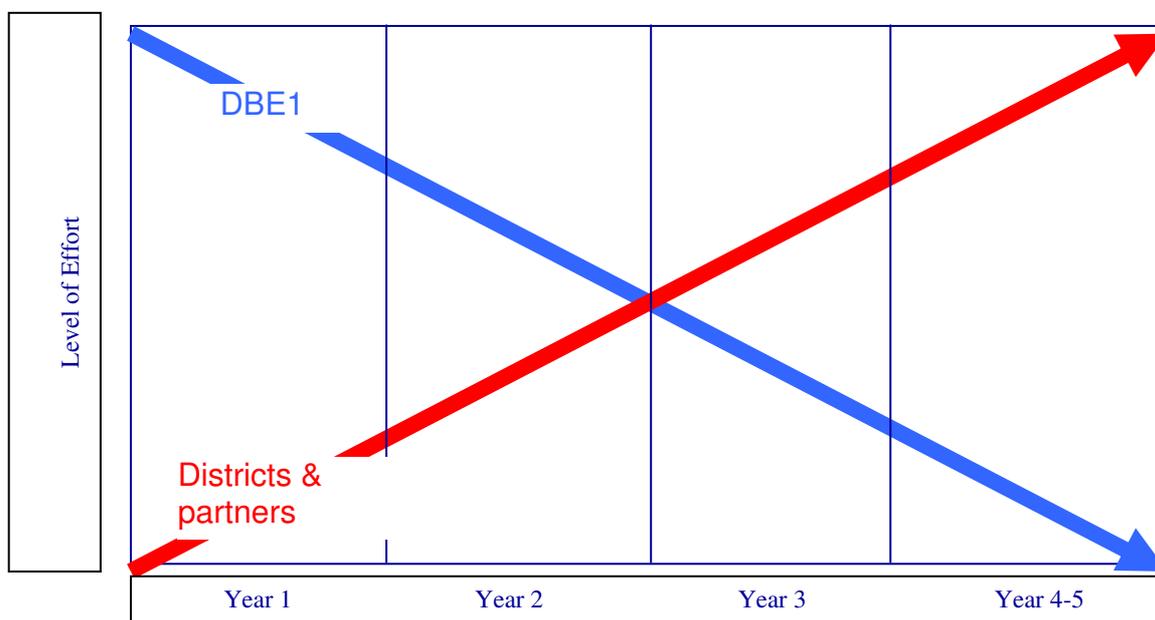
From the project planning and management perspective, both dissemination and sustainability are managed through an overarching transition strategy, as described below. Dissemination of DBE1 approaches to implementing school-based management began in the second year of project implementation, initially within target districts but now also supported at provincial and national level through (1) policy development and (2) building the capacity of service providers. This chapter outlines DBE1’s strategic approach to dissemination within the broader context of ‘transition’, and evidence of impact of dissemination.

The DBE1 transition strategy

The term ‘transition’ here refers to the shift from a donor-driven to government-driven program. Since the commencement of project activity it has been apparent that a degree of project support is required during this transition. Without such support, dissemination efforts are likely to fail and outcomes will not be sustained. Some years of capacity building for districts

and implementing partners are required generally to enable them to implement a technically complex program such as school development planning.

Figure 8.1: Transition Strategy



As illustrated in Figure 8.1 above, DBE1 has progressively decreased the level of effort in schools, communities and districts as the project has proceeded. Simultaneously, partner districts have progressively increased their level of effort as they have developed ownership and capacity. Whilst the graphic displays an idealized concept it is nonetheless the basis of the project's strategic approach and reflects reality. The blue line has gone down in the sense that the project now puts zero effort into core schools. The ongoing program is entirely supported by the schools and districts. The project's effort is now put into facilitating dissemination, funded by partner governments and schools in non-core schools and new districts.

An important aspect of this model is that transition commences on day one of project implementation. It is not a final phase that happens in the last year. By the time DBE1 closes offices and concludes activities (the blue line reaches the point zero on the graphic), local governments and their partners should assume 100% responsibility for ongoing implementation and dissemination (the red line reaches the top of the graphic).

Whilst sustainability and dissemination are distinct objectives, the strategies for achieving them are closely related. In a sense, development projects operate in a marketplace. Districts and other agencies will 'buy into' and disseminate programs only if they meet their needs, are closely aligned with government policy, and are affordable. The fact that districts have committed substantial funds and have disseminated elements of DBE1 over the last four years is a very positive sign (see the discussion of findings below).

One of the first challenges in designing a strategy for dissemination was for the project to define the level and type of support to be provided by DBE1 for dissemination programs.

- Too *much* support and it is no longer ‘dissemination’ but rather project implementation. Local ownership and therefore sustainability is diminished. Project resources are stretched.
- Too *little* support and the effectiveness of the process and quality of outcomes are diminished. It is no longer dissemination since the approach is no longer true to the original concept. Results are likely to be disappointing and thus both impact and sustainability are reduced.

Faced with this dilemma it was decided to take the middle way; provide limited support to encourage the districts and help maintain quality – then progressively reduce that support over time to increase sustainability. Experience suggests that districts and other implementing agencies often seek ways to reduce the cost and increase the scope of improvement programs, thereby reducing the effectiveness of the approach. Common risks are as follows:

- The number of training days is reduced.
- Follow up on-site mentoring is not provided.
- The number of participants per event is increased.
- Poorly qualified facilitators revert to lecture style delivery.
- A cascade model is envisaged but without allocating funds or designing a program for the training to be delivered to the final level. (*‘Harap diimbaskan....’*)
- Funds allocated for dissemination are diverted or ‘lost on the way’ with the result that programs are only partially completed.

A poor dissemination effort resulting in disappointing results is not only a disappointment to the participants but can result in district stakeholders, including the local legislature (DPRD), declining to support further dissemination efforts. The main strategies employed by DBE1 to support ongoing good practice and to address these risks have been as follows:

- Provide a full set of GoI sanctioned manuals and training modules, including a manual for the management of dissemination
- Establish and reinforce standards for dissemination
- Provide support at the district level for
 - budgeting and planning,
 - management and implementation,
 - monitoring and evaluation,
 - reporting and advocacy,
- Train district facilitators and service providers

- Develop reference schools.

In relation to this last point, in 2006 DBE1 collaborated with DBE2 to develop two elementary schools or *madrasah ibtidaiyah* in each district as a reference school. The schools (including *madrasah*) were jointly selected by the DBE team and local government stakeholders on the basis that they would provide a good model of school-based management and active learning to visitors.

These reference schools do not typically have any special status within the government structure and their continued utility depends entirely on their reputation as centers of excellence, places which have provided a source of inspiration and information to visiting groups. It was not the intention to create a special class of school, but rather to prepare a group of schools to be able to fulfill a specific function: hosting visits from interested groups wishing to implement school-based management and active learning in their own schools.

Methodology

To determine the extent and impact of dissemination, DBE1 began collecting data in the first year of project implementation. Three basic sets of indicators were used to assess the extent of dissemination over the four-year period 2006-2009: (1) the amount and source of funding allocated by districts and other agencies to dissemination of DBE programs, (2) the number of schools involved in these dissemination programs, and (3) the number and quality of school development plans in a sample group of non-target schools in target districts.

These quantitative data were routinely collected from all DBE1 districts. The data set is routinely updated and reported. Some analysis of this data is reported in this chapter.

In addition, to better understand the dynamics of dissemination and the quality of dissemination efforts, a study was conducted by members of the national project team in a sample of 92 schools in 2008 to augment the ongoing collection of quantitative data. The aim of the study was to inform DBE1 planning and practice for the remainder of the project implementation period. The key questions were: What factors are associated with success, and conversely with failure in attempts by districts and others to disseminate the program to new sub-districts and schools using their own funding and resources?

This study was confined to the dissemination of school development planning (RKS) in elementary schools, whereas the quantitative data on dissemination collected by DBE1 includes dissemination of other DBE1 programs such as school committee training. The results of the study were first published in a special report in October 2008.⁸⁸ The findings are summarized herein.

⁸⁸ October 2008: DBE1 Special Monitoring Report: Dissemination of DBE1 School Development Planning by District Governments and non-Government Agencies

Since it was too soon in 2008 to determine the degree to which school development plans prepared in dissemination schools had been implemented in those schools this was not considered in that study. However we are able to draw some conclusions about the impact of dissemination programs based on the data available. Subsequently in early 2010 the same schools were surveyed to determine the impact of the dissemination program. Using the same approach described in Chapter 6 for target schools, principals of these schools were asked if they believe DBE1 has had an impact on their school, and if so, what? At the same time the performance monitoring instrument used for target schools (described in Chapter 3) was employed to determine impact.

As a further means of determining impact on schools that disseminated DBE1 programs, at the beginning of the project a group of four elementary schools located in close proximity to DBE target schools in each of the first cohort of districts was selected as ‘comparison schools’ to determine if there is an influence on these schools from the target schools. These schools have been surveyed annually to determine the existence and quality of school development plans commencing with a baseline data survey in 2006. In May 2010 a more complete version of the performance monitoring instrument was used to determine if there were other impacts on these comparison schools.

Sampling

The program level study included all known instances of program dissemination in both target and non-target districts.

The field surveys were conducted in a number of target districts from the first cohort in the provinces of North Sumatra, Banten, West Java, Central Java, East Java, and South Sulawesi. At the time of the first survey in 2008, dissemination of RKS had been completed or was underway in 1,686 schools in 27 districts. By the time the second survey was conducted in 2010, the number of dissemination schools was over 10,000 in 57 districts.

The surveys undertaken in the sample schools in 2008 and again in 2010 provided in-depth data on the process of dissemination. The survey sampling was purposive; 17 sample districts were chosen in 2008 to include a balance of districts thought to have good models of dissemination together with poor models in each of the target provinces. The number of schools changed slightly with 92 schools surveyed in 2008 and 89 in 2010. Three schools from the 2008 sample had merged with other schools as part of regrouping programs and no longer existed when the second survey was conducted.

An additional 110 non-target schools were selected using a purposive sampling technique. In each target district, two sub-districts were selected by choosing those geographically adjacent to the sub-districts in which clusters of schools had already been chosen to be a target for DBE1 programs. In each of these neighboring sub-districts two schools were selected based on geographical proximity to the target sub-district.

In 2010 when the final field survey of these non-target schools was conducted the number had reduced to 205.

Data Collection

There are four sets of quantitative data:

- data on the number and type of schools involved in dissemination programs along with the budget amount planned in all project districts collected each quarter commencing in 2006,
- in-depth data on the program implementation in sample dissemination schools and districts collected in 2008
- in-depth data on the program impact in the same sample dissemination schools and districts collected in 2010
- data on school development planning in a sample of comparison schools in each district, collected each six months commencing with baseline data collection in 2006, together with a more extensive survey of these schools conducted in 2010.

In order to add depth and meaning, qualitative data were also collected in the districts and schools. Based on these approaches, analysis of relationship patterns between process and outcomes is possible.

Data on budgets, plans for dissemination, and DBE1 approaches implemented in dissemination schools have been routinely collected over the last five years. These data were obtained through interviews with district, sub-district and school level officials.

Validity and Reliability

A number of strategies were employed to increase validity and reliability. In addition to adding depth, the school-level surveys enabled validation of the program level survey data. Surveying a number of schools (at least four) in each sample district made it possible to triangulate the data collection to increase reliability and validity. Collecting data from a wide sample comprised of six provinces further enhanced reliability and validity. In a further effort to increase validity, the preliminary findings of the 2008 survey were cross-checked with a reference group, comprised of DBE1 staff from national, district and provincial locations.⁸⁹ Surveying this same sample two years later in 2010 adds greater depth and increases validity. Tracking a sample of comparison schools in each of the original target districts over five years of project implementation allows further triangulation of data to increase validity. It should be noted that these comparison schools were separate from and not included in the sample of 205 schools described above.

⁸⁹ This took place in a workshop in Surabaya, in mid-2008. Use of a reference group familiar with the case to increase validity of findings in this way is an established practice in qualitative case study research. (See Stake, R. (1995). *The Art of Case Study Research*. Thousand Oaks, Sage.)

Reliability was further increased in two ways: first, trialing the instruments in the field and, second, cross-checking the data collected for this study with project performance monitoring data (see Chapter Three).

Findings

This section of the chapter on findings is presented in four parts. The first part describes quantitative findings from national program level surveys. The second part describes qualitative findings from field surveys conducted in 2008. The third part describes findings from field surveys conducted in the same sample of schools in 2010 and the fourth part describes findings from surveys of a sample of comparison schools in neighboring sub-districts within target districts.

Part 1: Dissemination in numbers

As at the end of June 2010, some 10,703 schools had participated in DBE1 dissemination programs with a total budget from counterpart governments, schools and private agencies of Rp 15 billion (approximately \$1,500,000).

Of this amount, Rp 10.25 billion came from annual district budgets (APBD) and the remainder, Rp 4.75 billion, from a variety of non-APBD sources including the Ministry of Religious Affairs (MORA), school funds (predominately BOS), and the non-government sector (e.g. Muhammadiyah). DBE1 school-based management programs have now been disseminated in 57 districts.

Table 8.1, below, indicates the number of schools which have participated in dissemination programs to implement DBE1 methodologies using funds from APBD and other sources.

Table 8.1 Number of schools implementing DBE1 programs under dissemination (at June 2010)

Province	SD/MI (Elementary)	SMP/MTs (Junior Sec.)	SMA/MA (Senior Sec.)	Total
Aceh	157	5	2	164
North Sumatra	294	24		318
Banten	113	542		655
West Java	485	40		525
Central Java	3,654	225	6	3,885
East Java	4,097	381	85	4,563
South Sulawesi	578	15		593
Total	9,378	1,232	93	10,703

Table 8.2 below provides a summary of dissemination funding and programs to date. Based on project data available at this time, and using the assumption that on average four participants per school attended training activities, it can be projected that some 42,812 persons have been trained in dissemination

programs. These are all programs which were funded by schools, local governments and non-government agencies and have been budgeted, planned and implemented as a result of the DBE1 initiative.

Table 8.2: Summary of Dissemination Effort to September 2009

Period	Cumulative Number of			
	Schools	Districts	Budget (Rp)	Participants ⁹⁰
Oct 2006 - June 2010	10,703	57	15,030,829,230	42,812

As a result of this substantial effort, these 10,703 schools, in addition to the 1,310 DBE1 target schools, have now prepared school-development plans and/or implemented other aspects of the DBE1 school-based management package such as strengthening school committees, improving leadership or implementing school database systems (SDS).

In many cases these schools have also participated in the dissemination of programs to improve quality of teaching and learning (DBE2 or DBE3 programs). While it is not possible to say with certainty on the basis of this quantitative data alone, it is reasonable to suggest that this dissemination effort is contributing in a significant way to the improvement of schooling for many. This means that over 2,300,000 Indonesian children have benefited from the dissemination programs to date.⁹¹ This is in addition to the 340,000 children who have benefited from the program in target schools.⁹²

The table below shows the level of commitment from counterpart funding agencies to dissemination in each year in each province, 2006 to 2010. There are two categories of dissemination identified: district-funded (APBD) and non-district funded dissemination programs. The first of these covers all programs planned and funded under the district budget (APBD). The second category includes dissemination programs funded by non-government school networks such as the Islamic organization, Muhammadiyah, together with programs for madrasah funded by the Department of Religious Affairs, and programs funded by the schools themselves, often working together in school clusters (gugus) under the leadership of local sub-district education officials.

⁹⁰ Assuming 4 participants per school.

⁹¹ Extrapolating from the number of schools which have participated in dissemination programs we can say that approximately 2,311,848 students attend schools which have participated in dissemination programs. This figure is conservative as it assumes an average enrolment of 216 children per school, based on the actual average enrolment in DBE1 target elementary schools. Since some of the schools in dissemination programs are junior- and senior-secondary level the real figure should be somewhat higher.

⁹² DBE1 currently works in 1,076 elementary schools and madrasah, and 196 junior secondary schools and madrasah; a total of 1,272. The total number of students enrolled in these schools is 346,432; of whom 234,480 are enrolled in elementary and 112,423 in junior secondary schools and madrasah.

Table 8.3: Summary of DBE1 Dissemination Programs to end of June 2010 (Program Realization)

Province	Funding Sources and Number of Schools				
	Number of Districts	District budgets (APBD)		Other funds (BOS .non-government foundations. MORA etc)	
		Rp	No. of schools	Rp	No. of schools
2006					
South Sulawesi	1	129,000,000	12		
National Total 2006	1	129,000,000	12	0	0
2007					
North Sumatra	4	462,000,000	58	3,000,000	30
West Java	1	100,000,000	28		
Central Java	2	300,000,000	124		
East Java	4	408,000,000	67	31,000,000	67
South Sulawesi	2	144,000,000	49		
National Total 2007	13	1,414,000,000	326	34,000,000	97
2008					
Aceh	1	50,000,000	19		
North Sumatra	4	328,786,000	45	8,200,000	7
Banten	3	180,000,000	40	17,500,000	5
West Java	4	359,470,000	117	22,850,000	74
Central Java	6	1,348,000,000	446	80,463,478	151
East Java	6	633,000,000	344	194,000,000	126
South Sulawesi	6	864,785,000	264	8,400,000	15
National Total 2008	30	3,764,041,000	1,275	331,413,478	378
2009					
Aceh	2			769,000,000	125
North Sumatra	6	330,975,000	95	33,900,000	44
Banten	8	770,000,000	572	25,800,000	24
West Java	4	679,920,000	185	40,200,000	148
Central Java	12	182,000,000	165	649,229,522	1,677
East Java	9	2,170,689,700	2,847	1,496,850,000	1,870
South Sulawesi	6	530,203,480	180	66,450,000	73
National Total 2009	47	4,663,788,180	4,044	3,081,429,522	3,961
2010					
Aceh	1			20,925,000	20
North Sumatra	2	100,000,000	20	12,640,000	46
Banten	1			9,000,000	14
West Java	1			20,250,000	27
Central Java	13	78,125,000	123	531,119,050	1,504
East Java	8	101,652,000	234	739,446,000	762
National Total 2010	26	279,777,000	377	1,333,380,050	2,373
Grand Total	57	10,250,606,180	5,610	4,780,223,050	6,654

The table above shows the growth of commitment to dissemination from districts and other agencies over the five years of project implementation.⁹³ Several points arise from analysis of this data set.

First, Table 8.3 demonstrates the progressive growth in the number of disseminating schools and corresponding district budgets for dissemination. Second, analysis of unit costs for dissemination reveals some patterns. Comparing average unit costs (per school) for dissemination programs funded by district governments (APBD) with that funded from other sources tells an interesting story.

Table 8.4: Average Costs for Dissemination per School (rupiah)

	APBD funded	Non-APBD funded
2006	10,750,000	0
2007	4,337,423	350,515
2008	2,952,189	876,755
2009	1,153,261	777,942
2010	742,114	561,896
Average	1,827,203	718,398

Table 8.4 shows the average unit cost to conduct a dissemination program in a school for each year from 2006 to 2010. Two points emerge: (1) the average cost per school progressively decreases over time, (2) costs of non-APBD funded dissemination programs are consistently less than those for APBD-funded programs.

On the basis of anecdotal evidence and the field studies conducted in 2008 and 2010 the following factors can be suggested to account for at least some of the difference in costs. In the case of school and school cluster initiatives, which are not funded through APBD, the management overheads are generally much lower - or non-existent. Transparency is greatly increased along with a sense of shared responsibility for financial management when funds are managed by, or close to, the users and beneficiaries. In these cases training costs are also much lower. When the program is initiated and planned by the schools themselves or their immediate supervisors, participants are generally more willing to participate without personal payments. Catering and venue costs can be much cheaper if managed locally. In the case of non-government education systems such as Muhammadiyah, training is often provided without any travel costs paid to participants.

In short, when the initiative is ‘bottom-up’ the costs are greatly reduced. It is also likely that commitment to implementation is higher as ownership of the

⁹³ Note that the total of 10,703 schools includes 1,561 schools which received funding from both government and non-government sources. As a result the combined figure for number of APBD-funded and non-APBD funded schools in Table 8.3 is greater than the actual total number of schools.

program is greater, making bottom-up a far more efficient and effective approach than large-scale top-down reform.⁹⁴

The reasons for the steady reduction in costs per school over time are likely related to two factors: (1) increasing numbers of dissemination programs and (2) increasing capacity to plan, manage and implement programs. As the programs increase in scope, so the unit costs decrease. It is also likely that the longer they spent with the program, the more effective and efficient district and sub-district dissemination program managers became in managing budgets and programs. The 2006 data from Soppeng District in South Sulawesi are unusual indicating a very high unit cost per school at Rp 10,750,000. This is where the first effort at dissemination was made. The ‘management overheads’ were very high in this instance. This was corrected by local authorities in subsequent years.

In following years, the average costs progressively decrease. However, as shown in the qualitative data reported below, the quality of programs did not decrease, indicating improved efficiency.⁹⁵

Part 2: Dissemination program quality; 2008 survey

The 2008 survey of 92 sample dissemination schools found a range of different management styles and approaches to funding and implementation of dissemination programs. Previous field reports had suggested a diverse experience in terms of perceived success of dissemination efforts. Since the most common program targeted by districts and other agencies for dissemination in this period was school development planning this became the focus of the study. The results, published in October 2008, were used to inform subsequent efforts to disseminate the RKS program and to enable the project to better advise and guide counterpart governments and other institutions on dissemination.

Among other factors, the study found that the following were associated with success:

- Ensuring that the program is conducted in its entirety.
- Ensuring that community members are involved in the process of developing RKS. (The data show that no contributions were forthcoming from the community in contrast to the great community support achieved in the DBE target schools where community were more actively involved.)
- Limiting the target number of schools to ensure that the capacity/funds are there for the complete program.

⁹⁴ See Cannon, R. and Arlianti, R. (2008) Ibid

⁹⁵ There is one exception to this progressive reduction in unit costs. In 2007 the cost per school for non-APBD funded programs was relatively low at Rp350,515. The figure increased in 2008 to Rp876,755 per school. The low unit cost in 2007 was largely the result of a program in North Sumatra in which 30 school participated in leadership training. The cost per school was only Rp100,000 as the program consisted only in a one-day training activity for school principals.

- *Studi-banding* / school visits are very effective if followed up with training.
- The role of District Coordinator (DC), District Facilitators (DF), the Education Office (*Dinas*), Sub-District Office (KCD) and school principals are all important.

RKS development prior to the DBE1 dissemination program

As described in Chapters Three and Four, according to government regulations all schools should prepare a school development plan (RKS). However, prior to the introduction of the DBE1 program through dissemination programs, of the 92 schools sampled, only 10 (11%) had ever developed an RKS. The majority of the schools had only produced an annual budget (RAPBS).

Most of these ten schools had previously developed plans without involving school stakeholders such as the school committee. The planning process was dominated by the school principal and teachers. Only four schools, located in Tuban District in East Java, had involved school committee members in the process.

In accordance with government regulations, the RKS should include a school profile, school objectives, challenges and strategies, a program schedule, and a multi-source, multi-year budget for each program or activity. Prior to the dissemination program, the plans developed in survey schools were incomplete. Most (90%) of the RKS consisted of only a program schedule. In Sidoarjo District, the plans were developed with only a strategy and program schedule. The most complete plans found were in Tebingtinggi District in North Sumatra, where the only missing aspect was school challenges.

In summary, most schools surveyed had not previously prepared school development plans. In those few that had, the plans were not in line with government policy or DBE1 standards.

Relationship between implementing DBE1 training phases and RKS completion

The full DBE1 approach involves staged training activities as described in Chapter Two of this report. To align with this approach, a dissemination program should commence with a socialization activity and continue with the first training followed by in-school mentoring. Then it continues with the second training activity, again followed by mentoring. However; the schools surveyed had implemented a range of different training models. For instance, some schools only implemented the socialization phase, whilst other schools implemented two training phases also followed by mentoring. Still other schools conducted training which combined the two phases in one activity. None of the schools surveyed fully implemented the DBE1 staged training program.

Prior to the dissemination program, no schools had produced plans in line with government regulations (11% of the sample schools had previously produced plans, although not in accordance with government regulations). As shown in Table 8.5 below, after joining the dissemination program, some 67% of sample schools had completed or nearly completed preparation of RKS in accordance with government regulations. We can conclude that the dissemination programs had an impact on increasing the number of schools that produce plans that meet government standards.

Table 8.5: Extent of RKS completion in sample dissemination schools (2008)

RKS Completion	Number of Schools
0%	14 (15%)
25%	7 (8%)
50%	9 (10%)
75%	23 (25%)
100%	39 (42%)

Total Sample: 92 schools

The quality of the plans was not specifically assessed against DBE1 criteria in the 2008 survey.

The 2008 study found a relationship between the extent to which the DBE1 model was followed and the schools' success in completing their RKS in accordance with government standards (based on the regulation, *Permendiknas 19/2007*). The results indicate a relationship between the number of DBE1 phases and the degree to which the plans were completed. For example the schools in Boyolali all applied most of the DBE1 phases and demonstrated a 100% success rate in completing RKS. On the other hand the schools in Klaten only conducted one phase, socialization, and the success rate was nil.

We can thus conclude, based on the survey, that the greater the extent to which schools follow the phases of the DBE1 model, the greater the likelihood that they will complete RKS in accordance with government standards. It should be noted that the follow-up mentoring is an essential component of the program.

Trainers and facilitators

In the dissemination programs, district staff play an important role, conducting training and mentoring. Since the beginning of the project, DBE1 developed the capacity of district staff, particularly school supervisors (*pengawas*), to act as facilitators (called District Facilitators) to train schools in producing RKS. The survey found that the majority of sample districts did have DBE1-trained facilitators conduct training and mentoring in the dissemination programs. Some districts also assigned additional school supervisors to facilitate training.

Although the majority of sample dissemination districts relied on DBE1-trained government personnel to facilitate the planning process, at the same time some DBE1 assistance was still required.

There are some cases that need further explanation. First, the dissemination program in Surabaya City was implemented by the Muhammadiyah Foundation. In this case the Foundation only provided funds for implementing the program while DBE1 fully provided the resource persons. Dissemination by a private foundation is a slightly different proposition than dissemination implemented by local government. Hence, an alternative model was used for Muhammadiyah in the first step of enabling that institution to carry out dissemination on its own. An entirely different case was found in Klaten District where DBE1 staff introduced the program in a 'socialization' session; however in this case there was no follow-up training by the district itself, resulting in a failed program.

School mentoring

Follow-up mentoring on-site is a critical component of the DBE1 methodology; mentoring is essential for RKS completion. The majority of replication schools surveyed (77%) stated that they received both training and follow up mentoring. Only schools in Klaten, Surabaya, Karawang, Tuban and part of Enrekang did not receive follow up mentoring.

The majority of follow-up mentoring was conducted by district facilitators (district staff trained by DBE1). DBE1 District Coordinators were also actively mentoring schools in Lebak, Pangkep, Soppeng and Tapanuli Utara districts⁹⁶.

Besides using DBE1-trained District Coordinators or facilitators, districts such as Tuban, Sidoarjo, Lebak and Indramayu also used sub-district staff, mostly school supervisors that received some form of training for the dissemination programs. For the most part, mentoring is carried out by district staff with some continuing support from DBE1 which indicates that others are taking responsibility for the program.

Each of the two training sessions in RKS development should be followed up by mentoring. The majority of sample schools received plenty of follow-up mentoring visits. Effective follow-up mentoring was conducted in Lebak, Enrekang, Soppeng, Palopo, Tapanuli Utara, and Tebingtinggi districts. Schools in Karanganyar received follow-up mentoring three times or more but it was not conducted in every school. Rather, the school representatives were brought together in one place. Group mentoring is better than no mentoring at all; however it is clearly less effective the on-site mentoring in schools. Based on the survey, the majority of sample districts demonstrate an understanding

⁹⁶ DBE1 sampled the quality of school plans in a total of 60 schools in six DBE provinces. Three schools from Soppeng, South Sulawesi were included in the sample. Of these two schools were assessed to have excellent plans (meeting 30 and 36 criteria out of 36) and one school had a good plan (26 of 36 criteria).

of the importance of mentoring but several still do not fully appreciate the value.

A complete mentoring program should be conducted for the development of the school profile until the budget is completed. At the time of data collection, the majority of sample schools had only received follow-up mentoring for the topics covered in the first training which is school profile development and alternatives for problem solving. The majority of sample schools did not receive mentoring for the most difficult and most meaningful aspects of the process; that is program development and budgeting.

Community and stakeholder participation

As revealed in the baseline data survey reported in Chapter Four, in the past school development plans were typically prepared by the school management, usually only the principal, sometimes assisted by some teachers. School development plans were rarely prepared with the participation of the school committee or other community stakeholders. In the DBE1 methodology, RKS development involves non-school management stakeholders such as the school committee.

The study found that the majority of dissemination schools surveyed had formed a multi-stakeholder working group to prepare their plans (KK-RKS). In contrast, all of the schools in Klaten or Karawang districts, and another two schools in Enrekang district, had yet to form a working group. One of the reasons cited as to why these schools had not yet formed a KK-RKS is that they did not receive any prior training or mentoring.

The working group should include not only school representatives (principal and teachers) but also representatives of the community (school committee and parents). In all sample schools, KK-RKS membership included the principal and teacher, whilst 82% had at least one representative from the school committee and 45% had two representatives from the school committee. All members of KK-RKS should be involved in the training.

Of all of the dissemination schools surveyed, only those in Karanganyar and Karawang districts did not involve the school committee in the training. Meanwhile, schools in Boyolali, Sidoarjo, Soppeng, Tapanuli Utara and Tebingtinggi involved two representatives from the school committee. We can conclude that the majority of dissemination schools surveyed had followed the DBE1 training model which should include training for school committee members.

In addition, in accordance with DBE1 methodology, community stakeholders as well as school committee and school management (principal) should produce the RKS. However of the 78 sample schools that had already begun to produce RKS, only 37, or 40%, had involved community stakeholders other than the school committee. The majority of schools in South Sulawesi, Lebak and Deli Serdang did not involve other stakeholders, reportedly because they felt that the school committee already represented community leaders. In the

1,076 elementary schools that were directly assisted by DBE1, activities were held to inform or solicit inputs for the plans from the school community. As discussed in Chapter Five, as a result of this community participation in the planning process, the schools received significant contributions from their communities. In the dissemination schools surveyed, community involvement in the RKS development was limited.

Table 8.6, below, lists the types of non-school management and non-committee stakeholders who were involved in developing RKS in these 37 schools. Members of the community who can bring about support for the schools such as village heads and religious leaders were involved at some point in the process; however, the numbers of schools that purposely involved them is small.

Table 8.6: Stakeholders involved in RKS development in dissemination schools (number of schools, 2008)

District	Village head	Community / religious leaders	<i>Paguyuban kelas / parents</i>	Local women's organization	Others
Karanganyar	0	1	1	0	1
Boyolali	8	8	9	2	2
Mojokerto	3	3	3	3	5
Tuban	1	1	2	0	2
Sidoarjo	1	1	0	0	2
Indramayu	0	1	0	0	0
Tapanuli Utara	1	4	0	0	0
Tebingtinggi	5	5	0	0	0
TOTAL	19 (51%)	24 (65%)	15 (41%)	5 (14%)	12 (32%)

Percentages relate to the total of 37 schools.

Unlike in DBE1 assisted schools, where the majority of school communities gave contributions to the schools during the RKS development, none of the dissemination schools surveyed stated that the community had given contributions to the schools in the form of cash or in-kind. Some of those interviewed commented that this was due to the availability of BOS funds and local 'free schooling' policies, which resulted in parents feeling that they had no obligation to give contributions to the school.

Part 3: Dissemination program impact; 2010 survey

In early 2010, the same sample of schools surveyed in 2008 as described above was again surveyed to make a deeper assessment of the dissemination program. As three schools in Lebak District which were included in the 2008 survey had merged into a single school, the sample was reduced to 89.

All of these schools were located in the first cohort of districts and took part in early dissemination programs conducted in 2007. As a result, when surveyed

in 2010 they had already had time to complete and implement or commence implementation of school development plans and in many cases to take part in further dissemination programs.

Principals' perception of impact

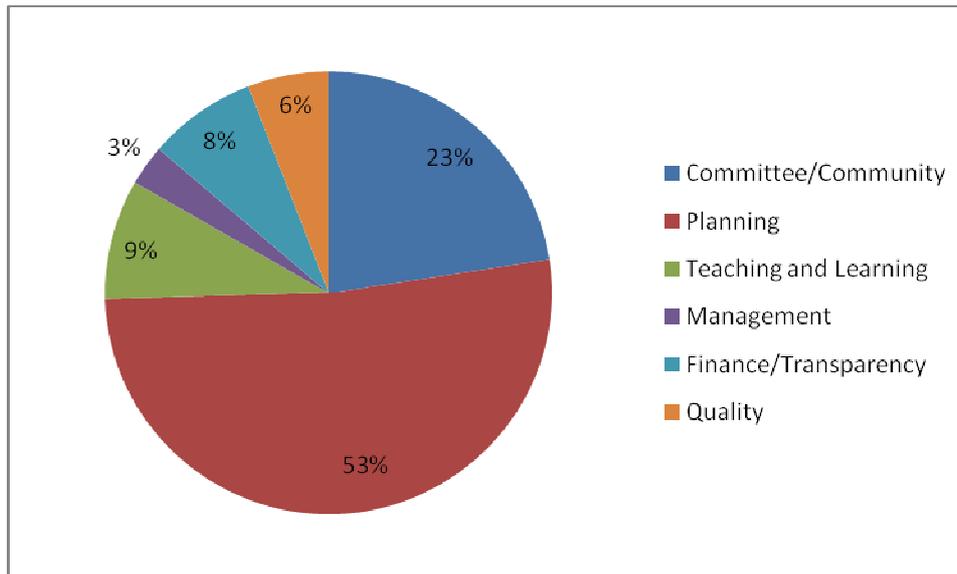
When asked whether DBE1 had had an impact on their school, 90% of principals answered yes.

There was no further discernable impact in the five schools in Klaten as the dissemination program in this district stalled after an initial study tour and socialization activity. This failure appears to have been the result of poor planning and financial management within the district and was already evident in the 2008 survey, as described above.

The remaining four principals who did not believe there was an impact were all from schools in East Java, two in Mojokerto District and two in Surabaya City. The two Surabaya schools were part of a dissemination program conducted by Muhammadiyah school network. One of these principals was newly appointed and unable to comment. The other commented that the school was already practicing active learning and school-based management prior to the dissemination program and there was no significant change. One of the Mojokerto principals was reportedly confused by the question and unclear about the dissemination program. The other commented that there was no noticeable change in the school.

All of the 80 principals of schools in which impact was identified were able to give positive, concrete examples of this impact. Many indicated more than one area of impact. The responses were coded according to the first response. Of these, 53% indicated improved school development planning, 23% indicated greater involvement of the community and school committee, 9% indicated improvements in learning and teaching, 8% indicated better financial management and greater transparency, 5% indicated general quality improvement and 3% better management.

Figure 8.2: DBE1 Impact of Dissemination Program; Principals' Perceptions (Sample 80 schools)



This compares with the results of the survey of principals in DBE1 target schools, presented in Chapter Six, in which 30% cited planning as the main impact, 17% community participation and 24% administration, management or leadership. The difference is more one of emphasis than substance and reflects the major focus of dissemination programs on school development planning.

Some examples of the responses from principals in sample dissemination schools in the 2010 survey are as follows:

‘[The program was] extremely helpful for the preparation of the school budget (RAPBS/RKAS) because since BOS funding has been provided the school has only prepared the annual budget (RAPBS) without relating it to the school development plan.’ (Principal, SDN 50 Tarawang)

‘Conducting a series of meetings between the school committee, the teachers and the school principal’ (Principal, SD 74 Pajalesang)

‘The school committee is included in the preparation of the school development plan. We have established parent class groups (*paguyuban kelas*). The role of the community has increased. And the school database system (SDS) has helped the school in the preparation of activity plans and the school budget (RKAS).’ (Principal SDN Suberejo).

In March 2010, the standard instrument and indicators used to monitor and evaluate performance in target schools (see Chapter Three) were used to assess performance in the same sample of 89 dissemination schools surveyed

in 2008. This enables comparisons between target schools and dissemination schools. Key findings are described below.

Dissemination Programs

All of the schools surveyed took part in programs to disseminate school development planning (RKS or RKS). Since the 2008 survey, 7% have also participated in programs to disseminate the school database system (SDS), 23% in leadership training 18% school committee training, and 7% took part in training conducted by DBE2 trained facilitators in active learning. In all schools the principal attended this training; 96% also had teachers attend and 87% school committee members.

Table 8.7 Type of dissemination program implemented (2010)

RKS Completion	Number of Schools
School development planning	89 (100%)
School database system	6 (7%)
Leadership training	14 (23%)
School committee training	17 (18%)
Learning & teaching (DBE2)	6 (7%)

Total Sample: 89 schools

Most of these dissemination programs were funded from district government budgets (81%). The remaining programs were funded by private foundations, the schools themselves or other sources.

Trainers and facilitators

All of the dissemination schools surveyed were trained by DBE1-trained district facilitators; 88% were also trained by DBE1 personnel. As these early dissemination efforts were conducted in 2007, the involvement of DBE1 personnel reflects the fact that the project was active in supporting these programs at that time. All of the district facilitators were part of the original cohort jointly selected with the districts and given intensive training by the project. Some 25% of the schools surveyed were also trained by additional district facilitators who were not part of this core group, suggesting that they joined subsequent dissemination programs or facilitator forums.

School development plans

At the time of the survey, 65% of the schools had completed preparation of school development plans (RKS) and were able to produce their plan for inspection (compared with 42% in 2008); 100% of these met the criteria for a good quality plan (compared with 68% in 2008). A further 24% had begun but not finished the process, 8% did not prepare a plan and 3% had prepared a plan but it was missing at the time of the survey.

Table 8.8 Extent of RKS completion in sample dissemination schools (2010)

RKS Completion	Number of Schools
No plan	7 (8%)
Partly completed plan	21 (24%)
Completed plan	58 (65%)
Not verified	3 (3%)

Total Sample: 89 schools

At the time of the survey, over half of the schools (excluding Klaten) had implemented more than half of the planned programs; 33% of schools had implemented 75% or more of planned RKS programs, 24% between 51% and 75%. The remaining 41% had implemented 50% or less of their planned programs. The overall implementation rate was 70%, meaning that 7 out of 10 programs planned have been implemented at the time of the survey, which compares with the rate in target schools of 74%-79% (see Chapter Four).

Table 8.9: RKS Program Implementation (2010)

District	Total School	Less than 25%	26% - 50%	51% - 75%	75% - 100%
Boyolali	11	2 (18%)	0%	4 (36%)	5 (46%)
Karanganyar	4	1 (25%)	0%	0%	3 (75%)
Pangkep	6	6 (100%)	0%	0%	0%
Soppeng	6	0%	0%	1 (17%)	5 (83%)
Palopo	4	3 (75%)	0%	0%	1 (25%)
Enrekang	7	0%	2 (27%)	3 (43%)	2 (27%)
Tebingtinggi	5	0%	3 (60%)	1 (20%)	1 (20%)
Deliserdang	5	0%	1 (20%)	4 (80%)	0%
Tapanuli Utara	5	0%	1 (20%)	4 (80%)	0%
Indramayu	2	2 (100%)	0%	0%	0%
Karawang	5	5 (100%)	0%	0%	0%
Lebak	3	3 (100%)	0%	0%	0%
Tuban	8	0%	4 (50%)	2 (25%)	2 (25%)
Sidoarjo	4	0%	0%	0%	4 (100%)
Surabaya	3	3 (100%)	0%	0%	0%
Mojokerto	6	0%	0	1 (17%)	5 (83%)
Total school	84	25 (30%)	11 (13%)	20 (24%)	28 (33%)

Total Sample: 84 schools (excluding Klaten)

The DBE1 methodology encourages schools to seek funding from more than one source and develop budgets accordingly. Some 49% of schools had a

multi-source budget with at least three funding sources (generally BOS, APBD and community), 26% two sources, and 25% only one source.

Community and stakeholder participation

All of the schools established a working group (KK-RKS) to prepare the school development plan; excluding those in Klaten where the program stalled and one in Mojokerto. Of those which established working groups, 79% included at least two school committee members in the working group (increased from 45% in 2008), 15% included one committee member and only 5% none (decreased from 18% in 2008). Of these same schools, 19% reported involving community stakeholders in the preparation of their school development plan. These were mainly members of class-based parents groups known as '*paguyuban kelas*' involved in preparing the budget.

Some 45% of these schools also reported that their school committee was very active (5 or more activities per year), 27% moderately active (3-4 activities), and 17% less active (1-2 activities). However, only 29% of the school committees documented monitoring activities during the year and 28% documented meeting minutes.

The role of the community in supporting schools was also assessed; 20% of schools surveyed had established some kind of local public-private alliance (PPA); 6% a 'formal PPA' and 14% 'informal'. Based on the standard indicators discussed in Chapter Three, 47% of school committees actively promoted transparency, and 53% did not. A total of 25% of schools disseminated their school financial report in two or more venues/forums, 71% in one venue, and 5% had not disseminated their budget.

When asked who they thought should be represented on the school committee, 69% mentioned women, 97% parents, 53% minority groups, 7% students, 64% business groups, 79% village government, 93% religious leaders, and 28% non-government organizations.

Mentoring of schools

Mentoring was a key part of the dissemination program for these schools; 93% of the schools which established a working group and received training also received mentoring (*pendampingan*); 92% of these were mentored by a DBE1-trained district facilitator, 31% by DBE1 personnel and 37% by new facilitators trained for dissemination programs. Unlike in target schools where nearly all the mentoring was provided on-site in schools, 40% of the mentoring for these dissemination schools was provided in-school, 54% at the cluster level and 6% elsewhere.

Using simple cross-tabulation, a significant relationship was found between the provision of mentoring (*pendampingan*) and completion of a school development plan (RKS); 33% of schools that did not receive mentoring had completed their RKS preparation at the time of the survey, compared with 75% of schools which received mentoring.

Analysis of Findings

The results of the survey conducted in 2010 are very positive, providing good evidence of impact in dissemination schools. On most of the indicators performance had improved since 2008.

In these schools, 9 out of 10 principals believe that the DBE1 dissemination program has had a positive impact on their school. The majority cited improved school planning and greater participation of community as the main impacts. Given that these were all schools in which the program was funded and managed by local partners and not by the project, this compares well with the 99% of principals in target schools who indicated a positive impact, where the program was more comprehensive and fully funded by DBE1.

As described above, the schools where principals did not recognize any program impact were located in three districts: Klaten in Central Java, and Surabaya and Mojokerto in East Java. In Klaten, the dissemination program failed due to poor planning. Schools participated in a study tour to neighboring districts and were given an introductory ‘socialization’ to the DBE1 program. Follow-up activities did not eventuate. As a result, when sample schools in this district were visited in 2008 the principals and others expressed disappointment with the program. Expectations had been raised but they had no idea on how to proceed. In 2010, unsurprisingly, these same schools indicated that there was no impact.

In both Surabaya City, where the program was funded by the private Muhammadiyah foundation, and in Mojokerto City, where the program was funded by district government, the success of the program was limited by loss of momentum caused by lengthy delays in funding disbursement for second stage training in RKS. In both cases, when schools were visited in 2008, principals and stakeholders expressed disappointment and (in the case of Mojokerto) skepticism about the delays in funding. Mentoring was not provided in Klaten or Surabaya. Consequently, none of the schools surveyed in Klaten or Surabaya completed preparation of an RKS. In Mojokerto five of the six schools surveyed were mentored and completed preparation of an RKS. One school reported not receiving mentoring and did not complete preparation of an RKS.

The experience in these districts supports the conclusion that in order to achieve successful outcomes from a dissemination program, the complete program of training and mentoring should be provided. Where districts or other implementing agencies cut corners and only provide ‘socialization’ or do not complete all steps of the training and do not provide mentoring, failure or, at best, partial success, is the result.

Excluding the Klaten schools, where RKS training was not commenced, 69% of the sample schools completed preparation of an RKS. All of these were able to produce good quality plans in 2010 according to project standards. A further 25% had plans which were partly completed. Some 70% of planned

programs had been implemented, compared with the 74%-79% success rate in program implementation in target schools discussed in Chapter Four. This is a pleasing result for dissemination schools where the program was funded and managed by local agencies, rather than the project.

Compared with the results of the qualitative survey of these same schools conducted in 2008, the evidence of community participation in 2010 is strong; 20% of schools developing a public-private alliance is encouraging, as are the inclusive attitudes towards representation on school committees. All schools which developed an RKS established a working group to do so; 95% of these included school committee members; 82% of schools reported that their school committee was moderately to very active during the year. Evidence of increased transparency is also strong; 95% of schools disseminated their budget to the public in at least one forum.

Notwithstanding the apparent increase in community participation, contributions to schools to support their development remained relatively small in comparison to those made to target schools. In the 2008 survey, no schools reported community contributions. In 2010, three of the 89 schools reported contributions, totaling Rp25,121,000; Rp25 million of which was in one school, SDN Jaten 3, Karanganyar.

As noted earlier in this chapter, the likely explanation for lack of community contributions to dissemination schools, particularly when compared with the significant contributions made to target schools reported in Chapter Five, is that these contributions were made by members of the wider school community when they were involved in the RKS process through public-consultation events. Increased participation of the school committee is not enough to result in communities taking a greater sense of responsibility and contributing in active ways to the implementation of a school development plan. While the evidence shows that the majority of dissemination schools increased the involvement of school committees, there is little evidence that they attempted to engage the wider community. In fact the percentage of schools which reported engaging the wider community declined after the 2008 survey. While, in 2008, 40% of schools reported consulting with the wider community as part of the RKS process, in 2010 the figure had dropped to 19%.

These factors were likely compounded by government campaigns at national and local levels for 'free schooling' discussed in Chapter Five. Although the government policy does not preclude schools from inviting voluntary contributions from their communities, it was interpreted in this way in many places, thus creating an additional barrier. Furthermore it is likely that the community contribution was somewhat under-reported in the various surveys of dissemination schools compared with target schools. Whilst in the former, schools were asked if they received financial support from their communities as a result of school development planning, in the latter they were asked to list all forms of support including non-financial contributions, which were

subsequently valued in financial terms. Less intensive mentoring in dissemination schools than was provided by DBE1 in target schools is another possible factor.

Part 4: Impact in 'comparison schools'

Since 2006, DBE1 has been tracking a sample of 'comparison schools' in each of the first cohort of 28 districts to see whether any of them adopt DBE1 approaches, specifically in school development planning. The original sample of 110 elementary schools was reduced to 105 when the survey was conducted in 2010.⁹⁷ This was the result of one school merger in Lebak and a further four schools where it was not possible to meet the principal at the time of the data collection in 2010.

A baseline survey was conducted in 2006. Subsequently surveys were conducted each year using the same instrument used to monitor the development and quality of school-development plans in these schools. The purpose was to determine whether DBE1 has had any impact on this randomly selected group of schools through dissemination. At the time these schools were selected and surveyed in 2006, it was unclear what form the dissemination of DBE1 programs might take; whether it would occur through informal disbursement of ideas and practices, through established networks, or through coordinated dissemination programs. The existence and quality of school development plans was used as an indicator of DBE1 impact.

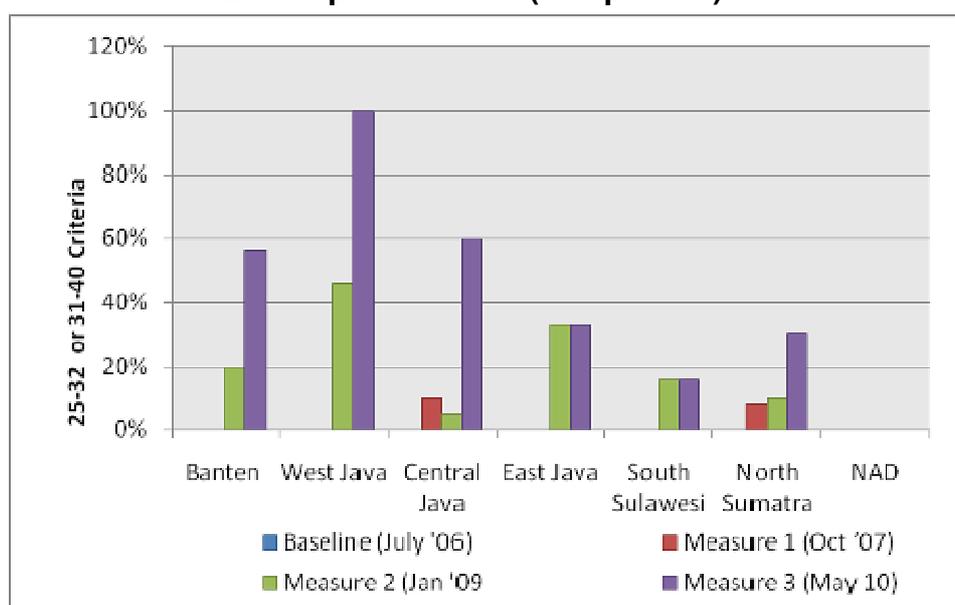
The average number of schools sampled in each district was four. As the number of schools in each target district varies considerably, the relative size of the group of target schools and of the sample of non-target schools varies in relation to the total number of schools in each district. The smallest district in the first cohort, Sibolga City in North Sumatra, has 56 elementary schools. The largest, Sukabumi District in West Java, has 1,176.⁹⁸ The average number is 475, meaning that the sample of schools is approximately 1% of the total.

In 2006 none of the sample comparison schools had school development plans which met minimum quality requirements set by DBE1 (meaning that the plans met between 25 and 32 of the quality standards; see Appendix 1). In 2007, 3% had good quality plans; in 2009 the figure had risen to 13% and in 2010 to 40%. In 2010 an additional 11% had plans which met 17-24 of the quality standards, and 4% had plans that met 9-16 of the quality standards.

⁹⁷ Note that no madrasah were included in this sample.

⁹⁸ MONE, PADATIWEB data for 2006

Figure 8.3: Percentage of comparison schools with good quality School Development Plans (sample 105)⁹⁹



This sample of schools was also surveyed in May 2010 using a more extensive instrument to determine impact. Of the 105 schools surveyed, 69 schools (66%) were found to have implemented one or more of the DBE1 school-based management methodologies. All but one of these implemented school development planning. Many implemented more than one DBE1 program. One school in Aceh did not prepare a school development plan but implemented school committee training. Funding for these dissemination programs came from two main sources; 58% were funded by the district government (APBD) and 42% from school funds.

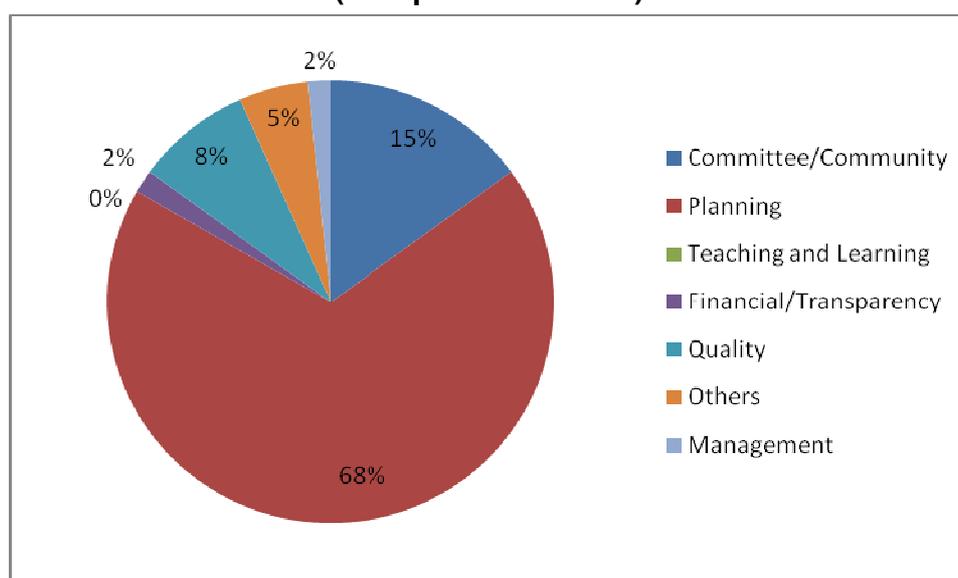
Principals' perceptions of impact

Principals of the 105 comparison schools were asked if they believed there was an impact from DBE1 in their schools; overall, 57% responded positively.

Of the 68 principals in schools which implemented school development planning, 60, or 88%, indicated that there was a positive impact on their school. In all of the seven schools where SDS was disseminated, principals thought there was a positive impact. All but one of the eight school principals who attended dissemination leadership training thought there was a positive impact on their school, and 13, or 87%, of the 15 school principals in schools where school-committee training was disseminated indicated that there was a positive impact. These principals were then asked to describe the main impact.

⁹⁹ Note that the number of schools with quality school development plans in Central Java dropped between Measure 1 and Measure 2. This is a result of changes in school planning approaches. The plans reviewed in 2007 used the older RPS format. The plans reviewed in 2009 were new plans which used the RKS format.

Figure 8.4: DBE 1 Impact on non-target schools; principals' perceptions (Sample 69 schools)



As illustrated in Figure 8.4, above, a large majority indicated that the biggest impact in their school was on school planning. This is not a surprising result as all but one of these schools implemented school development planning. Other significant responses included better communication and coordination with the community (15%) and generally improved school quality (8%). Some examples of principals' responses are as follows:

'The school can now allocate funding according to priorities [in the school development plan].' (Principal, SDN Platar 2, Jepara)

'We prepared the RKS together; the school principal, teacher, school committee and parents. Up until now we have never done this before.' (Principal, SDN 7 Tekolabbu, Pangkep)

Dissemination programs

As shown in Table 8.10, below, the majority of schools implemented DBE1's school development planning methodology. Some also implemented more than one program. Only 34% of schools did not implement any DBE1 programs.

Table 8.10: Type of dissemination program implemented in comparison schools (2010)

Type of program disseminated	Number of Schools
School development planning	68 (65%)
School database system	7 (7%)
Leadership training	8 (7%)
School committee training	15 (14%)
No dissemination program	37 (34%)

Total Sample: 105 schools

School development planning

Of the 68 schools which received training in school development planning, 59% had completed preparation of an RKS at the time of the survey; 31% had partly completed the preparation and 10% were unable to produce their plan at the time of the visit.

Table 8.11: Extent of RKS completion in comparison schools (2010)

RKS Completion	Number of Schools
Completed plan	40 (59%)
Partly completed plan	21 (31%)
Not verified	7 (10%)

Total Sample: 68 schools

The rate of implementation of programs planned in these RKS is less than was found in the dissemination schools in the study reported above and in the target schools, reported in Chapter Four; 50% of schools had implemented over half of their programs, 46% had implemented less than 25%. The overall implementation rate is 41%. Possible reasons for this difference are that some of the dissemination program were less intensive and may not have included follow-up mentoring or that the plans were prepared later than those in the others schools surveyed.

Some 71% of these schools had a multi-source budget, 36% with at least three funding sources (generally BOS, APBD and community), 35% two sources, and 29% only one source.

Community and stakeholder participation

All of the comparison schools that prepared school development plans established a working group (KK-RKS) to do so; 100% of these included the principal, 100% included at least one teacher and 94% included at least one school committee member. Some 68% of these schools reported that their school committee was very active in helping prepare the school development plan (5 or more activities per year), 12% moderately active (3-4 activities), and 21% less active (1-2 activities). However, only 28% of the school committees documented monitoring activities during the year and of these, none reported involving the wider community in RKS preparation.

A significant number of the 105 schools surveyed (42%) had established some kind of local public-private alliance (PPA); 17% a 'formal PPA' and 25% 'informal'. Based on the standard indicators discussed in Chapter Three, 37% of school committees actively promoted transparency, and 63% did not. A total of 27% of schools disseminated their school financial report in two or more venues, 52% in one venue, and 21% had not disseminated their budget.

When asked who they thought should be represented on the school committee, 80% mentioned women, 94% parents, 58% minority groups, 15% students,

71% business groups, 76% village government, 93% religious leaders, and 42% non-government organizations.

As with the dissemination schools surveyed in 2008 and 2010 (above), community contributions to school development in the comparison schools were limited. A total of Rp15,550,000 was contributed – most of this in one location; Rp12,000,000 in SD 01 Getasrabi, in Kudus District, Central Java and the remainder in three other schools.

Analysis of findings

The most significant finding of this survey is that, after five years of project activity, 66% of comparison schools sampled in DBE1 target districts had replicated or were in the process of replicating one or more DBE1 program. The most commonly disseminated program was school development planning. Schools also implemented the school database system (SDS), leadership training and school committee training.

Some 58% of the principals in the sample schools believed that DBE1 has had a positive impact on their school. As with the dissemination schools surveyed in 2008 and 2010, the most commonly mentioned impacts were school development planning and community participation.

Based on DBE1's performance monitoring indicators, the 69 comparison schools which participated in dissemination programs are experiencing similar impacts to those surveyed in the sample of 89 dissemination schools discussed above. Once again, there is a difference in emphasis between these dissemination schools and the target schools surveyed in the study reported in Chapter Six. While in the dissemination schools, planning emerged as the major impact identified by principals, in the original target schools, a broader impact on school administration, management and leadership was identified. This suggests that the more comprehensive program provided to the target schools resulted in a somewhat broader impact than that provided in the comparison schools.

With eight exceptions (8% of the total sample), the schools where principals did not feel there was an impact were those which had not participated in any program to disseminate DBE1. Those eight schools were located in seven different districts in four provinces. When asked why they felt there was not yet any significant impact, even though they had participated in a dissemination program, the principals of two schools in Central Java commented that they prepared their plans without any support from the district or from facilitators and consequently the focus was on completing the plan rather than implementation. Principals of three schools in North Sumatra and one in Surabaya, East Java, all commented that they had not yet completed preparation of their plans. Two principals in West Java were unavailable for comment.

In order to better understand why these schools were motivated to implement DBE1 programs, principals of comparison schools which implemented school

development planning in West Java and South Sulawesi were asked why they did so. All mentioned a number of contributing factors. Among the most common reasons cited for implementing school development planning were: (1) close relations between the principal and the local education office, (2) initiative of district facilitators (school supervisors) including facilitators trained through facilitator forums, (3) instruction from the head of the district education office, and (4) the principal was inspired by the success of the DBE1 target school.

Although the sample of 105 schools is relatively small, representing approximately 1% of schools in target districts, a number of simple correlations can be made. A relationship was found between the source of funding and the quality of completed school development plans. The percentage of comparison schools with low quality plans is higher for schools where the program was funded by the district budget (APBD) than in self-funded schools; the percentage of schools with medium quality plans is much higher for self-funded schools than district-funded schools; however, the percentage of schools with very high quality RKS is higher for district than self-funded schools.

As shown in table 8.12 below, schools which funded the dissemination program from their own budgets were more likely to complete the process and produce a reasonable quality plan than those funded by the district. In contrast, schools which were part of a district funded dissemination program are more likely to either produce a poor plan or a plan of very high quality. To understand this conclusion, it should be understood that the source of funding reflects also the level at which the program is initiated and managed. Programs funded by the schools themselves are typically initiated at the sub-district level either by the head of the sub-district education office (KCD or UPTD), a strong school supervisor who has been trained by the project as a district facilitator or a strong principal, perhaps the head of the cluster principal working group (KKKS). As a result, the sense of ownership for the program is localized, accountability is strong and commitment to completing the process is high.

As discussed earlier in this chapter, the cost per school is on average much lower for independently-funded than for district-funded programs. Consequently the funding and access to expertise to create a high quality plan is likely to be higher for a district-initiated, funded and managed program. However sense of ownership and commitment at the local level, together with accountability and transparency in financial management are likely to be lower for a district-funded than a self-funded program.

Table 8.12: The relationship between funding source and RKS quality

Source of funding		Quality of School Development Plan				Total
		Poor	Low-medium	High-medium	High	
APBD funded	Number of plans	8	1	2	29	40
	% within funding source	20.0%	2.5%	5.0%	72.5%	100.0%
Non-APBD funded	Number of plans	3	3	10	13	29
	% within funding source	10.3%	10.3%	34.5%	44.8%	100.0%
	Total number of plans	11	4	12	42	69
	% of total number	15.9%	5.8%	17.4%	60.9%	100.0%

A relationship also exists between the level of participation by the school committee and completion of the plan: the more active the school committee, the more likely it is that the school development plan is completed. Where the school committee is described as very active in the process, 72% of schools completed the preparation of plans, compared with just 22% of schools where the school committee is less active. The level of activity of the school committee is also associated with quality planning; the more active the school committee the better quality the completed plan is likely to be. Furthermore, the level of activity of the school committee is related to the number of programs implemented. The more active the school committee, the more programs are likely to be implemented. The level of activity of the school committee is also related to promoting transparency. School committees which are actively involved in school development planning are more likely to promote school transparency.

Conclusions

DBE1 has had a significant impact through dissemination in the sense that key components of the project's school-based management approach have been taken up and implemented widely by local government and non-government agencies, using their own resources. On the basis of the studies reported in this chapter, this impact can be described in terms of (1) significant numbers of schools and individuals reached through dissemination, (2) the quality of the dissemination process, and (3) the impact of dissemination on schools, communities and ultimately children.

The core strategy of DBE1 is to develop a limited number of target schools and districts as exemplars of good practice in the hope that this is taken up and implemented (or ‘disseminated’) by districts and other agencies, and that this process will influence government policy, creating a much wider impact.

This has been achieved. The DBE1 interventions described in earlier chapters of this report have impacted on 1,310 target schools (including two cohorts of elementary and junior-secondary level schools). Meanwhile, as of June 2010, some 10,703 additional schools have participated in dissemination programs. This represents a leverage of over 1 to 8. While DBE1 directly benefited around 340,000 children through programs in target schools, the number benefited in some way through dissemination programs is now over 2.3 million.

The first point to make about dissemination is that the project’s impact through dissemination is very significant, measured in numbers of schools, funds leveraged and children reached. Meanwhile, at the national level, the Secretariat for School Based Management in MONE’s Directorate for Kindergarten and Elementary Schooling, together with representatives of MORA, have taken part in a series of workshops to review the DBE1 materials being disseminated, have conducted a study of implementation (reported in Chapter Four), have promoted the DBE1 approach through a series of regional workshops reaching every district in the country.

Of course, the dissemination numbers, impressive though they are, mean little if the impact of dissemination on schools is unconfirmed. For this reason, two studies were conducted in 2010 to determine the extent to which school development plans are being implemented, resulting in improvements and better education for children in these dissemination schools. This research also assessed the extent and impact of efforts to disseminate other DBE1 programs, including leadership training, school committee strengthening and, more recently, the school database system (SDS).

On the basis of the studies reported in this chapter we can say with confidence that the majority of schools involved in dissemination programs did follow to varying extent the DBE1 methodology and did produce relatively complete school development plans. The majority also involved community stakeholders, mainly as school committee members, in the process although to a lesser extent than was typical in DBE1 target schools.

The second point to be made about impact of dissemination is that the studies demonstrate that the quality of the programs, although quite varied, is generally satisfactory. Furthermore, it is clear that the quality of the dissemination process improved between 2008 when the first survey was conducted and 2010 when the second two surveys were conducted. In 2010, more schools had completed preparation of school development plans and the quality of these was better than in 2008. More schools were implementing more varied programs, making the dissemination process more

comprehensive. More schools received mentoring as follow-up to class-based training. The participation of school committees increased.

We can conclude from the surveys of dissemination schools and comparison schools conducted in 2008 and 2010 that, while the experience is varied, the impact is clear. At one end of the scale, some programs were limited to ‘socialization’ or a study tour, with no follow up. At the other end, some programs had faithfully implemented the full DBE1 model with staged training programs for school stakeholders (KK-RKS) and on-site mentoring (*pendampingan*) by trained district facilitators.

The third point is that these dissemination programs are resulting in improved management and governance of schools. From the two studies conducted in 2010 it is clear that in the view of the majority of school principals, the dissemination of DBE1 programs has had a positive impact on their schools. Some 90% of principals in the sample dissemination schools identified concrete impacts along with 88% of those from comparison schools which replicated one or more DBE1 program. In most cases, those principals from both groups who felt there was no significant impact had not completed the program.

When we compare the current condition of the comparison schools with the baseline data in 2005, it is clear that the impact of non-project funded dissemination programs on comparison schools is profound. The baseline survey reported in Chapter Three found that only 2% of the target schools had good quality development plans. None had plans which conformed to government requirements. Where there were plans, these were typically based on a given budget and not on identifying school needs through data-analysis and proposing plans for improvement. Many were ‘cut and paste’ and did not adequately reflect the local school context. School budgets were typically prepared by school management to meet administrative requirements. Parents and community played no significant role. School committees were unaware of their role and responsibilities. School plans were often not implemented and were generally not monitored.

After participating in dissemination programs, in 2010, 69% of the sample dissemination schools¹⁰⁰ had completed preparation of a good quality school development plan and around 70% of planned programs had been implemented. (The completion rate for comparison schools which joined RKS dissemination programs was somewhat lower at 59% as was the implementation rate at 41%.) Many schools from both samples had implemented more than one DBE1 program. As a result, many school committees are becoming more active, school principals are adopting more open and participative management practices and schools are learning to manage data using SDS software. Implementation of school plans is resulting

¹⁰⁰ This figure excludes sample schools in Klaten where the dissemination program stalled after ‘socialization’.

in better managed resources, better targeted budgets, and activities which improve the quality of the school in a range of ways.

It is also significant to note that 66% of the comparison schools sampled in DBE1 target districts had replicated or were in the process of replicating one or more DBE1 program. Some 58% of these took part in district-funded dissemination activities, while the remaining 42% took part in dissemination programs initiated at the local level, often by active DBE1-trained facilitators, and funded by the schools themselves.

The results reported in this chapter also raise a number of interesting questions. Why is the contribution of the community towards plan implementation less than in target schools? Why are the rates of completion, the quality and the implementation of school development plans somewhat lower? Why did the comparison schools in Klaten District in Central Java achieve good results from dissemination compared with the other dissemination schools in Klaten that joined the 2007 dissemination program in the same district, described in the previous section?

A disappointing finding was that few schools reported an increase in community contributions to school development as a result of their participation in dissemination programs. There seem to be four main reasons why the community contribution to schools was so much less than that recorded for target schools and discussed in Chapter Five: (1) the government's 'free schooling' campaign made it difficult for schools to seek voluntary contributions from parents in this period, (2) the contributions reported in Chapter Five included non-financial contributions, whereas those reported for dissemination schools did not, (3) many of the target schools engaged their wider communities in the RKS development process through community consultation events, thereby creating a sense of shared ownership of the plans and shared responsibility for school improvement, and (4) the DBE program in target schools was much more comprehensive than that in dissemination schools, involving more intensive mentoring and not only management and governance activities facilitated by DBE1 but also teacher training facilitated by DBE2.

Of these four, probably the most significant are the last two. The difference in level of community support for implementation of school development plans seems to be most likely linked to the extent to which the wider community was involved in the process. While in the project-funded DBE1 program, schools were encouraged to invite community input this appears to have not been typical of the dissemination schools, where community participation in the process was much more limited. Furthermore, it seems likely that it is the combined impact of programs which focus on management and governance (DBE1) and teaching and learning (DBE2) which creates an energy and enthusiasm for reform; which motivates schools to change and communities to contribute. When the focus is only on management and governance, and in

particular only on school development planning, this energy and enthusiasm is less.

Most likely for similar reasons, other impacts in dissemination schools were also somewhat less than those in target schools reported in previous chapters. Although the outcomes in dissemination schools are very positive, the quality of plans, the rate of completion and the rate of implementation are all a little less than was found in the target schools. The somewhat reduced impact is not surprising, given the risks associated with replication and dissemination discussed in the introduction to this charter and the generally lower level of support and mentoring given to dissemination schools. Perhaps what is more surprising is the widespread take-up by government and non-government agencies, and by the schools themselves, and the strong evidence that emerged in the field studies of good quality processes and positive outcomes from these dissemination programs.

It is also interesting to note the difference in outcomes between the different dissemination programs observed in Klaten District, Central Java. Schools which joined the 2007 dissemination program funded by the district government budget (APBD) did not complete preparation of a school development plan and no impact was indicated. Meanwhile the four sample comparison schools in this same district all completed a school development plan and all reported concrete impacts of the program. This latter group of schools joined a dissemination program which was initiated at the cluster level, from the principals' working group (KKKS).

The relationship between the extent to which programs adhered to the DBE1 approach and the success of the program is significant. When schools participated in a relatively complete training program, including in-school mentoring, and involved a range of stakeholders from the community, they tended to produce good quality school development plans. When the program was limited to 'socialization' or a study tour with no follow-up, as in Klaten, the schools did not produce plans and no impact was identified.

Anecdotal evidence, to some extent supported by the studies reported above, suggests that bottom-up initiatives are often highly successful and efficient. When the initiative and funding come from the schools themselves supported by local leadership, commitment is likely to be greater. Financial management is more transparent. Participants are often willing to attend training events without payment or with lower transport payments than when the training is initiated and funded by the district. Implementation of plans and programs in schools is also thought to be strengthened due to the increased local commitment.

However, where district or provincial governments commit to the full implementation of DBE1 programs through dissemination the impact can be profound. In such cases schools produce better quality plans, support for implementation is stronger, and impact extends to greater numbers of schools. When institutionalized through changes in government policy as happened, for

example, in Boyolali District, Central Java, and at province level in East Java, dissemination can result in a broad impact reaching all schools in a district or province. This point is taken up in the analysis chapter, below, which draws together conclusions from the various impact studies reported.

In summary, based on the studies reported in this chapter, we can conclude that:

- DBE1 approaches to implementing school-based management have been taken up and disseminated by local government and other agencies on a large scale, indicating significantly increased project impact.
- The quality of these dissemination efforts, although quite varied, is generally satisfactory.
- The greater the adherence to the full DBE1 approach, the greater the impact in terms of changes in schools.
- The greater the participation of school committees in school development planning the more likely the plan is to be completed, the better quality the plan, and the more likely it is to be implemented.
- Few dissemination schools surveyed reported an increase in community contributions to school development as a result of their participation in the program. This is possibly due to low levels of community participation in the programs. It may also be a result of disseminating only school-development planning (RKS) as a stand-alone program.

Chapter 9 – Summary of Key Findings and Analysis

This report describes the impact of DBE1 on schools and madrasah. For this purpose, ‘impact’ is defined as change in practice in schools and their communities resulting from project interventions. In this chapter, conclusions drawn from the various studies are presented, and those findings which are consistently supported are highlighted. Implications for the project and for development of basic education in general are discussed. Questions for further research are outlined.

Overall, the study aimed to address the following research questions:

- What is the impact of DBE1 at the school level?' (To what extent are we achieving our objectives?)
- What factors are associated with maximum impact?
- What factors are associated with minimal impact?
- Are there any unintended impacts; positive or negative?
- What can DBE1 and partners do to increase the impact and sustainability of outcomes during the remainder of the project?

In order to answer these questions, findings from a number of data sources have been presented: project performance monitoring and evaluation conducted annually over four years, a series of studies to determine the extent to which school development plans prepared with DBE1 assistance are being implemented, a study on community and village government contributions to the implementation of these plans, a survey of principals, a series of field case studies to explore the dynamics of implementation and impact in depth, and, finally, a series of studies of dissemination or ‘replication’ of the program funded by districts and others.

Taken together these various studies provide a comprehensive picture of impact and a powerful argument for the validity and reliability of findings.

What these studies consistently tell us is that the DBE1 interventions have had a significant impact on target schools. We know that many principals are becoming more open, transparent and participative in their management approach, school committees are becoming more active, and schools have developed and are implementing school development plans based on comprehensive data analysis and involving a range of stakeholders. In short, school-based management has been successfully implemented in target schools.

This is resulting in targeted professional learning programs for teachers, improvements to the learning environments in many schools and better teaching resources, such as the addition of computers, texts and teaching aids. Most programs listed in school development plans are being implemented by

schools and their communities. Those which are not implemented are often programs requiring higher levels of funding from district budgets, such as major infrastructure and teacher upgrading.

We do not yet know, on the basis of this study, whether or not these changes are making any difference to the quality of teaching and learning or to the learning outcomes for children. However, the evidence is clear that that DBE1 is resulting in improved management and governance in target schools. We also know that the program is resulting in improvements to school environments and to some extent in the professional knowledge of teachers.

Beyond this, we know that aspects of the program have been successfully taken up and implemented (or 'disseminated') by local government and other agencies in large numbers of non-target schools. While there are examples of all program components being disseminated, by far the most common is the school development planning component. These dissemination programs are resulting in improved management and governance.

Each of the research questions is addressed in turn below.

What is the impact of DBE1 at the school level?

Based on this study, we can say that DBE1 is having a significant impact on the management and governance of target schools. Of the 526 target elementary schools in the first cohort, 96% now have good quality school development plans. Furthermore, the various studies reported in Chapter Four demonstrate that these plans are being implemented and are making a difference in schools.

Baseline data collected prior to DBE1 interventions in 2005 showed that, while many schools had previously prepared school development plans, these plans were not well implemented in a majority of cases. Most schools either had no plans or had documents which were prepared to satisfy the requirements of the education office and did not reflect the realities or aspirations of the school.

The studies outlined in Chapter Four found that the school development plans (RKS) prepared with DBE1 support are not just documents, but represent a set of programs which are being implemented to improve the quality of schools. Most schools keep their RKS documents in the school. Monitoring confirmed that the quality of school development plans is relatively good. Most of the planned programs are being implemented and some school committees have become very active in supporting and monitoring program implementation. In 2006/2007, 74% of the 7,603 programs listed in school development plans were implemented. In the following year, 79% of the planned programs were implemented.

The principal survey reported in Chapter Six found that 99% of principals believe that DBE1 has had a positive impact on their school. Many gave detailed accounts of concrete examples of impact. The most frequently

mentioned impact was on school planning, followed by management, leadership and administration. Three respondents also noted negative impact of teachers being away from their class to attend DBE activities.

The field case studies found that DBE1 is having a strong, broad and deep impact on schools, school committees, parents, teachers and students. The evidence found for transparent, participatory and responsive management practices was especially strong. The evidence for this conclusion comes from both the voice of the stakeholders who willingly participated in the study and from the observations made by the researchers. These good management practices are occurring in all clusters studied, both rural and urban.

This supports the findings of project performance monitoring reported in Chapter Three as well as the monitoring reported in Chapter Four. Transparency has increased considerably. Prior to the DBE1 interventions, most schools did not report their annual budgets (RAPBS) or their income and spending to the public – or at most gave their reports in one venue or forum. Subsequently, over half of the schools studied have reported their finances by posting reports on the school notice board, sending them to the parents, or disseminating the reports in other places. Analysis of the field case studies reported in Chapter Seven, found evidence of resistance to the posting of budgets and plans, suggesting that alternative means of increasing transparency should be sought.

Analysis of data on community contributions to the development of local schools collected over the period of project implementation shows that DBE1 has had a significant impact in this area, with the amount of financial and in-kind contributions increasing dramatically in target schools. This increase occurred in spite of restrictions on schools collecting funds from parents, brought about as a result of ‘free schooling’ policies.

Over the three year period that DBE1 has worked with schools, more than Rp 25 billion (approximately \$2.5 million) was leveraged from local communities in the form of both cash and non-cash contributions. This is an average of \$2,323 contributed to each school by local communities. What this represents is not only an increase in financial capital available to schools but, perhaps more importantly, an increase in ‘social capital’ in the form of community support. Both have been found to be associated with improved quality in schools.¹⁰¹

Two additional DBE1 interventions have impacted on the level of financial capital available to schools. First, district level analysis of the unit cost of schooling children (BOSP) facilitated by DBE1 has resulted in policy development leading to significant increases in local government funding for schools in some provinces and districts. The second of these interventions was the training conducted by DBE1 in early 2009 to support school committees to participate in Village Development Planning Forums (*musrenbangdes*). The

¹⁰¹ See, for example, Caldwell, B. and Harris, J. (2008), *Why not the best schools?* ACER, Camberwell, Victoria.

training, which prepared participants to advocate for funding for school improvement programs, had a promising outcome, demonstrating the commitment of school committees as well as the broader community in many areas.

As a result of this training, reported in Chapter Five, a total of Rp 1,143,200,000 (\$114,320) was leveraged from the village budgets to support school development programs in the 106 villages surveyed. This is an average of just over \$1,000 per village. Of this, 82% was allocated to infrastructure programs, including improving access to school grounds. The balance was allocated to scholarships, teachers' fees, early childhood education and others. Some 65% of the programs funded were derived from school development plans.

Taken together, these various developments can have a very important impact on the quality and development of schools in target areas.

The awareness among school committee members of the need for broad representation on the school committee has also increased. There is now an increased recognition that school committee membership should include women, minority groups and other religious or community leaders in target schools. Prior to DBE1 interventions, schools typically prepared school development plans and budgets (RKS and RAPBS) internally. Rarely did they involve the school committee – other than as required to sign the budget document. As a result of DBE1 interventions, more than 80% of the school committees in target schools were involved in preparing the RKS. In addition to participating in the development of the RKS, school committees are also more active in monitoring school performance, promoting transparency and supporting the implementation of plans.

DBE1 seeks to promote local government management practices that are transparent, participatory, responsive, and accountable, that is, practices that are guided by the principles of good governance. The various studies indicate that these principles are being achieved at school level and that the overall impact on schools is significant. DBE1 interventions at the school, including school development planning, school committee strengthening and leadership training have improved management and governance in schools.

Beyond this, we can say with confidence that DBE1 is having a significant impact on a large number of dissemination schools. Some 10,703 schools have participated in dissemination programs funded by local government, the schools themselves or other agencies. This represents a leverage of over 1 to 8. While DBE1 directly benefited around 340,000 children through programs in target schools, the number benefited in some way through dissemination programs is now over 2.3 million. The most common focus of these programs was the DBE1 school development planning methodology. Studies conducted in 2008 and 2010 found that most schools completed preparation of good quality plans and that 70% of planned programs are being implemented, resulting in better school management and governance plus school

improvement. Some 90% of principals in these dissemination schools believe that the program has had a positive impact on their school and gave concrete examples of that impact. Furthermore, 66% of non-target schools sampled in DBE1 target districts had replicated or were in the process of replicating one or more DBE1 program. Although school development planning remained the main focus of dissemination, the range of DBE1 programs disseminated increased over time along with the quality of program implementation.

In summary, on the basis of the studies described in this report, it is clear that school development plans (RKS) prepared with DBE1 assistance are being widely implemented in target elementary schools. Furthermore, we can say that DBE1 interventions in school development planning supported by leadership and school committee training have resulted in substantial increases in community support for local schools. As a result of DBE1 assistance, the principals of target schools have generally adopted a more open, transparent and participatory style of leadership and school management. School committees are more active. Social and financial capital has been increased. This effect is being replicated in large numbers of dissemination schools with good results, although it appears that the impact is somewhat less due to districts and disseminating agencies often only disseminating one or two components of the full program – and often with less mentoring to support implementation. This issue is taken up in the following section.

What factors are associated with maximum and with minimum impact?

These are difficult questions to answer with certainty. However, there are at least four ways in which we can draw some conclusions.

- This study, as outlined above, has demonstrated that DBE1 is having a substantial impact on schools. Based on the international literature on school improvement, together with the experience of development assistance in the basic education sector in Indonesia, we can draw some tentative conclusions as to what makes the difference. Why is DBE1 achieving this positive impact?
- Where there are indications of differences in impact between target schools, which received the intensive DBE1 program, and dissemination schools, which received a range of modified programs, we can look for relevant factors.
- Where there are indications of differences in impact between different dissemination programs, we can look for reasons.
- Where differences in the impact of DBE1 are evident between different provinces and districts, we can look for clues as to why.

A recent review of education development models in Indonesia prepared for the World Bank considered different types of development assistance and concluded that ‘...there is increasing good evidence ...that the bottom-up

approach works in Indonesian basic education development whereas serious questions are posed about the effectiveness and efficiency of the top-down alternative based on past performance.’ DBE1 is included in the category of projects that are ‘more bottom-up, demand driven.’ (Cannon and Arlianti, 2008 p.113).¹⁰² The report makes the following observations about effective aid in the Indonesian education sector:

- ‘First, certain ‘pre-conditions’ have to be met for effectiveness. These include project design and project management approaches being aligned with the context of decentralization, being simple in approach and well managed.
- Second, aid is effective when it works with existing communities of practice.
- Third, project effectiveness is enhanced when it is based on a clear and focused framework built on the principles drawn from education and development.
- Finally aid is effective when project achievements are sustainable and when results can be disseminated beyond the original beneficiaries.’ (Ibid p. 13)

An independent review of DBE1, commissioned by USAID and conducted in 2008, noted that:

‘Hundreds of Indonesians—in government at various levels and outside government—were consulted through individual and group interviews and anonymous questionnaires. These interviews, observations by the evaluation team, and a review of documents all reveal that DBE 1 and their Indonesian counterparts have done good, solid, widely-appreciated work in promoting, guiding, and following-up on school-based activities.’ (The Mitchell Group, 2008, p.15)¹⁰³

Based on the evidence of the studies reported in previous chapters, and with reference to the international literature on development and the independent reviews cited above, DBE1 appears to work well in facilitating the implementation of school-based management for the following reasons: First, the program is firmly based on government policy. Second, stakeholder ownership is strong. Third, institutional and human capacity is built. Fourth, technical assistance rather than funding is provided. And, fifth, the program is manageable and affordable for local partners.

In addition, comparing the results, (1) between different regions, (2) between different dissemination schools, and (3) between dissemination schools and target schools where implementation was fully funded by the project, supports

¹⁰² Cannon, R. and Arlianti, R. (2008). Ibid

¹⁰³ The Mitchell Group, Inc., (2008), *The Midterm Evaluation of USAID/Indonesia’s Decentralized Basic Education (DBE) Project*, ABE-BE IQC (CONTRACT # EDH-I-00-05-0035-00) Vol. 1 Final Report submitted to USAID/Indonesia March 18, 2008

these conclusions and also reveals a slightly different but related set of relevant success factors.

The first of these success factors is that the scope and geographical focus of the project is limited; second, a locally-based implementation methodology including on-site mentoring is adopted; third, a complete and integrated school-based management program is provided; and, fourth, that commitment is built at the provincial and district levels. The presence of these four factors can be said to be associated with maximum impact and, conversely, their absence with minimal impact. Each of these factors is briefly discussed below.

The program is explicitly based on government policy

DBE1 interventions are closely aligned to, and explicitly support, the implementation of current Indonesian Government policy and regulations. This is evidenced by the fact that some methodologies, such as in the school development planning manual, have been revised to keep up with changes in government regulations. It is also confirmed by the participation of the national Ministry of Education (MONE) and Ministry of Religious Affairs (MORA) in a series of workshops to finalize the materials, and the fact that MONE and MORA have officially sanctioned the set of manuals for school-based management, contributing signed introductions and official logos on final published materials. Monitoring conducted by representatives of MONE and MORA and reported in Chapter Four confirmed the commitment of both national and local government to the program.

The current national policies which support school-based management are regarded as essentially well-founded. The challenge is in implementation in Indonesia's vast and diverse system of elementary schools. DBE1 has played the role of developing and piloting methodologies designed to implement these policies. The positive response of most schools, districts and related agencies is in large part due to the explicit alignment of these methodologies with current regulations as well as with established good practice.

Stakeholder ownership is strong

DBE1 supports bottom-up initiative and builds local capacity by implementing participative planning methodologies and empowering local actors including local education officials, school supervisors (*pengawas*), principals, teachers, school committees and community members. The Mitchell Review cited above noted that:

‘The involvement of nearly all pertinent stakeholders in the school development planning enhanced school management capabilities, clarified roles and responsibilities, and increased transparency of school budgeting and finances. Their efforts have produced positive results in the sequencing and coordination of activities and improved interaction and relationships between/among school principals and

teachers, students, parents, and community groups. In time, school development planning has the potential to help increased quality and relevance of education. Thus, DBE 1 is helping energize and strengthen civil society, expand the participation of local groups and individuals, widen and open up decision-making processes, and generally aid democratic practices and good governance in Indonesia.’ (Ibid)

This finding is confirmed in the various studies discussed in this Impact Study. The principal survey, reported in Chapter Six, highlighted changes in management and particularly the increased involvement of a range of local stakeholders: teachers, parents, school committees. This finding was echoed in the findings of the small study on Leadership Training Impact referred to in this chapter. Increased transparency and the participation of stakeholders in preparation and implementation of school development plans were also highlighted in the project performance monitoring reported in Chapter Three and in the RKS implementation studies reported in Chapter Four. The dramatic increase in community contributions to support school development plan implementation discussed in Chapter Five offers further evidence of local participation and stakeholder ownership.

Ensuring that community members are involved in the process of preparing school development plans is a key to success. This builds ownership at the local level, increases support for the school in the form of both financial and social capital, and spreads the sense of responsibility for implementation of school improvement plans.

In contrast, where the community is not involved results can be disappointing. The dissemination study reported in the previous chapter found that no contributions were forthcoming from the community in the schools surveyed in contrast to the great community support achieved in the DBE target schools. The 2010 studies found that community participation was associated with improved rates of completion of school planning, better quality plans and improved rates of program implementation.

Institutional and human capacity is built

DBE1 has effectively built both institutional capacity and human capacity. In order to implement the project DBE1 hired a provincial coordinator and a team of specialists in each target province. In addition a district coordinator was hired for each district. Beyond this, DBE1 invested heavily in the training of district facilitators to implement and disseminate the program at school level. Most of these are employed by local government as school supervisors (*pengawas*) and so will remain after the project. In this way the project will leave each province and district with a body of well-trained personnel embedded within the system. In response to a request, we are also in the process of developing a register of district facilitators with the national Ministry of Education.

This approach reflects the principle identified by Cannon and Arlianti (2008), above, that projects should ‘work with existing communities of practice’. Just as a key strategy is to support the implementation of government policy, so too, working with and within existing structures is a key strategy. In aiming to improve the management and governance of basic education, DBE1 works with districts, school clusters, principal working groups (KKKS)¹⁰⁴ and schools. Rather than introduce new structures, the project works to strengthen existing structures.

Most significant in this context is the role of the school supervisor (*pengawas*). Many *pengawas* are nearing the end of the careers, and not all have high capacity. Nonetheless it is their core task to support schools in the implementation of government policy, including school based management. DBE1 elected to work with this group and build their capacity as change agents rather than introduce an external element. Well-trained, effective facilitators play a vital role. New district facilitators can also be recruited from the pool of district school supervisors, trained and supported by experienced district facilitators. Selecting good candidates is important. Cutting corners in the training of, and support for, these facilitators will likely result in failure.

DBE1 initially provided intensive training to approximately 300 district facilitators, mostly school supervisors, to support implementation, dissemination and sustainability. This number was significantly increased by the inclusion of a further 400 or so supervisors in monthly district-based forums. In this way, it is expected that this resource will be developed and institutionalized within districts. The monthly forums are a strategy for both sustainability and dissemination. The project is also working with districts to find ways for the forums to be sustained and funded beyond the life of the project. In cases where the forum has made use of an existing institutionalized structure (such as a monthly *pengawas* meeting) this should be relatively simple. In others, where the forum is a new institution it will require greater commitment from the district to sustain.

District coordinators also play a critical role, assisting with lobbying, planning, budget proposal, intervention, monitoring and evaluation. Without this assistance, the risk is high that local government may not manage dissemination budgets well, resulting in disappointing results. Part of the role is to improve coordination with the District Education Office (*Dinas Pendidikan*) to prepare realistic budgets and targets and to increase district efforts in monitoring program implementation.

Increasing the role of sub-district education officials (KCD or UPTD) is also important. For example, in several places where schools used their own funds such as in Indramayu and Tuban, the sub-district education office was instrumental in organizing the programs. Facilitators, school supervisors and

¹⁰⁴ At school cluster level, principals work together in Principal Working Groups, known as *Kelompok Kerja Kepala Sekolah* or *K3S*. DBE1 works with these groups to provide leadership training and facilitate the development and implementation of school development plans.

sub-district officials can help to ensure that school principals understand the value of producing school development plans and the value of wide participation by community stakeholders in the development process.

In addition to this human resource, DBE1 has worked intensively at district level to build the capacity of the Education Office and related institutions to manage the education system within the district. In order to achieve this, DBE1 worked with local and national government to develop a number of approaches and methodologies. These include:

- Educational financial analysis: District Education Finance Analysis (known in Indonesian as *Analisis Keuangan Pendidikan Kabupaten/Kota* or *AKPK*), and School Unit Cost Analysis (*Biaya Operasional Satuan Pendidikan* or *BOSP*).
- Educational planning methodologies: District strategic planning (*Rencana Strategis* or *Renstra*).¹⁰⁵
- Educational management methodologies: Capacity Development Planning (*Rencana Pengembangan Kapasitas* or *RPK*), personnel management systems, asset management systems and school supervision systems.
- Education information management methodologies: Educational Management Information System (EMIS) and District Project Information Support System (*Sistem Informasi Perencanaan Pendidikan Kabupaten/Kota* or *SIPPK*)
- Governance strengthening methodologies: Multi-Stakeholder Workshops, training for Education Boards (*Dewan Pendidikan*) and policy briefings for local parliaments (DPRD).

While implementing these methodologies with local partners, the project has developed capacity by assisting in the planning, budgeting and implementation of dissemination programs in response to demand in districts which have shown commitment to disseminate the program to non-target schools – as was described in the previous chapter. At the conclusion of the project, DBE1 will hand over the manuals and training modules for school level programs, which school supervisors and district personnel know well how to implement and in which, we hope, they feel a sense of ownership and pride.

Technical assistance rather than funding is provided and the program is manageable and affordable for local partners

DBE1 does not provide funds, but only technical assistance.¹⁰⁶ This approach increases ownership and reduces the risk of donor dependency, whereby recipients come to believe that they cannot implement or sustain an innovation, such as school-based management, without additional funding. All

¹⁰⁵ *Renstra* is an abbreviation of the term *Rencana Strategis*, literally Strategic Plan

¹⁰⁶ The only exception to this is the 14 small grants provided to support innovative use of ICT.

the improvements made in schools have been made with local funding and resources. DBE1 has only provided training and mentoring. In addition, the methodologies for school development planning and other aspects of the school-based management program are generally within the financial reach of local government and can be implemented by local education authorities and other agencies as was demonstrated in the previous chapter on dissemination.

Impact, however is not even. As reported in Chapter Four, around 20% of programs planned in school development plans (RKS) were not yet implemented. Financial constraints and lack of expertise were the main reasons suggested by respondents in the study reported in Chapter Four. These factors are commonly cited by beneficiaries of development assistance – perhaps with the hope of attracting further support from the donor. Nonetheless, monitoring conducted by the DBE1 team confirmed that RKS programs funded through BOS (funds managed directly by the schools) have a high rate of implementation while those reliant on funds from the district government (APBD) are often not implemented. As this is the first time most schools have attempted an approach in which budgeting follows planning, rather than the other way around in which plans are based on budgets, it is not surprising that some programs could not be implemented.

National GoI monitors who surveyed DBE1 target districts and schools found that DBE1 programs are very well accepted both by the schools, the district education offices and local offices of the Ministry of Religious Affairs. Most of the districts have allocated funds from their annual budget (APBD) to disseminate the DBE1 program to new schools. This independent monitoring activity helps to verify the findings of internal project monitoring and strengthens the claim that the program has achieved successful outcomes at school level.

When considering the impact of a development assistance project such as DBE1 it is useful to also consider the cost efficiency. The important question is, how affordable is the program for partner schools and local governments?

There are a number of possible ways to calculate cost effectiveness or efficiency. The following analysis is made by calculating the cost of project interventions for each school, based on real costs, excluding project overheads such as administration, personnel, research and product development. This calculation includes the cost of training activities, such as participant travel payments, catering, photocopying materials, hire of hall and equipment and so forth. As shown in Table 9.1, below, the training cost to the project is around \$900 for the entire school-based management program – including on-site mentoring - for each school.

Table 9.1: Unit Cost Summary for DBE1 school-based management training program (per school excluding project overheads)

Costs of DBE1 School-Based Management Program	Cost per School (rupiah)	Cost per School (\$)
Study Tour	Rp1,724,000	\$181
School Leadership Training	Rp356,000	\$37
School Committee Strengthening	Rp2,310,000	\$243
School Database System (SDS)	Rp834,000	\$88
School Development Planning	Rp3,438,000	\$362
Total Cost	Rp8,662,000	\$912

As described in Chapter Eight, the unit cost per school in district-funded dissemination programs averages at Rp1.8 million or \$200. In many cases this is the cost for one program only, school development planning. As shown in Table 9.1, above, the project cost for school development planning is \$362.

Dissemination programs, both district-funded and independently funded by schools or other agencies tend to be somewhat cheaper than the project-funded program. This is because dissemination programs are able to reduce costs by, for example, paying lower travel rates to participants or facilitators. It is also clear, as described in Chapter Eight, that districts and other agencies sometimes attempt to reduce costs by reducing the quality of the program (for example cutting the amount of training or mentoring). However, based on these figures, it is clear that the DBE1 school-based management program is affordable for Indonesian schools and districts.

On 2009 figures, an average elementary school receives between Rp50 and Rp80 million per year from national government BOS funds (\$3,400 - \$8,600).¹⁰⁷ These funds can be legitimately allocated to in-service training and school improvement programs. Thus a school, working within the cluster system, could fund the complete DBE1 school-based management program, without reducing quality, over a period of 3-4 years at \$200 - \$300 per year.

Scope and geographic focus is limited

The school cluster (*gugus*) system is now well established in Indonesia. Elementary schools are grouped in clusters of five to ten, generally located in close proximity and in logical groupings. In some districts, Islamic madrasah, which are managed under MORA, are now incorporated into the general cluster system. Working with whole clusters of schools is a strategy that has been proven to be successful in a number of projects, including DBE1 (Cannon and Arlianti, 2008).

¹⁰⁷ See footnote 15

Scaling up to large numbers of schools in dissemination programs is politically appealing for districts. But if the resources are inadequate, the result is usually failure and wasted resources. Working with only the core school in each cluster (*sekolah inti*) and expecting these to disseminate the program to satellite schools (*sekolah imbas*) has shown to be a far less successful strategy than working with whole clusters. Government programs frequently train only selected teachers from core schools and expect them to disseminate the program with no additional planning, support or resourcing. This approach typically fails to achieve expected results. This is particularly true when the training is provided away from the school at district or provincial level. International studies in school reform have consistently shown that training is best provided in the school and involving the whole school staff, sometimes in school clusters. For this reason, a locally-based implementation methodology, including follow up on-site mentoring is also important as discussed below. (Fullan, 2001, Caldwell and Harris, 2008) ¹⁰⁸

Limiting the target number of schools to ensure that the capacity and funds are there for the complete program is important. DBE1 provided the full program in two clusters of approximately ten schools each per district. This meant that the change could be supported in a very intensive way over a relatively long period.

As shown in the dissemination study reported in the previous chapter, Boyolali, Lebak, and Soppeng Districts were relatively successful in disseminating the program because they only targeted few schools; on the contrary Klaten and Indramayu Districts were unsuccessful because they attempted to replicate the program in many schools in a wide area (e.g. one school per cluster or sub-district).

A locally-based implementation methodology, including on-site mentoring, is adopted

As suggested above, one of the problems associated with some previous projects has been a tendency to withdraw a small number of participants for province-based training with the intention that these individuals will become catalysts for change back in their own schools and school clusters. This model, known as ‘cascade’ training, has been shown to be ineffective for at least two reasons. First, the individual participants are trained in a setting removed from their work context; the school and the cluster. The training is decontextualized and as a result tends to be overly theoretical. Second, the trainee does not have the support of colleagues to implement what has been learned. Back in their own school, trainees often face resistance from colleagues and supervisors who did not participate in the training. Frequently, the individuals who received the training are expected to disseminate the program to colleagues in

¹⁰⁸ Fullan, M. (2001), *Leading in a Culture of Change*, Jossey-Bass; Caldwell, B. and Harris, J. *Why not the best schools?* 2008, ACER

their school, cluster and sometimes throughout the district – without any planned support, time allocation or funding.

The locally-based approach taken in DBE1 was recognized as a key to project success, by participants, including school principals, and by observers, including the GoI monitoring team in the study reported in Chapter Four. In particular, on-site mentoring known locally as '*pendampingan*', which literally means 'assisting' or 'accompanying', is seen by project personnel and the central government officials who took part in monitoring as a key factor in maximizing impact. Many projects provide classroom-based training to school personnel, but the addition of on-site mentoring is seen as essential to maximizing impact in schools. This on-site mentoring enables the participation of all stakeholders in the school and, importantly, supports the implementation of new approaches learnt in the classroom-based training. For example, district facilitators visit each school and sit with working groups to complete preparation of school development plans and, subsequently, to discuss implementation.

Other aspects of the locally-based implementation methodology regarded as successful include the whole-school approach, training and use of local school supervisors (*pengawas*) as facilitators, use of the school cluster (*gugus*) system as a base for training and participation of school and community stakeholders. Including teachers, parents and community members in training, along with school principals, school supervisors and local officials is one success factor. This 'whole school' approach helps ensure that all stakeholders are involved, feel respected and commit to supporting change and the implementation of school-based management approaches and policies. The school cluster system which operates amongst elementary schools in Indonesia is well established and provides an excellent basis for localized training and school improvement programs. These success factors which emerged from this Impact Study are supported by international research into school improvement programs in a range of national settings.¹⁰⁹

A complete and integrated school-based management program is provided

Ensuring that the entire DBE1 program model is implemented completely, including on-site mentoring for each step, has been found to be an important factor in achieving a successful outcome. Where dissemination programs did not include on-site mentoring and/or cut short the training, outcomes were generally disappointing.

DBE target schools received a comprehensive program, including a range of management and governance interventions along with a very intensive set of activities from DBE2 to introduce active learning in classrooms. In most of the dissemination schools, only one program was implemented; most commonly

¹⁰⁹ See, for example, Caldwell, B. and Harris, J. (2008) *Why not the best schools?* ACER Press, Camberwell, and, McKinsey and Company. (2007) *How the world's best-performing school systems come out on top.*

school development planning. The impact is far greater when the program is integrated and complete.

It also seems clear that the impact of each individual component of the program is greater when it does not stand alone. Aside from limited community participation, it is likely that the reason that few community contributions were forthcoming in dissemination schools as a result of the RKS process is that in many cases it was implemented as a stand-alone program without the broader context of other interventions including school committee training, leadership training and, most importantly, training for teachers to improve teaching and learning. It is the synergy and dynamic generated by the participation of the whole school community in all of these programs that creates an excitement and momentum for change within a school.

In this context it is worth noting that the DBE1 integrated package for school based management was not delivered in the intended sequence in the first cohort of schools. This occurred because the program and individual methodologies were still being developed and piloted in these schools as the program rolled out. In a sense the ship was still under construction whilst already under sail.

For example, the school database system (SDS) which is designed to support school development planning and should be implemented prior to RKS was in fact implemented much later in the first cohort of schools and was unable to be considered in this Impact Study. The leadership training and SDS were not envisaged in the original project design. Both were developed as a project initiative in response to needs and opportunities which became apparent during the delivery of the first round of RKS training and school committee strengthening.

As a result of this sequencing issue, the intended impact was not achieved for some components of the program, especially in the first cohort of schools. The SDS training was intended to help prepare the data required for school development planning. This is not to imply that this program has not had an impact. However, it was not possible to assess that impact in this study, and we can anticipate that impact will be further increased when these sequencing problems are ironed out and the program is delivered in its entirety and intended sequence. This expectation is to some extent supported by the 2010 studies of dissemination schools which found that the quality and comprehensiveness of program implementation improved, along with impacts, over time.

The various DBE1 interventions at school level form an integrated approach to school-based management. School-based management is a set of approaches to the management and governance of schools. Ideally these approaches are implemented in parallel with approaches to improving classroom practice. The national Ministry of Education, following the earlier UNICEF CLCC model, regards school-based management as consisting of three pillars: school

management, community participation and active learning (PAKEM). It is the synergy created by the simultaneous implementation of these three that creates the enthusiasm amongst school communities and the momentum for change.

In the DBE project, the first two pillars were implemented by DBE1, the subject of this Impact Study. The third pillar was implemented by DBE2. The importance of integrating the three pillars was recognized in the Mid-Term Review:

‘A unified approach appears to add value to each type of training. The integration of management and governance, on the one hand, and improved quality of teaching and learning, on the other, accounts for much of the success at the school level. For instance, school principals at DBE-target schools attend active learning (PAKEM) training, frequently in the same course with teachers. Some teachers as well as principals participate in leadership training. Teachers and school committee members participate in training and tasks related to the RKS and RAPBS (school annual budget), not merely principals. Interviews and anonymous questionnaires confirm the wisdom of this integration. For example, 54.3 percent of 81 primary school principals (including public primary schools and *madrasahs*) judged the experience of having teacher training and support combined with school management at their schools as excellent. Forty percent deem the experience very good. In addition, 38.7 percent of school committee respondents viewed it as excellent, and another 38.7 percent ranked it very good. MORA and MONE officials also say they highly value the integrated training approach.’ (The Mitchell Group, 2008, p.16)

The results of the principal survey reported in Chapter Six show that principals sometimes do not differentiate between impact of the DBE1 program (management and governance) and DBE2 (teaching and learning). While the purpose of this study is to determine impact of DBE1 specifically, the fact that the two programs are indistinguishable to many, both in terms of inputs and impact, is not unexpected. The project is divided into components, each delivered by a different USAID implementing partner. Notwithstanding this division, it is intended that the two components support one another and work in a coordinated fashion, particularly at school level. These results suggest that the impact of DBE is an outcome of an integrated, holistic approach to school change. It is the combined impact of interventions in management, governance, teaching and learning that make the difference, rather than any one component or sub-program.

Commitment to reform is built at province and district level

Not all provinces demonstrate the same performance in the DBE1 program. For example, results in most measures in the project performance monitoring reported in Chapter Three are relatively poor in North Sumatra when

compared to other provinces. This is also true in the implementation of school development plans reported in Chapter Four.

As described in these chapters, the relatively poor performance may be partly due to external factors. North Sumatra has received very little support from donor-funded programs to improve basic education over the years. DBE is the first project to support the implementation of school-based management in virtually all districts and schools in this province. Resistance to change was a factor in some districts. Distance and travel time also impeded implementation somewhat in the more isolated areas. These factors do not apply in the more densely populated and accessible provinces and districts of Java, where development projects are familiar and travel times are less.

Comparing the results of the principal survey reported in Chapter Six suggests some difference in emphasis between districts and provinces. For example, response to the survey in Central Java was quite different to the other provinces in that the most frequently mentioned area of impact overall was not planning but school committee and community participation. Within the province, results also varied between districts. In Boyolali, a district in Central Java recognized as one of the most successful in implementing and disseminating DBE1 programs, a majority of principals indicated that the most significant impact in their schools was in the area of planning. Meanwhile in Jepara and Karanganyar, no principals identified planning as the main area of impact.

It is possible that some of the differences in responses between provinces and districts are the result of slightly different approaches to administering the survey and eliciting responses rather than due to substantial differences in program delivery. It is also possible in some cases that substantial differences in emphasis do exist as a result of local cultural and political factors. It is hard to draw conclusions from this comparative data.

Another indicator of impact that varies significantly between provinces is the extent of scale-up through dissemination, with East Java and Central Java achieving greater success than other provinces. Some 79% of the total number of schools involved in dissemination programs are located in these two provinces. The data and analysis presented in Chapter Eight do not suggest a clear explanation to account for this. However, experience suggests two factors to explain the differences in performance between provinces and between districts: first, commitment of the provincial and district administrations and, second, internal capacity of the DBE1 implementation teams. It seems likely that the interplay between these two is the most significant factor associated with maximum and minimum impact.

Provinces and districts which stand out as very successful in one study or measure tend to also stand out in others. Similarly those which perform relatively poorly on one measure or in one study tend to perform poorly in others. In both cases the commitment of the district or province to educational reform in general and to the DBE1 program in particular appears to be a key

factor. The example given in previous chapters of Boyolali District in Central Java illustrates the high impact created where both district commitment and the effectiveness of the project teams are high.

This raises a question: is the difference in commitment between districts and provinces a result of internal or external factors? Is it because the successful district or province has inherently high commitment, independent of DBE1, in which case one would expect that the district would actively seek ways to improve education regardless of the DBE1 intervention? Or is it because the DBE1 team has successfully leveraged the commitment that exists and lobbied to build further commitment, or address resistance?

The strength of project leadership, professional networks and ability to use them within local government and educational communities to garner support for the project clearly varies between regions – both at province and district level. The capacity of individual specialists and provincial teams also varies.

Like other demand-driven development projects, DBE1 is a partnership. Both of the key partners – local government and the project implementation team – share responsibility for achieving agreed objectives. In response to the research questions, it seems most clear that internal factors, external factors and the interplay between the two are all associated with maximum and, conversely, minimum impact. The most significant element in this partnership seems to be the level of commitment of the district or province and the capacity of the implementation team to leverage and build that commitment.

Are there any unintended impacts; positive or negative?

This Impact Study has presented strong evidence, verified in a number of studies, that DBE1 is achieving intended impacts. In addition, a number of unintended impacts emerged from the study. Positive unintended outcomes include the large contribution from communities to support implementation of school development plans in target schools and, related to this, the strength of improved social capital built in these schools and increased sense of pride among students in some schools. The only unintended negative impact identified was confined to just three schools in which the absence of teachers from their classrooms to attend DBE training reportedly impacted negatively on teaching and learning programs.

Chapter Five highlighted the very significant increase in community contributions to school development. This is an unintended positive outcome of the project, which aimed to empower communities and strengthen the role of the school committee, but not specifically to increase the contribution of communities. The associated increase in social capital was also noted as a significant and unintended impact in the field case studies reported in Chapter Seven. Improved communication between school administrations, teachers and parents was noted as a significant impact in all of the studies including in dissemination schools.

As reported in Chapter Five, school unit cost analysis (BOSP) conducted in 49 districts has resulted in additional local government funding of over \$100 million to schools in two provinces and a number of districts. As the BOSP methodology was developed during the project implementation period in response to demand from districts, this is a very significant unintended impact. In effect, through the relatively simple BOSP program, DBE1 has leveraged public sector funds to schools by a factor of almost 1:3 against the total project budget of about \$40 million.

The field case study report in Chapter Seven found that students are also benefiting from DBE in unintended ways. Students noted the positive impact of school improvements in a physical sense and reported feeling an increased sense of security and pride in their schools.

Another notable unintended positive impact found is the scale of dissemination, particularly of school development planning. As described, the core strategy of DBE1 is to develop good practices in target schools and promote dissemination of these to other schools. The target set by USAID was 3,000 additional schools. As of June 2010, good practices developed under the project have been disseminated to at least 10,703 schools. The impact is thus far greater than that which was expected or originally intended.

What can DBE1 and partners do to increase the impact and sustainability of outcomes during the remainder of the project?

Lack of sustainability is probably the most common criticism leveled at donor-funded reform efforts in Indonesia's basic education sector. The project mode that has been adopted over the last twenty years by most donors, and by the government itself, tends to produce short-term reform efforts which are supported with foreign funding and expertise and which fail to sustain once this support is withdrawn at the end of the project.

DBE1 has made a serious attempt to address this risk as was described in Chapter Eight. By providing intensive support in a limited number of schools over a lengthy period, building local capacity to support the reform, backing this up with district level programs and coordination with provincial and national government to institutionalize the changes, and then progressively, gradually withdrawing project-funded support, DBE1 expects to increase sustainability.

Two key strategies to increase impact and sustainability are, first, empower local facilitators and, second, support the development of policy to institutionalize the reforms. Each of these is described below.

Chapter Three reported on the results of project performance monitoring. Performance against several indicators in most provinces tends to progressively decline after the first measure. The initial impact, on most measures is quite dramatic. The decline is small. Nonetheless, this trend raises

concern as to sustainability. In the initial year, when the first measure was taken, intensive inputs were provided in the form of workshops, training and on-site mentoring. It seems that when this intensive support is withdrawn and replaced with less intensive mentoring by district facilitators, it results in a decline in enthusiasm amongst school personnel and school committee members.

Based on extensive studies of school reform, Fullan (2001)¹¹⁰ identified the common experience of an ‘implementation dip’ occurring some time after an innovation is introduced. Once the excitement generated by the introduction of a new approach fades and the reality of making it work kicks in, it is sometimes hard to maintain the momentum. The honeymoon is over. This is the most critical time to provide extra on-the-ground support to sustain innovations. DBE1 anticipated this challenge by training district facilitators and providing on-going mentoring to support implementation of RKS and other innovations. This in-school support is one of the factors associated with maximum impact identified in this Impact Study and discussed above. However, in order to increase sustainability and take-up, it may be necessary to further intensify this support, and, importantly, to try and ensure that adequate mentoring is provided in dissemination programs. Without intensive mentoring over a lengthy period, sustainability is risked.

In the remaining period of project implementation, responsibility will shift entirely to local districts, other implementing agencies and to the schools themselves to sustain the school-based management model implemented by DBE1. During this final transition period, support from the project were reduced to monthly district facilitator forums and some mentoring by these facilitators to facilitate the process of schools updating their school development plans. In 2010 the first cohort of schools completed the four year planning cycle and so need to prepare a new four-year school development plan, this time using the newer RKS model rather than the original RKS model. DBE1 supported this process during the final months of the implementation period in target districts.

The most important strategy for sustainability in this period is to empower local school supervisors, who have been trained as district facilitators, to conduct this program themselves. In addition, at a higher level it is important for the project to work with districts, provinces and the national ministries with the aim of seeing the methodologies developed under the project institutionalized and, where possible, supported by policy.

Although impact on government policy is beyond the scope of this study, which is focused on impact in schools, this is a very significant form of impact – and is central to a consideration of sustainability. Explicitly aligning project interventions with current government policies at national, provincial and local level has been identified in this Impact Study as a factor associated with

¹¹⁰ Fullan, M. (2001), *Leading in a Culture of Change*, Jossey-Bass

maximum impact. Similarly, in order to sustain the impact, further policy development – especially at lower levels of government – is an important strategy.

The project has worked closely with MONE's Directorate for Kindergarten and Elementary Schooling and particularly with the Secretariat for School-Based Management within this department. Through this collaboration, and by explicitly aligning all methodologies with national policies, DBE1 has supported the national ministry in implementing its agenda to implement school-based management in all Indonesian schools. This is also true at the provincial and district levels, where the project has worked closely with local governments to develop and implement strategic plans and policies to improve the management and governance of schools.

At the time of writing, the number of examples of impact on policy is increasing. This includes cases of districts and provinces issuing decrees and circular letters to support the implementation of school-based management, using DBE1 materials. For example in Boyolali, Central Java, DBE1 assisted the District Education Office to prepare and present a new decree to support the synchronization of school and district level planning. In East Java, the provincial government requested assistance in conducting DBE1 School Operational Cost Analysis (BOSP) in fifteen additional districts in order to provide additional data for formulating provincial policies related to school funding. The provincial government also requested assistance in reformulating policies related to illiteracy eradication and support to Islamic religious schools. DBE1 is subsequently working with the provincial planning office (*Bappeda*), Education Office, Office of Religious Affairs, and other stakeholders to assist in this policy review.

As described above, at the national level, the Ministry of Education and Ministry of Religious Affairs have agreed to officially sanction and publish DBE1's set of school-based management manuals with signed introductions and official logos. It may be possible to further strengthen this support if the appropriate Director General issues a circular letter to accompany the manuals, making it explicit that the government not only approves but encourages schools to use them, in line with higher level policy.

In addition, a number of other donors, non-government organizations and service providers are beginning to take up DBE1 materials and approaches to school-based management and implement these using their own resources. This includes AusAID, UNICEF and World Bank funded projects in Aceh and elsewhere, local NGOs, such as Muhammadiyah, and service providers such as the Indonesian Education University (UPI) in Bandung and the private Sampoerna Foundation.

It is too early to judge the success of these programs; and it is beyond the scope of this study. However, ultimately the institutionalization of DBE1 approaches to school-based management through government policy, and dissemination by non-government organizations and service providers, has the

potential to support sustainability and create a far greater impact than that described in this study.

This study also highlights the importance of community participation, of building not only financial capital but also social capital to support school development. In the final implementation period, it will be important for project personnel to stress this point with the managers of dissemination programs, including local education office (*dinas pendidikan*) officials, other funding agencies, service providers and school principals. At the same time, the value of implementing a complete and comprehensive program should be stressed. It seems likely that only implementing one component, such as school development planning, whilst helpful, will not result in the broad impact of the full program.

Conclusion

In this chapter, key findings of the Impact Study have been summarized and the research questions have been answered with reference to the various studies reported in previous chapters. In the final chapter, which follows, conclusions are drawn.

Although the studies on dissemination schools reported above offer some evidence, further research is required to properly answer the question of sustainability. In order to determine the sustainability of project impact, a longitudinal impact study is required. Rarely do donors or partner governments return to study the impact of a project one year, five years, ten years after implementation. Such a study is strongly recommended and would provide a very useful perspective to support future planning.

Chapter 10 - Conclusions

This comprehensive Impact Study demonstrates conclusively that the DBE1 project is having a significant impact on Indonesian schools. Project interventions have resulted in better management and governance in target schools and are being disseminated to large numbers of non-target schools by partner government and non-government agencies. The take-up by local government has been impressive, funding has been increased in many districts, and the commitment of national government to adopting and promoting the methodologies developed by the project is very encouraging.

Key factors associated with maximum impact have been identified as follows:

- The program is firmly and explicitly based on government policy.
- Stakeholder ownership is strong.
- Institutional and human capacity is built.
- Technical assistance rather than funding is provided.
- The program is manageable and affordable for local partners.
- Scope and geographical focus is limited.
- A locally-based implementation methodology including on-site mentoring is adopted.
- A complete and integrated school-based management program is provided.
- Commitment is built at provincial and district level.

Conversely, the absence of these factors is associated with minimum impact.

Unintended impacts of the project include the strong support from local communities, which increased dramatically following DBE1 training, and the high demand and strong commitment to disseminating school-based management, using DBE1 methodologies, evidenced in the large numbers of districts and schools participating in independently funded dissemination programs.

In order to sustain this impressive impact, in the final phase of project implementation increased efforts should be made to ensure that government officials at sub-district, district, province and national levels really understand the methodologies and fully support them – and where possible institutionalize the approach to school based management in policy.

The reform of Indonesia's basic education system and the implementation of school-based management is ongoing; a work in progress. The contribution of the international donor community is important. This report and the studies it

discusses have shown that the DBE1 model is clearly effective; that the intended impact is being achieved. Factors associated with success have been identified.

The DBE1 approach demonstrates that school-based management can be successfully implemented in Indonesia and that this improves the management and governance of schools. The DBE1 project is strengthening the system of education in this context. As a result of DBE1, both project and dissemination schools are experiencing more open, transparent and participative management, better school planning based on good data analysis and community consultation, and enhanced participation of local stakeholders through school committees.

The lessons for USAID and other donors that can be taken from this study are clear. Factors associated with impact have been identified. DBE1 is making a difference. Based on these findings it is recommended that USAID continue to support the development, implementation and dissemination of good practices in school-based management in Indonesia after DBE1 ends.

It is our hope that this Impact Study can contribute not only to project planning and implementation for USAID but to the broader international and local effort to support the Indonesian government and people in their efforts to improve basic education for Indonesia's children.

Appendix 1: Criteria for assessing quality of school development plans

Cohort 1: 32 Criteria

1. School profile annually updated;
2. Includes data on the number of students by gender included;
3. Includes trend of the number of students included;
4. Includes the number of school-aged children in the school catchments area who have not gone to school;
5. Includes school categorization;
6. Is child-focused;
7. Identifies learning progress of students;
8. Includes drop out rate by class, and comparison with district and sub district;
9. Includes the number of students with learning needs (e.g. slow learners) and action to be taken;
10. Identifies teacher quality (level, major, and competence);
11. Includes school committee and other education stakeholder activity;
12. Includes data on role of school committee in preparing pan and budget (RKS/RAPBS);
13. Includes data on role of other stakeholders in preparing RKS/RAPBS;
14. Includes data on the resources required to fulfill the minimal condition for learning;
15. The program is designed to meet the gap between the current and the 'ideal' conditions identified;
16. Objectives and expectations in the plan are formulated by community stakeholders as well as the school;
17. The causes and the main cause of the gap (between current and ideal conditions) are identified;
18. Alternative solutions to problems identified are listed;
19. The program is designed to solve the problems identified;
20. The objectives are identified before the program is prepared;
21. The objectives are identified based on the gap and its causes;
22. Program is planned based on the main alternative of problem solving;

23. The three year program is broken down into annual programs;
24. Performance indicators are listed as a basis for monitoring;
25. Each program includes detailed specification;
26. An annual schedule is prepared for each program;
27. A budget is prepared for each program;
28. The source for the budget of each of the program has been identified;
29. The annual budget (RAPBS) has been prepared;
30. The budget and its format is in accordance with district regulations;
31. The community (school committee, principal, and teacher) is active in preparing the plan;
32. The plan has been approved by the teachers, school committee, and principal.

Appendix 2: Community Contribution to School Development by district (rupiah)

Province	District	School Year					Grand Total
		2004/2005	2005/2006	2006/2007	2007/2008	2008/2009	
Aceh	Aceh Besar	-	-	10,743,000.00	355,000.00	24,115,600.00	35,213,600.00
	Kota Banda Aceh	-	-	276,375,000.00	8,150,000.00	54,750,000.00	339,275,000.00
	Aceh Tengah	0	0	0.00	0.00	28,050,000.00	28,050,000.00
	Pidie	0	0	0.00	0.00	2,350,000.00	2,350,000.00
Sub-Total		-	-	287,118,000.00	8,505,000.00	109,265,600.00	404,888,600.00
North Sumatra	Dairi	-	-	-	1,288,000.00	1,750,000.00	3,038,000.00
	Deli Serdang	-	42,745,000.00	184,151,000.00	74,958,600.00	30,296,000.00	332,150,600.00
	Kota Binjai	-	27,800,000.00	22,735,000.00	28,985,000.00	8,793,500.00	88,313,500.00
	Sibolga	834,000.00	17,609,000.00	17,023,500.00	53,200,000.00	0.00	88,666,500.00
	Tanjung Balai	-	-	1,845,000.00	4,971,000.00	1,140,000.00	7,956,000.00
	Tapanuli Selatan	-	-	-	18,803,500.00	80,560,000.00	99,363,500.00
	Taput	-	25,658,000.00	182,153,000.00	169,444,000.00	328,915,000.00	706,170,000.00
	Tebing Tinggi	-	156,800,000.00	15,734,000.00	16,180,000.00	12,100,000.00	200,814,000.00
Sub-Total		834,000.00	270,612,000.00	423,641,500.00	367,830,100.00	463,554,500.00	1,526,472,100.00
West Java - Banten	Bogor	100,030,000.00	186,765,000.00	171,670,000.00	173,516,925.00	0.00	631,981,925.00
	Cilegon	20,182,500.00	49,292,500.00	133,854,700.00	780,535,500.00	295,080,000.00	1,278,945,200.00
	Garut	45,504,000.00	17,933,000.00	161,302,500.00	166,205,000.00	0.00	390,944,500.00
	Indramayu	-	383,542,000.00	353,276,000.00	689,487,000.00	873,016,500.00	2,299,321,500.00
	Karawang	67,768,500.00	178,305,000.00	620,768,500.00	279,103,000.00	102,650,000.00	1,248,595,000.00
	Kota Tangerang	79,614,000.00	493,685,000.00	1,109,411,500.00	1,134,443,000.00	131,200,000.00	2,948,353,500.00
	Lebak	13,135,000.00	1,525,000.00	29,286,000.00	6,395,000.00	106,700,000.00	157,041,000.00
	Subang	2,125,000.00	-	1,620,000.00	32,795,000.00	294,618,401.00	331,158,401.00
	Sukabumi	-	134,803,000.00	177,485,000.00	79,621,000.00	41,500,000.00	433,409,000.00
Sub-Total		328,359,000.00	1,445,850,500.00	2,758,674,200.00	3,342,101,425.00	1,844,764,901.00	9,719,750,026.00
Central Java	Blora	-	300,000.00	-	9,580,000.00	117,995,000.00	127,875,000.00

Province	District	School Year					Grand Total
		2004/2005	2005/2006	2006/2007	2007/2008	2008/2009	
	Boyolali	32,530,000.00	111,564,583.00	245,492,375.00	118,036,250.00	169,008,000.00	676,631,208.00
	Demak		-	9,810,000.00	76,843,500.00	234,590,000.00	321,243,500.00
	Grobogan	-	-	14,640,000.00	45,185,000.00	19,455,000.00	79,280,000.00
	Jepara	-	91,679,000.00	126,865,500.00	129,157,000.00	116,124,200.00	463,825,700.00
	Karanganyar	-	10,080,000.00	163,517,500.00	336,855,000.00	395,089,000.00	905,541,500.00
	Klaten	-	19,170,000.00	128,383,500.00	77,139,000.00	186,278,200.00	410,970,700.00
	Kudus	12,378,000.00	531,705,250.00	169,389,700.00	201,215,500.00	191,050,000.00	1,105,738,450.00
	Purworejo		-	11,830,000.00	40,863,000.00	116,804,000.00	169,497,000.00
Sub-Total		44,908,000.00	764,498,833.00	869,928,575.00	1,034,874,250.00	1,546,393,400.00	4,260,603,058.00
East Java	Bangkalan	-	49,200,000.00	775,830,000.00	677,440,000.00	1,267,700,175.00	2,770,170,175.00
	Bojonegoro	-	-	340,000.00	16,595,000.00	161,602,400.00	178,537,400.00
	Kota Mojokerto	-	2,287,500.00	89,288,340.00	61,147,600.00	0.00	152,723,440.00
	Kota Surabaya	12,777,500.00	187,709,500.00	215,641,500.00	87,907,000.00	35,400,000.00	539,435,500.00
	Nganjuk		900,000.00	14,855,000.00	59,110,000.00	39,356,200.00	114,221,200.00
	Pasuruan	-	150,000.00	2,350,000.00	84,450,925.00	56,265,000.00	143,215,925.00
	Sampang	-	300,000.00	14,225,000.00	14,208,000.00	29,145,000.00	57,878,000.00
	Sidoarjo	124,000.00	99,374,000.00	586,876,500.00	312,426,500.00	1,735,016,000.00	2,733,817,000.00
	Tuban	27,477,000.00	269,029,000.00	244,608,600.00	55,279,000.00	526,538,500.00	1,122,932,100.00
Sub-Total		40,378,500.00	608,950,000.00	1,944,014,940.00	1,368,564,025.00	3,851,023,275.00	7,812,930,740.00
South Sulawesi	Enrekang	6,950,000.00	37,600,000.00	90,921,000.00	74,391,000.00	26,500,000.00	236,362,000.00
	Jeneponto	120,000.00	1,090,000.00	1,039,000.00	187,500.00	0.00	2,436,500.00
	Kota Makassar	-	1,750,000.00	48,260,000.00	589,767,000.00	56,890,000.00	696,667,000.00
	Kota Palopo	2,500,000.00	68,820,000.00	49,500,000.00	83,200,000.00	61,000,000.00	265,020,000.00
	Luwu	-	420,000.00	78,540,000.00	171,702,000.00	0.00	250,662,000.00
	Pangkep	4,000,000.00	81,870,000.00	73,600,000.00	2,700,000.00	22,750,000.00	184,920,000.00
	Pinrang	-	400,000.00	3,492,500.00	22,785,000.00	19,390,000.00	46,067,500.00
	Sidrap	9,775,000.00	807,000.00	1,725,000.00	11,695,000.00	8,125,000.00	32,127,000.00
	Soppeng	20,890,000.00	20,719,500.00	47,525,000.00	11,604,000.00	45,400,000.00	146,138,500.00
Sub-Total		44,235,000.00	213,476,500.00	394,602,500.00	968,031,500.00	240,055,000.00	1,860,400,500.00
Grand Total		458,714,500.00	3,303,387,833.00	6,677,979,715.00	7,089,906,300.00	8,055,056,676.00	25,585,045,024.00

Appendix 3: Dissemination Data

Table A3: Summary of School Level Dissemination Programs to end of September 2009

Province	Number of District	Founding Sources and Number of Schools															
		District budgets (APBD)								Other funds (BOS, non-government foundations, MORA etc)							
		Rp				Number of Schools				Rp				Number of Schools			
		DBE1	DBE2	DBE3	Total	SD/MI	SMP/MTs	SMA/MA	Total	DBE1	DBE2	DBE3	Total	SD/MI	SMP/MTs	SMA/MA	Total
2006																	
East Java	2			0	51			51				0	6			6	
South Sulawesi	1	129,000,000			129,000,000	12		12				0				0	
Total 2006	3	129,000,000	0	0	129,000,000	63	0	0	63	0	0	0	0	6	0	0	6
2007																	
Aceh				0				0				0				0	
North Sumatra	4	487,000,000	40,000,000	0	527,000,000	58		58	3,000,000	0	13,500,000	16,500,000	30			30	
Banten	3				0	40		40	17,500,000	0	0	17,500,000	5			5	
West Java	3	150,000,000	0	0	150,000,000	93		93	22,500,000	0	0	22,500,000	24			24	
Central Java	6	500,000,000	80,000,000	0	580,000,000	383		383	100,000,000	0	0	100,000,000	758			758	
East Java	2	436,000,000	0	0	436,000,000	16		16	24,000,000	0	0	24,000,000	61			61	
South Sulawesi	2	164,000,000	0	0	164,000,000	49	7	56				0				0	
Total 2007	20	1,737,000,000	120,000,000	0	1,857,000,000	639	7	646	167,000,000	0	13,500,000	180,500,000	878	0	0	878	
2008																	
Aceh	1	50,000,000	0	0	50,000,000	19		19				0				0	
North Sumatra	4	328,786,000	304,945,000	115,000,000	748,731,000	21	13	34	8,200,000	16,000,000	9,000,000	33,200,000	7			7	
Banten	1	180,000,000	0	0	180,000,000			0				0	30			30	

Province	Founding Sources and Number of Schools																
	Number of District	District budgets (APBD)								Other funds (BOS, non-government foundations, MORA etc)							
		Rp				Number of Schools				Rp				Number of Schools			
		DBE1	DBE2	DBE3	Total	SD/MI	SM P/MTS	SMA/MA	Total	DBE1	DBE2	DBE3	Total	SD/MI	SMP/MTs	SMA/MA	Total
West Java	5	409,470,000	0	0	409,470,000	55	30		85				0	118			118
Central Java	5	1,293,000,000	420,800,000	0	1,713,800,000	212			213				0	203			203
East Java	3	633,000,000	0	0	633,000,000	156	15	8	179	185,000,000	0	0	185,000,000	9	4	1	14
South Sulawesi	6	853,180,000	0	0	853,180,000	250	15		265	75,650,000	0	0	75,650,000	15			15
Total Nasional 2008	25	3,747,436,000	725,745,000	115,000,000	4,588,181,000	713	73	8	795	268,850,000	16,000,000	9,000,000	293,850,000	382	4	1	387
2009																	
Aceh	1				0				0	130,000,000	0	0	130,000,000	25			25
North Sumatra	3	271,672,000	52,000,000	100,000,000	423,672,000	35			35	3,900,000	25,600,000	100,622,000	130,122,000	26			26
Banten	8	620,000,000			620,000,000		543		543	16,800,000			16,800,000	24			24
West Java	2				0	31			31				0	104			104
Central Java	6	166,260,000	0	0	166,260,000	206	25		231	143,090,000	0	0	143,090,000	683			683
East Java	7	714,000,000	0	0	714,000,000	1,788	269	55	2,112	1,074,900,000	0	0	1,074,900,000	1,553	167	9	1,729
South Sulawesi	4	1,040,491,480	0	0	1,040,491,480	85			85	107,350,000	0	0	107,350,000	39			39
Total 2009	31	2,812,423,480	52,000,000	100,000,000	2,964,423,480	2,145	837	55	3,037	1,476,040,000	25,600,000	100,622,000	1,602,262,000	2,454	167	9	2,630
Grand Total	43	8,425,859,480	897,745,000	215,000,000	9,538,604,480	3,498	917	63	4,479	1,911,890,000	41,600,000	123,122,000	2,076,612,000	3,720	171	10	3,901

Appendix 4: Target Districts

Table 1.1: Districts Phase 1 and 2 Project Schools (SD and MI)

COHORT 1		COHORT 2	
Districts	Elementary Schools	Districts	Elementary Schools
1. Kab. Lebak	20		
2. Kota. Cilegon	15		
3. Kota Tangerang	15		
BANTEN	50		
4. Kab. Indramayu	21	1. Kota Bogor	20
5. Kab. Karawang	19	2. Kabupaten Subang	22
6. Kab. Sukabumi	20	3. Kabupaten Garut	18
		Kabupaten Karawang*	21
		Kabupaten Indramayu*	18
WEST JAVA	60	WEST JAVA	99
7. Kab. Karanganyar	18	4. Kabupaten Blora	18
8. Kab. Boyolali	26	5. Kabupaten Demak	21
9. Kab. Jepara	18	6. Kabupaten Grobogan	19
10. Kab. Kudus	24	7. Kabupaten Purworejo	20
11. Kab. Klaten	19	Kabupaten Klaten*	19
CENTRAL JAVA	105	CENTRAL JAVA	97
12. Kota Surabaya	13	8. Kabupaten Pasuruan	21
13. Kota Mojokerto	16	9. Kabupaten Nganjuk	20
14. Kab. Tuban	19	10. Kabupaten Bojonegoro	20
15. Kab. Sidoarjo	18	11. Kabupaten Sampang	23
16. Kab. Bangkalan	16	Kabupaten Tuban*	14
EAST JAVA	82	EAST JAVA	98
17. Kota Palopo	23	12. Kabupaten Pinrang	20
18. Kab. Soppeng	15	13. Kabupaten Luwu	16
19. Kab. Pangkep	14	14. Kabupaten Sidrap	20
20. Kab. Jeneponto	14	15. Kota Makassar	15
21. Kab. Enrekang	21		
SOUTH SULAWESI	87	SOUTH SULAWESI	74
22. Kota Sibolga	20	16. Kabupaten Tapanuli Selatan	18
23. Kab. Tapanuli Utara	20	17. Kota Tanjung Balai	19
24. Kota Binjai	20	18. Kabupaten Dairi	17
25. Kota Tebing Tinggi	20	Kabupaten Tapanuli Utara*	20
26. Kab. Deli Serdang	20		
NORTH SUMATRA	100	NORTH SUMATRA	74
27. Kota Banda Aceh	19	19. Aceh Tengah	40
28. Kabupaten Aceh Besar	16	20. Bireuen	37
(NAD)	35	21. Pidie	12
29. Jakarta Pusat	7	Aceh Besar*	19
DKI Jakarta	7	(NAD)	108
Total DBE Cohort 1 schools (SD/MI)	526	Total DBE Cohort 2 schools (SD/MI)	550
Total Cohort 1 districts	29	Total Cohort 2 districts (excluding district expansion)	21

*Expansion within district

Appendix 5: Abbreviations, Acronyms and Glossary

Abbreviations & Acronyms

ADD	<i>Alokasi Dana Desa</i> [Village Budget Allocation]
APBD	<i>Anggaran Pendapatan dan Belanja Daerah</i> [District Government Annual Budget]
APBN	<i>Anggaran Pendapatan dan Belanja Negara</i> [National Government Annual Budget]
AusAID	Australian Agency for International Development
Balitbang	<i>Badan Penelitian dan Pengembangan</i> [Research and Development Body]
Bappeda	<i>Perencanaan Pembangunan Daerah</i> [Regional Development Planning Agency]
Bappenas	<i>Perencanaan Pembangunan Nasional</i> [National Development Planning Agency]
BIA	<i>BOS (Bantuan Operasional Sekolah)</i> Impact Analysis
BOP	<i>Bantuan Operasional Pendidikan</i> [Education Operational Grants]
BOS	<i>Bantuan Operasional Sekolah</i> [school grants]
BOSP	<i>Biaya Operasional Satuan Pendidikan</i> [School Unit Cost]
BP	British Petroleum
BRR	Bureau for Reconstruction and Rehabilitation (Aceh and Nias)
BSNP	<i>Badan Standar Nasional Pendidikan</i> [National Education Standard Board]
CA	Capacity Assessment
CLCC	Creating Learning Communities for Children
COP	Chief of Party
CSO	Civil Society Organization
DAU	<i>Dana Alokasi Umum</i> [general budget allocation from central government to local governments]
DBE	USAID Decentralized Basic Education Project
DBE1	Decentralized Basic Education Project Management and Governance
DBE2	Decentralized Basic Education Project Teaching and Learning
DBE3	Decentralized Basic Education Project Improving Work and Life Skills
DEFA	District Education Finance Analysis
DPISS	District Planning Information Support System
DPRD	<i>Dewan Perwakilan Rakyat Daerah</i> [district parliament]
DSC	District Steering Committee
DTT	District Technical Team
EMIS	Education Management Information Systems
ESP	Environmental Services Program [USAID project]
GDA	Global Development Alliance
GDP	Gross Domestic Product
GGSP	Good Governance Sektor Pendidikan (Good Governance in The Education Sector)
GOI	Government of Indonesia

IAPBE	Indonesia-Australia Partnership in Basic Education [AusAID project]
ICT	Information and Communication Technology
ILO	International Labor Organization
Jardiknas	Jaringan pendidikan nasional – national education network
KADIN	Indonesian Chamber of Commerce
Kandepag	<i>Kantor Departemen Agama</i> [District Religious Affairs Office]
KKG	<i>Kelompok Kerja Guru</i> [teachers' working group]
KKRKS	<i>Kelompok Kerja RKS</i> [school RKS team]
KTSP	Kurikulum Tingkat Satuan Pendidikan [School Unit Curriculum]
LG	Local government
LGSP	Local Governance Support Program [USAID project]
LOE	Level of Effort
LPMP	<i>Lembaga Penjamin Mutu Pendidikan</i> [Education Quality Assurance Body]
M&E	Monitoring and Evaluation
MAPENDA	<i>Madrasah dan Pendidikan Agama</i> [Religious and Madrasah Education]
MBE	Managing Basic Education [USAID project]
MBS	<i>Manajemen Berbasis Sekolah</i> (SBM=School Based Management)
MCA	Millennium Challenge Account
MGMP	<i>Musyawah Guru Mata Pelajaran</i> [Subject-based Teachers Association]
MI	<i>Madrasah Ibtidaiyah</i> [Islamic primary school]
MIS	<i>Madrasah Ibtidaiyah Swasta</i> [private madrasah; MIN State Madrasah]
MOU	Memoranda of Understanding
MSS	Minimum Service Standards
MTs	<i>Madrasah Tsanawiyah</i> [Islamic junior secondary school]
Musrenbangdes	Musyawah Perencanaan Pembangunan Desa [Village Development Planning Forum]
NGO	Non Governmental Organization
P4TK	<i>Pusat Pengembangan dan Pemberdayaan Pendidik dan Tenaga Kependidikan</i> [Center for Educators and Education-Related Personnel Capacity Building]
PAG	Provincial Advisory Group
PAKEM	<i>Pembelajaran Aktif, Kreatif, Efektif, dan Menyenangkan</i> [AJEL: Active, Creative, Joyful, and Effective Learning]
PADATIWEB	<i>Pangkalan Data dan Informasi berbasis WEB</i> . MONE database system
PCR	Politeknik Caltex Riau, Pekanbaru
PDIP	<i>Pusat Data dan Informasi Pendidikan</i> [Education Data and Information Center]
PDMS	Project Data Management System
Permendiknas	<i>Peraturan Menteri Pendidikan Nasional</i> [Minister of National Education Regulation]
PKBM	<i>Pusat Kegiatan Belajar Mengajar</i> [Teaching and Learning Center]
PMP	Performance Monitoring Plan

PMTK	<i>Peningkatan Mutu dan Tenaga Kependidikan [Quality Improvement of Education and Education Staff]</i>
PPA	Public-private alliances
Ranperda	<i>Rancangan Peraturan Daerah [Draft of District Regulations]</i>
RAPBS	<i>Rencana Anggaran, Pendapatan, dan Belanja Sekolah [School Budget Plan]</i>
Rembuk Nasional	National meeting
RKAS	<i>Rencana Kegiatan dan Anggaran Sekolah [School Activities and Budget Plan]</i>
RKS	<i>Rencana Kerja Sekolah [School Work Plan]</i>
RKT	<i>Rencana Kerja Tahunan [Annual Work Plan]</i>
RKTL	<i>Rencana Kerja Tindak Lanjut [Future Action Plan]</i>
RPJMD	<i>Rencana Pengembangan Jangka Menengah Daerah [District Mid-Term Development Plan]</i>
RPK	<i>Rencana Pengembangan Kapasitas [Capacity Development Plan]</i>
RPPK	<i>Rencana Pengembangan Pendidikan Kabupaten/Kota [District Education Development Plan]</i>
RPS	<i>Rencana Pengembangan Sekolah [School Development Plan]</i>
RTI	RTI International
SBM	School-based management (see MBS)
SD	<i>Sekolah Dasar [primary school]</i>
SIMNUPTK	Sistem Informasi Manajemen - Nomor Unik Pendidik dan Tenaga Kependidikan (Management Information System of Unique Number of Educator and Education Staff)
SIPPK	<i>Sistem Informasi Perencanaan Pendidikan Kabupaten/Kota [District Planning Information Support System]</i>
SMP	<i>Sekolah Menengah Pertama [junior secondary school]</i>
SNP	<i>Standar Nasional Pendidikan [National Standards for Education]</i>
SOAG	Strategic Objective Agreement [USAID and <i>Menko Kesra</i>]
SOTK	<i>Struktur Organisasi dan Tata Kerja [Organizational and Work Structure]</i>
SPM	<i>Standard Pelayanan Minimum [Minimum Service Standard]</i>
STTA	Short-Term Technical Assistance
SUCA	School Unit Cost Analysis
TraiNet	TraiNet Administrator & Training [USAID reporting system]
UPTD	<i>Unit Pelaksana Teknis Dinas [Technical Implementation Unit]</i>
USAID	United States Agency for International Development
WIB	<i>Waktu Indonesia Barat [Western Indonesian Standard Time]</i>

Glossary

<i>Badan Kepegawaian Daerah</i>	District Personnel Board
<i>Bupati</i>	Head of a district
<i>Departemen Agama</i>	Ministry of Religious Affairs
<i>Departemen Keuangan</i>	Department of Finance
<i>Departemen Pendidikan Nasional</i>	Ministry of National Education
<i>Dewan Perwakilan Rakyat Daerah</i>	District Parliament (DPRD)
<i>Dinas</i>	Provincial, district, or city office with sectoral responsibility
<i>Dinas Pendidikan dan Kebudayaan (Dinas P&K)</i>	Provincial or district educational office
<i>Gugus</i>	School cluster
<i>Kabupaten</i>	District (administrative unit), also referred to as a regency
<i>Kanwil Agama</i>	Provincial Religious Affairs Office
<i>Kecamatan</i>	Sub-district
<i>Kepala Dinas Pendidikan</i>	Head of provincial or district education office
<i>Kepala Sekolah</i>	School principal
<i>Komisi</i>	Committee in national or local legislatures
<i>Komite sekolah</i>	School committee
<i>Kota</i>	City (administrative unit)
<i>Madrasah Ibtidaiyah</i>	Islamic primary school (MI; MIS <i>Swasta</i> ; MIN <i>Negeri</i>)
<i>Madrasah Tsanawiyah</i>	Islamic junior secondary school (MT)
<i>Madrasah Pendidikan dan Agama</i>	Department of Religious Affairs directorate for Islamic religious schools (<i>Mapenda</i>)
<i>Menko Kesra</i>	Coordinating Ministry for People's Welfare
<i>Pengawas</i>	School inspector
<i>Renstra Satuan Kerja Perangkat Daerah (Renstra SKPD)</i>	Strategic Plan for local government work unit (e.g. District Education Development Plan)
<i>Sekolah Dasar</i>	primary school (SD)
<i>Sekolah Menengah Pertama</i>	junior secondary school (SMP)
<i>Surat Keputusan</i>	Decree/defining conditions, outcomes of a decision
<i>Wali Kota</i>	Mayor
<i>Widyaiswara</i>	Trainer