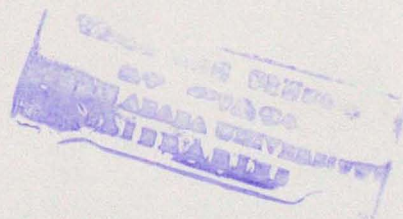


THE IMPLICATIONS OF DECENTRALIZATION FOR  
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CENTRALIZED TO A FEDERAL STATE: THE CASE OF ETHIOPIA

UNIVERSITY OF PITTSBURGH

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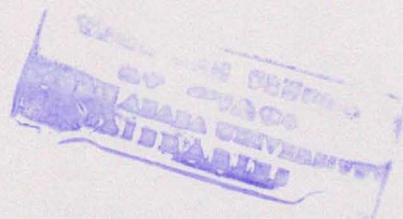
BY

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by

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Submitted to

the Graduate Faculty of the School of Education

in partial fulfillment of the requirements for the degree of

Doctor of Philosophy

University of Pittsburgh

1999

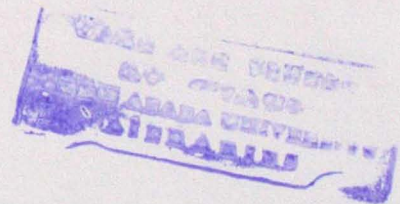
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THE IMPLICATIONS OF DECENTRALIZATION  
FOR EDUCATIONAL PLANNING IN A TRANSITION  
FROM A CENTRALIZED TO A FEDERAL STATE: THE CASE OF ETHIOPIA

Tadesse Negash, PhD  
University of Pittsburgh, 1999

Advisor: Dr. John C. Weidman *John C. Weidman*

The interest and motivation that encouraged the pursuit of this study are the results of the political and social reform initiatives which unfolded in 1991 in Ethiopia. A monarchy (late 19th century - 1974) and a military-communist government (1974-1991) had favored a single Ethiopian state by curtailing the independent development of viable national (ethnic) groups. The Ethiopian government which came in power in 1991, however, set out to undo the policies of the previous governments. The radical nature of the contemplated constitutional and policy changes generated the curiosity and motivation to follow the inevitable developments from the researcher's interest in educational planning and budgeting.

The study is set against the backdrop of expectations indicated by the literature review on decentralization and educational planning processes. The literature review divulges theoretical information as well as country and professional experiences that assist in understanding the representative paths and outcomes induced by decentralization policies. Based on the information from the literature

review, the research framework depicts educational planning data flow and organizational points of plan output in both the centralized and decentralized educational systems. The research question for this study states: "What are the pattern of changes in the roles and functions of the planning and budgeting units of the Ethiopian educational system as it shifts from a centralized to a decentralized environment?"

The research is fundamentally a case study guided by the research framework and conducted with data collected through document review and interviews of key actors in the Ministry of Education and in four of the newly organized Ethiopian regions. The study findings show that educational authorities at the regional, sub-regional and district levels have assumed the management and academic responsibilities for teacher training, secondary education and primary schooling, respectively. Opportunities for performing independent educational planning and budgeting activities at these levels are provided. The right to use local resources for local development is condoned. Stakeholder participation in educational management is broadened and includes regional, sub-regional, and district administrative and educational authorities. School directors, teachers, women, community members, and parents are represented in educational management at the district level. However, capacity building hampered by trained manpower shortage fails to support the progress of the decentralization process evenly among regions, especially, the historically disadvantaged regions.

## ACKNOWLEDGMENTS

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I am grateful for the family support from my nephews, Abebe Adane and Dr. Goitom Gebre-Medhin; and my children, Sesame, Selamawit and Alexander. I am also thankful for the material support and encouragement provided by Professor Robert S. Sullivan, Selena Sullivan and family; Weizero Mizan Berhe, Bisrat Birru, Mulugetta Birru and family, Tsegaye Beru and family, Guenet Beru, and Zewdu Beru; Dehab Teclu and family, Tekka Hailu and family, and Dr. Berhe Habte-Giorgis and family.

I will always remember the support from my late brother, Hiluf Negash, who passed away when I was working on the last chapters of the dissertation.

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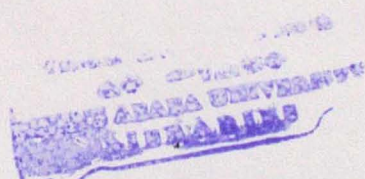
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# CHAPTER I

## INTRODUCTION AND PROBLEM STATEMENT

### A. BACKGROUND INFORMATION

The study is concerned with aspects of the current decentralization process in Ethiopia. The specific focus of the study is to assess the implications of decentralization for the process of educational planning.

Ethiopia was a centralized state from the end of the eighteenth century until 1995. Up to 1974, the country was under imperial rule by the dominant nations - the Amhara, mostly, and the Tigray, intermittently. The choice for the rest of the nations was to follow the path of the dominant groups. For the dominant nations ruling the country, unity was of utmost importance regardless of the loss of identity and cultural values for the rest of the nations. In this regard, the Military-Communist government (1974-1991) also pursued the same policy of unity which suppressed the cultural identity of the non-dominant nations.

This policy had significant implications for the centralized educational efforts of the period. For example, the educational system copied from that of the Western world was instrumental in establishing a curriculum and a universal language of instruction which became tools towards maintaining the unity of the country. However, the curriculum was noted to lack relevancy and cultural focus for the non-dominant nations. Furthermore issues of equity and access to education emerged as key concerns when more resources were expended for education in urban areas

and less in rural areas. Similarly, there were more schools for the dominant nations and less for the rest of the nations.

The Transitional Government of Ethiopia (TGE) which took power from the Military-Communist government in 1991, introduced a new constitution which was debated and approved by the Ethiopian peoples. According to the new constitution, Ethiopia is a federal government with regions organized along national borders. The federal government has decentralized most of the state responsibilities to the nations, nationalities and peoples in each region. The current developments have been of interest to the researcher who had a lifetime experience of the tribulations of the non-dominant nations and was a keen observer of the policies and practices of the dominant rulers.

## **B. THE RESEARCHER'S INTEREST**

The researcher completed primary school in Tigray and, for secondary education which was not available in Tigray at the time, proceeded to Addis Ababa - the capital city and seat of government. As a boarding student in secondary school, the researcher was immersed in an education designed along the lines of a British school and taught by an all-British staff. At the time, the students in this school marveled at the novelty of the education that was purported to create a modern man and never questioned the relevancy of the curriculum. The boarding secondary school was a host to students coming from the Amhara, Oromo, Tigray, Eritrea and Wolaita. Another boarding school in the same vicinity also hosted students from the

Amhara, Oromo, Tigray, and Somali nations as well as other peoples from the southern part of Ethiopia. As an amalgam of nations, these schools were expected to forge a unity among the students with differing cultures by adopting that of the mainstream Amharas. It, therefore, seemed patriotic to dispose of one's own language and speak in Amharic (the Amhara language) and for most from the south, it equally seemed patriotic that they should Amharize their names and adopt the Orthodox Church beliefs of the Amharas and Tigrays as their religion. This process of assimilation was, however, interjected by serious fights among the students along national (ethnic) lines which occurred at the end of football (soccer) games held within one of the schools or between the two schools.

After graduating from secondary school and gaining experiences gained through working in the school system, joining the army and then going back to school to complete higher education, the researcher was always a witness to the tension between nations despite the on-going effort of assimilation. The Amharas as the dominant political group permitted its elite to look down upon those from the other nations. The common cultural heritage between the Tigray and Amhara nations did not preclude the latter from forcing its dominance upon the former which became a source of major tensions in every walk of life. It was the same with the relationship between the Eritrean highlander and the Amhara nation, especially the Amhara ruling class. Such tension was equally worse when it came to relationships between the ruling Amhara class, in particular, and the Amhara nation, in general, on one side and the peripheral nations such as the Oromos, Southern Peoples, and

lowlanders in Eastern and Western Ethiopia on the other side. Among the elites, the tension resulted from opportunities that favored the members of the ruling class and the Amhara nation while denying those who deserved these opportunities but were from the other nations. The researcher has personally experienced such denials of well-deserved career and scholastic opportunities which were issued in favor of non-deserving individuals from the Amhara nation. In the socio-economic landscape, the distribution of schools, hospitals, roads and economic activities favored the mainstream Amhara nation. It was evident that the assimilation process was stifling the cultural identity of the non-mainstream nations of Ethiopia while the upperhand of the Amhara ruling class prevented a fair access to opportunities and resources both at the individual and social levels. Despite the researcher's early faith in a unified Ethiopia with a strong central government, the lack of equity and equality among nations became a personal concern that triggered major doubts about the viability of Ethiopia composed of the ruling class and its assimilated nations. The establishment of a federal government in Ethiopia seemed a reasonable solution to these concerns of the researcher while at the same time attracting the researcher's interest in what this option meant with regard to organizational realities and the mechanism for dispensing social equality in the realm of the educational sector.

From the professional point of view, the researcher (who has a bachelor and a masters degree in business management and has been an educator in the higher education system of Ethiopia) is attracted by the opportunity to assess the

impending changes in the area of educational planning. As a lecturer in the Department of Management and Public Administration at the Addis Ababa University in Ethiopia, the researcher taught Operations Research, Production Management and other courses which focused on planning and decision making. Furthermore, the researcher conducted a workshop on project planning annually for corporate staff sponsored by the Ethiopian Airlines as well as project planning and production planning for industrial personnel sponsored by the Ministry of Industry in Ethiopia. Additionally, the researcher was employed as the in-house consultant for the Commission for Higher Education in Ethiopia in matters involving the organization of the Commission with respect to the organizational and functional relationships with higher education organizations, especially, junior colleges. As a result, the researcher successfully designed an organizational structure and a budgeting system for junior colleges. The researcher's choice of the current dissertation study is an extension of this interest in education and the professional base which have always been bridged by planning and organizing efforts.

### **C. PROBLEM STATEMENT**

The study is influenced by current developments in Ethiopia that have led to a decentralized educational system. These developments are expected to change prevailing aspects of educational administration in Ethiopia. Nonetheless, the study will have a specific focus.

The investigation will evaluate aspects of the centralized educational

planning process prevalent before and after passage of the current Ethiopian constitution in 1995 and analyze the differences. In the context of this study, the review of changes in the educational planning process will focus upon the activities of the planning and budgeting units at the federal, regional and school levels. In the case of the planning unit, its activities and their purpose in fulfilling the needs of policy and decision makers, and programs and projects in both the centralized and decentralized environments will be an important aspect of the study focus. Similarly, the budgeting process and its support for programmed and administrative activities in the two environments will be compared in search of significant changes. The findings are expected to show the impact of decentralization on the traditionally centralized planning process in Ethiopia as influenced by historical and current developments in the country.

## **1. Current Developments**

The new Ethiopian constitution of 1995 provides for the establishment of regional administrations organized under national or ethnic boundaries. Some regions consist of homogenous nations while others are composed of multiple nationalities. The current system allows regional authorities to undertake unencumbered decentralized responsibilities. As a result, the administration of education has dramatically shifted away from a traditionally centralized and highly controlled educational system which catered for the interests of the central government. Such interests included the unity of the country at the expense of

historical, cultural, political and national identity of the various peoples that inhabited the centralized Ethiopian state. The present decentralized system of government aspires to redress the policies and practices of the previous centralized governments. The new federal arrangement - while recognizing emphatically the freedom, equality and fraternity to be shared, respected and enjoyed among the various nations of Ethiopia - attempts to provide the regional administrations, among others, with opportunity to utilize local resources and initiatives for the respective regional developments. The regional administration has full-fledged responsibility and authority on socio-economic development programs and strategies with a nominal policy control at the center. Regional authorities have the opportunity to place the development of their respective regions at the top of their agenda.

## **2. Expected Changes**

The scope and organizational aspects of the current policy are expected to induce changes in the purpose, function and role of the educational planning and budget processing units. For example, the present educational system is expected to deal with issues and concerns that are primary to the development of the respective regions and which need to be resolved at that level. Hence, educational plans should respond to the policies and support the decision making needs at the different levels of the federal system. In other words, the planning and budgeting units that were in place to support the centralized educational system are not likely to be relevant to the planning requirements of the decentralized educational system.

The planning goals, objectives and purposes will not remain the same due to the change in development strategy and priorities. These changes will further affect the authority and responsibility relationships among educational authorities at the different levels of the federal government; and, between educational leaders and staff in the new roles of the planning and budgeting units. Furthermore, the changes will precipitate organizational rearrangements which will affect the type and nature of information to be collected. Therefore, it is reasonable to speculate that the information required and the method of aggregation in the decentralized planning process will be different from that of the centralized planning process. The combined effect of all these changes will also influence the choices on educational standards, indicators, and planning approaches to be utilized at the same time bringing in different role players in the planning scene as the picture of the stakeholder composition alters. The purpose of this study is to investigate these changes within the planning and budgeting units under the current realities of the Ethiopian educational system. The focus of this study is further articulated through the research question in the following section.

#### **D. RESEARCH QUESTION**

In light of the assumed scope of the current decentralization policy, the major question to be addressed by this study is:

**What are the pattern of changes in the roles and functions of the planning and budgeting units of the Ethiopian educational system as it shifts from a centralized to a decentralized environment?**

The research question will need to be answered by raising a variety of other related questions. For example, questions about the nature, purpose, performance of the planning and budgeting units, and factors or forces that influence aspects of the related processes should be raised. These questions appear below:

*Description of The Planning Process:*

What were the procedures, activities, data flows involved in the planning and budgeting units of the centralized planning process? What are the procedures, activities, and data flows involved in the planning and budgeting units of the decentralized planning process? The responses to these questions should describe the respective planning process, its elements, and related data flow in the context of the pertinent organizational structure and at different levels of that structure.

*Purpose of the Planning Process:*

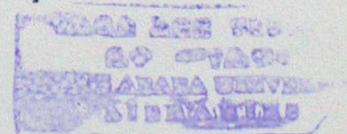
What were the goals, objectives, and assumptions which guided the functions of the planning and budgeting units of the centralized planning process? What are the goals, objectives, and assumptions which guide the functions of the planning and budgeting units in the decentralized planning process? The answers should inform on the attendant educational objective(s), in general, and the purposes of the planning and budgeting functions in providing services for the attainment of these objectives.

*Factors Influencing the Planning Process:*

What are the key forces or factors that influenced roles and functions of the planning and budgeting units during the centralized educational planning process? What are the key factors or forces that currently influence the roles and functions of the planning and budgeting units under the decentralized planning process? These enquiries will assist in developing an understanding of the reasons for changes in the planning and budgeting units in terms of social, political and economic factors indicated in policies, proclamations and other source documents.

*Stakeholders and Their Roles:*

Who were the participating stakeholders in activities of the planning and budgeting units under the centralized planning process and what were their roles? Who are the participating stakeholders in the activities of the planning and budgeting units of the decentralized planning process and what are their roles? The responses to these questions should help to identify the key entities involved in preparing educational plans, supplying data, and making important decisions that influence the preparation and use of these plans. The enquiries should also note any exclusionary policies or practices that bar stakeholders from active participation in the planning efforts. Likewise, the inclusive nature of the current policy and how it is manifested in the functions of the planning and budgeting processes should be described.



## **E. DECENTRALIZED PROCESS**

Before 1995, the centralized educational planning process in Ethiopia was conducted from the Ministry of Education in the capital city. The role of regional school administration, at that time, was to provide data requirements for central planning efforts. The centrally produced plans, in principle, were to be used for justifying school facility expansions and budgeting allocations to regions wherever substantial increase in enrollment was noted. Centralized planning, however, did not warrant equitable distribution of schools and neither did it resolve the educational issues of the various nations in the provinces.

Current developments indicate that the regional administrations which represent the interests of the peoples in their geographical boundaries will enjoy tremendous autonomy. Accordingly, there will be definite opportunities to institute educational planning processes that deal with the unique development needs and problems of the respective regions. These possibilities suggest that regions will have control over the planning and developments of their schools to support local needs and priorities. Hence, national interests and values will determine the nature of regional educational plans. In general, the planning process is expected to produce plan outputs needed by the federal, regional and local educational authorities. Data aggregation required to produce the different plans will also be performed at these levels. Stakeholders including the educational authorities at the different levels, international organizations, educational planners, schools, school directors, teachers, students, and parents may assume new roles in the

decentralized planning activities. However, the exact essence and scope of the expected changes will depend on a variety of elements reflecting the nature of the new decentralization policy, government commitment to that policy, stakeholder reaction to the new opportunities, and so forth. The current Ethiopian policy may follow any of several options and tendencies discussed in the literature review.

**CHAPTER II**  
**LITERATURE REVIEW:**  
**DECENTRALIZATION AND EDUCATIONAL PLANNING**

**A. INTRODUCTION**

The literature review is on educational decentralization and planning. The presentation of the review includes discussions of explanations of decentralization and planning, and issues and factors that influence the shift from centralization to decentralization.

**1. Literature Review Focus**

The focus of the literature review on the shift from educational centralization to decentralization attempts to identify the reasons and issues that are significant to the educational change process and the related policy environment. Selected country experiences on educational decentralization are also reviewed in order to establish the basis for comparative analysis. These reasons and issues determine the way decentralization impacts upon the educational planning process. The literature review also focuses on the shift from traditional planning to the prevailing planning approaches. The planning literature shows the inadequacies of centralized planning and elaborates arguments that advocate the need for decentralized planning processes.

The discussion of the literature review raises terms that are peculiar to

decentralization issues and processes. The relevant terms are explained in order to appreciate their usage in the discussions.

## **2. Terminology**

The pair of terms such as stakeholder and participation, power and empowerment, and efficiency and effectiveness are used in the discussions to describe inter-related situations in respect to each pair. The different meanings that each term conveys is either explained or defined below.

### **i) Stakeholder**

Welsh and McGinn's definition stakeholders presented below is relevant to the use of the term in this study:

Stakeholders are persons or groups with a common interest in a particular action and its consequences and or who are affected by it (1997, p.30)

The role of stakeholders is discussed utilizing Welsh and McGinn's terms for differentiating the state of participation. They note that there are active (kinetic) and passive (potential) stakeholders in any organization or institutions with respect to their role in decision-making or related matters. In the context of this study, stakeholders include government bodies, educational authorities, principals, teachers, students, parents, associations, the community, etc., with stakes in education.

**ii) Participation**

Participation refers to the inclusion of stakeholders in decision-making, planning and other matters related to the affairs and management of education. An opportunity for widespread participation activates the role of passive stakeholders.

**iii) Power**

Power denotes the right or authority to control resources. Iannello (1992, pp. 44-48) states that it is "... associated with the notion of controlling others" which, in an organization, is indicated by "... an administrative oversight..." to control the members. Adams, Clayton, Rakotamanana and Wang's (1997, p.6) articulation of authority and power is also taken into in order to expand the conceptual reach in using this terms. Adams, et al. contrast authority and power as follows:

Authority is based on position in relation to others, while power (also relative and variable) is based on possession of valued resources such as information, prestige, status, competence, or expertise. Power both accompanies authority and exists independently of official position ... .

**iv) Empowerment**

According to Iannello (1992, pp. 44-48), "empowerment is associated with the notion of controlling oneself." Iannello adds that in an "... organization based on empowerment, members monitor themselves."

**v) Efficiency**

Efficiency is a "... measure of the output [of a system] against the resources required to achieve that output" (Lowenthal, 1994, p. 93).

**vi) Effectiveness**

Effectiveness "... measures feedback against process goals" (Lowenthal, 1994, pp. 92-93).

**B. UNDERSTANDING DECENTRALIZATION**

According to Rondinelli, Nellis & Cheema, decentralization is defined as

"... the transfer of responsibility for planning, management and resources raising and allocation from the central government and its agencies to: (a) field units of central government, (b) subordinate units or levels of government, (c) semiautonomous public authorities or corporations, (d) areawide, regional or functional authorities, or (e) nongovernmental private or voluntary organizations" (1983, p. 13).

Bray (1984, p. 5) defines decentralization as "... the process in which subordinate levels of a hierarchy are authorized by a higher body to take decisions about the use of the organization's resources." Similarly, Bimber (1993, p. 7) emphasizes: "Decisionmaking authority is the crux of decentralization." Hence, Bimber also defines decentralization as a step "... to shift authority for the making of decisions downward from the topmost levels, or center, of a hierarchy toward the bottom, or local levels."

However, it is also noted that decentralization is difficult to define in precise

and concrete terms and to measure it even unthinkable (Bray, 1996, p. ). One must also acknowledge "... that the term is vague, and embraces a multitude of processes and structures" (Bray, 1984, p. 5). Somewhat in agreement, Lauglo (1995, p. 6) notes the difficulty in conceptualizing decentralization and considers it as a structure:

... 'decentralisation' is far more problematic than 'centralised' authority. Indeed in current usage 'decentralisation' refers to a variety of organizational forms which differ in their rationales and in their implications for the distribution of authority on different agencies, groups and stake holders.

The motives and rationales embodied in strategies such as administrative, economic, political and professional decentralizations provide further explanations that alleviate these difficulties.

## **1. Decentralization Strategies**

Decentralization strategies and their rational are additional perspectives for explaining the shift away from centralization. A decentralization policy may feature a combination of the strategies discussed below.

### **i) Administrative Decentralization**

Bimber (1993, p. 7) and Zimet (1973, p. 3) focus on the administrative and political dichotomy to explain decentralization. From an administrative point of view, it is believed that decentralization facilitates flexibility, that is, the organizational ability to adapt; and, the reduction of administrative and

communication overload (Lauglo, 1995, pp. 18-19, 21-22; Brown, 1991, pp. 40-45; Rondinelli, Nellis & Cheema, 1983, p. 9). Effectiveness is also enhanced by the enforcement of accountability for administrative actions which emerges as an important factor resulting from decentralization (Brown, p. 43; Winkler, 1993, p. 103). In the educational system, these motives are pursued by adopting approaches such as Management by Objectives (Lauglo, pp. 10-21).

## **ii) Economic Decentralization**

Decentralization also entails economic considerations. It is maintained that decentralization enhances the efficient use of resources and effective provision of services, thus, improvement of staff performance and organizational productivity (Bimber, 1993, pp. 18-19; Winkler, 1993, p. 103; Rondinelli, Nellis & Cheema, 1983, p. 9). The centralized state's regulatory interest normally maintained "... through the allocation of resources - human, material, financial" (Weiler, 1993) gives way to decentralization when related efforts become costly and the need for tapping local resources arises as an effective measure of financing (Lauglo, 1995, pp. 7-9; Winkler, 1993, p. 104; Weiler, 1993, pp. 58-59; 1989, pp. 35-37). Thus economic decentralization is identified as "... the 'efficiency' model, which is geared to enhancing the cost-effectiveness calculus of the educational system through a more efficient deployment and management of available resources" (Weiler, 1993, p. 57; 1989, p. 31). The "Market Mechanism" mode of operation is a decentralization option for the educational system (Lauglo, 1995, pp. 10-21) which

is advocated on the basis of economic rationale.

### **iii) Political Decentralization**

A decentralization strategy may be utilized to empower or control lower level constituency. It involves shift of power which weakens centralized control and "...strengthens the hand of local leaders" when local empowerment is the dominant rationale (Bimber, 1993, p. 14). Political decentralization may also occur as a result of governmental actions to legitimize authority, protect vested interests, or as a measure of conflict management and, thus, maintain centralized control (Lauglo, 1995, p. 5). In both cases, decentralization acts as a strategy for redistribution of political power "... undertaken to empower groups in society that support those policies or to weaken groups that pose obstruction to those policies" (Winkler, 1995, p. 105). Hence, the decentralization strategy is viewed as "...the 'redistribution' model (Weiler, 1993, p. 57; 1989, pp. 32-33). Lauglo (1995, pp. 10-21) identifies a) liberalism, b) federalism, c) populist localism, and d) participatory democracy as national policy options for political decentralization.

### **iv) Pedagogical Professionalism**

In the educational system, Weiler (1993, p. 57; 1989, pp.32, 36-37) specifies "...the 'cultures of learning' model, which emphasizes the decentralization of educational content." This model implicitly assumes that teachers have the technical competency for curriculum and professional matters, therefore, they

should be given the related responsibilities. This rationale favors decentralizing pedagogically related decisions. Lauglo (1995, pp. 10-21) distinguishes the related decentralization approach as pedagogical professionalism.

## **2. Decentralization Forms**

The scope of decentralization is specified by a variety of forms articulated by Rondinelli, Nellis & Cheema (1983, pp. 14-32) as *devolution*, *deconcentration*, *delegation* and *privatization*. Rondinelli, Nellis & Cheema's illustrations and elaborations by Fiske (1994) suggest that devolution is, most probably, the far-reaching type of decentralization at one end of a continuum with delegation and privatization in the middle and deconcentration, the weakest form according to Fiske, at the other end.

### **i) Devolution**

Devolution establishes lower levels or local units of government which are autonomous and independent from, but financially and legally strengthened by, the central government. The lower units undertake activities with nominal control from the central government in the context of "... clear and legally recognized geographical boundaries within which they exercise an exclusive authority to perform explicitly granted or reserved functions" Rondinelli, Nellis & Cheema (1983, pp. 24-27). Furthermore, these lower level units possess legal authority to raise revenues and make expenditures and to function as legitimate and credible

organizations enjoying the recognition and support from their constituency. In the school context, the provision for the site-based management aspect of charter schools in the United States is one such application pertinent to this approach.

## **ii) Deconcentration**

Deconcentration is another form of decentralization which, according to Rondinelli, Nellis & Cheema (1983, pp. 14-19), has been applied since the early 1970s and through the 1980s. The approaches followed include encouraging deconcentration through financial grants provided by the central government to the administrative units at the pertinent level of decentralization; and, establishing coordinating units, incentive systems, or contractual arrangements to deconcentrate operations to lower levels, and so forth. Fiske (1994, p. 10) considers this as the weakest form of decentralization since management responsibilities only are shifted from the center to lower levels and control remains squarely at the center. This approach is often represented by zonal school administration.

## **iii) Delegation**

Delegation - a principle prevalent in the theories of management and administration - allows a higher level of administration to entrust the operation of certain functions or services to lower units without surrendering the related responsibility. The studies by Rondinelli, Nellis & Cheema (1983, pp. 19-24) note the creation of public corporations, authorities, commissions, councils, other

varieties of parastatal organizations, state and private joint ventures, etc. among the variety of options which constitute the delegated entities in this form of decentralization. Delegation is deemed to be "... a more extensive approach to decentralization under which central authorities lend authority to lower levels of government, or even to semi-autonomous organizations ... with the understanding that delegated authority can be withdrawn" (Fiske, 1994, p. 10). With regard to educational systems, most regional offices in the Third World; and, certain aspects of site-based management in the United States are examples of delegated decentralization.

#### **iv) Privatization**

The privatization options in the Rondinelli, Nellis & Cheema studies (1983, pp. 28-32) were utilized by governments to transfer responsibilities for certain functions to voluntary organizations, private enterprises, "... 'parallel organizations' such as national industrial and trade associations, professional groups, religious organizations, political parties or cooperatives," and other "interest groups. The functions decentralized through privatization included, among others, licensing, regulating, compliance supervision, producing goods, providing services, etc., allowing the government to put these functions in the hands of organizations that were more committed to, or competent in handling, these responsibilities. Candidates for privatization included functions that involved much bureaucratization when in the hands of the government or were too sensitive for the government to

handle. Privatization and contracting are also indicated in the decentralization policies of China and in the case of charter schools in the United states (Carlson, 1996, pp. 223-229; Mok, 1996, pp. 23-27; Whitaker and Moses, 1994, pp. 81, 171).

### **3. Decentralization Model Interfaces**

Popular modes of decentralization can be located within the interface between strategies and forms of decentralization (Table 1). The researcher has developed this tabular arrangement so that a given decentralization policy or practice can be described from two angles. For example, the establishment of Zonal School Administration (in pre-1991 Ethiopia) was an administrative strategy that deconcentrated administrative responsibilities.

Table 1

Strategies, Forms and Modes of Decentralization

STRATEGIES	FORMS			
	DECONCENTRATION	DELEGATION	PRIVATIZATION	DEVOLUTION
ADMINISTRATIVE	- Zonal School Administration	- Regional Schools  - Management by Objectives	- Private schools (church schools)	- Site-based management - Charter schools
ECONOMIC			- "market mechanism"  - "efficiency" model  - Corporate manpower development or training centers	- Charter schools "
POLITICAL	- "federalism" e.g. USA	- "cultures of learning" model	- populism	- "federalism"
PEDAGOGICAL		- "cultures of learning" model		

**C. EDUCATIONAL DECENTRALIZATION - COUNTRY EXPERIENCES**

Decentralization experiences vary from country to country and from state to state - as the case of the United States shows - (Winkler, 1993, p. 102). Hence, such differences provide the background for effective comparative analysis of, for example, the findings of this study. For this purpose, educational reforms in developing nations, the United States, the former Soviet Union and today's Russia,

and the People's Republic of China (PRC: China) have been selected for discussing experiences in educational decentralization as deemed pertinent to the study.

### **1. Developing Nations' Strategies**

Educational decentralization in developing countries often emerges as a strategy for political expediencies despite governmental declarations to the contrary. As a result, decentralization tends to lack strong government commitment and popular backing in its applications in the educational system.

At first glance, decentralization policies in developing countries appear to be mainly administrative. The professed educational goals, in part, include relaxing the inefficient and ineffective centralized system in Argentina, Chile, Colombia, and Mexico; alleviating low educational quality in Brazil; improving educational access in India; endorsing popular participation in educational governance in Zimbabwe; and eliminating inefficiency and corruption in Venezuela (Fiske, 1994 pp. 11-13; Hanson, 1989, p. 43).

The underlying and fundamental motives in most of the cases, however, are explained to be the political intentions of the decentralization plans. For example, Argentina and Mexico attempted to weaken the powers of teachers' unions, and in several instances decentralization became a strategy for strengthening the legitimacy of central authority. Illustrations of the latter include, among others, the decentralization cases of India and Colombia (Fiske, pp. 1-4, 21-22; Hanson, p. 46). These political motives have influenced the purpose and processes of

decentralization which have further affected the consequences.

As an aspect of politics in decentralization, problems of *consensus* are expressed as contestation and resistance. Lack of consensus among stakeholders has been crucial in stalling educational decentralization efforts. Argentina's early decentralization efforts were resisted by regions which were not consulted about the accompanying financial burden and contested, in Mexico, between the government and teachers who did not participate in discussions regarding their welfare (Fiske, 1994, pp. 17-21). Argentina's educational decentralization in 1975 and Mexico's from 1978-1982 were strongly resisted by teachers' unions (Fiske, pp. 21, 17-18, 22-23; Tracy, 1997, pp. 153-154).

Furthermore, teachers were alienated as a result of decentralization motives which blamed them for "... furthering intellectualism and memorization ..." in Peru (Stromquist, 1986, pp. 50-57) and openly attacked them as the enemies of the people in Argentina (Fiske, 1994, pp. 19-21). Chile's decentralization in the 1970s weakened teachers although the new plans in 1993 reversed earlier losses of teachers' civil service and tenure statuses (Fiske, pp. 1-4). In all cases, it took several years to implement successful decentralization based on bargaining and consensus which resulted in contractual agreements to maintain the interests of involved stakeholders.

## **2. United States' Experiences**

In the case of the United States in the 1970s, one observes educational

decentralization in urban areas such as New York, Chicago, and Washington, D.C. emerging as an administrative measure and eventually shifting into a political environment. For example, Lewis (1993, pp. 84-90) notes the role of deinstitutionalization as the fundamental demand of educational reformers who saw the educational system as an institution which failed to provide the expected services to its clients. He also points out that the related critiques opposed institutionalized and bureaucratic service delivery and advanced "... a new service ideology, which emphasizes community programs and client choice." The administrative decentralization that was thus favored resulted in the 1970s in a few districts adopting "... a site-based management approach so that more decisions were made at the building level, although many decisions were still made by the principal." (Whitaker and Moses, 1994, p. 62).

One also observes pronounced shifts which portray that issues changed from educational quality to "... control of work ..." through "... shared decision-making ..." and "... placed more decision-making control in the hands of local boards of education ..." (Holdzkorn and Brandt, 1995, p. 57). This development was a consequence of the urban social upheaval in the 1960s which expressed itself in community forces challenging the educational *status quo*. The resultant conflict saw community forces fighting for full empowerment in educational decision-making and seeking political decentralization while the *status quo* tried to settle for administrative decentralization as a concession to the pressures of dissent. The slow response by school districts to the desegregation laws of the 1960s intensified

demands for school control by minorities. There was an appeal from reformers to "... utilizing the concept of maximum feasible participation, [which] viewed community control and school decentralization as ways to insure that creating equality of educational opportunity was in the hands of blacks, not in the white majority" (Lewis and Nakagawa, 1995, pp. 3-5). The result of the protracted demand was the conceptualization of inclusion as a solution for minority access into school governance.

However, the accomplishment of inclusion and deinstitutionalization brought into focus, in one case, an urban school system involving the African-American community which triggered a new conflict that pitted elite African-Americans against poor African-Americans. Demands arose calling for a new wave of deinstitutionalization that would go beyond the earlier one, which merely culminated in providing access of the minority elite to the bureaucracy, to include the non-elite minority as well. The demand for representing the interests of students and parents culminated in programs such as War on Poverty and Headstart which were expected to provide more resources to poor students and empowerment to parents (Lewis and Nakagawa, p. 10). While early attempts of inclusion merely allowed minority enablement in school decision-making, more participatory deinstitutionalization aimed at empowerment.

Community involvement, introducing parents and other interest groups from outside the school to commitment in school governance, was at the root of empowerment and the concurrent decentralization in decision-making. However,

these experiences in minority-dominated urban areas show that "... the demand for political inclusion is met with a kind of decentralization that disperses political power and makes it very unlikely that institutional power will develop" (Lewis and Nakagawa, 1995, p. 23). Similar observations are also noted and shared by Zimet (1973) and Elmore (1993) regarding related developments in the City of New York School System, by Sizemore (1981) with respect to the District of Columbia School System, and by Elmore in connection with that of the City of Chicago School System.

### **3. Russian Educational Decentralization**

The recent educational decentralization in Russia is a byproduct of the economic reforms and social transformations sponsored by Gorbachev's *glasnost* and *perestroika*.<sup>1</sup> As a result of Gorbachev's reform overture's, the republics under the USSR at the time, including the Russian Soviet Federative Socialist Republic (RSFSR), took the opportunity to declare their respective independence unilaterally. The independent republics had used the right to formulate education along their national needs as one of the initial arguments for autonomy. The initial stage saw the balkanization of the USSR fueled by national and ethnic interests, in general, and demands for economic privatization and educational reforms, in particular (Kerr, 1990, p. 29). In addition, according to Kerr, there was an increasing search for spiritual and religious expressions accompanied with attempts to shake off the Stalinist mind-set.

Gorbachev's economic reform initiatives in 1984 fueled public debates on educational reforms. There were heated but frank public discussions of the deficiencies of the Soviet educational system and an airing of the needed reforms (Jones, 1994, p. 7; Kerr, 1992, pp. 151-154; Kerr, 1990, pp. 26-27; Sutherland, 1992, pp. 15-16). The newspaper *Teachers' Gazette* sponsored different reform groups and, in 1986, introduced a group of "... innovative educators ..." which "... issued a manifesto under the rubric of 'The Pedagogy of Cooperation'" (Eklof, 1992, p. 8; Suddaby, 1989, 245-247). Furthermore, demand for empowerment of teachers became a central theme as the *Teachers Gazette* assisted in organizing the "... more than 450 independent teacher organizations [that] arose in the USSR; [...and...] adopted the name Eureka Club" (Kerr, 1990, p. 28, Kerr, 1989, pp. 22-23). This move led to the formation of the Creative Union as an alternative to the official pro-government union.

The educational reform that gradually unfolded subsequent to Gorbachev's perestroika is a total attempt to break away from an educational system that was seen to be rigid in structure and philosophy. Traditionally, school efforts catered for collective authoritarianism on the basis of standardized information which precluded teacher and student choices or initiatives (McLean and Voskresenskaya, 1992, p. 98). The Soviet legacy had left Russia with schools that had inadequate facilities and frustrated teachers. After reviewing several educational surveys on these conditions, Westbrook, Lure and Ivanov (1994, p. 105) bring forth pertinent observations. With regard to teachers, they state: "What emerges is a vision of

teachers strangled by red tape and frustrated by demands to provide 'quality education' with limited economic and educational resources, meager social recognition, and limited community support." The typical school is described as "often a dreary place; a decrepit building with few books, outdated equipment, alienated students, bored teachers, and an authoritarian administration." While such assessments showed the sorry state of the Soviet schools, it is the economic perestroika that decreed privatization which provided the reason and support for educational reform. In subsequent developments, the educational reform has also included concerns related to "nationality" (non-Russian) education.

The reorganization of the Ministry of Education of the Russian Federation in January 1992 (Dneprov, 1993c, p. 233) and the Law of the Russian Federation on Education (Draft in Eklof and Dneprov, 1992, pp. 236-258) are both decisive outcomes of the arduous struggle for educational reform in Russia witnessed up to 1992.

#### **4. Chinese Decentralization**

The implementation of Chinese educational decentralization in 1985 took the form of administrative and financial devolution with the latter as its main aspect. Hence, it entailed the transfer of responsibility and power from the center to localities accompanied with financial diversification for educational funding. Chinese decentralization provides, mainly, for mobilization of local sources and, partly, for central government subsidy; and establishes "... autonomy and flexibility

in school governance" (Mok, 1996, pp. 26-29). The initial step in educational decentralization was taken when the Ministry of Education became the State Education Commission (SEC) with increased powers for coordination of all ministerial efforts in education (Lin, 1995, p. 72).

While the central government remained responsible for overall strategies and policies, local governments were responsible for generating policies and plans to set up school systems and administration for prescribed levels of education (Mok, 1996, p. 7; Lin 1993, p. 72). Accordingly, teacher training centers, vocational, keypoint and ordinary senior high schools are run by the county, junior high schools and primary schools by townships, and primary schools by the villages (Cheng, 1995, p. 71; Lewin and others, 1994, p. 24). Central schools are also designated to manage other schools of the same level in, say, the same township. Other aspects of Chinese decentralization intimate that "... local educationalists and scholars thus have begun to take the lead in developing more private and *minban* (people-run) educational institutions which are run and financed by local communities, social organizations or individuals to cater for evolving market needs and peoples's pressing demand for better education" (Mok, 1996, p. 27). All of these are arrangements that conform to local realities.

The decentralization decision of 1985 considers schools "... as independent corporations with a combination of powers, responsibilities and interests" (Lewin and others, 1994, p. 202). Therefore, regional and local authorities (according to Lewin and others) are expected "... through legislation to give schools more

decision-making power over personnel, finance, and teaching and learning." Under decentralization, principals are given the central responsibility to manage schools. According to this new arrangement known as the Principal Responsibility System, the principal, in principle, has extreme powers such as hiring and firing of personnel, making administrative and financial decisions, and supervising teaching activities. Principals who are to be selected competitively are expected to manage schools by encouraging teacher participation. In addition, the principal, where conditions permit, can form and head an administrative committee to govern and run a school. These pronouncements, which empower the principal, relegate the Party secretary's role in schools to political matters only, in effect, eliminating that person's traditional supremacy in school governance.

The Chinese educational decentralization, from the financial point of view, is a diversification of funding. It entails "... (a) devolution of central funding to local funding and (b) the diffusion from government to non-government funding agencies" (Cheng, 1994, p. 265). The financial arrangement for educational funding in the context of the decentralized administration is described by Lin (1993, p. 73), Cheng (1994, p. 266) and Lewin and others (1994, p. 26). According to these sources, the government utilizes state appropriation to provide for "public" teachers' salaries. The actual payments are carried out through local revenues. Local educational authorities also utilize a system of private or self-financing mechanisms such as locally raised educational surcharges, donations, fees, and state subsidy to pay *minban* teachers and to provide incentive pays to "public" teachers. Capital

expenditure is financed through a matching of state grant with local donations (Lewin and others, 1994, p. 24, Mok, pp. 27-30). Schools also generate their own revenues to take care of other types of non-recurrent expenditures, e.g. equipment, maintenance and repair. As an additional source of revenue, schools run their own business ventures.

#### **D. DECENTRALIZATION PROCESSES**

The review of decentralization experiences in educational reform divulge important lessons. The characteristics peculiar to a given decentralization process, for example, are central determinants to the effectiveness of the related policy and its outcomes. These lessons also underscore that traditional elements tend to slow the process and its effectiveness.

##### **1. Top-down Processes**

Educational decentralization strategies in developing nations seem to be burdened by political motives and are initiated without the involvement of stakeholders, hence, unintended outcomes have curtailed expectations (Fiske, 1994, pp. 18-19, 22-23). Both Tracy (1997, p. 60), in the case of Venezuela, and Stromquist (1986, pp. 50-57), in reference to Peru, conclude decentralization efforts from top-down are bound to fail. The reasons for such failures include local entities' lack of understanding of decentralization packages unilaterally developed by, and with the interests of, central bodies.

## **2. Participative Processes**

The educational experiences cited earlier show that participative processes are rare. As a result, political contestations have occurred more frequently. The experiences of developing nations consist of contestations regarding the implementation of decentralization plans which are resisted by stakeholders who view these plans lacking in provisions for local needs and demands. Protracted contestation among stakeholders as in the case of the United States' experiences have also resulted in solutions deemed unsatisfactory to all the interest groups. It is only in the Russian case where some form of participation has been demonstrated. In this instance, the public debates which served as a forum for airing stakeholder interests were crucial in rallying the reformers who pressured the government to legislate educational reform and decentralization.

## **3. Planned Processes**

Although there was no broad involvement of stakeholders, the case of China presents a planned and gradual process of educational decentralization. Preparations and initial developments were underway in the late 1970s soon after the end of the cultural revolution; experimentation was complete by 1985 when decentralization was confirmed by the decisions of the State Party; and it was fully implemented by 1987 (Lewin and others, 1994, pp. 17-21; Lin, 1993, pp. 1-3, p. 80; Cheng, 1995, pp. 70-71, Mok, 1996, pp. 26-27). As a planned process, the Chinese decentralization efforts display a solid government commitment and clear

decentralization policies and procedures.

#### **4. Lingering Effects**

Social transitions are not easily assumed as old habits and attitudes linger. Observations from the experiences of developing countries show that centralized authorities cling to their traditional powers and resist any power-sharing long after decentralization has been declared (Fiske, 1994, p. 21; Tracy, 1997, p. 157). In china, higher authorities and Party secretaries in schools continue to intervene in the decisions of the principal (Lin, 1993, pp. 80-82). The reasons for such behavior vary from reluctance to share power to distrust of lower level entities (Bray, 1996, p. 37). Social institutions and individuals also take time to adopt new ideas and initiatives. For example, though the Communist Party was disbanded after the Russian coup of 1991, the influence of the past continues to haunt the educational reform efforts. Edward Dneprov's assessment at the time stated that communism has "... etched itself in the national psyche" and holds many of the people and institutions still under its grips (Rust, 1992a, p. 377). On the other hand, the current promises which provide the individual freedom in the spheres of "... capitalism, nationalism and consumerism ..." have placed many more people in Russia in a state of confusion (Nikandrov, 1995, p. 48). Teachers, for example, are confronted with an aspect of this confusion as they seem to be at a loss as to what values to teach in schools. In school management, there are those who are still swayed by the autocratic values of the past and those who are ready to espouse the

democratic values of the future. In China, this is reflected in the divided loyalty of school staff to the principal and Party secretary (Lewin and others, 1994, pp. 210-211). Similarly, some principals in China cling to the old values and tend to "... make themselves the masters of teachers subordinating them in all sorts of matters" (Lin, 1993, p. 82).

#### **E. UNDERSTANDING PLANNING**

Benveniste (1987, p.117) identifies planning as "... a process whereby an organization, or several, or a city, region, nation, or several nations agree on a set of specifications about the future." Additionally, Benveniste stresses that unlike "... goal statements that tend to be general in nature, more often vague than not, plans have a time dimension and operational specificity." Although planning is about the future, it relies much "... on past and present data to forecast or estimate probable developments" (Benveniste, p. 120). According to Sztompka (1981, p. 18), planning is "... any deliberate, conscious and purposeful intervention of human agents in the course of events and processes." A plan from this point of view is deemed to be successful when implementation induces intended events, processes, or results.

The recent historical path of planning in education traces four distinct stages of application. The first involved facilities and program planning; the second focused on long-range and master planning; the third shifted to systems approach and integrated planning; and the fourth and current stage is identified with the

advent of strategic planning (St. John, 1987, p. 9). The first three stages are associated with traditional planning and the fourth stage is part of the currently prevailing approaches.

### **1. Planning Utility**

An educational organization utilizes planning to (a) attain its goals such as those related to student learning outcomes, research activities and outputs, project or program objectives, etc. and (b) to harness those resources available to the organization towards the achievement of these goals. The planning process helps to focus participating planners' attentions and mobilize their energies towards a common purpose (Lelong and Shirley, 1984, p. 2). These efforts also assist the organization to gain control over its future operations. Therefore, planning gains more legitimacy when the organization attempts to operate in a dynamic environment and negotiate the uncertainties emanating from that environment.

### **2. Planning Information**

Efforts in education aimed at improving quality and accountability have focused on the importance of educational indicators, that is, selected individual or composite statistics for monitoring and evaluating the conditions of the educational system (Blank, 1993, p. 66; Darling-Hammond, 1992, p. 236; Porter, 1991, p. 13). Furthermore, "... educational improvement is being sought by granting institutions greater autonomy, which brings with it a responsibility for accounting for

performance, usually in the most objective manner possible" (Nuttall, 1992, p. 13). Educational indicator systems developed by OECD are organized under four clusters: "Context of Education," "Results of Education" and "Costs, Resources and School Processes" (Jos and Peterson, 1995, pp. 25-28). The educational indicator model, according to Bennett, 1995, pp. is often designed to deal with demographic, geographic, economic and socio-cultural factors and specific social issues relevant to the educational system. Additionally, educational indicators are used for comparative analysis of educational situations among schools or nations and for trend analysis of educational situations in particular schools or nations (Porter, pp. 13-14, 23-24; Bottani and Walberg, 1992, p. 10). In this regard, OECD has strived to develop standards and definitions that would provide data for comparative purposes of the educational system at the international level (Healy and Nordin, 1995, pp. 32-42).

#### **F. CENTRALIZED PLANNING**

Educational expansion was the focus for educational facility planning in post-World War II in the United States (Kogan, 1979, p. 16), achieving universal education in developing nations in the 1960s and providing "post-compulsory schooling" workforce for the developed countries in the 1960s (Ross and Mahlick, 1990, pp. 7-8). As a consequence of the expansionary tendency of the 1960s "... educational planners around the world became preoccupied with strategies that would facilitate the delivery of 'educational inputs' in terms of personnel,

accommodations, and equipment" (Ross and Mahlck, 1990, pp. 7-8). In other words, the concern was centered on providing timely and sufficient inputs to the educational system culminating in a large mobilization of these resources without considerations on whether these inputs would create situations conducive to improvements and changes in certain educational outputs. For example, facility and budgetary plans were considered to have no relationship to educational content and purpose, hence, no impact upon quality (Kogan, 1979, p. 35). This failure was further complicated by the fact that planning became overly preoccupied with the technical aspects which neglected the need to provide for non-technical approaches to deal with the sensitive and non-quantifiable issues that dominated the educational environment.

### 1. Technical Shortcomings

In the case of the developing countries in the 1960s, educational planning was left in the hands of professionals who applied quantitative methods and the systems concept and relied on "... a battery of analytic techniques - manpower forecasting, rate-of-return analysis, and social-demand forecasting (Lewin, 1987, p. 113). These techniques which were, primarily, based on the functionalist paradigm assumed objective rationality, the existence of unity of goals for all involved interest groups, and efficient use of resources as the basis for formulating and executing a given plan thus emphasizing a *technicist* approach (Adams, 1991, p. 16; Lewin, 1987, pp. 95-97, 105-107). The *technicist* approach evaluated the

success of educational planning on the basis of accomplishing its goals and the plan itself was insensitive to, and was not significantly altered by, the feedbacks obtained from monitoring its executions (Adams, 1991, p. 16). Adams continues to explain that the *technicist* models of planning "... are often adopted by centralized educational systems that employ top-down approaches to change." Furthermore, he adds: "The emphasis on centralized, hierarchical administrative control is seen as a necessary effort to insure local compliance." Thus, the traditional educational planning models residing in this technicist environment are characterized as linear and discrete, hence, limited in their treatment of the complex and integrated aspects of the educational situation (Adams, p. 15; Benavides and Arredondo, 1991, p. 102; Westbrook, pp. 38-39). These plans have also been overly concerned with resource rationalization, "... linear projection of educational targets and trends and, in many cases, the legitimization of existing economic and educational policies" (Benavides and Arredondo).

## **2. Centralized Planning Information**

Recent discussion on educational data have focused upon "... determining which indicators should be available and what methods should be used to collect data to measure student, teacher, and school performance" with "... far too little attention has been paid to obtain cooperation among national, state, and local agencies" (Blank, 1993, p.65). Further complications occur as the policy and operational levels and the bureaucratic elements have been noted for embodying

diverse values and interests of various stakeholders which have challenged the flow, quality and utility of information (1993, pp. 103-105).

The way planning information was collected and utilized resulted in impacting the quality of information negatively, thus, compounding the shortcomings of traditional planning approaches. In the Third World, the training of educational planners and attempts in the increased use of accurate, relevant and timely information have failed to improve educational quality because these efforts have been directed towards serving central ministry planning functions and neglected any understanding of practices at the school and classroom levels (Chapman and Mahlick, 1993, p. 1).

Critics further argue that the current indicators should have "... greater validity and usefulness" (Blank, 78). The utility of educational indicators lies in their capacity to a) monitor the existing condition and context, b) evaluate the performance of the educational system and its components, c) indicate to what extent goals or objectives specified for the educational system are attained, d) provide clues on existing educational problems or forewarn about impending ones, e) assist in the design of potential educational programs, and so forth (Jones and Nielson, 1994, p. 5; Blank, 1993, p. 66; Chapman and Mahlick, 1993, pp. 5-6; Darling-Hammond, 1992, p. 237; Porter, 1991, pp. 13-14, 23-24; Shavelson, McDonnell and Oakes, 1991, pp. 3-4). These issues have necessitated changes in the indicator and information systems to fit the needs of decentralized planning.

The Educational Information System (EIS), peculiar to centralized ministry

planning, follows established organic structures consisting of "... formal and informal, personal and institutional expressions ...," hence, the process of changing data to information is rigid, conservative and slow (Welsh, 1993, pp. 93-94). This drawback also suggests that there is need for a more dynamic and adaptive system which, in view of the shortcomings of centralized ministry planning, should support decentralized planning.

### G. DECENTRALIZED PLANNING

The shortcomings of traditional planning efforts coupled with changing worldviews specify the need for new planning approaches. As the worldviews gravitate towards the support of local responsibilities, the involvement of stakeholders in planning efforts gains urgency and importance. The crucial argument is that the one of shortcomings of traditional planning is due to its exclusionary effect on stakeholders - especially, those who are supposed to be at the implementing end.

There are indications that changes are already underway for the roles and expanded responsibilities to be assumed by the new approaches to educational planning. For example, Carlson (1991) notes changes in the scope of planning which he states is a result of the influence of culture in organizational theory. Thus, Carlson (p. 55) based on K. Eide's New Features in Educational Planning as his source identifies the following changes in educational planning:

- A widening of the scope beyond purely educational matters.

- A broadening of the conceptual framework to include elements from a variety of research disciplines
- A profound change in the concept of planning as an administrative function.

In order to cater for effective planning, however, the need for process changes are advocated. For instance, Richardson, Short and Lane (1997, pp. 16-18) suggest "synergistic planning" which encourages participative efforts in planning. This approach evaluates the "situation as a whole" before embarking upon incremental aspects of planning. Above all, synergistic planning necessitates participation and collaboration of all stakeholders such as school administrators, teachers, parents, the community, and so forth. By definition synergistic planning is based on a group of people working together - and striving towards an enriched result - unencumbered with notions of "one best" way of achieving organizational goals (Richardson, Short and Lane, p. 14). In this regard, Adams (1991) also sees the traditional approaches to planning being replaced by new ones such as the political and consensual models that introduce changes in the planning processes.

### **1. Interactive Models**

The new planning approaches recognize the interactive nature of decentralized planning. Adams (1991) presents the political and consensual models (Table 2) as representation of what he identifies as the interactive type of planning approaches which "... reject the main assumptions of rational decision making." The political and consensual models, according to Adams, "... recognize

education as an open human system located in a social environment too indefinite and inconstant to allow any generalizations." Thus, the political models "... view planning as a dynamic, shifting process of interaction and exchange ..." In the new process, "the centralized, or high level, determination of broad goals and means of goal attainment is accompanied by recognition and accommodation of varying local conditions, as well as conflicting interests within and among system components and with external groups" (Adams, p. 16). Adams continues to note that "since bargaining among participants is continual, planning - including implementation - is adaptive in response to diversity, conflict, and change in planning objectives as well as shifting power relations" (p. 15).

TABLE 2

Comparison of Three Planning Models

	Process	Structure	Technology
<i>Technicist</i>	Analytical and administrative activities by oligarchy of specialists	Centralized planning offices, clear lines of authority	Systems analysis cost benefit studies; programming techniques; MIS
<i>Political</i>	Exchange, negotiation, cooptation by various stakeholding groups	Centralized goal and policy mechanisms; diffuse means of articulation and aggregation of interests	Combination of formal analytical and information systems and less formal information exchange
<i>Consensual</i>	Dialogue, consciousness-raising	Decentralized small, face to face groups	Delphi, team intervention

Note. From Planning models and paradigms by Don Adams (1991); In Robert V. Carlson & Gary Awkerman (Eds.), Educational planning: Concepts, strategies and practices (pp. 341-361) - New York: Longman.

### **i) Political Models**

The incompatibility of traditional planning with the needs of the target system has necessitated the adoption of new approaches. In this respect, the focus of educational planning reverts from economic concerns to "... the political issues involved in handling planning, problems of governance and participation ..." (Kogan, 1979, p. 37). Thus, the demand for participation by stakeholders in order to advance their interests and to have a say in how benefits are distributed have been major determinants of such a shift in the way planning is conducted. For example, in the 1960s, the PPBS (Planning, Programming and Budgetary Systems) which was implemented in federal agencies in the United States failed as an effective planning tool because it did not recognize the political environment of organizations (Benveniste, pp. 123-124). It is also noted by Benveniste that "... turf protection becomes central preoccupation of participants" (pp. 123-124). In contrast, decentralized planning recognizes the political aspects of planning and, thus, provides the sensitivity for understanding differences in stakeholder interests. This understanding sets the basis for a consensual approach to educational planning and decision-making.

### **ii) Consensual Models**

Centralized planning has been noted to have failed to promote democratization of society and that its hierarchical and bureaucratic institutions are too slow in introducing participatory planning required by today's society

(Benavides and Arredondo, 1991, p. 102). Under these circumstances, Benavides and Arredondo note: "No consensus-based plans have been made for a global long-term future that would reflect the values of society which, in turn, give meaning to each of the actions undertaken to equip ourselves for it." Again PPBS's failure as a planning tool - a failure mostly attributed to the absence of consensus during the plan formulation stage - is worth noting. Despite all the advantages that PPBS provided for centralized control, it suffered from the lack of recognition that planning "... happens to also be a political process of consensus building" (Benavides and Arredondo, p. 102). A comprehensive plan is considered to be unwieldy for creating consensus and unable to adjust to the complexity of "... the political process of interest aggregation and consensus building ...". It is, therefore, emphasized that there is the need to shift from centralized comprehensive plans to decentralized consensual models. The consensual planning models (anchored in the humanist paradigm) assume "... that meaningful action presupposes understanding and that legitimate action presupposes agreement" which is further explained by Adams as follows:

Meaning evolves from social agreement based on practice. The choices and decisions, which structure significant educational change, rest on the accepted relevance of such change by people directly involved in or thinking about education. Communication - not political power, pluralistic bargaining, or expert knowledge - is fundamental to keeping the planning process moving. Initial goals are not permanent benchmarks, rather initial goals suggest directions to be discussed, modified, or replaced (Adams, 1991, p. 16).

Hence, the consensual model emerges as a viable planning approach due to its

participative nature and expansive communication features.

### **iii) Synergistic Strategic Planning**

Strategic planning is a new planning approach that has internalized the need for sensitivity to the political nature and consensual aspects of successful planning efforts. A comparative presentation of strategic planning with long-range planning - a traditional approach to planning - affirms the compatibility of the former with the needs of decentralized planning (Table 3). For example, long range planning is depicted as a system which relies on information internal to the organization and depends on extrapolations of detailed historical data. Furthermore, long range planning is focussed on the production of a plan, by an exclusive group of professionals, directed towards attaining organizational goals. Long range planning, as described in Table 3, also "emphasizes ... internal changes, planning methods, inside-out planning." These peculiarities correspond to the characteristics of centralized planning. On the other hand, strategic planning According to Rieger's explanation, strategic planning is process-oriented and dynamic, therefore, it allows planners to anticipate and accommodate changes in their plans. Changes external to the organization and organizational capacity are taken into account to develop plans directed towards solving projected needs. The strategic plan described by Rieger states that the planning "is done by a small group of planners with wide-spread involvement of stakeholders. Rieger conceptualizes a strategic planning process that is synergistic, flexible and adoptive, hence, possessing

characteristics that correspond to those of decentralized planning.

It should also be noted that Rieger's strategic planning model conforms more with the synergistic planning approach advocated by Richardson, Short and Lane (1997) rather than with the strategic planning articulated by Simsek (1997). Simsek (pp. 21, 28-29) argues that strategic planning introduced in the 1970s is "a linear, mechanical, and rational model that is best suited for managing change under conditions..." of stability as is witnessed in a bureaucratic and centralized organization. In contrasting the traditional approach to strategic planning with synergistic planning, Richardson and others (p. 21) also note that the former is expert-driven and does not provide for wider stakeholder participation. The argument supporting a synergistic planning model in a decentralized organization sponsored by Richardson and others and the model presented by Rieger which indicates the possibility of such participation endorses the novelty of synergistic strategic planning. Furthermore, St. John (1987, p. 10) argues that the notions of strategic thinking and capacity building embodied in traditional strategic planning still sustain practical utility, especially, in the planning practices of developing nations.

Table 3

**McCune's Comparison of Strategic and Long-Range Planning**

	Strategic	Long-Range
<b>Assumes</b>	An open system whereby organizations must constantly change as the needs of the larger society change.	A closed system within which short-term plans or blueprints are developed.
<b>Focuses on</b>	The process of planning, building a vision, external environment, organizational capacity, staff and community education.	The final blueprint of a plan, internal analysis.
<b>Is done by</b>	A small group of planners with wide-spread involvement of stakeholders.	A planning department or professional.
<b>Uses</b>	Current and projected trends to make current decisions.	Existing data on which to project future plans.
<b>Emphasizes</b>	Changes outside the organization, organizational values and proactive action.	Internal changes, planning methods, inside-out planning.
<b>Focus</b>	Asks what decision is appropriate today based on an understanding of the situation five years from now.	Organizational goals and objectives five years from now.
<b>Depends upon</b>	Intuitive and creative decision making as to how guide the organization-wide process that anticipates the future, makes decisions, and behaves in light of an agreed-upon vision.	Detailed and interrelated data sets, agency plans, and extrapolations of current budgets.

Note: From Strategic planning and public schools: An evolving practice by B. J.

Rieger, . Educational Planning 9(4), 14-22.

## 2. Decentralized Planning Information

Developments show that there is a marked shift from mere quantitative to qualitative educational data. This shift induces changes both in terms of the

substantive focus on quality and access issues (Nuttall, 1992, p. 13) and the narrative format of the information since social indicators do not provide the same rigor as economic indicators (Shavelson, McDonnell & Oakes, 1991, pp. 3-4).

One such system is the Educational Management Information System (EMIS) which is "... inorganic, an artifact, manifested in what policy-makers, managers, planners have decided to pay attention to, communicate to others, and measure against the education system's policies, strategies, tactics and operations" (Welsh, p. 94). This, then, would be one of the challenges and opportunities for developing an appropriate EMIS for the sole use of schools and local level educational authorities, on the one hand, and for supporting the information responsibilities that these levels carry as an integral part of the national educational system, on the other hand. In this connection, the need for increasing accountability of local authorities for decentralized responsibilities implies "... a move toward greater local data use, hence, the additional need for expanding the related capacity through training and technology, and encouraging a culture of data use and management becomes inevitable for instituting the effectiveness of the educational system" (Windham, 1993, p. 37).

#### **i) Shared Information**

The centralization and decentralization environments do not exist in a mutually exclusive state of affairs but share one where both aspects of organizational arrangements co-exist in an interactive manner. The centralized and

decentralized authorities have designated responsibilities and maintain comparative advantages in their capability to generate different types of information. In the educational system, for example, central authorities have a global appreciation of national needs and the conflicts between national and local priorities while local authorities have "... access to more detailed information ..." (Windham, 1993, pp.40-41). The comparative advantage of centralized authorities may also include better access to expertise and technology than that available to decentralized authorities. Hence, centralized and decentralized responsibilities should be recognized as a sharing arrangement of decision-making responsibilities with entities at "... the various levels of authority contributing] their perspectives within a clear division of authority and a designated accountability structure" (Windham, pp. 40-41). Based on this notion of responsibility, EMIS should be able to cater for the different information needs of stakeholders.

## **ii) Varied Information Needs**

The responsibility for the success of educational efforts rests upon "... parents, teachers, school principals, state and provincial officials, and national officials" (Ross & Postlethwaite, p. 316). In this aspect, Ross & Postlethwaite also state that the stakeholders need adequate information for making decisions about the future "... which will influence the education of those in their charge." However, the information needed differs from person to person or group to group due to the different decisions that have to be made. Teachers and parents have common

interests regarding a child's school needs and behavior. Information in these areas should, therefore, be available in clear and simple ways unburdened with technical jargon.

On the other hand, state and regional officials require information which is less detailed than that required by parents and teachers because the decision role of such officials is broad in scope and long in terms of planning horizon (Ross and Postlethwaite, 1988, pp. 316-317). Hence, according to Ross and Postlethwaite, the role of national and state authorities "... is to make broad policy decisions concerning the linkages between the legislated directives of past and present governments, and the plans and resources required to attend to these directives" (pp. 318-319). For this purpose, these authorities need comparative and trend data on the basis of which the outcome of policies can be monitored and at the same time intervention can be planned when such information signals the existence of chronic problems within the educational system. Indicators collected for policy-makers should also provide data to "inform" on the impact of policies issued in "... the pursuit of equity goals, the pursuit of accountability, setting priorities or generating options for policy agendas, and assessment of goal attainment, among others (Darling-Hammond, 1992, p. 240). Accordingly, for policy makers to be best informed regarding the impact of such policies on the educational system, they need comprehensive data and findings of research studies on teaching, learning and policy implementation (Darling-Hammond, p. 241; Shavelson, McDonnell and Oakes, 1991, p. 3).

## H. LITERATURE REVIEW SUMMARY

The literature review on decentralization informs that the formulation of decentralization policies may emphasize one of several strategies. These strategies are *administrative, economic, political and pedagogical* in nature. Another way to look at decentralization is with regard to the form assumed by the related policies or practices. These forms have been described as *deconcentration, delegation, privatization and devolution*. It is, therefore, possible to describe and gauge a given decentralization policy or practice using the strategic or formal or both dimensions at any stage of the decentralization process. In addition, the impact of the decentralization process in contrast to the centralized tradition can be explained through such factors as the purpose, motive, strategy, form and stakeholder profile peculiar to the related policy. Hence, country experiences can be described and explained for comparative purposes and enhanced understanding using these dimensions and factors (Table 4).

It is also noted in the literature on educational decentralization shows that country experiences vary across time and space (Table 5). Although issues related to power and empowerment have emerged in most of these experiences resulting from a top-down decentralization process, the case of China provides a unique experience. In its current process, the decentralization initiative has benefitted from a strong and stable central control. In other words top authorities' *oversight and commitment* are essential to the success and effectiveness of decentralization initiatives. Hence, the viability of a top-down decentralization process is dependent

on central support, commitment and a degree of reasonable control. Otherwise, expected sharing of power and responsibilities between central and local responsibilities may not be realized. Instead, discontent and apathy leading to lack of participation in decentralized responsibilities may prevail among lower level stakeholders in any organizational hierarchy. It is also important to note that there will be lingering effects from the past system that impacts upon the adaptation process, hence, providing oversight is necessary to remedy this drawback.

The literature on educational planning traces the ineffectiveness of centralized planning when support for plan implementations is not provided by the target group during implementation. In this regard, the political nature of planning emerges as a significant factor that must be considered in formulating a planning approach. The literature on educational planning also indicates a trend in shift from centralized to decentralized planning process supported by a variety of planning approaches such as the interactive, political, consensual and strategic models. However, the viability of these models is questionable if, again, commitment to the implementation of the new processes is lacking. Such support should include budgetary and human resources allocations for *capacity building* to bolster the empowerment of the decentralized units. This need gains urgency as the decentralized process opens lower organizational units to direct interaction with stakeholders in a complex and demanding relationship. The decentralized educational planning system must provide expression for stakeholders' interests and values at the relevant level of the organization while at the same time

maintaining harmony through a consensual or negotiated trade-off in such a way that the success of plan implementation is increased. In all cases, successful decentralization depends on a strong central system. The main factors raised in the literature review regarding educational planning and contrasting the centralized and decentralized environments is summarized in Table 6.

Table 4

**Centralization-Decentralization System Characteristics by Selected Dimensions and Effects During the Transition from Centralization to Decentralization**

Dimensions	System Characteristics		Effects During Transition	
	Centralization	Decentralization	Change	Status Quo
Purpose	- Maintain authority at the top of an organization or at the center of a government	- Distribute authority to lower levels of an organization or government	- Power shifts away from the center - Structural and process changes - Lower level needs and demands affect decision / planning goals or issues	- The need to articulate planning purpose
Motives	- Control at the apex of the organization or center of government	- Empowerment of lower level groups or administrators	- Power sharing emerges as a key product of change process	- A degree of control by central authorities
Strategies	- Administrative bureaucracy	- Administrative, economic, political, pedagogical professionalism emerge as options	- The emergence of a variety of options for decentralization	- Administrative aspects remain as key elements of a given option(s)
Stakeholders	<u>Active:</u> - Top level / central authorities  <u>Passive:</u> - Lower level authorities, school constituency, community	<u>Active:</u> - Top level / central, regional / local authorities; school directors, teachers, students, communities	- Participation emerges as a key factor in all aspects of decision making	- Traditional procedures and cultural influences constrain full-fledged participation

Table 5

**Centralization-Decentralization Country Experiences and Effects Observed During the Transition from Centralization to Decentralization**

Countries	Observed Developments Under Each System		Effects During Transition	
	Centralization	Decentralization	Changes	Lingering Effects
Developing Nations	<ul style="list-style-type: none"> <li>- Ineffective administration</li> <li>- Unresolved issues (e.g. educational equity &amp; access)</li> </ul>	<ul style="list-style-type: none"> <li>- Policies seeking administrative improvement emerge as political issues during implementation</li> <li>- Shifts financial burden to lower levels of government</li> </ul>	<ul style="list-style-type: none"> <li>- Contestation by local bureaucrats</li> <li>- Teachers resistance to unfavorable policies</li> <li>- Teachers targeted by the control aspects of the policy</li> </ul>	<ul style="list-style-type: none"> <li>- Higher authority's interest is heightened as lower level demands become more challenging</li> </ul>
United States (based on certain States)	<ul style="list-style-type: none"> <li>- Educational service delivery bureaucratic / ineffective</li> </ul>	<ul style="list-style-type: none"> <li>- The status quo's interest in administrative decentralization shifts to the community's demand for political decentralization</li> </ul>	<ul style="list-style-type: none"> <li>- Diverse interest articulation / accommodation</li> </ul>	<ul style="list-style-type: none"> <li>- Centralization decentralization process prone to pendulum effect</li> <li>- Power elite interest is a major factor in influencing adaptations</li> </ul>
Russia	<ul style="list-style-type: none"> <li>- Economic inefficiency</li> </ul>	<ul style="list-style-type: none"> <li>- Education reform, not included in preliminary economic reform initiatives, is eventually formulated leading to decentralized management of education</li> </ul>	<ul style="list-style-type: none"> <li>- Elite debate pressures educational reform to be included in overall reform initiatives</li> </ul>	<ul style="list-style-type: none"> <li>- Lack of initiative at the lower levels, e.g. schools, as in the days of centralization persists</li> </ul>
China	<ul style="list-style-type: none"> <li>- System diagnosis indicates need for reform without surrendering central control</li> </ul>	<ul style="list-style-type: none"> <li>- Financial and administrative decentralization</li> </ul>	<ul style="list-style-type: none"> <li>- Lower level authorities and schools provided with full decentralized responsibility for finance and administration</li> </ul>	<ul style="list-style-type: none"> <li>- The central State and Party continue to maintain strong control over decentralization process through key policies and incentive mechanisms</li> </ul>

Table 6

**Centralized and Decentralized Planning Characteristics by Dimension and Effects Observed During the Transition from Centralization to Decentralization**

System Elements				
	Centralization	Decentralization	Aspects That Change	Aspects That Remain the Same
Purpose and process of Planning	<ul style="list-style-type: none"> <li>- Focus on goal attainment by emphasizing technical rationality</li> <li>- Process involves data aggregation and use at the top or center</li> </ul>	<ul style="list-style-type: none"> <li>- Focus on issue resolution by accommodating diverse interests</li> <li>- Process involves data aggregation use at several levels</li> </ul>	<ul style="list-style-type: none"> <li>- Shift from attaining goals desirable to central authorities to determining ways to satisfy local needs, demands and issues</li> </ul>	<ul style="list-style-type: none"> <li>- Need for comprehensive aspects of planning to assist policy</li> <li>- Lower levels continue to need or seek approval from higher authorities</li> </ul>
Planning models	<u>Technical models:</u> <ul style="list-style-type: none"> <li>- Facility planning;</li> <li>program planning;</li> <li>long range and master planning</li> </ul>	<u>Interactive models:</u> <ul style="list-style-type: none"> <li>- Political models;</li> <li>consensual models,</li> <li>synergistic strategic planning</li> </ul>	<ul style="list-style-type: none"> <li>- New models that deal with issues and local needs emerge as planning alternatives</li> <li>- Shift from technical to participative models</li> </ul>	<ul style="list-style-type: none"> <li>- Technical aspects when there is need for data aggregation at the top or center</li> </ul>
Planning information	<ul style="list-style-type: none"> <li>- Restricted to and for technical use</li> <li>- Educational Information System</li> </ul>	<ul style="list-style-type: none"> <li>- Shared (exchange of) information</li> <li>- Varied information needs (Shared by and applied for different uses)</li> <li>- Educational Management Information System</li> </ul>	<ul style="list-style-type: none"> <li>- Inclusion of non-technical / qualitative data</li> <li>- Issue-related data</li> </ul>	<ul style="list-style-type: none"> <li>- Need for technical data</li> </ul>
Stakeholders	<ul style="list-style-type: none"> <li>- "Experts" and higher officials are <u>active</u> stakeholders</li> <li>- Target groups are <u>passive</u> stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>- "Experts," higher officials, local authorities, and target groups are active stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>- Previously passive stakeholders become active participants in planning and related decisions</li> </ul>	<ul style="list-style-type: none"> <li>- Though limited, "experts" role remains important</li> </ul>
<u>Others:</u> <ul style="list-style-type: none"> <li>- Success indicators</li> <li>- Drawbacks</li> </ul>	<ul style="list-style-type: none"> <li>- Goal attainment</li> <li>- Implementation is problematic</li> </ul>	<ul style="list-style-type: none"> <li>- Issues are discussed, resolved or dialogue continues</li> <li>- Planning process results in compromise solutions</li> </ul>	<ul style="list-style-type: none"> <li>- Diverse values and purposes are accommodated</li> <li>- New procedures developed concurrently with the newly emerging issues</li> </ul>	<ul style="list-style-type: none"> <li>- Need for evaluating plan implementation</li> <li>- Satisfying a desirable goal squarely remains evasive</li> </ul>

The literature review has served as a basis for understanding the main

system characteristics for centralized and decentralized planning process and the policies that influence the process outcomes. This basic understanding is used to conceptualize the research framework and the study's methodological approach. For example, educational planning and data flow processes, both in the centralized and decentralized environments, are selected as the focus for understanding the outcomes induced by decentralization policies. The literature review has also influenced the approach for presenting and analyzing the study findings. In other words, the findings focus on a comparative presentation of the organization and policy environments, planning and budgeting processes, and the opportunities for stakeholder participation under the centralized and decentralized educational systems in Ethiopia.

## CHAPTER III

### RESEARCH FRAMEWORK AND METHODOLOGY

#### A. RESEARCH FRAMEWORK

The description of the planning environment is intended to serve as the background for articulating the planning framework for this study. The study framework itself focuses on the information flow and data aggregation activities of the educational planning and budgeting units under centralized and decentralized planning processes.

##### 1. The Planning Environment

The literature review presented in subsequent chapters shows that centralized and decentralized planning processes have peculiar characteristics. For example, centralized planning resides in a bureaucratic organization with authority and responsibility, mainly, placed at higher levels of an organization. In the case of Ethiopia, centralized educational planning was the responsibility of the Ministry of Education. At this level, the responsibility for planning rested with a group of technical experts and decision-makers entrusted with the resolution of major issues including funding and the determination of priorities for resource allocation. It is also noted that the traditional planning approaches peculiar to centralized planning were overburdened with the rigidity of inflexible goals and procedures, especially, during the implementation period. Under centralized

educational planning, the educational authorities in the provinces and target groups such as the provinces, localities, schools and communities were rarely consulted during the formulation of the plans. On the contrary, the burden of plan implementation, to a certain extent, fell on these target groups and the educational authorities in the provinces. The exclusive nature of the planning process with regard to stakeholder participation in a centralized planning process is presented in Table 7. This particular conceptualization asserts that the stakeholder participation is dominated by "experts" at the Ministry of Education. For example, the initial four steps of the planning process consisting of issues identification, policy formulation, project development and project determination involve the participation of experts, Ministry of Education staff and international consultants. The choice of these actors, in exclusion of target group representatives, results from the focus on the technical aspects of planning and the emphasis of planners on matters internal to the organization. Moreover, the inclusion of target group representatives during the implementation process while technical planners and Ministry of Education staff remain as the key decision makers is the typical arrangement peculiar to centralized planning manifested in the literature review for this study. Furthermore, the planning and project assessment involves the detached participation of technical planners and central staff from remote offices with occasional site visits. In other words, the planning and project evaluation is totally based on technical data only. These are central planning characteristics that have been associated with the failures of centralized planning.

Table 7

Stakeholder Participation in a Centralized Planning Process

Planning Aspects and Stages	Participating Stakeholders	Key Processes
1. Rationalization of concerns & issues: Identifying set of concerns that necessitate action	- "Experts" and staff in the Ministry of Education - International consultants representing technical assistance donors	- Discussions, brainstorming in conformity with prevailing framework and mandate
2. Policy formulation: Setting goals and broad methods or strategies	- "Experts" and staff in the Ministry of Education - International consultants representing technical assistance donors	- Discussions, brainstorming in conformity with prevailing framework and mandate
3. Program development: Translating policies into programs	- "Experts" and staff in the Ministry of Education - International consultants representing technical assistance donors	- Discussions, brainstorming in conformity with prevailing framework and mandate - Formulating program elements and procedures for monitoring and control
4. Project determination: Establishing sets of activities constituting a program	- "Experts" and staff in the Ministry of Education - International consultants representing technical assistance donors	- Developing specific projects and procedures for project implementation, administration, monitoring and control - Determining funding and sources
5. Implementation: Applying program projects	- Ministry of Education staff for monitoring and control - Provincial educational officers or delegated institutions for implementation	- Implementation by provincial educational officers or delegated institutions according to pre-determined goals, methods and procedures
6. Assessment: Conducting evaluation of all aspects of programs and projects	- "Experts" or Ministry of Education officers or both - International consultants representing technical assistance donors	- Data collection through standardized reporting format sought by, and sent to, the experts at the Ministry of Education - Site visits by "experts," officials and technical staff

Note. Items organized under Planning Aspects and Stages are adopted from the format for policy development and implementation provided by Welsh and McGinn (pp. 32-33).

The broader scope of decentralization shifts authority for educational planning to regions, localities or schools and administrative authorities at these levels. This shift provides for multiple levels of authority and responsibility. In an ideal situation, decentralized organizational arrangement allows non-central educational authorities to focus on, and deal with, local issues and concerns. Hence, formulation and implementation of educational plans has a better chance for involving stakeholders such as traditional target groups and non-central authorities. The inclusive nature of decentralization at the lower levels of an organization allows stakeholders to appropriate budgetary responsibilities in such matters like the determination of educational priorities and their funding. Implementation also becomes less rigid as adherence to pre-set goals and procedures is relaxed and adaptation is encouraged. The opportunity for widespread stakeholder participation prevalent in a decentralized planning environment is summarized in Table 8. For example, all of the phases in the planning process include stakeholders directly affected by the decisions made at that planning stage. Accordingly, identification of issues involves larger stakeholder participation to ensure that the planning effort takes major concerns into account. The participation of "experts" is limited to the program development stage which also includes special interest groups. Moreover, projects are determined by the beneficiaries while implementation is managed by local persons. Hence, planning and project evaluation becomes the responsibility of local managers or controllers eliminating technical rigidity and introducing flexible management. Every stage of the planning

and project process allows debates and discussions among participating stakeholders and limits the dependence on technical data and methods for planning. Such participation directs plan or project efforts and outputs towards local needs. Again, the stakeholder participation described in Table 8 is consistent with aspects of decentralized planning noted in the literature reviewed for this study. Hence, these characteristics are expected to alleviate the drawbacks of centralized planning.

Table 8

**Stakeholder Participation in a Decentralized Planning Process**

Planning Aspects and Stages	Participating Stakeholders	Key Processes
1. Rationalization of concerns and issues: Identifying set of concerns that necessitate action	- Large stakeholder assembly - The greater the "weight" of the concerns and issues, the more potential individual and institutional stakeholders are activated	- Debate, discussion,
2. Policy formulation: Setting goals and broad methods or strategies	- Smaller group selected from those involved in rationalizing the concerns and issues	- Discussion, brainstorming
3. Program development: Translating policies into programs	- "Experts" - Staff from within the education organization - Special interest groups from the larger institutions (international, national and local)	- Potential stakeholders are activated: including those affected by the ensuing projects and implementers - More debate, discussion and brainstorming - Revision: Includes reformulating the plan - Selection of projects - Prioritization
4. Project determination: Establishing sets of activities constituting a program	- Groups immediately affected by each project	- Participation shifts from center to "local" levels - Tailor project to one's own context
5. Implementation: Applying programs and projects	- "implementers" - Local managers	- Flexible project description and plans provide leeway for intervention by implementers
6. Assessment: Conducting evaluation of all aspects of programs and projects	- Those who control the program - A variety of stakeholders with more interest in a particular planning aspect or stage	- Garners feedback, new revelations - Generate discussion/debate - Revise, reformulate

**Note.** Most of the content is adopted from the format provided for policy development and implementation by Welsh and McGinn (pp. 32-33).

## **2. Centralized Planning Framework**

The study framework assumes that centralized and decentralized educational planning processes are differentiated, among other factors, by the level of data aggregation. In the case of the centralized educational planning process, data collected from the lower levels of the educational organization are aggregated at the center in the Ministry of Education where plans are produced. In other words, planning products (outputs) are produced at, and related decisions concerning provincial and local educational activities are made by, the Ministry of Education. The role of schools becomes to supply data which are compiled by the provincial educational offices and relayed to the Ministry of Education. (See Fig. 1.)

Under this conditions, the planning unit at the Ministry of Education aggregates school data into national and provincial educational indicators. Similarly, the budgeting unit at the Ministry of Education prepares capital and operational budget for each province. Hence, based on the centralized data flow and aggregation processes (Fig. 1), plan and budget products are produced at the Ministry of Education only. According to this framework, the aggregated information and plans are global and fail to provide detailed educational indicators as well as programmatic and financial plans at the provincial and school levels. Moreover, school and provincial staff do not have the opportunity to participate in processing and interpreting data or producing plans and budgets relevant to the respective level of educational organization.

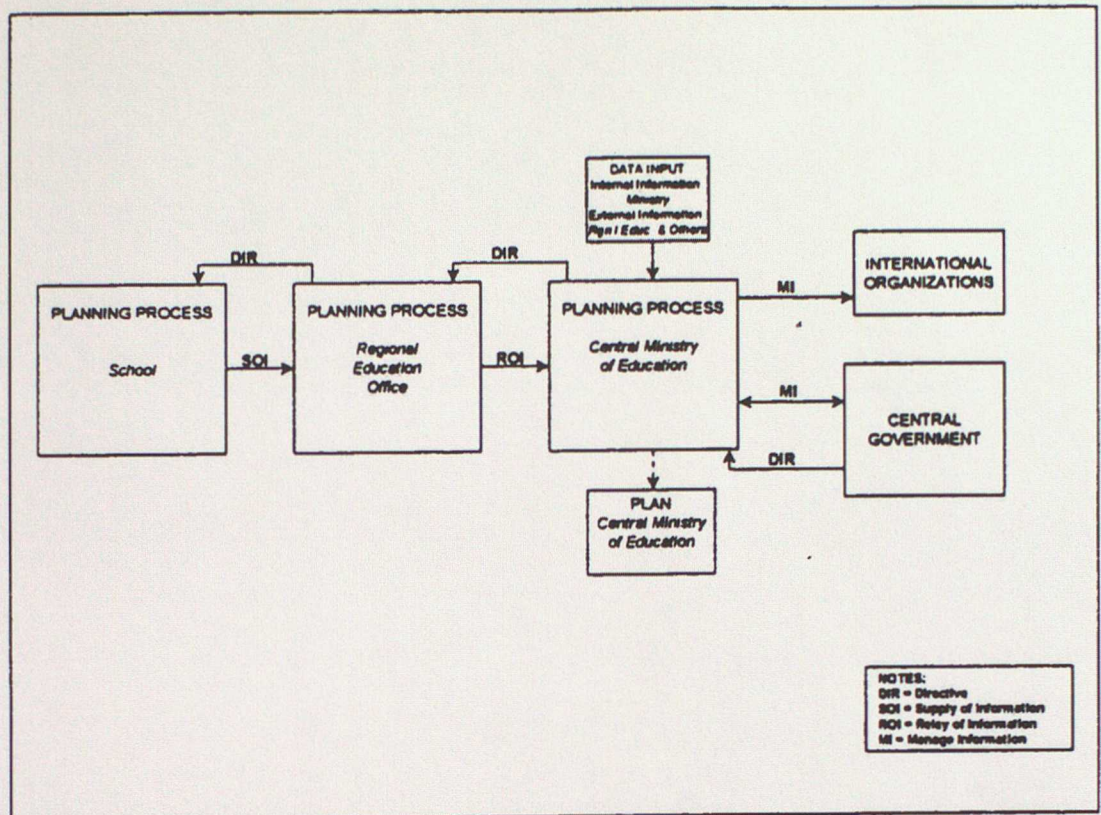


Figure 1. Centralized educational planning: Data flow, process, and output.

### 3. Decentralized Planning Framework

It is assumed that the decentralized educational framework (Fig. 2) provides opportunities for regional, local and school level planning activities. In other words, there will be planning and budgeting units at each level. Thus, schools can generate their own plans and budgets with data collected internally and from the local community. However, schools will still supply regional educational authorities with pertinent data required for planning purposes at the regional and higher levels.

In turn, the regional educational authorities will produce their own plans and budgets based on data received from internal sources, lower levels and other regional organizations. At the same time, regional educational authorities will compile their own educational data as well as those received from lower levels and pass them to the Ministry of Education and other higher authorities. The Ministry of Education and other higher authorities will use the regional data and their own information to produce global plans or policies. The opportunity for school and regional level educational staff participation in data processing and interpretation as well as educational plans and budgets is enhanced with the decentralized planning framework.

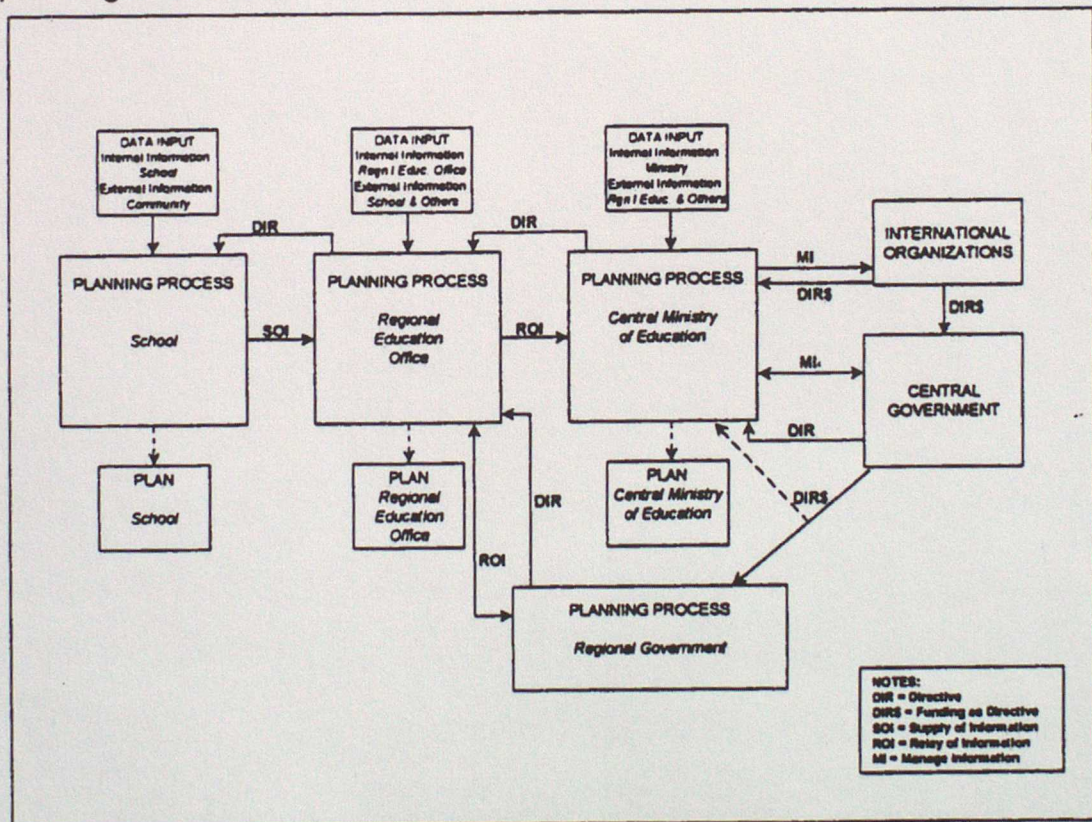


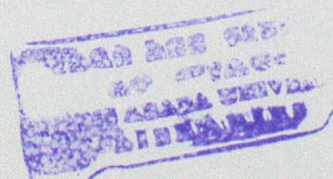
Figure 2. Decentralized educational planning: Data flow, process, and output.

## B. METHODOLOGICAL APPROACH

The methodology, to a great extent, is determined by the research question. In order to respond to the research question, separate approaches were taken for collecting information on the centralized and decentralized aspects of the educational planning and budgeting processes.

Information regarding the centralized educational planning and budgeting processes which existed before 1995 is, in part, collected from documents and, in part, from interviews. Senior staff at the Ministry of Education and regional levels were able to give information on their experience during the centralized educational administration in addition to elaborating on current developments. These documents include selected copies of the Ministry of Education's organizational structure and related information, a review of the Ethiopian Educational system by Fassil G. Kiros, and government proclamations.

Information about the decentralized educational planning and budgeting processes is also collected, in part, from documents and, in part, from interviewing selected respondents at the Ministry of Education and Regional Education Bureaus. Two recent studies by Lester and the Project for Human Resource Development provided substantial answers to the interview questions posed to the Vice Minister of Education. Recent government proclamations on federal and regional responsibilities, budget appropriations and private school licensing are additional documents that were reviewed for this study.



School directors of senior secondary schools are assumed to be the best sources for articulating the effect of the current developments in Ethiopian education. Hence, eight senior secondary school directors were interviewed for this reason. In addition, senior secondary schools of different sizes and from different national environments were selected in order to gain information on diversity of experiences..

The distribution of schools is such that a significant number of them are in the Oromo, Amhara, Tigray, Southern and Addis Ababa regions. The Oromo, Amhara and Tigray regions are each predominantly populated by unique nations. The Southern region is host to a variety of nations, nationalities and peoples and officially named accordingly. As an urban setting, Addis Ababa is a melting pot of all nations, however, its schools retain the Amhara influence of previous years. Therefore, any school selected from Addis Ababa for this study is also deemed representative of the Amhara Region.

Four secondary schools were selected from cities and four from small towns. Two of these schools were at different corners of the capital city with over three million people. Three of the schools were selected from small cities that had populations between 80,000 and 100,000 people. Three other schools were selected from three towns with population estimates of 50,000, 15,000 and 10,000.

The data collection procedures are described in the following section. The details of the methodology are summarized in Table 9 and Table 10.

## **1. Data Collection**

The study utilizes both primary and secondary sources of data. The data collection instruments used for the interviews are presented in Appendix I.

### **i) Document Review**

Policy documents, legal proclamations and other pertinent studies are reviewed in order to assess the educational planning and budgeting processes during the centralized and decentralized educational systems. Some of these documents were made available by the Vice Minister of Education and the Head of the Ministry of Education's Department of Planning and Projects. Other documents were provided by the Budgeting Section Heads of the Regional Education Bureaus in Tigray and the Southern Nations, Nationalities and Peoples regional states. Additionally, a focused review of the Ethiopian Educational System by Fassil G. Kiros provided useful historical information.

### **ii) Federal Level Interviews**

A variety of interviews were conducted for collecting information on educational responsibilities, and educational planning and budgeting processes at the federal level. Information on capacity building efforts at the federal level was also gathered through an interview.

*Ministry of Education Staff*

The Vice Minister of Education was interviewed in regard to the current educational decentralization and reform. He provided the required information by contrasting the current developments with the traditional policy in Ethiopian education. The Head of the Ministry of Education's Department of Planning and Projects and the Panel Leader of the Ministry of Education's Educational Planning and Programming Panel provided information on the current planning activities at the Ministry of Education.

*Civil Service College President*

The interview with the President of the Civil Service College provided information on the programs that were newly established to support regional administration. He also explained future plans for increased support in regional capacity building.

**iii. Regional Level Interviews**

The interviews at this level were used to gather information on the roles and responsibilities of the Regional Education Bureau and the school director. Additionally, information on the educational planning and budgeting processes at the regional and secondary school levels were collected from school directors and staff at the regional levels.

*Regional Education Bureau Staff*

The Head of the Regional Education Bureau in Southern Nations, Nationalities, and Peoples Regional State, the Head of the Regional Education Bureau in Addis Ababa, and the Respective Deputy Heads of the Regional Education Bureaus in Oromia Regional State and Tigray Regional State were interviewed in regard to the current educational decentralization process. The interviewees elaborated on the role and responsibilities of the Regional Educational Bureau in their respective regions. The interviewees also compared aspects of the current educational policy with related practices in the past.

Heads of the Educational Planning and Project Department and Panel Leaders of Educational Planning and Programming Panels in the four Regional Education Bureaus were interviewed in regard to planning activities in their respective regions. Information on the current educational planning process and data collection procedures were collected through the interviews. Both from the interview and casual observations during the process of arranging for the interview, a reasonable evaluation was made regarding the number of the planning staff members, the work facility and the time-on-task for the planning staff.

The Administrative and Finance Heads in three Regional Education Bureaus and the Budget Section in the Oromia Regional Education Bureau were interviewed in regard to the current educational budgeting process. All the interviewees described similar budgeting processes.

### *School Directors*

Six senior secondary school directors were interviewed regarding general school conditions, planning and budgeting processes, and school management. The respective opinions of the school directors was also sought on a variety of school related issues.

### *Teachers' Association Representatives*

The President of the Country-wide Teachers' Association and three Teachers' Association Representatives at three different schools participated in the separately held interview sessions. All of the interviewees were members of the Teachers' Association that is currently recognized by the government.

Table 9

Research Question Focus and Methodological Application:  
Centralized Educational Planning Process

Research Question Focus	Method	Participant(s)	Needs
1. Description and purpose of the planning process	- Document analysis	- Ministry of Education at the federal level (MOE-FL) - Regional Education Bureau (REB) - Planning/budgeting divisions: MOE-FL/REB	- Policies, proclamations, directives, reports and other relevant documents
2. Factors influencing the planning process			
3. Stakeholders and their role	- Interview	- Minister of Education or deputy - REB head or deputy - Planning/budgeting division head: MOE-FL/REB - School directors	- Interview form - Materials for taking notes

Table 10

**Research Question Focus and Methodological Application:**  
**Decentralized Educational Planning Process**

Research Question Focus	Method(s)	Participant(s)	Needs
1. Description and purpose of the planning process	- Document analysis	- Ministry of Education at the federal level MOE-FL) - Regional education office (REO)	- Policies, proclamations, directives, reports and other relevant documents
2. Factors influencing the planning process	- Interview	- Minister of education or deputy - REO head or deputy - Planning / budgeting division heads: MOE-FL / REO - National Teachers' Association president / delegate: - Teachers' Association representatives at Region / schools - President (or deputy): College of Social Services	- Interview form - Material for notes
3. Stakeholders and their roles	- Interview and opinion	- School directors	- interview Questions - Material for notes

## 2. Data analysis

In order to respond to the research question fully, the data collected is presented, discussed and analyzed so as to identify changes on the centralized planning process and its environment resulting from the administration of the decentralization process. Hence, data on key educational issues, organizational structures, planning and budgeting processes, and stakeholder participation is analyzed in regard to the centralized and decentralized educational systems. Based on this focus, the centralized and decentralized educational planning and budgeting processes will be described and differences or similarities will be noted.

The views and attitudes of relevant stakeholders regarding the current educational and planning processes will also be articulated. Table 11 presents the summary of this procedure.

Table 11

Centralized and Decentralized Systems Data Analysis: Changes in Aspects of the System

System Elements	System Characteristics and Change Factors			
	Centralized System	Decentralized System	Aspects That Change	Aspects That Remain the Same
Organization Chart	- Description - Authority relationships - Responsibility Aspects	- Description - Authority relationships - Responsibility Aspects	- Differences between centralized and decentralized system practices	- Similarities between centralized and decentralized system practices - Lingering effects
Planning Process	- Description (Formulation - Implementation) - Plan goals, products; data needs, sources; plan use	- Description (Formulation - Implementation) - Plan goals, products; data needs, sources; plan use	- Differences between centralized and decentralized system practices	- Similarities between centralized and decentralized system practices - Lingering effects
Budgeting Process	- Description (Preparation - Utilization) - Budget types	- Description (Preparation - Utilization) - Budget types	- Differences between centralized and decentralized system practices	- Similarities between centralized and decentralized system practices - Lingering effects
Key Stakeholders	- Institutions - Persons - Interests - Roles and responsibilities - Attitudes/Values - Accountability	- Institutions - Persons - Interests - Roles and responsibilities - Attitudes/Values - Accountability	- Differences between centralized and decentralized system practices	- Similarities between centralized and decentralized system practices - Lingering effects
Others	- Policy and practice	- Policy and implementation	- level of commitment	- economic base

## CHAPTER IV

### STUDY FINDINGS

#### A. INTRODUCTION

The year 1991 was the watershed between the centralized and decentralized educational systems in Ethiopia. However, it was not till 1995 when a new constitution was installed that decentralization efforts were legally affirmed and fully implemented (Federal Negarit Gazeta Number 1, 1995). The centralized educational system existing before 1991 had two differentiating backgrounds. Before 1974, the educational system was designed under the monarchical rule of Haile Selassie I. In 1974, Haile Selassie's government was replaced by a military junta which gradually established a Military-Communist regime and continued to maintain a centralized educational administration that aspired to further communist principles and philosophy.

The educational systems during the centralized and decentralized governments in Ethiopia provide the background for understanding the implications of the current educational policy. For this purpose, the general features of these systems are discussed in this section.

The study findings on the planning and budgeting processes are discussed against this background. Furthermore, the processes are focussed on the roles and functions of the Planning and Budgeting units at all levels of the educational administrative structures. In addition, the roles and functions of these units are

presented in relation to the prevailing procedures under the different systems and the participation of stakeholders.

## **B. CHANGING CONTEXT**

Changes in the Ethiopian state superstructure have induced decentralization of the Ethiopian educational administrative system. An understanding of the implications of decentralization for educational planning in Ethiopia, resulting from these changes, requires a comparative review of the organizational arrangement for the centralized and decentralized state administration, in general, and the educational system administration, in particular.

### **1. State Administration**

The Ethiopian State was administered centrally before 1991. After 1991, there was a clear indication that the State administration was leaning towards a decentralized system. The recent Ethiopian Constitution approved in 1995 has made this tendency a reality. A comparative review of the centralized and decentralized States is presented in the following sections.

#### **i. Centralized State Administration**

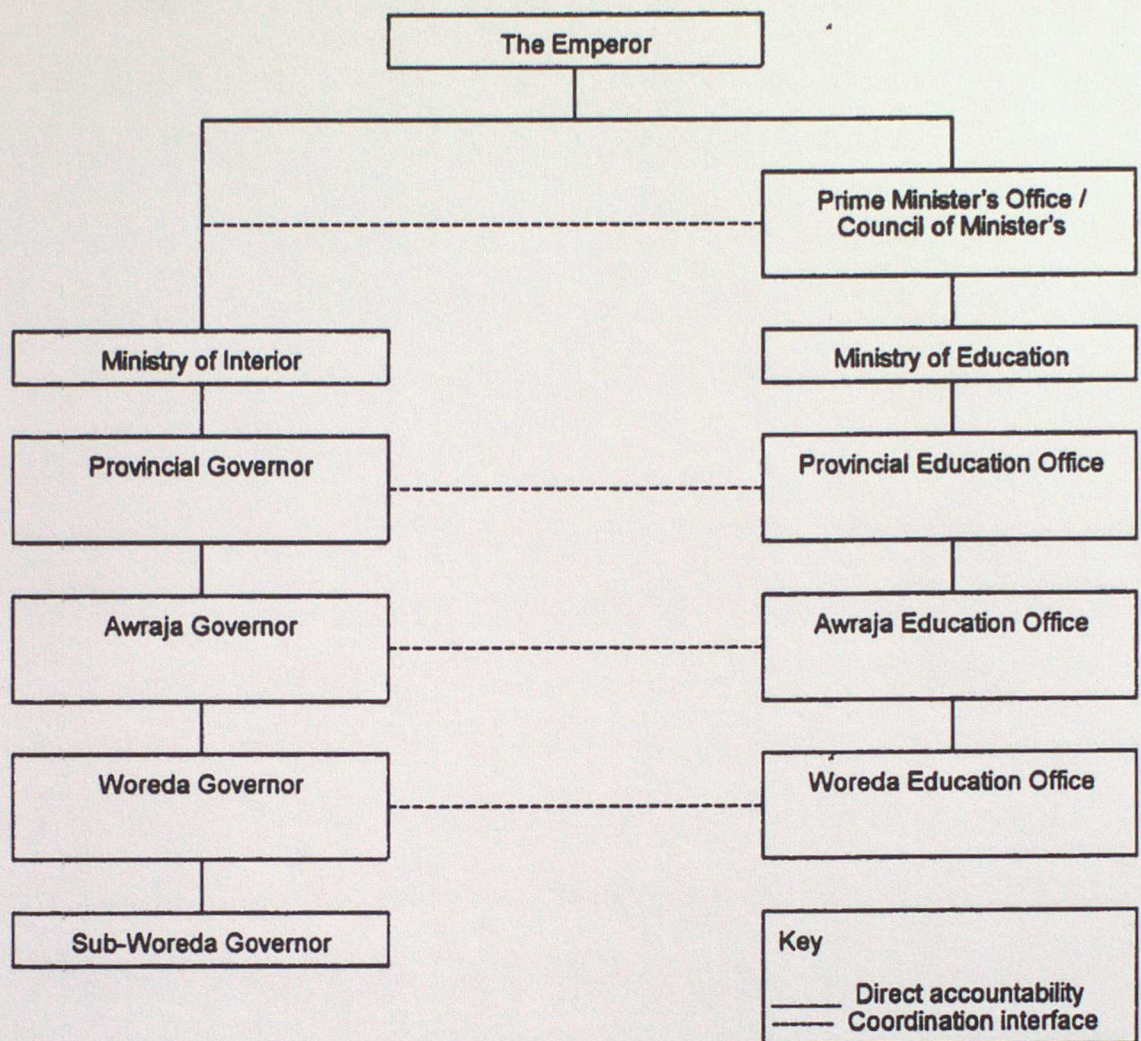
The centralized government under Emperor Haile Selassie I organized the country's administration under 14 provinces (Map 1). The Emperor appointed provincial governors who were mainly responsible for security and tax collection.

In administrative matters, the provincial governments were under the centralized responsibility of the Ministry of Interior. Other Ministries maintained direct responsibility for their respective services in the provinces. For example, the Ministry of Education, represented by Education Offices in the Provinces, had the sole central responsibility for education in the whole country (Figure 3).



Map 1. Provincial political and administrative organization under Emperor Haile Selassie's centralized government

Note. Adopted from Ethiopia: Power and protest - peasant revolution in the twentieth century, p. 31, by Tareke Gebru



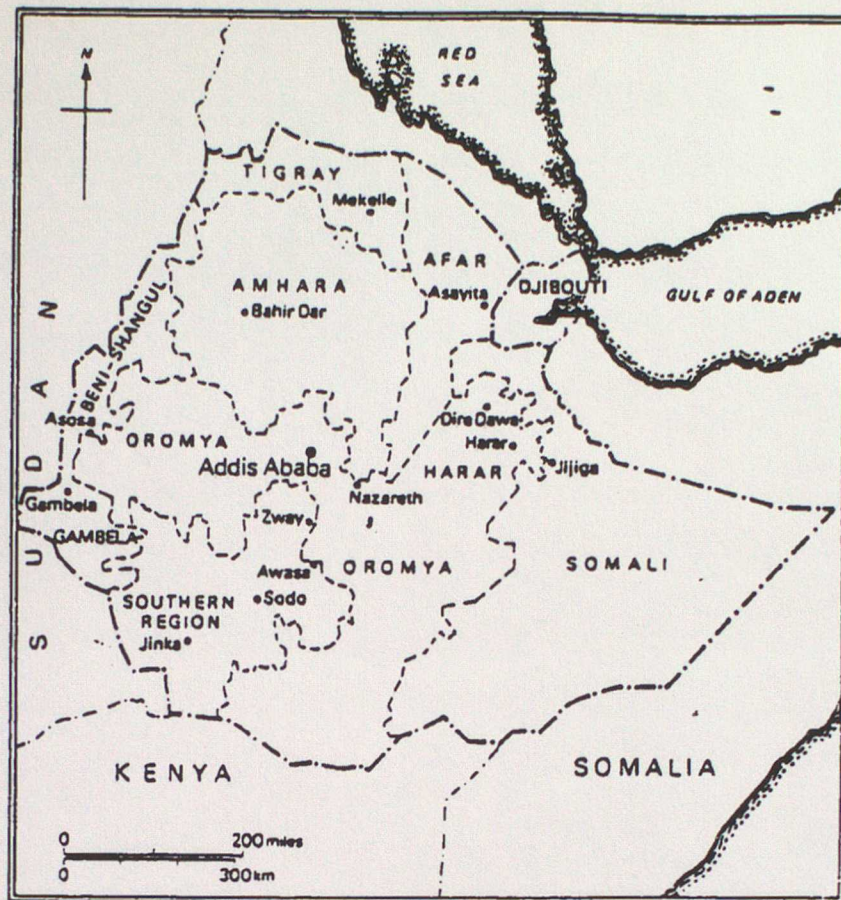
**Figure 3.** Organizational structure of provincial and educational administrations in Ethiopia during centralization

The Military-Communist government (1974-1991) maintained the same provincial administration, for the most part of its duration, with nominal changes. These changes sub-divided several provinces into regional administrations and created "autonomous" regions in politically sensitive areas (Map 2). Whatever



## ii. Federation and Regionalization

The Ethiopian Peoples Revolutionary Democratic Front (EPRDF), after successfully ousting the Military-Communist regime in 1991, established the Transitional Government of Ethiopia with the participation of hurriedly organized parties and national associations. The new leaders, however, had to settle outstanding political issues before establishing a federal system that involved the provision for democratic rights of various Ethiopian nations by creating decentralized self-government. For example, Eritrea's War with Ethiopia was settled by a referendum in favor of independence from Ethiopia. This step allowed the new government to focus on installing the federal system for the rest of the country consisting of 12 regional states (Map 3).



**Map 3.** Regional Political and Administrative Organization during the Federal Government

**Note.** Adopted from *Ethiopia from Bullets to the Ballot Box*, p 27, by Abraham Kinfe.

### *Regional State Mandates*

Consequently, the EPRDF set out to move towards decentralized regional administration the nature of which was encapsulated in the Constitution of 1995 which created a Federal system of government (Federal Negarit Gazeta, August 31, 1995). The constitution affirms the sovereignty of the Ethiopian nations,

nationalities and peoples and provides for a federal and regional state governments. Among others, a regional state has the following powers:

- to establish a State administration that best advances self-government ...,
- to enact and execute the State constitution and other laws,
- to formulate and execute economic, social and development policies, strategies and plans of the State
- to administer land and other natural resources in accordance with Federal laws,
- to levy and collect taxes and duties on revenue sources reserved to the State and to draw up and administer the State budget,
- to enact and enforce laws on the State social service and their condition of work, in the implementation of this responsibility it shall ensure that educational, training and experience requirements for any job, title or position approximate national standards.

#### *Regional State Function*

Accordingly, States (regions) were established on purely national basis in areas populated by major national groups (Map 3). In areas consisting of several demographically small nations, a region was formed by consolidating the minorities under one State. For example, the Southern Nations, Nationalities, and Peoples Regional Government is such a state formed of several minorities. Under the new Regionalization, the Ministry of Education does not have direct responsibility for education in the country other than policy and technical matters (Figure 4).

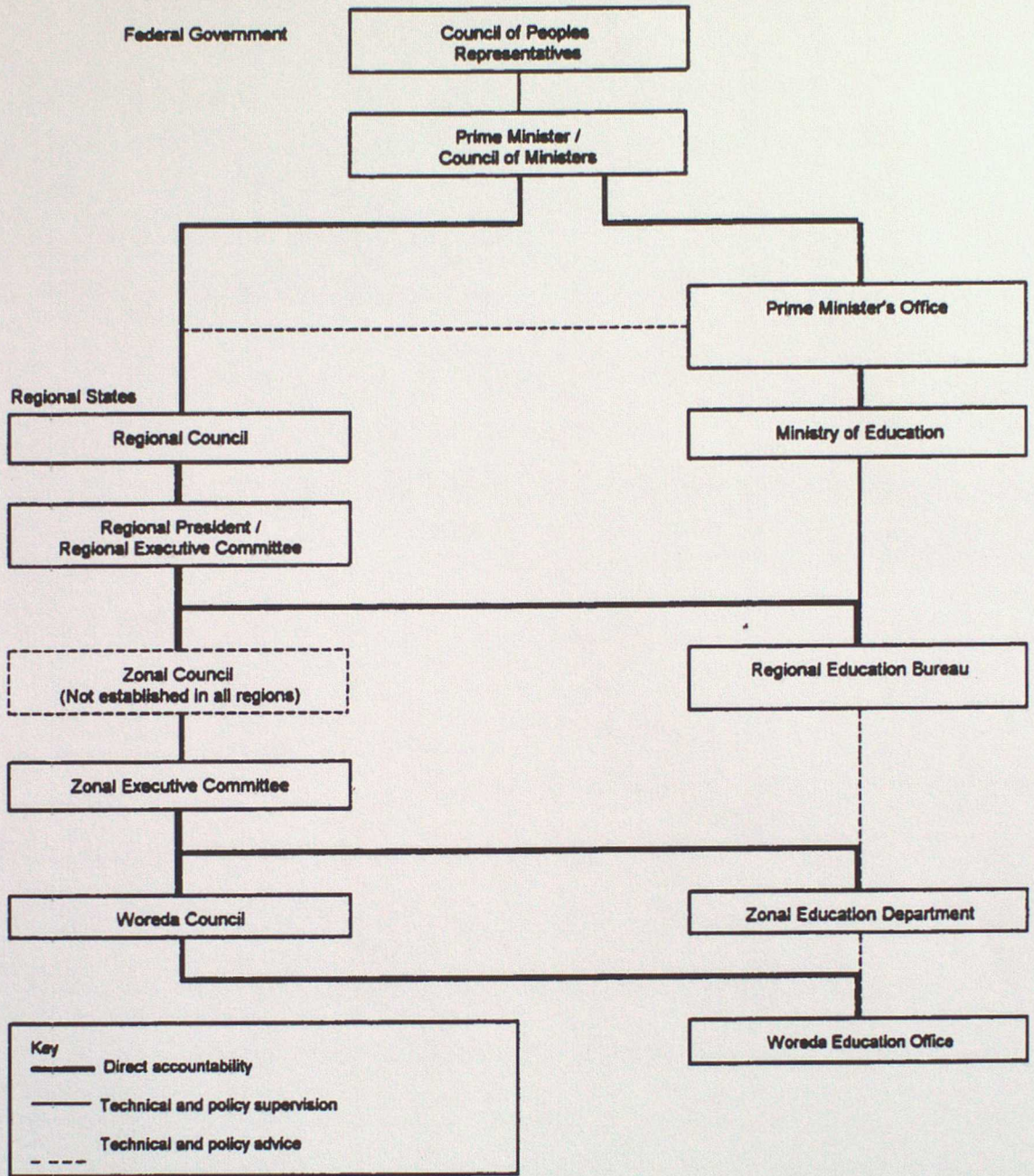


Figure 4. Decentralized organization established in 1995 for the administration of political matters and educational services in Ethiopia.

Note. Adopted from *Implementing sector development programmes in Ethiopia* by Stephen Lister, 1998, p. 25 (Draft).

## **2. Educational Administration**

The centralized state administration in Ethiopia which existed before 1991 espoused centralized educational administration. On the other hand, the federal system of government supported decentralizing educational administration.

### **i. Centralized Educational Administration**

The Ministry of Education located in the capital city was responsible for all educational policies and decisions. Some of these decisions concerned all aspects of educational programs, teacher education and training, and oversight of higher education. In addition, the Ministry maintained responsibility for hiring of teachers and key administrators including the inter-provincial transfer of such staff. The Ministry, among others, was also responsible for mass media education, and production and distribution of text-books. Staff units at the Ministry provided centralized services for planning and project preparation, auditing, inspection, administrative and financial control, and so forth. In the provinces, the Ministry of Education was represented by its Provincial Schools Office which implemented the Ministry's policies and key decisions. (See also Appendices A and B).

A recent collaborative study by the Government of Ethiopia and the World Bank (IDA) - Education Sector Review: Synthesis and Summary (ESR) - describes the nature of the centralized educational administration as follows:

Education management in Ethiopia had been highly centralised, with the central Education Ministry being involved to the lowest levels. The long bureaucratic chain was not only unresponsive to the needs

of the lower level of education services, but created a system characterised as inefficient and ineffective in terms of addressing the problems of education in the country (The PHRD Project Office, 1996, pp. 38-39).

In regard to the centralized management and organization of Ethiopia's educational administration in the past, the articulators of the current Educational Sector Strategy also concur with this assessment:

The educational organization is highly centralized, undemocratic and inefficient, without the proper delineation of authority, responsibility and accountability. It lacks professionalism and has hardly room for community participation" (TGE, b, 1994, p. 7).

## **ii. Decentralized Educational Administration**

Decentralization has introduced two tiers of educational responsibility, namely, the federal and regional state responsibilities. At the top level, the Ministry of Education's responsibilities are restricted to policy and related technical matters while policy implementation and the educational program initiatives and administrative responsibilities are transferred to the regional state level. Discussions with the Deputy Minister of Education affirmed that the current role of the Ministry of Education is restricted to providing the policy environment and technical support to regional education efforts. The new responsibilities which include setting standards, preparing national examinations, and providing support services, are indicated in the current organization for the Ministry of Education (Appendix C). These management arrangements are mandated by the legislative provisions (Negarit Gazeta Proclamations Number 41/1993 and Number 41/1995),

Education and Training Policy (TGE (a), 1994, pp. 29-31) and Education Sector Strategy (TGE (b), 1994, pp. 16-17). The Education Sector Review study of 1996 elaborates upon the accompanying management and administrative changes as follows:

The main managerial and administrative organs are: central, regional, zonal, woreda and institution levels. So far, the management and administrative of higher educational institutions is under the central ministry; whereas schools (all levels) and primary teachers training institutions are accountable to regional education bureaux. In line with this, the powers and duties of these main executive organs, centre and regions, are clearly defined by law (The PHRD, 1996, p. 39).

The Ministry continues to maintain responsibility for tertiary education while primary and secondary education, and teacher education and training is transferred to regional levels. The decentralization policy which is designed to alleviate the problems of centralization has instituted a management system

...with professional co-ordination through councils, co-ordinating committees, boards and associations. The educational institutions are becoming autonomous having full responsibility, authority, and accountability with the mechanism for the beneficiaries and society to participate in their overall activities (The PHRD, 1996, p. 39).

The distribution of responsibility for education at the federal and regional levels is presented in Table 12.

Table 12

Responsibilities for Education Management Under Ethiopian Decentralization

Area of responsibility	Ministry of Education	Regional Education Bureau	Zonal Education Department	Woreda Education Department
<b>Policy</b>	Proposes & Contributes to national policy	contributes to national policy (e.g. Through twice yearly Education Management Conference) & makes plans for regions on basis of national policy. Formulates regional policy	Prepares Plans to the REB	Makes proposals in certain areas to Zones
<b>Standard setting</b>	Sets standards	Implementation of standards	Implementation of standards	
<b>Examinations</b>	Preparation of national examinations	Implementation and supervision of national standards		
<b>Curriculum</b>	Set curriculum for secondary and higher education; assist in preparation of other school curricula	Preparation of primary and junior secondary curriculum	Provide feedback and implement curriculum	Ensure and implementation of curriculum in schools and provide feedback
<b>Inspection</b>		Inspects schools		
<b>Teachers</b>	Set standards and required qualifications (above); post secondary teachers to regions	Pays teachers; Recruit teachers and train primary teachers	Pays primary teachers; in-service training	
<b>Teaching &amp; learning materials</b>	Bulk procurement	Provision of text books and materials	Distribution of materials	
<b>School establishment</b>	Establish higher education institutions; license private higher institutions; set standards for institutions above	Establish schools and junior colleges, licenses private schools	Establish schools and vocational training centers	
<b>Data</b>	Collate national school census data & assist in system development	Collate regional data	Compile zonal data	Compile woreda data

Note: Adopted from Implementing Sector Development Programmes in Ethiopia by Stephen Lister, 1998, p. 28 (Draft).

### **3. Educational Features**

It is necessary to raise selected features of education in the Ethiopian context to conceptualize the challenges raised for educational planning. While the general aspect of these features is presented in a comparative way, it is clear that the centralized government in Ethiopia catered for a single nation state. On the other hand, the present federal system recognizes the interests of diverse self-governing nations, nationalities, and peoples.

#### **i. Educational Objectives**

Centralized education under Haile Selassie's government endeavored to produce an educated manpower for the bureaucratic machinery and that would participate in the professed modernization efforts required to build a single unified nation. It was repeatedly emphasized in various speeches of the Emperor that to be educated was to be modernized. During the Military-Communist regime, the objectives stressed the education of individuals who would participate in the building of a unified socialist state. According to Fassil's review of key educational reports and documents (p. 81), these objectives include ideological dissemination and "...preparing participants [students] for production, and to develop scientific as well as socialist consciousness. In the current system, the objectives reflect the ideals of providing education to produce individuals with the sensitivity to democratic prerogatives of others including human, cultural and social rights (TGE, a, 1994, pp. 7-11)..

## **ii. Educational Structure**

During the centralized system, the education structure, in part, consisted of pre-school (run by community or private organizations), primary school (Grades 1-8), junior secondary school (Grades 7-8), senior secondary school (9-12), and vocational and technical schools (Grades 9-12). (See Fassil, p. 84, for complete structure.) In principle, eight years of primary education was considered as universal education, although, no mechanism was established to enforce it. Similarly, eventhough the educational policy during centralization recognized the importance of pre-school training, the Ministry of Education did not operate such a system. Traditionally, as is the case to-date, a limited number of pre-school establishments is run by public, community and private organizations (ESR, 1996, p. 42).

The education structure of the decentralized system consists, in part, of pre-school, primary education - Grades 1-8, and secondary education - Grades 9-12 (ESR study, pp. 39-40). The same source states that primary education is organized as basic education cycle - Grades 1-4, and general education cycle - Grades 5-8. Furthermore, secondary education as organized as general education cycle - Grades 9-10 and senior secondary cycle - Grades 11-12. The senior secondary cycle bifurcates into vocational and technical training leading to the world of employment and academic education preparing students for higher education.<sup>2</sup>

## **iii. Key Educational Issues**

Educational quality, equity and relevance of curriculum and overcrowded

schools and classrooms were key issues that educators noted about the Ethiopian education during the centralized system. In regard to equitable distribution of education, for example, Fassil (pp. 59-61) notes that there was tremendous bias for concentrating educational resources and primary schools in urban areas, especially the capital city, an assessment that is shared by Abraham, p.221, and Tekeste, p. 8). These issues were precipitated by the educational policy, resource allocation priorities, and the nature of the centralized decisions that were prevalent during that period.

Educational policy makers, at present, declare that "[i]n the last 30 years the objective and relevance of education in Ethiopia has become questionable" (TGE(a), p. 1). This concern is also shared by Tekeste (p. 6).

The present policy makers believe that the main reason for such deterioration is "...the disproportionate allocation of government funds to the education sector which witnessed a decrease both in share and value over the last twenty years" (TGE(a), pp. 1-2). This lack of funds induced other "...factors which contributed to the decline of standards [such as] the scarcity of instructional materials, the overcrowding of schools which necessitated double and treble shifts in urban areas and the declining quality of teachers..." (TGE (b), p. 2). Furthermore, this assessment continues to assert that the inherited educational system was problem-ridden, in crisis, and that "...the few schools that are functioning are poorly equipped and badly managed" (TGE, a, p.2).

The present government took two practical steps to address these issues. Firstly, the Ministry of Education's budget was nearly doubled in 1994 providing for

substantial increase in teachers' salaries and other resources hitherto deemed inadequate. Secondly, the policy decentralized responsibility for education so that local educational authorities would deal with quality, equity and relevance issues by focussing on local needs and utilizing local resources.

#### **iv. Non-government Schools**

Private primary and secondary schools were encouraged during Haile Selassie's rule. Nonetheless, the Military-Communist regime nationalized privately owned schools for the same reason that for-profit enterprises were nationalized. Private schools were seen as enterprises for exploiting the people. The few exceptions were community schools, church-owned schools, and NGO-funded schools.

The Federal Government has reversed the trend by sponsoring a law that permits the operation of private schools. According to this law, the Regional Education Bureaus are responsible for licensing private schools and the Ministry of Education for licensing and accrediting colleges and universities operated by private organizations.

#### **v. Language of Instruction**

Since Amharic was the official language for the whole country under the centralized state administration, it was also the universal medium of instruction for Grades 1-6. However, English nominally replaced Amharic as the medium of instruction for all grades above the sixth grade.

The new policy provides for the use of the language of a majority nation in a given regional state as the medium of instruction for Grades 1-8. The English language remains as the official medium of instruction for Grades 9-12 and higher education in the federal system. The PHRD study (p. 52) states that 17 nationalities have "... started using their languages as media of instructions."

#### **vi. Standardized Examinations**

Three standardized examinations were administered for all schools during the centralized educational administration. The Ministry of Education prepared two country-wide examinations for students completing Grades 6 and 8. The Provincial Education Offices administered the examinations and processed the scores which were used (with the school's semester examinations) to determine passing students. The Ministry of Education also collaborated with the Addis Ababa University in administering the Ethiopian School Leaving Certificate of Education (ESLCE) at the end of the twelfth grade for determining entry to higher education.

Under the decentralized educational system, the Ministry of Education continues to maintain responsibility for setting standardized examinations for Grades 4, 8 and 10 consistent with the new educational structure. The Regional Education Bureaus are entrusted with the responsibility of administering the examinations. The ESLCE is to be used as a standardized mechanism for attesting Grade 12 completion only. Hence, higher education colleges prepare their own entrance examinations for selecting students who apply for admission to these colleges.

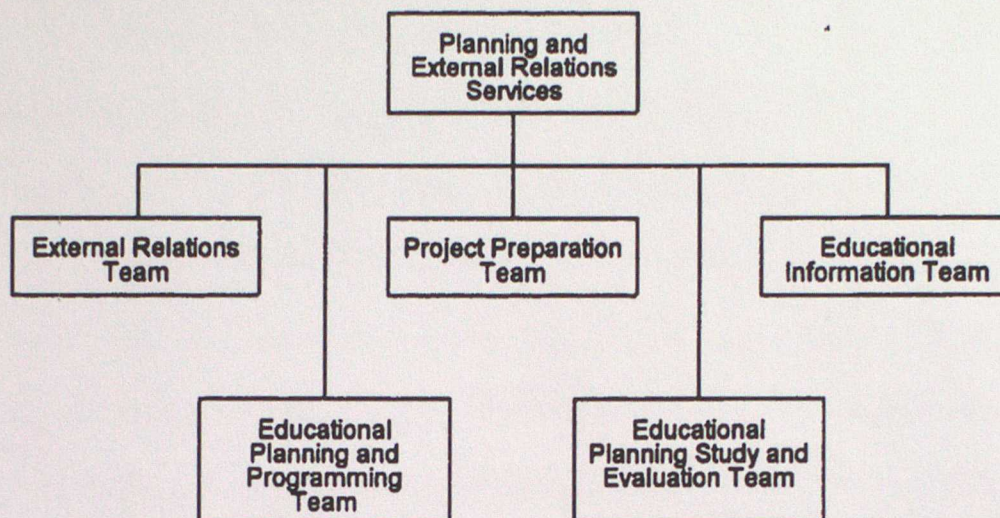
### **C. EDUCATIONAL PLANNING PROCESS**

The educational planning activities in Ethiopia consist of a variety of processes with specified outputs. Firstly, the process produces project plans to be submitted to the central planning office for securing funding opportunities. Secondly, the process compiles the Ministry of Education's consolidated plans and programs from information submitted by designated units in the Ministry. Thirdly, the process assembles educational statistics. Fourthly, the process evaluates the execution of educational plans and programs. These processes are discussed for both the centralized and decentralized educational planning processes in Ethiopia.

The history of Ethiopia's educational planning is rooted in a tradition of central planning which is prevalent to-date, especially, in regard to project plans.<sup>3</sup> Hence, in the case of the centrally controlled First Five-Year Plan and the Ten-Year Prospective plan of 1984, the Educational plans were prepared by a long-term Planning Committee and the participation of several professionals, respectively. However, the use of a planning unit staffed with teams or panels of experts is more reflective of the relatively recent approach for providing planning services by the educational authorities.

#### **1. Centralized Planning Process**

The centralized educational planning process in Ethiopia was performed by the Planning and External Relations Services (Figure 5, Appendices A and B). The details of the process under each functional responsibility is described in the following sections.



**Figure 5.** The Planning and External Relations Services Department during the centralized organization and management of Ethiopian education

**Note.** See Appendices A and B also.

#### *Educational Planning and Programming Process*

The Planning and Programming Team prepares and sends guidelines for preparing administrative and operational plans to Ministerial departments and Provincial Education Offices. These organizational responsibility centers prepare and submit plans covering the activities of the coming academic year. The departments at the Ministry's head office, the autonomous agencies, and the Provincial Education Offices submit administrative, operational, and project plans. These plans are reviewed and screened by a steering committee and, with the approval of the Minister of Education, distributed to higher authorities including the ONCCP.

### *Educational Information Process*

This process involves the collection of statistical data on school activities and demographic aspects which are used to compute educational indicators on the performance of the schools, students and teachers, and describe the conditions under which the school activities are performed. Based on the collected data, information on enrollment, repeaters, and so forth, are prepared by school level, age, gender, etc. for each province.

### *Project Preparation Process*

This process involves the preparation of project plans for classroom buildings, other school facilities, and equipment and furniture. The preparation of a project plan is initiated as a result of approved needs assessment, request from Provincial Education Offices, autonomous agencies and so forth.

The project plan is initially prepared for securing preliminary approval for funding considerations from the central planning office. Once this approval is secured based on the initial feasibility study of the project plan, the project cost estimates are secured from other government engineering design or purchasing units. After the project plan is fully completed with costs, it is ready for submission in the next year's capital budget proposal.

The Educational Planning and Programming Team, and the Project Information Team interface with the Project Preparation Team to provide technical support and information, respectively, during the project preparation process.

### *Planning Implementation Review and Evaluation Process*

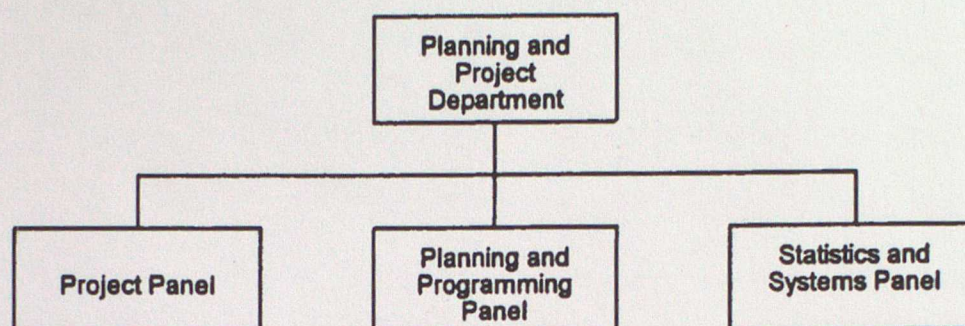
Administrative, operational and project plans are the focus of the review and evaluation process. Departments at the Ministry, autonomous educational agencies and Provincial Education Offices are requested to report on the state of implementation of the administrative and operational plans for which they were responsible. Similarly, the report on the execution of projects is received from the Project Implementation Department. These reports are compared with project plan goals to identify implementation success or failures. The reports are descriptive and presented under standardized outlines. However, they possess individual characteristics arising from the peculiarities of the report and the articulation of the reporter.

## **2. Decentralized Planning Process**

The new roles of the Ministry of Education and the Regional Education Bureaus have necessitated organizational changes. For example, the former Planning and External Relations Services is reorganized as the Planning and Project Department and appears at both the federal and regional levels of educational management (Figure 6, Appendix C). In accordance with this share of responsibility (also presented in Table 12), the main brunt of the educational planning function has shifted from the center to the regions:

The responsibility for planning and executing education development programs and projects other than tertiary level have been devolved to the regions. The responsibilities of the central Ministry of Education has been reduced regarding the lower levels to by and large regulatory body

in terms of the maintenance of standards. In addition, it will provide necessary technical assistance to the regions (The PHRD, 1996, p. 39).



**Figure 6.** The Planning and Project Department under the decentralized organization and management of Ethiopian education.

**Note.** See Appendix C also.

#### *Planning and Programming Process*

The Ministry of Education's Planning and Programming Team sends guidelines for preparing administrative and operational plans to the departments in the Ministry including autonomous units. These organizational responsibility centers prepare and submit plans covering the activities of the coming operational year.

In principle, the Educational Planning and Programming processes are performed at different levels. For example, the Woreda Education and Training Management Board prepares education plans and programs for primary education and secures approval from the Woreda Council. Similarly, the Zonal Education Department prepares educational plans and programs for secondary education and

secures approval from the Zonal Council or Executive Committee. The Regional Education Bureau prepares educational plans and programs for teacher training and junior college education which are submitted to the Regional Executive Committee and Regional Council for approval. In practice, however, the lack of sufficient manpower, especially, at the Woreda level curtails the actual production of these plans. The Regional Education Bureau is the only regional level unit that is capable of performing the planning and programming processes for its area of responsibility. The Zonal Education Department has better capacity than the Woreda Education Office for performing educational planning and programming activities and, generally, provides the Woreda with technical assistance in planning.

#### *Educational Information Process*

This process involves the collection of statistical data on school activities and demographic aspects which are used to compute educational indicators on the performance of the schools, students and teachers, and the school conditions under which the school activities are performed.

Statistical collection is initiated at two points, namely, at the Ministry of Education and at the Regional Education Bureau. The collection of the data is done simultaneously at the same period but not necessarily with a common set of data collection instruments. For example, the Ministry of Education sends four copies of data collection forms (in Amharic) to the Regional Education Bureau

which are, again, relayed to the Zones and Woredas so that School Directors are able to fill out the required data and information. The School Directors fill out the data collection forms in quadruplet and send them to the Woreda which retains one copy for all schools and sends the remaining three copies to the Zone. In turn, the Zonal Education Department retains one copy for all the schools in the Woredas and sends the remaining two copies to the Regional Education Bureau. The Regional Education Bureau retains one copy for all schools in the Zones and sends the final set of copies to the Planning and Project Department at the Ministry of Education. In certain regions, such as Oromia and Tigray, the Regional Education Bureau uses the region's national language to collect data. Thus information collected through this procedure is the basis for producing the bi-lingual Education Statistics by the Regional Education Bureau.<sup>4</sup> Educational statistical information is also collated at the Zonal and Woreda levels for their respective uses.

At the Ministry of Education and in the case of one Regional Education Bureau noted by the researcher, the data is processed electronically. According to one of the planners who participated in the interview, the Systems staff at the Ministry's Planning and Project Department is developing a computer software for collecting and processing educational statistics. The software which will be distributed to regional planners also will assist in simultaneous collection of data for both the country-wide and regional educational statistics needs and eliminate redundancy.

### *Educational Project Plan Process*

This process involves the preparation of construction projects such as classroom buildings and other school facilities and the acquisition of educational equipment and furniture. There are two independent project preparation processes performed at the federal and regional levels.

At the federal level, educational project plans are prepared by the Ministry of Education and submitted to the Ministry of Economic Development and Cooperation (MEDAC) for pre-approval for funding. MEDAC's approval at this stage indicates that funds will be sought for the project and that the process of preparing the project costs can resume. For this purpose, the Ministry of Education's Planning and Project Department interfaces with officially designated engineering or purchasing agencies to secure the cost estimates for the pre-approved project.

The project planning process at the regional level is similar in motive to that at the federal level. However, the Regional Planning and Economic Development Bureau is the regional level central planning unit that pre-approves project plans for funding purposes. MEDAC has no authority over regional project planning matters.

At the federal level, the Educational Planning and Programming Panel and the Statistics and Systems Panel cooperate closely with the Project Panel. At present, most planning units at the regional level are understaffed and the kind of technical interface noted at the federal level is not observed at the regional levels.

The Addis Ababa Regional Education Bureau appears to be an exception in that there were several planning staff members. However, based on casual observations during three occasions, the researcher noted that the four to five planners shared working tables in an office that was designed for one person. These planners were also manually computing data and entering them in oversized worksheets indicating that all regional offices were not sufficiently equipped with computers.

#### **D. EDUCATIONAL BUDGETING PROCESS**

The educational budgeting process in Ethiopia is affected by the type of funding procedure. For example, the processes for the recurrent and capital budgets follow, to some extent, different organizational channels, mainly, due to the difference in sources of funding. The funding for recurrent budgets is largely funded from the country's internal revenue. On the other hand, external funds are the main sources for capital budgets. The responsibility for securing funds for recurrent and capital budgets rests with the Ministry of Finance and the central planning office, respectively.

In both cases, the budget processes consist of preparation of budget proposals, securing approvals, allocation of appropriations, and managing budgeted expenditures. These aspects of the processes are the same during centralized and decentralized educational administration. However, during the centralized educational administration, the recurrent budget process includes the

reallocation of budget appropriations by higher education authorities to lower organizational units. The details of the centralized and decentralized budget processes are discussed in the following sections.

The recurrent budget process for education is implicitly linked to the educational planning and programming process. In other words, while educational plans and programs are mentioned in the introduction of the budget proposal, substantial details of such plans and programs do not appear in the itemization of the budget elements. The capital budget proposal process, however, is explicitly linked with the project plan preparation process. For example, project plans prepared by the Ministry of Education's planners are submitted to the central planning unit and pre-approved for funding and, then, included in the capital budget proposal. The details of the capital budget proposal also reflect the estimated project costs.

#### **1. Centralized Budgeting Process**

During the centralized educational administration, recurrent budget proposals submitted by the Ministry of Education are reviewed by a screening committee at the Ministry of Finance and capital budgets by another screening committee at the central planning office. Thereafter, the two budget proposals are consolidated and presented for review by the Council of Ministers which is the final step before submitting a recommended budget for legislation.

As soon as the Ministry of Education is informed of its appropriations, it

performs a process of reallocating the recurrent budget to lower level organizational units. Subsequently, the expenditure of appropriated budgets is regularly reported to the Ministry of Finance or its Provincial Branch Offices. In the case of capital budget appropriations, the Ministry of Education, in principle, applies appropriations as approved. The funding of capital budgets is managed by the Ministry of Finance while the central planning authorities control expenditures by maintaining an approval procedure. Hence, monthly expenditures of appropriations by budget centers are reported to the Ministry of Finance for recurrent budgets and the central planning unit for capital budgets.

#### **I. Recurrent Budget Process**

The budgetary process is similar for all budget centers. These budget centers are the Ministry of Education head office, the autonomous agencies, colleges, universities, and Provincial Education Offices.

All the budget related activities for the Ministry of Education head office and autonomous agencies, and the consolidation of the budget for all centers including Provincial Education Offices are performed by the Budget Section of the Ministry's Administrative and Finance Department (Appendix B). The Budget Section of the Administrative and Finance Department under the Ministry's Main Department of Higher Education conducts similar budgeting services for colleges and universities. The Budget Divisions use the line-item format to detail the financial information for all the processes described in the subsequent sections (Appendix D).

### *Recurrent Budget Proposal Process*

The Ministry of Education initiates this process based on a budget call from the Ministry of Finance. Subsequently, the Ministry of Education sends its own budget call to all budget centers.

The budget proposal preparation involves updating the budget executed during the current year with budgetary transfers corresponding to expected personnel transfers and budgetary requirements for new schools or expected expansions at existing sites. This updated budget is increased by a percentage that the Provincial Education Office calculates will absorb inevitable cuts by higher authorities and, thereby, leave a reasonable increase over the current year's budget.

A budget defense session held at the Ministry of Education allows the Head of the Educational Office and other budget centers to justify their respective proposals. During this session, the Ministry of Education's steering committee reviews the proposal item by item and trims the, usually, inflated requests submitted in anticipation of such cuts. Following the reviews, all the proposals are consolidated as the Ministry of Education's budget proposal.

The consolidated budget proposal is submitted to the Ministry of Finance where it is defended by the Ministry of Education during a review session held by the Ministry of Finance's steering committee. Subsequent to further cuts at this session, the Ministry of Finance reconciles the budgetary expenditures proposed by the Ministry of Education, and those of other Ministerial and public agencies,

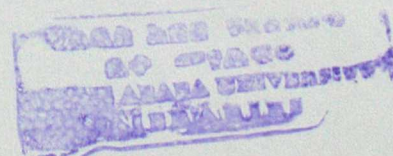
with the estimates of revenues and submits its recommendation to the Council of Ministers.

The Minister of Education defends the expenditure aspect of the educational budget at the Council of Minister's formal session. As the budget process has been subjected to aggressive scrutiny at various stages, approval at this stage is easily attained although the seriousness of the presentation is highly regarded as the session is chaired by the head of state or government or both.

The proposed budget presented by the Ministry of Education (and other Ministries) at the Council of Ministers' session is discussed, reviewed, and recommended for approval by the legislative body. Thereafter, the approved budget is legislated into law and the Minister of Finance authorized to make the appropriations.

#### *Budget Appropriation Reallocation Process*

The Ministry of Education disaggregates its appropriations by allocating budgetary funds to the Budget centers including Provincial Education Offices. The information on the budgetary allocation is sent simultaneously to the Ministry of Finance and the Provincial Education Offices. The Ministry of Finance, in turn, authorizes its Provincial Branch Offices to make payments to the Provincial Education Offices according to the Ministry of Education's allocations. However, the Provincial Education Office makes further allocations to Awraja and Woreda Education Offices and notifies the Provincial Ministry of Finance Branch Office to



make payments accordingly.

#### *Recurrent Budget Expenditure Process*

The Ministry of Education and other educational agencies located in Addis Ababa draw authorized monthly funds from the Ministry of Finance. The Provincial Education Office and other educational institutions located in the provinces receive their budgetary funds from the Provincial Ministry of Finance Branch Office. Similarly, the Awraja and Woreda Education Offices draw their monthly appropriations from the Awraja Ministry of Finance Branch Office.

At the end of the current month and before drawing funds for the coming month, a full report of all expenditures is submitted to the corresponding Ministry of Finance<sup>1</sup> office. This aspect of the budget process enforces the rule that funds which were not expended during the month that they were drawn have to be returned before any subsequent drawings.

#### **ii. Capital Budget Process**

The capital budget proposal preparation is prepared from project cost estimates provided by project planners and other educational units which have projects that are pre-approved for funding. Capital budget appropriations are not transferrable to other projects. Hence, legislated budgets are not subject to the reallocation process because both internal (Ministry of Finance) and external (donor) regulations ensure that such findings are specific to a given project.

### *Capital Budget Proposal Process*

The capital budget proposal for educational facility construction and other projects is prepared in response to the central planning office's budget call received by the Ministry of Education. The capital budget is prepared using the line-item format (Appendix E) and submitted to the central planning office.

The Ministry of Education rationalizes its funding request at a review and screening session held by the central planning unit's steering committee. The Minister of Education defends the proposal during this review session. On the other hand, the screening committee evaluates the fund requests relative to available funds (which are mostly externally garnered loans and assistance) and the project implementation performance in the case of on-going projects. After this review, the successfully defended project is submitted to the Council of Ministers for further review. The presentation of the capital budget at the Council of Ministers' session is done concurrently with the recurrent budget.

Subsequent to the formal review and evaluation by the Council of Ministers, the capital budget is recommended for approval by the legislative body where it is subsequently approved and made into law. The legislated budget authorizes the Ministry of Finance to make the related payments. Consequently, the Ministry of Education takes steps to implement the project in accordance with procedures spelled out for the expenditure of capital budgets.

### *Capital Budget Expenditure Process*

The Ministry of Education secures payment approvals for construction services rendered, and materials and equipment delivered or ordered. Based on this approval, the Ministry of Education requests the Ministry of Finance to make direct payments to contractors for work or services performed and to suppliers for materials or equipments delivered for implementing the project. Among others, information on identifying the project, the activities performed, the payee, the type of funds from which the payment is to be made are included in the Ministry of Education's request for fund release. At this point, the line-item format is used to indicate the budget item to be charged for these transactions.

## **2. Decentralized Educational Budgeting**

Currently, the educational budgetary process is differentiated at the federal and regional levels. The separation of the federal and regional responsibilities of education have placed independent budget processing routes. Accordingly, the Ministry of Education is responsible for the budgetary aspects related to the organizational units directly under the Ministry (Appendix C). Hence, the regional educational budget process is performed independently from the that of the Ministry of Education. (See Appendix F also.)

The Administration and Finance Department's Budget Division at the Ministry of Education (Appendix C) prepares budget proposals for the head office and autonomous agencies, notifies departments of allocated appropriations, and

manages budgetary drawings and reporting procedures. Similarly, the Budget Division under the Ministry's Administrative and Finance Department within the Main Department of Higher Education consolidates budget proposals from Colleges and Universities and assists in the presentation of the proposal documentation to the Ministry of Finance and the Ministry of Economic Development and Cooperation.

At the regional level, the Budget Division under the Regional Education Bureau's Administrative and Finance Department is responsible for all aspects of the Bureau's recurrent and capital budget processes. In principle, a similar organizational arrangement is to be established at the Zonal and Woreda levels. However, skeletal staff are utilized at these levels due to slow capacity building efforts.

#### **i. Recurrent Budget Process**

The Ministry of Education is the main educational organization responsible for most of the budget process at the federal level. The purpose of the budget process at this level is to secure and manage government appropriations for funding the educational and related programs of the Ministry of Education head office, autonomous agencies, colleges and universities at the federal level.

The Regional Education Bureaus, Zonal Education Departments, and Woreda Education Offices are the key educational organizations involved in the regional budget process. The government appropriations secured and managed

by these organizations are applied for educational programs and related administrative efforts conducted at the different levels of the regional organization.

*Recurrent Budget Proposal Process - Federal*

At the federal level, the budget call from the Ministry of Finance initiates the recurrent budget proposal process at the Ministry of Education. Similarly, at the regional level, the Regional Finance Bureau's budget call starts the Regional Education Bureau's recurrent budget proposal. The Zonal Education Department and the Woreda Education Offices also start their recurrent budget proposal processes after receiving budget calls from the Zonal Finance Department and the Woreda Finance Office, respectively. Recurrent budget proposals are prepared based on a fixed amount provided as a ceiling for the maximum funding to be requested.

The Ministry of Education prepares the budget proposal for funding the head office and autonomous agencies' activities related to general education. The Ministry of Education, through the Main Department for Higher Education, also consolidates budget proposals prepared by colleges and universities. All the proposals are reviewed and screened by the Ministry of Education's steering committee and submitted to the Ministry of Finance for further review and screening by its steering committee. After the committee's review and adjustments, the Ministry of Finance consolidates the budget proposal with its estimates of revenues. Subsequently, the Ministry of Finance's consolidated budget is reviewed by the

Council of Ministers and the final recommendations made to the Council of People's Representatives for approval and legislation. The legislated federal budget including subsidies to the regional governments are officially published in the Negarit Gazeta.

#### *Recurrent Budget Proposal Process - Regional*

The Woreda budget proposal for primary and secondary education in the Woreda is prepared by the Woreda Education Office based on the ceiling provided by the Regional Education Bureau. The proposal is, then, reviewed by the Woreda Education and Training Management Board and submitted to the Woreda Council for further review and approval. All such budget proposals approved by the respective Woreda Councils are compiled by the Zonal Education Department and submitted to the Regional Education Bureau.

The Regional Education Bureau compiles the budget proposals for all the Zonal Education. In addition to the Zonal Educational Budget, the Regional Education Bureau prepares a budget proposal for teacher training, junior college education and other educational responsibilities of the Bureau. The Zonal and Regional Education Bureau proposals are submitted to the Regional Executive Committee for review and recommendation to the Regional Council. Hence, the Regional Council using the Regional Finance Bureau's estimates of the region's internal revenue and subsidy needs, along with other state agency budget proposals, determines the regional appropriations for education and the federal

subsidy needed. Accordingly, the regional appropriations are legislated by the Regional council and the subsidy, when approved by the Council of People's Representatives, is legislated at the federal level. The federal legislation tables the regional subsidy appropriation by three funding categories such as domestic source, external loan and external assistance. The Regional Executive Committee with the approval of the Regional Council reallocates the lump-sum federal subsidy appropriation by sector. The Regional Education Bureau receives its share of the budget from that allotted to the social sector which includes development expenditures in education, health, urban and housing, and culture.

#### *Appropriations Disbursement Process - Federal*

The budget legislation authorizes the Ministry of Finance to dispense the regular appropriations to federal Ministries and agencies, and the subsidy appropriations to the Regional Finance Bureaus. Appropriations for the Ministry of Education head office, autonomous educational agencies, colleges and universities appear independently in the budget legislation (Appendix G). Therefore, the Ministry of Education does not perform reallocation of appropriations. However, the Ministry of Education and the other budget centers inform the Ministry of Finance the detailed application of their appropriations using the line-item format. This information assists the Ministry of Finance to manage and control monthly drawings and expenditures.

### *Appropriations Disbursement Process - Regional*

At the regional level, the Regional Finance Bureau is authorized to dispense the appropriations to Bureaus as legislated by the Regional Council. The Regional Education Bureau reallocates the lump-sum appropriation for education by Zone and the Zonal Education department, in turn, reallocates its share by Woreda. The Regional Education Bureau, the Zonal Education Department and the Woreda Education Offices prepare the detailed allocation of their respective appropriations using the line-item format and seek approval from their respective political centers. For example, the Regional Education Bureau's approval is received from the Regional Executive Committee. Similarly, the Zonal Education Department's approval is provided by the Zonal Council if it is established, otherwise, the Regional Education Bureau receives the approval from the Regional Executive Committee on behalf of the Zone. In the case of the Woreda Education Office, the detailed allocation of the appropriation is reviewed by the Woreda Education and Training Management Board and approval sought from the Woreda Council. Subsequent to these approvals, the Regional Finance Bureau, the Zonal Finance Department and the Woreda Finance Office are informed of appropriation reallocations on the basis of which the finance units are advised to make monthly payments.

#### **ii. Capital Budget Process**

The Project Unit of the Ministry of Education prepares a feasibility study and

submits it to the Ministry of Economic Development and Cooperation for a preliminary approval to be considered for public funding. In the case of construction projects, the information collected from an on-site need assessment conducted by the Project unit's professional experts; data provided by the Systems and Statistics Panel; social, economic and demographic data; and other factors such as political, historical and cultural considerations are used to justify the feasibility study.

After securing the pre-approval for funding, the project cost and time required for completing the project are estimated. A similar process takes place at the regional level with the Regional Education Bureau's Project Preparation unit securing a pre-approval for project funding from the Regional Planning and Economic Development Bureau.

The Project Design Unit, an autonomous government architectural and engineering service organization, prepares the engineering and other technical aspects required for providing a cost and time estimate for completing a construction project. The project for which a preliminary approval has been secured and a technical and cost estimates have been prepared is resubmitted to the Ministry of Economic Development and Cooperation with the request that the project be earmarked for funding. An approval at this stage allows the Ministry of Education to include the project in the Capital budget proposal for the coming year.

The project which has passed through the prioritization processes is included in the Ministry of education budget proposal for the coming year as soon as the

Ministry of Economic Development and Cooperation budget call is received. The Ministry of Economic Development and Cooperation consolidates the Ministry of Education's request with other similar requests and submits its capital investment program to the Council of Ministers for review and approval. The capital budget approved by the Council of Ministers is presented to the Council of Peoples' Representatives and, when approved, is made into law .

At this point, the Budget Unit of the Ministry of education assumes the responsibility for facilitating payments for the procurement of project materials or the delivery of contracted services related to a project.

#### *Capital Budget Proposal Process - Federal*

The Ministry of Education's capital budget proposal process is initiated in response to the budget call from the Ministry of Economic Development and Cooperation (MEDAC). The proposal is prepared for educational projects pre-approved for funding by MEDAC and, initially, reviewed and screened by the Ministry of Education's steering committee. The reviewed and adjusted proposal is, then, submitted to MEDAC's steering committee for further review and screening. During this review, the Minister of Education defends the proposal by rationalizing the need for the funding request. After taking the Minister's rational and policy parameters into account, the proposal is adjusted to match available funding. Subsequent to the adjustment, MEDAC's steering committee submits its recommendations of the appropriations and the proposal to the Council of

Ministers. The Minister of Education defends both the capital budget and the recurrent budget at a formal session of the Council of Minister's. Thereafter, the Council of Minister's recommendations are presented to the Council of the People's Representatives where the complete federal budget is discussed and made into law. The legislated appropriations are made in lump-sum by project. However, the detailed application of the capital budget appropriations is presented to the Ministry of Finance using the line-item format on the basis of which payments are made and expenditures controlled.

#### *Capital Budget Proposal Process - Regional*

The preparation of the regional budget proposal for educational projects is started in response to the budget call from the Regional Planning and Economic Development Bureau (RPEDB). The Regional Education Bureau prepares a consolidated capital budget proposal which includes projects pre-approved for funding by RPEDB as part of the Project Planning Process. The proposal is a consolidated request for project funding submitted by the Regional Education Bureau, the Zonal Education Department and the Woreda Education Office.

The proposal is submitted to RPEDB for an additional review and screening by a steering committee where the Regional Education Bureau Head defends and rationalizes the funding request. After the necessary adjustments, the steering committee in consultation with the Regional Finance Bureau determines the available regional appropriations and the federal subsidy required. The RPEDB's

recommendation is presented to the Regional Executive Committee.

The Regional Executive Committee further reviews and screens the proposal which is, again, defended and rationalized by the Regional Education Bureau. After making the necessary adjustments as a result of its review, the Regional Executive Committee submits its recommendations to the Regional Council. Subsequent to the review and approval of the educational capital budget proposal including other regional proposals, the Regional Council legislates the budget for the relevant local appropriations and approves the federal subsidy to be sought.

#### *Capital Budget Appropriation Release Process*

The budget proclamation published in the federal *Negarit Gazeta* informs all federal government budget recipients of appropriations. In a generic instruction, the proclamation authorizes the Ministry of Finance to release appropriations based on payment requests for services, materials or equipment acquired by the Ministry of Education according to the approved project funding. Similarly, the Ministry of Finance is authorized to transfer federal subsidy to regional states with the responsibility of monitoring expenditures and conducting related audits.

The Regional Finance Bureau is also instructed by the Regional Council to release capital budget appropriations according to the Regional Education Bureau's request for payments to contractors that have provided services, materials or equipment according to the approved project budgets.

### *Capital Budget Expenditure Process*

The Ministry of Education acquires contracted services, materials or equipment for project components with approved appropriations. In order to get the Ministry of Economic Development and Cooperation's approval for payment to the contractor, the Ministry of Education submits support documentation including invoices, receiving reports, budget item, amount of appropriations and other related information. Subsequent to MEDAC's approval, the Ministry of Education transmits the MEDAC's approval to the Ministry of Finance and requests it to make payments to the contractor. Both the Ministry of Education and the Ministry of Finance maintain simultaneous accounting to keep track of project expenditures and appropriation balances.

### **E. STAKEHOLDERS**

Educational program execution under centralization and decentralization require different organizational arrangements due to differences in policy, goals and strategies. The respective organizational structures display dissimilarities in the stakeholder participation, especially, in policy making, planning and resolution of key educational issues. Therefore, the role of stakeholders, as provided for by policy and organizational arrangements, is an important aspect in evaluating the implication of decentralization for educational planning.

Based on this organizational perspective, the institutions and individuals prevailing as key interest groups are discussed in this section. Accordingly, the

review of educational authority responsibilities at the different levels of the organizational hierarchy manifests the roles through which governmental, individual, and community interests are maintained

### **1. Ministry of Education**

The centralized functions of the Ministry of Education, among other responsibilities, included formulating educational policy, managing educational programs, acquiring foreign assistance, administering personnel, material and financial resources, providing planning, project preparation and management services. The planning and project functions, in particular, involved collecting and aggregating national educational indicators, preparing comprehensive educational plans that would be articulated as a component of the national strategic development plan, formulating projects, determining project implementation sites, and managing project implementation. Through its semi-autonomous agencies, the Ministry also maintained the national responsibility for preparing and administering national examinations, broadcasting educational mass media to supplement classroom instructions, producing and distributing educational materials, preparing and administering curriculum, constructing and maintaining educational facilities, and providing higher education.

Currently, the Ministry is a federal organ which assists the federal government in implementing educational policy initiatives and monitoring their implementation, preparing educational strategies as inputs to the federal strategic

plan, and researching and studying aspects of the federal educational system. The Ministry still retains its responsibility for the provision of higher education for the whole federal system. On the other hand, the Ministry's relationship with the regional educational authorities is reduced to providing assistance in the technical aspects of the decentralized educational system. For example, the Ministry provides technical assistance in planning and project preparation to the disadvantaged regions and technical training to key administrative and technical personnel from the regional educational authorities.

## **2. Local Educational Authorities**

During the centralized state administration, the role of the local educational authorities, like other Ministerial branch offices representing their respective central Ministries, was to represent the Ministry of Education. Hence, the Provincial Education Office reported directly to the Ministry of Education. On the other hand, the provincial governor was appointed by the head of state and reported to the Ministry of Interior (Keller, P.75). As a result, the governor was responsible for local security and collecting taxes on behalf of the central government. Under this arrangement, the relationship between the provincial governor and the branch offices of the central Ministries was somewhat loose, and confutative in nature, as the Ministries conducted their respective responsibilities in the provinces with direct central control. The central control was also strengthened because Provincial Education Office Heads and other key local educational administrators were

appointed by the Ministry of Education. As central Ministry appointees, the provincial educational administrators were loyal to the Ministry of Education, carrying out its central instructions devoid of local initiatives.

Under the decentralized state administration, the educational and other public sector authorities are organized under the responsibility of the local governments at the Regional, Zonal and Woreda levels. The local educational authorities under this system, are accountable to their respective governments for all of their actions in educational matters. At each level of government, there is an intensive interaction between the educational administration and the political center of that government. The political centers consist of democratically elected persons. Similarly, the Woreda Education and Training Management Board and the Parents' School Committee are key educational units that consist of elected individuals.

The interaction between administrative and political groups in deciding on resource allocation to education is made on a pre-determined inter-sector and intra-sector sharing of resources. Hence, budget issues and plan priorities are easily agreed upon because of these priority rules.

The Regional Education Bureau is responsible for the overall policy implementation, planning and administrative aspects of the pre-school, primary and secondary education. The Regional Education Bureau is responsible also for providing teacher training services. The Zonal Education Department is responsible for the technical and professional aspects of secondary school operations. The Woreda Education Office maintains a similar function for primary

education. In addition, the Woreda Education Office provides administrative support for primary and secondary schools. These supports include payroll administration, supplies and materials distribution, and preparing budget proposals. The technical responsibilities of the Zonal Education Office include facilitating forums for discussing curriculum and programmatic issues, evaluating training needs and conducting workshops and seminars.

### **3. School Level Authorities**

The School Director under centralized educational system conducted school affairs with the oversight provided by a Parents Committee or School Management Committee. The Parents Committee was a popular mechanism for gaining parents' support for school policies regarding uniforms, registration fees, fund raising, student discipline and other key issues. However, there was no legal basis mandating the establishment of Parents' Committees. Therefore, Parents' Committees were not universally adopted in government schools in as much as they were universally instituted in private and community. On the other hand, the establishment of the School Management Committee was enforced by government policy and it was established in all secondary schools. Its function was similar to that of the Parents Committee and its role was more than consultative. The school environment during the early periods of the Military-Communist regime (1974-1991) was a hotbed of political action and reaction. Hence, the School Director and the School Management Committee were expected to resolve key school issues while

maintaining the political interests of the government.

The decentralized administration of the secondary school has both legal and policy mandates that institute the formation of a Woreda Education and Training Management Board (MOE, 1995-1996, pp. 6-8). This Board has sweeping technical and administrative powers over secondary schools in the Woreda. The School Director reports to the Woreda Education and Training Management Board which, in turn, reports to the Woreda Council. The School Director conducts the administration of the school with the direction of the School Committee and in consultation with the Teachers' General Assembly. The administrative role of these two bodies is also mandated as part of the decentralization policy (MOE, 1995-1996, pp. 14-15). In addition, the policy provides for an optional institution of a Students' Council to further student interests, instill responsibility and ownership attitudes (in all students) in school matters, foster self confidence, learn about the needs of social rules and democratic practices through participation, develop respect for others and disciplined behavior, and maintain healthy relationship with other school constituency.

Teachers have the opportunity to get involved in resolving school issues through the general assembly, or through their representatives in the Woreda Board or the School Committee. Furthermore, the Teachers Association is active in maintaining teachers' interest at the school, Woreda, Zonal, Regional and Federal levels. Hence, the Association at the School level is always watchful on school level developments that may infringe upon the interests of its members.

## CHAPTER V

### ANALYSIS AND CONCLUSIONS

#### A. INTRODUCTION

The prevailing changes in the Ethiopian Educational System are consequences of two government initiatives. The first is the constitutional reform of 1995. The second is the Educational and Training Policy of 1994 which was introduced in anticipation of the constitutional changes. In tandem, these initiatives introduced decentralization of the school system and its management.

The constitution has introduced federal arrangements of government. Subsequent legislation has specified the powers of the federal and regional governments and their respective agencies. In this arrangement, the Woreda, in principle, has been accorded substantial political and administrative powers. In effect, the outcome is consistent with Rondinelli, Nellis and Cheema's Devolution as a form of decentralization and Lauglo's federalism as a strategy for political decentralization (Rondinelli, Nellis and Cheema, 1983, pp. 14-19; Lauglo, 1995, pp. 10-21).

The Educational and Training Policy and the complementary Educational Sector Strategy issued by the Transitional Government of Ethiopia in 1994 are developed along the same lines of the broader devolution. The fundamental motivation of the educational policy is to address historical educational issues which included, among others, overcrowded classrooms, teaching materials

shortage, neglected facilities and questionable curriculum. The strategy for alleviating these concerns places the management and planning of educational resources in the hands of regional and, most importantly, woreda administrative and educational authorities. In addition, the policy places curriculum reform, and teacher recruitment, development and compensation under regional responsibility. Through educational restructuring, the educational policy and sector strategy redirects educational efforts towards local development.

It appears that the timing of Ethiopia's decentralized educational policy had the advantages of learning from the recent experiences of the Russian Federation and the People's Republic of China. It also seems apparent that Ethiopia's constitutional reform is modeled on the experiences of the leading democracies such as the United States of America.

Nonetheless, these experiences are selectively adopted to fit the needs of Ethiopia. In this aspect, both the constitutional and educational reforms which produced strategies to address Ethiopian issues possess unique dimensions. Furthermore, the novelty of the strategies has induced organizational changes affecting educational planning and budgeting processes as well as activating traditionally passive stakeholders.

## **B. EDUCATIONAL PLANNING PROCESS**

The study confirms the notion predicted by the theoretical framework that the Ministry of Education is the single point for plan outputs in the centralized process

and that multiple levels of plan outputs are observed in the decentralized process. For example, in principle, the Woreda is mandated and expected to produce plans and programs regarding primary education, although, this is more of a potential than a current reality. During the field study, school directors have been observed to produce operational and academic plans. Furthermore, Regional Education Bureaus produce consolidated plans for the operational and academic aspects of the regional educational system. In addition, regionally processed project plans have become avenues for securing and utilizing educational facilities and resources without the filtering mechanism of the Ministry of Education. Likewise, educational data collection has shifted from a single point of aggregation at the central level to a multi-level compilation of information at, and relevant to, the federal, regional levels. As the producers of the plans also maintain the responsibility for execution of the plans, implementation ceases to be problematic as was noted in the theoretical review of centralized planning.

### **C. EDUCATIONAL BUDGETING PROCESS**

The type of budgets, namely, the recurrent and capital budgets remain the same during the centralized and decentralized educational administration. Nonetheless, organizational changes as well as preparation and formatting changes have affected the overall aspects of the budgeting process.

Changes in educational responsibilities have necessitated independent budget preparation, approval and management at the federal, regional, zonal and

woreda levels. Hence, there are two independent Budget Sections performing at the Ministry of Education and the Regional Education Bureau with equally independent budget units functioning at the Zonal Education Department and the Woreda Education Office. However, the Zonal and Woreda units are not fully staffed although the latter assumes key budgetary functions such as payroll disbursement.

In addition to the reorganization of budgetary units, the budget process is also affected by changes in format and preparation modes. For example, the line item format is replaced by the lump-sum budget to grant educational authorities flexibility in financial planning and distribution. However, the line item continues to be used for control purposes for budget management. Budget proposals are prepared based on a ceiling provided by higher authorities. Hence, the budget preparation consists of realistic bounds and assumptions unlike the time consuming and highly inflated incremental budget proposals of the centralized system.

#### **D. STAKEHOLDERS**

The Ethiopian reform has adopted strategies that direct group and individual interests towards local development and issues. Through regionalization, national and cultural groups have been brought into one fold. The language policy encourages such groups to develop as a unique national entity. Hence, the effect is the homogenization of groups. Furthermore, group interest is upheld by the active participation of its representatives at the Woreda level. For example, the

Woreda Education and Training Board members represent the Woreda Social Affairs, Woreda Education, the Woreda Women's Affairs, schools, Teachers Associations, communities, and parents. The Woreda Council which consists of elected members also provides a broader representation for group interests at the local level.

The policy recognizes the significance of individual interests and has taken steps for fulfilling such needs. For example, the educational policy caters for the student's development as an individual cultivating the reasoning skills and self-confidence. Likewise, performance-based salary and career structure reforms that promote the economic and professional interests of teachers are already in place.

#### **E. SUMMARY AND CONCLUSIONS**

The Ethiopian decentralization policy is an initiative from the top that was introduced as part of the political, social and economic reforms of the current government. The initiative is introduced as a government reform program much in the same way as the decentralization policy in the People's Republic of China. However, this initiative has succeeded to introduce actively pursued policies and strategies which reduce the impact of the traditional top-down authority. The result includes the placement of the bottom-up approach to development initiatives, the empowerment of stakeholders and the emergence of accountability at the lower administrative levels. (See Table 13 for overall summary.)

Table 13

Summary of Study Findings

System Elements	Characteristics and Changing Aspects of System		
	Centralized System	Decentralized System	
		Planned Changes	Actual Outcome
Political administration and its organization	Established a single central state with provincial governors appointed by the Emperor (or the Military-Communist leader, later) and provincial governments administered centrally by the Ministry of Interior	- Establishing federal and regional states with regional, zonal (sub-regional) and woreda (district) governments. Councils legislated and executive committees administered at each level of government.	- Zonal councils not established in all regions, otherwise, implemented as planned.
Educational management and organization	<ul style="list-style-type: none"> <li>- Ministry of Education (MOE) responsible country-wide for all levels of education and all aspects of educational programs</li> <li>- In the provinces, Provincial Education Offices implemented educational programs developed by the MOE, educational decisions and guidelines from MOE distributed through circular letters</li> </ul>	<ul style="list-style-type: none"> <li>- MOE to function as a federal organ responsible for policy recommendations, tertiary education and technical support for regional education</li> <li>- Regional Education Bureau to be responsible for teacher training; Zonal Education Department for secondary education; Woreda Education Office for primary education</li> <li>- The educational Bureau, Department and Office to be accountable to the respective Council and maintain technical relationship among themselves</li> </ul>	Implemented as planned. Capacity building is not planned for resulting, among others, with critical skilled manpower shortage
Educational planning / budgeting organization and process	The planning unit within the Ministry of Education was responsible for planning and external relations regarding the country-wide educational planning and programming, project planning, project evaluation, and educational data collection. All aspects of budgeting by MOE	- Independent planning and budgeting units to be established within the Ministry of Education and at the Regional Education Bureau. Activities to be focused on planning and programming including evaluation, project planning, and systems and data collection. Woreda entrusted with much of the basic planning for education, program and resource prioritization. Budgeting processed at the four levels of government	Planning at woreda level is not fully functional due to limited resources and novelty of responsibility. Budget process performed at all levels
Stakeholders	MOE officials, technocrats and bureaucrats, and Provincial Education Officers are the active stakeholders	MOE technocrats; regional/zonal/woreda educational authorities; women/community/parent/teacher to be active stakeholders through elected representatives	Implementation of educational board at woreda in progress; teachers career plans in place

In addition, reduced bureaucratic procedures and channels as well as procedural reforms provide the conditions for performing planning and budgeting processes efficiently. For example, the Woreda Education and Training Board is currently responsible for the Woreda educational plans and accountable to the Woreda Council for the plan implementation. Additionally, the elimination of the incremental approach to budget proposal preparation has increased the efficiency of the budget proposal process. Changes in budget formats also contribute to the efficiency of the budget process as the use of the line-item format is limited to certain aspects of the budget procedures.

Currently, regional educational plans are slated to be prepared by those who have primary responsibility for education at local and regional levels. Hence, the effectiveness of these plans is bound to increase as the plan ownership is associated with those responsible for local and regional education. Despite these encouraging developments, concerns regarding the welfare of disadvantaged regions, inter-regional resource transfers and capacity building are among the newly emerging issues. There is need for further study in order to assess the impact of these concerns on the Ethiopian decentralization process in education and the effectiveness of the present strategies utilized to deal with the prevailing educational issues.

#### **1. Historically Disadvantaged Regions**

A prominent area of concern that has emerged during the implementation of

the decentralization process is the situation of historically disadvantaged Ethiopian societies. Extreme neglect during the centralized Ethiopian administration has left these societies with highly undeveloped educational systems and devoid of trained manpower among its own nationals. However, diverse ways of alleviating the problem are in place.

The Prime Minister's Office maintains a department responsible for the affairs of historically disadvantaged nations, nationalities and peoples. Hence, the resource and technical assistance needs for the historically disadvantaged elements of Ethiopian society are closely monitored and provided for by this department.

Relatively developed regions provide special assistance to historically disadvantaged minorities in these regions. For example, historically disadvantaged minorities in the Southern Nations, Nationalities and Peoples regional state, are organized under the direct responsibility of the Regional Education Bureau. This arrangement, in part, is for providing compensatory services to alleviate existing problems. At the same time, it is a precautionary step taken to prevent the recurrence of undesirable treatments under zonal and woreda administrations where such disadvantaged societies are still a minority.

## **2. Inter-regional Relationships**

The regionalized responsibilities have encapsulated educational activities within each region. Educational plans and budgets are conceptualized within the

framework of the region. Hence, inter-region resource transfers which were easily taken care off during centralization are no more possible. For example, teachers currently working in one region cannot be transferred with their budgets to another region.

Inter-region cooperations, however, are established in diverse situation and on the basis of regional initiatives. For example, regions with teacher education facilities train teacher recruits sponsored by other regions which do not have such facilities. Certain regions provide technical assistance to neighboring disadvantaged regions which face difficulties in the technical aspects of education. For instance, the Tigray region often assists the neighboring Afar region - a historically disadvantaged nation with an underdeveloped educational system.

## **5. Capacity Building**

At present, the Woreda level which has been encumbered with new responsibilities is faced with manpower shortage. Tekeste (1996, p. 63) assessment indicates a manpower need for 7,000 persons at the Woreda Educational Office resulting from new responsibilities. On the other hand, the priorities for the regional capacity building efforts of the newly established College of Civil Services is limited in terms of the number of graduates and the type of professions taught. The manpower issue will persist as a key concern that will continue to undermine the progress of the decentralization process in Ethiopia if far reaching efforts are not instituted to resolve the problem.

## Notes

1. Glasnost translates into openness or hearing voices and perestroika into reconstruction.

2. The Educational Sector Review which recommended an educational structure similar to the current one was a total failure in 1974 because its strategies meant expanding rural education by utilizing teachers with low qualifications. This strategy implied that not only was the quality of education sacrificed in rural areas, education for students in urban areas was also in jeopardy due to the inevitable resource shift from urban to rural education. As a result, the measure was opposed by students and teachers in urban areas and failed to be implemented.

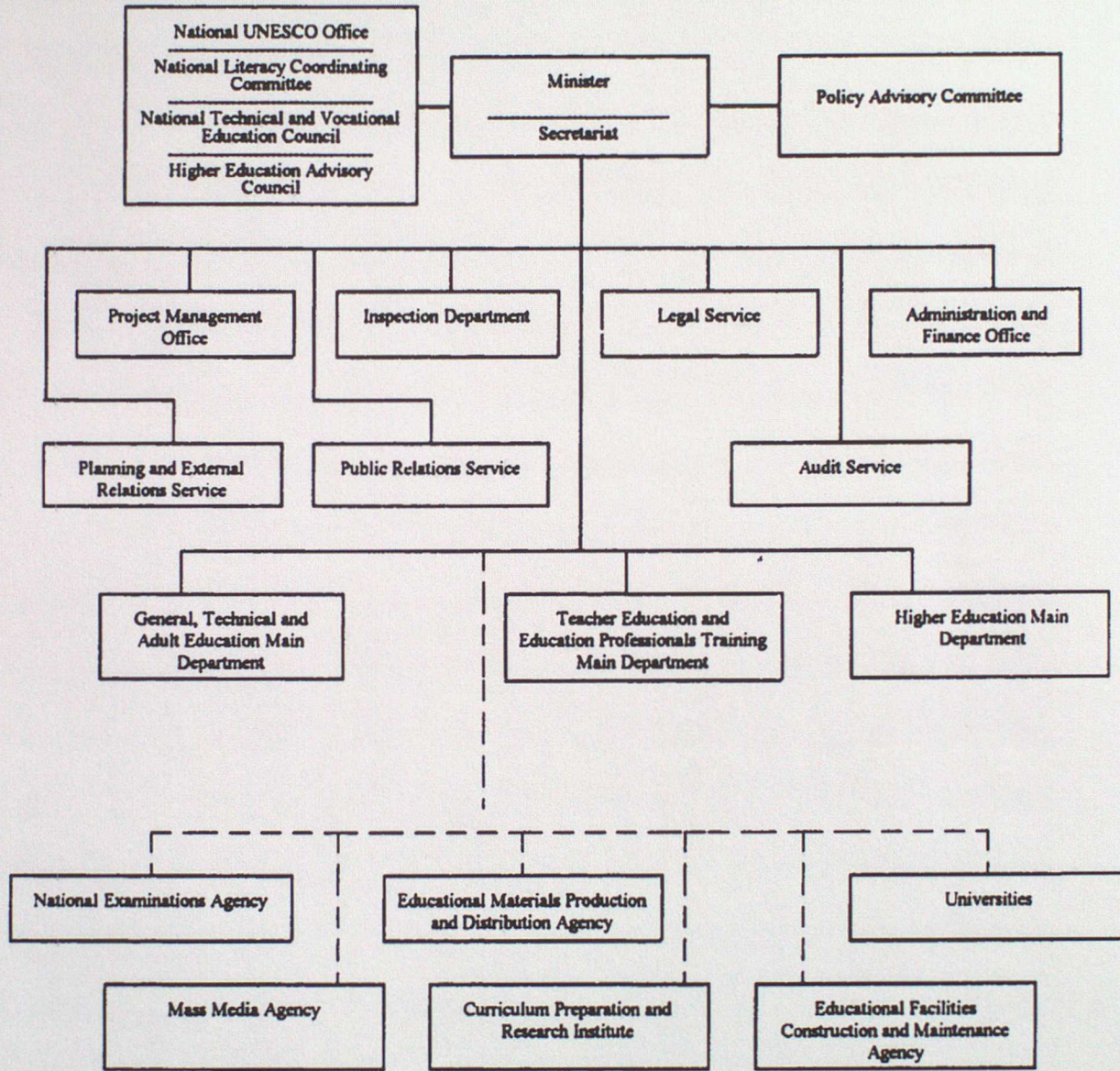
3. The Central Planning Commission (early 1950s - 1974) was the earliest central planning office, later, replaced by the National Revolutionary Development Campaign and Central Planning Supreme Council (1978 - 1984), in turn, replaced by the Office of the National Committee for Central Planning (1985 - 1991). T present, the Ministry of Economic Development and Cooperation assumes the central planning function at the federal level and the Regional Planning and Economic Development Bureau, at the regional level.

4. There are several combinations for Bi-lingual presentation of education statistics at the regional level. For example, Amharic and another regional language, English and a regional language, or Amharic and English. At the federal level, the education statistics is prepared in the English language.

## APPENDICES

Appendix A

Ministry of Education's Administrative Organization - Head Office and Autonomous Educational Agencies: Centralized Educational Administration in Ethiopia

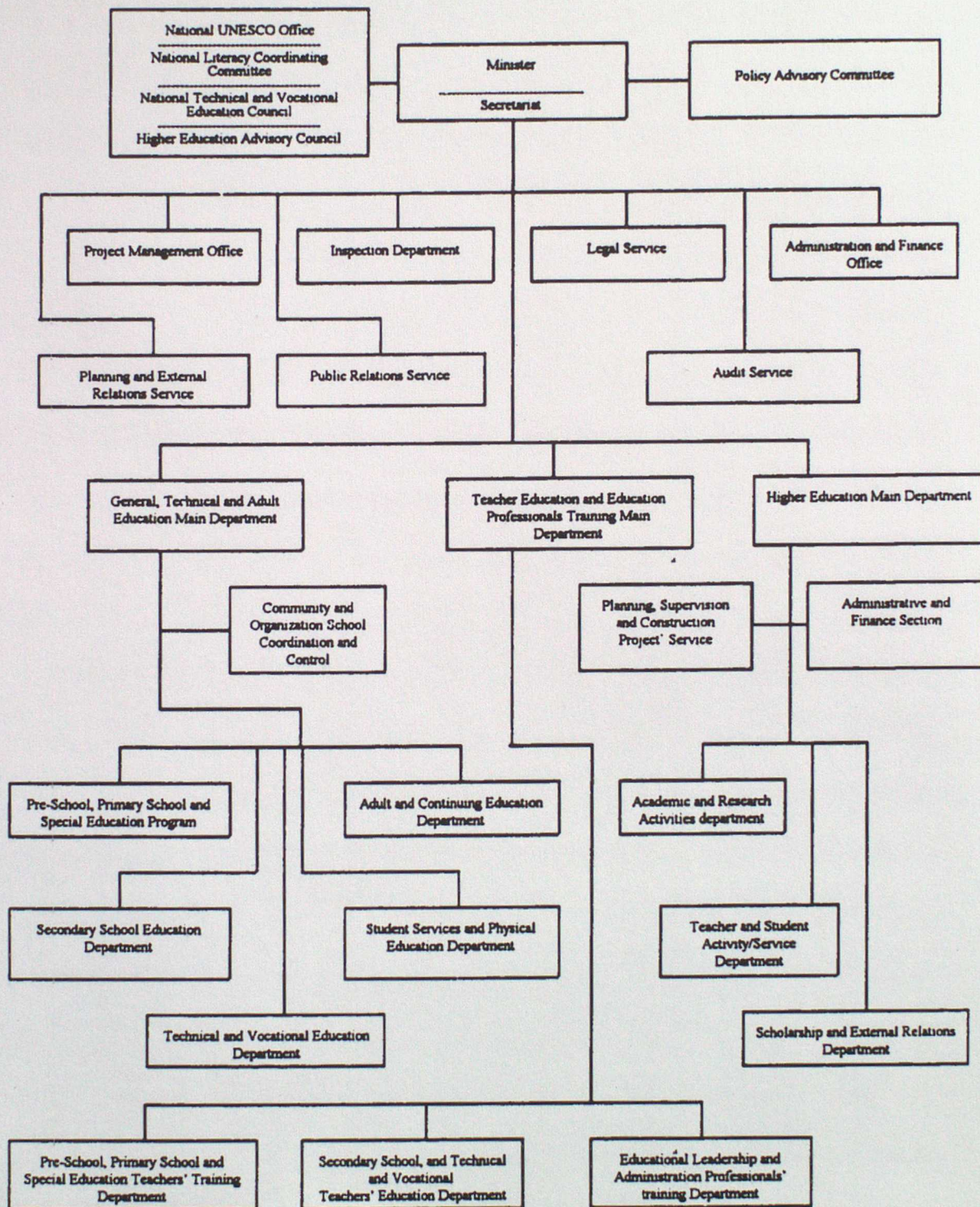


Note. Adopted from a single page diagram in Amharic provided by the Deputy Minister of Education

## Appendix B

## Ministry of Education's Administrative Organization - Head Office:

## Centralized Educational Administration in Ethiopia



Note: Adopted from a single page diagram in Amharic provided by the Deputy Minister of Education

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## Appendix D

## The Line Item Format - Recurrent Budget: Ethiopian Educational Management

Account Code	Items	Approved Budget for 19__ —	Proposed Budget for 19__ —	Increase (+) or decrease (-) in Proposal
	Total			
61	Personnel Services			
6102	Civil Personnel Salary			
6102	Civil Personnel Per Diem			
8103	Military / Police Personnel Salary			
6104	Military / Police Personnel Per Diem			
62	Non-personnel / contractual services			
6201	Postal, telegraph, telephone, utilities, etc.			
6202	Transportation, freight and related [expenses]			
6203	Printing and advertisement			
6204	Equipment, building, fence repair and maintenance			
6205	Vehicle repair and maintenance			
6206	Rent			
6207	Duty and tax			
6210	Contractual services			
63	Consumable / expendable items			
6301	Food			
6302	Drugs and medical equipment			
6303	Stationery and supply for teaching purposes			
6304	Clothing, uniform, mattress and bed sheets			
6305	Fuel, oil and grease			
6306	Consumable office supplies			
6307	Other consumable items			
64	Subsidy / sponsorship and contributions			
6401	Subsidy / sponsorship for individuals			
6402	Subsidy / sponsorship for organizations			
6403	Contribution for international organizations			
6431	Appropriations from internal revenue			
65	Vehicle and equipment purchase			
6501	Vehicle purchase			
6502	Other fixed assets including cattle			
66	Building construction and equipments for military use			
6601	Construction for military use			
6602	Guns, equipment and rounds (for military units only)			

Note: Adopted from printed forms provided by the Tigray Regional Education Bureau

## Appendix E

Line Item Format for Capital Budget: Federal Democratic Republic of Ethiopia -  
Ministry of Finance

	Title	Sub-Title	Project	Site Location	
Name					
ID Number					
Budget Expenditure Items	Acct. No.	Internal Funds	Foreign Aid	Foreign Loan	Total
<b>Study, Surveys &amp; Design</b>	<b>8100</b>				
Studies, Investigations & Designs	8101				
Engineering, & Technical Designs	8102				
<b>Equipment, &amp; Construction Works</b>	<b>8200</b>				
Residential Buildings	8201				
Other Buildings	8202				
Site Preparations, & Other Constructions	8203				
Materials, & Equipment	8204				
Transport, & Equipment	8205				
Office Equipment	8206				
Purchase of Animals	8207				
<b>Operations, Labor, &amp; Fund Expenses</b>	<b>8300</b>				
Project Management and Control	8301				
Labor	8302				
Project Administration & Maintenance	8303				
Fund Expenses (Interest, Commission, Insurance, and Others)	8304				
Duty and Tax	8305				
<b>Capital Transfer</b>	<b>8400</b>				
Capital Subsidy for Development Organizations	8401				
Loan and Advance Payment	8402				
Capital Aid	8403				

Note. Adopted from Ministry of Finance standard form.

## Appendix F

## Decentralized Budget Process: Logical Sequence for Budget Formulation

Federal Resource Allocation Agencies (PMO, MOF, MEDAC)	Federal Line Ministries (Including MOE, ...)	Regional Resource Allocation Agencies (RFB, RPEDB)	Regional Line Agencies (Including RHB, REB)
Review Total revenues (including anticipated aid, etc.), and determine overall resource envelope in macroeconomic context. Consider division of revenues between Federal Government and Regions (taking into account of representations from Regions)		Estimate Region's own revenue collection. Make representations on the Regions entitlement to Federal subsidy.	
Decide Federal subsidies to Regions, and aggregate expenditure targets for Federal Government. (Notify Regions of their subsidies)		Decide aggregate Regional expenditure target consistent with Federal subsidy. Split available resources between Recurrent Budget (RFB-supervised) and Capital Budget (RPEDB-supervised)	
MOF issues recurrent budget guidelines and ceilings line ministries.	Federal line Ministries prepare recurrent budgets within ceilings.	RFB issues recurrent budget guidelines and ceilings to line agencies.	Regional line Bureaus prepare recurrent budgets within ceilings.
MEDAC issues capital budget guidelines and ceilings to line ministries.	Federal line Ministries prepare capital budget within ceilings.	RPEDB issues capital budget , guidelines and ceilings to line agencies.	Regional line Bureaus prepare capital budgets within ceilings.
MEDAC consolidates Federal Capital budgets, together with Capital Budget from MEDAC, to form total Federal budget.		RPEDB consolidates Regional Recurrent budgets, and submits to RFB.	
MOF consolidates Federal Recurrent budgets, together with Capital Budget from MEDAC, to form total Federal Budget.		RFB consolidates Regional Recurrent budgets, plus Capital Budget from RPEDB. Presents consolidated budget (via Regional Executive Committee) to Regional Council for approval.	
MOF prepares consolidated Federal and Regional Budget, submission via PMO and COM) to CPR for approval and gazetting			
At start of FY MOF releases funds for implementation of Federal recurrent and capital budgets.	Line Ministries commence expenditure authorised by Federal Budget	At start of FY RFB releases funds for implementation of Regional recurrent and capital budget.	Line Bureaus commence expenditure authorised by Regional budget.

Note. From Implementing Sector Development Programmes in Ethiopia, p.41 (1998) by Stephen Lister.

## Appendix G

## Federal education recurrent budget for 1997-1998 fiscal year

ITEM NO.	APPROPRIATION FOR	AMOUNT
310	EDUCATION AND TRAINING	Birr 179,681,300
311	MINISTRY OF EDUCATION	171,558,900
01	Administration and General Services	6,996,600
10	Educational Mass Media Agency	2,517,700
11	Organization for National Examinations	12,766,100
13	Curriculum Development and Supervision Dept.	2,447,200
16	Ethiopian Community Schools in Assab	1,159,400
18	Bole Boarding School	50,000
19	Kotebe College of Teachers' Education	6,073,700
20	Addis Ababa College of Teachers' Education	4,149,300
21	Bahir Dar Polytechnic Institute	3,804,400
22	Ambo College of Agriculture	2,711,300
23	Jimma College of Agriculture	3,324,000
24	Addis Ababa University	57,207,300
25	Mekele University College	3,168,900
26	Alemaya University of Agriculture	13,116,900
27	Nazareth Technic College	4,264,600
28	Mekele Business College	3,046,200
29	Arbaminch Institute of Water Technology	4,917,200
30	Wondogenet College of Forestry	1,848,900
31	Jimma Health Sciences Institute	14,468,300
32	Awassa College of Agriculture	4,787,400
33	Bahir Dar Teachers' Training College	4,866,600
34	Gondar College of Medical Sciences	9,430,900
35	Dilla Health and Education College	4,436,000
312	ETHIOPIAN CIVIL SERVICE COLLEGE	Birr 8,122,400
01	Administration and General Services	8,122,400

## NOTE:

- (1) Relevant page adopted from the Negarit Gazeta, Number 83, 1997.
- (2) Budget is for fiscal year 1997-1998.
- (3) "Administration and General Services" under Ministry of Education is for head office only. Appropriations for other budget centers (autonomous organizations and agencies - detailed under the budget codes 01 ... 35) include "Administration and General Services" expenditures.
- (4) The Ethiopian Civil Services College is a new institution established to support the capacity building needs of the decentralized regional state administration. Hence, the College's appropriations are independent from that of the Ministry of Education because the Ethiopian Civil Service College operates under the direct supervision and sponsorship of the Prime Minister's Office.

**INTERVIEW QUESTIONS  
- MINISTER OF EDUCATION OR DEPUTY -**

\_\_\_ Minister of Education    \_\_\_ Deputy Minister of Education  
Name of Interviewee \_\_\_\_\_ Time: \_\_\_\_\_  
Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. What was the organizational structure of the Ministry of Education before decentralization? What major centralized responsibilities did it reflect? Please, provide a copy of the organizational chart.
2. What is the organizational structure of the Ministry of Education after decentralization? What major centralized and decentralized responsibilities does it reflect? Please, provide a copy of the organizational chart.
3. What are the major drawbacks of centralized educational decentralization in the Ethiopian experience that led to a decentralization policy?
4. What major goals does the decentralized policy endeavor to attain?
5. What are the strategies utilized to implement the decentralization policy? What preparations were made by the Ministry of Education or higher authorities to implement the decentralization policy?
6. How is the Ministry of Education assisting the regional, local and school educational authorities in efforts related to the implementation of the educational decentralization process?
7. What kind of assistance do regional, local and school educational authorities seek from the Ministry of Education regarding the implementation of the educational decentralization process?
8. What are the main responsibilities assigned to the Ministry of Education; regional, local and school educational authorities; parents and the community as provided by the decentralization policy?
9. What are the success indicators observed to-date in the implementation process of educational decentralization?
10. What are the drawbacks observed to-date in the implementation of the educational decentralization process?
11. What steps are planned to overcome these drawbacks by the Ministry of Education, federal regional or other authorities?
12. Which educational authority was responsible for hiring, transferring or firing regional educational heads, teachers and administrative staff before decentralization?
13. Which educational authority is responsible for hiring, transferring or firing regional educational heads, teachers and administrative staff since decentralization?
14. Does decentralization provide for harnessing local finance and other resources for educational purposes? Please, give examples if there are instances where such has been the case.
15. How are regional educational authorities responding to, or coping with, decentralized responsibilities? Are these authorities taking initiatives to deal with local needs?

16. What benefits has decentralization provided to regions currently?
17. Is the Ministry of Education making arrangements for partnership with the private sector? What are these initiatives?
18. Does the Ministry of Education provide the general public with information regarding educational matters? If so, please give instances.
19. Are there any entities opposed to any aspect of the decentralization process? If so, please, indicate to which aspects and provide examples? How is such opposition manifested?

**INTERVIEW QUESTIONS**  
**- MOE PLANNING AND PROGRAMMING SERVICES HEAD OR DELEGATE -**

\_\_\_ Head: MOE Planning and Programming Head \_\_\_ Delegate: MOE-P&P  
\_\_\_ Other, title: \_\_\_\_\_ Name of interviewee: \_\_\_\_\_  
Time: \_\_\_\_\_  
Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. How is your department organized in the current decentralized system? Please, provide an organization chart for your answer.
  
2. What were the educational plans produced centrally at the Ministry of Education before decentralization? What were these educational plans utilized for?
  
3. What were the main steps or procedures followed in the educational planning process during the centralized planning system? What planning information was collected; from where was it collected, and how was it collected? How was the planning information aggregated at the Ministry of Education?
  
4. What are the educational plans produced centrally at the Ministry of Education currently, i.e., after decentralization? What are these educational plans utilized for? Which ones are mandated by higher authorities? Which ones are produced on the basis of Ministry needs and initiatives? Which ones are produced for international organizations and what is their regularity?
  
5. What are the main steps or procedures followed in the current decentralized educational planning process? What planning information is collected; from where is it collected, and how is it collected? How is the planning information aggregated at the Ministry of Education?

**INTERVIEW QUESTIONS  
- MOE BUDGET DIVISION HEAD OR DELEGATE -**

\_\_\_ Head: MOE Budget Division    \_\_\_ Delegate: MOE Budget Division  
\_\_\_ Other, title: \_\_\_\_\_    Name of interviewee: \_\_\_\_\_  
Time: \_\_\_\_\_  
Date: \_\_\_\_\_    Place: \_\_\_\_\_

1.    How is your department organized in the current decentralized system? Please, provide an organization chart for your answer.
  
2.    What is the budget preparation process after decentralization? Please, specify the preparation, aggregation, budget defense and approval, and important budget calendar dates to be followed by the major budget centers or units.
  
3.    What are the sources of educational funding currently? How is the current system of educational financing different from that peculiar to the centralized system of education?
  
4.    What are the financial responsibilities assigned to the Ministry of Education; regional, local and school educational authorities educational fund contributions and budgetary administration in the current decentralization system?
  
5.    What are the financial responsibilities assigned to school parents and the community for educational funding during the current decentralized system of education? What are the responsibilities of these entities for budgetary administration during this period?

**INTERVIEW QUESTIONS  
- REGIONAL EDUCATION BUREAU HEAD OR DEPUTY -**

\_\_\_ Head: Regional Education Bureau    \_\_\_ Deputy: Regional Educational Bureau  
Name of interviewee \_\_\_\_\_ Time: \_\_\_\_\_  
Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. What is the organizational structure of the regional educational system after decentralization? What major centralized and decentralized responsibilities does it reflect? Please provide a copy of the organizational chart.
2. What are the major drawbacks of centralized educational systems in the Ethiopian experience, in general, and in the context of regional issues, in particular, that led to a decentralization policy?
3. What major goals does the decentralized policy endeavor to attain?
4. What are the strategies utilized to implement the decentralization policy? What preparations were made by the regional, local and school educational authorities to implement the decentralization policy?
5. How are the federal Ministry of Education assisting, regional educational and administrative authorities, and other bodies assisting the regional, local and school educational authorities in efforts related to the implementation of the educational decentralization process? Please mention the type of assistance being provided and examples.
6. What kind of assistance do regional, local and school educational authorities seek from the Ministry of Education or other authorities regarding the implementation of the educational decentralization process? Has the needed assistance been provided? Who provided the assistance?
7. What are the main responsibilities assigned to the Ministry of Education; regional, local and school educational authorities; parents and the community as provided by the decentralization policy?
8. What are the success indicators observed to-date in the implementation process of educational decentralization?
9. What are the drawbacks observed to-date in the implementation of the educational decentralization process?
10. What steps are planned to overcome these drawbacks by the Ministry of Education, federal regional or other authorities?
11. Which educational authority is responsible for hiring, transferring or firing local (zonal) educational heads, teachers and administrative staff since decentralization?

12. Does decentralization provide for harnessing local finance and other resources for educational purposes? Please, give examples if there are instances where such has been the case.
13. How are regional and local educational authorities responding to, or coping with, decentralized responsibilities? Are these authorities taking initiatives to deal with local needs?
14. What benefits has decentralization provided to regions and local areas currently?
15. Is the regional educational authority/office making arrangements for partnership with the private sector? What are these initiatives?
16. Does the regional educational authority/office submit an annual report to higher authorities on the state of the regional educational system? If so, is a copy of the recent report available for this study?
17. Does the regional educational authority/office provide the general public at the regional level with information regarding educational matters? If so, please give instances.
18. Are there any entities opposed to aspects of the decentralization process? If so, please, indicate to which aspects and provide examples? How is such opposition manifested?

## INTERVIEW QUESTIONS

## - REGIONAL EDUCATION PLANNING AND PROGRAMMING SERVICES HEAD OR DELEGATE -

\_\_\_ Head: Regional educ. Planning Dept (REPD) Head \_\_\_ Delegate: REPD

\_\_\_ Other, title: \_\_\_\_\_ Name of interviewee: \_\_\_\_\_

Time: \_\_\_\_\_

Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. How is your department organized in the current decentralized system? Please, provide an organization chart for your answer.
2. What are the educational plans produced at the regional level currently, i.e., after decentralization? What are these educational plans utilized for? Which ones are mandated by higher authorities? Which ones are produced on the basis of regional needs and initiatives?
3. What are the main steps or procedures followed in the current decentralized educational planning process? What planning information is collected; from where is it collected, and how is it collected? How is the planning information aggregated at the regional level? What information is sent to higher authorities for aggregation at that level? Do you supply international organizations with information directly, and, if so, at what regularity?

**INTERVIEW QUESTIONS**  
**- REGIONAL EDUCATION BUREAU BUDGETING DIVISION HEAD/DELEGATE -**

\_\_\_ Head: REO Budgeting Dept. (REO-BD)      \_\_\_ Delegate: REO-BD  
\_\_\_ Other, title: \_\_\_\_\_ Name of interviewee: \_\_\_\_\_  
Time: \_\_\_\_\_  
Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. How is your department organized in the current decentralized system? Please, provide an organization chart for your answer.
  
2. What is the budget preparation process currently employed? Please, specify the preparation, aggregation, budget defense and approval, and important budget calendar dates to be followed by the major budget centers or units.
  
3. What are the sources of educational funding currently? What percentage is funding from international sources of the total educational budget for the current budget year? How is the current system of educational financing different from that common to the centralized system of education?
  
4. What are the financial responsibilities assigned to school parents and the community for educational funding during the current decentralized system of education? What are the responsibilities of these entities for budgetary administration during this period?

## Appendix N

**INTERVIEW QUESTIONS  
- TEACHERS' ASSOCIATION PRESIDENT / CHAIRPERSON -**

Name of Teachers' Association: \_\_\_\_\_ Level: \_\_\_\_\_ Regional  
\_\_\_\_\_ School \_\_\_\_\_

Name of Interviewee: \_\_\_\_\_ Title of Interviewee: \_\_\_\_\_

Time: \_\_\_\_\_

Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. What are your general views about the decentralization policy?
  
2. Is the decentralization currently empowering teachers? If so, how is this manifested?
  
3. If the decentralization process is not empowering teachers, what is your association doing about it? Are there occasions when you have made your associations' position in this aspect communicated to educational and other public authorities, in particular, and to the public, in general? How were such communications made?
  
4. What are the teacher-related issues that the decentralization process should address currently and potentially?

**INTERVIEW QUESTIONS  
- CIVIL SERVICE COLLEGE PRESIDENT OR DEPUTY -**

\_\_\_ President: Civil Service College \_\_\_ Deputy: Academic Vice President - CSC  
Name of Interviewee: \_\_\_\_\_ Time: \_\_\_\_\_  
Date: \_\_\_\_\_ Place: \_\_\_\_\_

1. What are the training programs that are geared towards the implementation efforts of the federal decentralization policy?
  
  
  
  
  
  
  
  
  
  
2. Please, provide statistical information or profile on the type of personnel that these training programs have produced to-date.
  
  
  
  
  
  
  
  
  
  
3. In what way is the manpower requirement for the decentralization efforts of education provided for by the existing training programs? If the existing programs do not cover such a need, what are the future plans for doing so?
  
  
  
  
  
  
  
  
  
  
3. In what way is the manpower requirement for the educational planning manpower needs for decentralized education provided for by the existing training programs? If the existing programs do not cover such a need, what are the future plans for doing so?
  
  
  
  
  
  
  
  
  
  
4. What are the entry requirements for candidates joining a training program? How is the demand and supply of trainees determined? What is the process followed by candidates joining a training program?

## INTERVIEW QUESTIONS: SCHOOL DIRECTORS

PART - I

Please, provide the information required in the different sections below by writing the answer or placing a tick mark (as required) in the space provided for each answer:

## SECTION A - about your school

1. Where is your school located?

\_\_\_\_\_ Region number  
 \_\_\_\_\_ Region name  
 \_\_\_\_\_ City/town

2. When was your school established?

\_\_\_\_\_ Year

3. What is the estimated student population in your school this year?

## 3.1 Day students:

\_\_\_\_\_ Number of female students  
 \_\_\_\_\_ Number of male students  
 \_\_\_\_\_ Number of all students

## 3.2 Evening students:

\_\_\_\_\_ Number of female students  
 \_\_\_\_\_ Number of male students  
 \_\_\_\_\_ Number of all students

4. How many shifts does your school use to schedule classes?

\_\_\_ One \_\_\_ two \_\_\_ three

5. Does your school have any of the following:

Football ground? \_\_\_ Yes \_\_\_ No  
 Basketball court? \_\_\_ Yes \_\_\_ No  
 Volleyball court? \_\_\_ Yes \_\_\_ No

6. If any of your answers to item 5 is no, does the school plan to change the situation in the foreseeable future? Briefly state how?

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7. What are the actual teaching load (periods per week, per teacher) distribution in the current

semester for those teachers assigned to teaching duties only?

- Minimum  
 Typical (Average)  
 Maximum

SECTION B - about yourself

8. What is your gender?

Female  Male

9. How old are you?

\_\_\_\_\_ Years

10. What is your present salary?

\_\_\_\_\_ Birr

11. How many years have you served as a school director in this school only?

\_\_\_\_\_ Years

12. How many years have you served as a teacher in this school only?

\_\_\_\_\_ Years

13. Have you worked in a school other than the one where you are a director now?

Yes  No

14. If your answer to item 13 is yes, specify in what capacity and for how long:

\_\_\_ mainly as school director for about \_\_\_\_\_ years.

\_\_\_ mainly as school teacher for about \_\_\_\_\_ years.

Specify other:

\_\_\_\_\_ for about \_\_\_\_\_ years.

\_\_\_\_\_ for about \_\_\_\_\_ years.

\_\_\_\_\_ for about \_\_\_\_\_ years.

\_\_\_\_\_ for about \_\_\_\_\_ years.

15. Do you currently (this semester) teach in this school in addition to your responsibility as a school director?

Yes  No

16. If your answer to item 15 is yes, what subjects?

Subjects:

\_\_\_\_\_

Periods per week:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

17. To which of the following nations or nationalities do you belong by birthright?

\_\_\_ Amhara  
 \_\_\_ Gurage  
 \_\_\_ Hadya  
 \_\_\_ Kaffa  
 \_\_\_ Kembata  
 \_\_\_ Oromo  
 \_\_\_ Sidama  
 \_\_\_ Tigray  
 \_\_\_ Other: (Please print) \_\_\_\_\_

18. Please, indicate the educational level you have completed:

\_\_\_ Below 12th Grade  
 \_\_\_ 12th Grade  
 \_\_\_ 1 year college or equivalent  
 \_\_\_ 2 year college or equivalent  
 \_\_\_ 3 year college or equivalent  
 \_\_\_ 4 year college or equivalent  
 \_\_\_ Graduate level (Specify):

1. \_\_\_\_\_  
 2. \_\_\_\_\_

19. Please, print in the space provided below any diploma or certificate you have earned as a result of training not covered by your answer to item 17. Start with the most recent:

\_\_\_\_\_ in 19\_\_, for a training of \_\_\_ months.  
 \_\_\_\_\_ in 19\_\_, for a training of \_\_\_ months.  
 \_\_\_\_\_ in 19\_\_, for a training of \_\_\_ months.  
 \_\_\_\_\_ in 19\_\_, for a training of \_\_\_ months.  
 \_\_\_\_\_ in 19\_\_, for a training of \_\_\_ months.  
 \_\_\_\_\_ in 19\_\_, for a training of \_\_\_ months.

**SECTION C - about your students**

20. How many grade 12 students sat for the Ethiopian School Leaving Certificate of Education last year?

20.1 Number of regular (day) student:  
 \_\_\_\_\_ Female \_\_\_\_\_ Male

20.2 Number of evening student:  
 \_\_\_\_\_ Female \_\_\_\_\_ Male

21. How many grade 12 students passed the Ethiopian School Leaving Certificate of Education last year?

21.1 Number of regular (day) student:  
 Female  Male

21.2 Number of evening student:  
 Female  Male

22. Are students in this school organized to play team games?  
 Yes  No.

23. If your answer to item 22 is yes, what kind of games?

- Football (Soccer)
- Volleyball
- Basketball

Specify other:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

24. If your answer to item 22 is yes, how are these games typically organized and conducted with regard to student participation and competition?

24.1 Participation?

- Compulsory
- Voluntary

24.2 Competition?

- Among students in the same class
- Intramural - limited classes
- Intramural - school-wide
- Interschool - with other schools

Specify other:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

25. If your answer to item 22 is no, what are the reasons?

- Lack of facilities, e.g., sports grounds and courts
- Lack of materials & equipment, e.g., nets, balls, etc.
- Lack of interest from students
- Lack of teachers interested in organizing students
- Lack of school time and space due to teaching multiple shifts

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

26. Do students participate in athletics competitions?

Yes  No

27. If your answer to item 26 is yes, how are these competitions typically organized and conducted with regard to student participation and competition?

27.1 Participation:

Compulsory  
 Voluntary

27.2 Competition:

Among students in the same class  
 Intramural - limited classes  
 Intramural - school-wide  
 Interschool - with other schools

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

28. If your answer to item 26 is no, what are the constraints?

Lack of facilities, e.g., sports grounds  
 Lack of interest from students  
 Lack of teachers interested in organizing students  
 Lack of school time and space due to teaching multiple shifts

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

29. Is there an active student council or any equivalent student organization operating in your school?

Yes  No

30. If your answer to item 29 is yes, what are its responsibilities?

Student problem solving  
 Organizing student academic competitions  
 Organizing student sports competitions  
 Providing student link with school administration

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

31. What active student clubs exist in this schools?

- sports club  
 science club  
 photography  
 scouts club  
 music club  
 writing club

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

## SECTION D - about your school's organization and administration

32. Does your school have an official organization chart with regard to the school's internal functions?

\_\_\_ Yes \_\_\_ No

33. If your answer to item 32 is no, please explain why not:

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34. If your answer to item 32 is yes, please provide a copy of the organizational chart and related documents.

34.1 Organizational chart provided:

\_\_\_ Yes \_\_\_ No

34.2 Other documents provided:

\_\_\_ Yes \_\_\_ No

35. If your answers to items 34.1 is no, please explain why not:

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36. If your answers to items 34.2 is no, please explain why not:

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37. Does your school have an official organization chart showing its linkage with higher educational authorities?

Yes  No

38. If your answer to item 37 is no, please explain why not:

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39. If your answer to items 37 is yes, please provide a copy of the organizational chart and related documents.

39.1 Organizational chart provided:

Yes  No

39.2 Other documents provided:

Yes  No

40. If your answers to Items 39.1 is no, please explain why not:

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41. If your answers to Items 39.2 is no, please explain why not:

Reason:

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42. Do you have a School Council or equivalent body in this school?

Yes  No

43. If your answer to item 42 is yes, what is the membership composition?

Director  
 Deputy director  
 Teachers (State number: \_\_\_\_\_)  
 Parents (State number: \_\_\_\_\_)

Specify other:

1. \_\_\_\_\_  
 2. \_\_\_\_\_  
 3. \_\_\_\_\_  
 4. \_\_\_\_\_

44. If your answer to item 42 is yes, what is its official name?

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45. Do you have authority to hire teachers?

Yes  No

46. If your answer to item 45 is no, explain why not:

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47. If your answer to item 45 is no, who has such responsibility?

- Ministry of Education at federal level
- Educational authorities at regional level
- Educational authorities at local (zonal) level
- School Council or equivalent body

Specify other authorities:

1. 

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2. 

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3. 

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4. 

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48. If your answer to item 45 is yes, did you exercise this authority during the recent three years?

Yes  No

49. If your answer to item 48 is yes, give instances and date of occurrence:

Instances:	Month - Year:
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

50. If your answer to item 48 is no, explain why not:

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51. Do you have authority to hire non-teaching school staff?

Yes  No

52. If your answer to item 51 is no, explain why not:



56. If your answer to item 54 is no, explain why not:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

57. Do you have authority to fire teachers?

Yes  No

58. If your answer to item 57 is no, explain why not:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

59. If your answer to item 57 is no, who has such responsibility?

- Ministry of Education at federal level
- Educational authorities at regional level
- Educational authorities at local (zonal) level
- School Council or equivalent body

Specify other authorities:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

60. If your answer to item 57 is yes, did you exercise this authority during the recent three years?

Yes  No

61. If your answer to item 60 is yes, give instances and date of occurrence:

Instances:	Month - Year:
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

62. If your answer to item 60 is no, explain why not:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

63. Do you have authority to fire non-teaching school staff?

Yes  No

64. If your answer to item 63 is no, explain why not:



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65. If your answer to item 63 is no, who has such responsibility?

\_\_\_ Ministry of Education at federal level in the case of these non-teaching staff:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

\_\_\_ Educational authorities at regional level in the case of these non-teaching staff:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

\_\_\_ Educational authorities at local (zonal) level in the case of these non-teaching staff:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

\_\_\_ School Council or equivalent body in the case of these non-teaching staff:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

Specify other authorities and state type of staff responsible for:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

66. If your answer to item 63 is yes, did you exercise this authority during the recent three years?

\_\_\_ Yes \_\_\_ No

67. If your answer to item 66 is yes, give instances and date of occurrence:

<p>Instances:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>Month - Year:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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68. If your answer to item 66 is no, explain why not:

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69. What type of budgets are prepared for your school currently?

- Operational budget
- Capital budget

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

70. Which educational authority prepares your school's budget requests?

- Ministry of Education at federal level
- Educational authorities at regional level
- Educational authorities at local (zonal) level
- School Council or equivalent
- School administration (at this school)

Specify other authorities:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

71. If budgets are prepared at the school level which of the following entities are involved in such preparation?

- Director
- Deputy director
- Teachers' representative(s)
- Parents' representative(s)
- Community representative(s)
- School staff

Specify other entities:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Please, elaborate the roles and responsibilities of participants:

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72. Which educational or other authority approves your school's budget request?

- Ministry of Education at federal level  
 Educational authorities at regional level  
 Educational authorities at local (zonal) level  
 School Council or equivalent

Specify other authorities:

1. \_\_\_\_\_  
 2. \_\_\_\_\_  
 3. \_\_\_\_\_

73. If budget administration responsibilities exist at the school level, which of the following have a say in such matters?

- Director  
 Deputy director  
 Teachers' representative(s)  
 Parents' representative(s)  
 Community representative(s)  
 School staff

Specify other entities:

1. \_\_\_\_\_  
 2. \_\_\_\_\_  
 3. \_\_\_\_\_

74. What plans are prepared for your school currently?

Enumerate the plans by type and name:

1. \_\_\_\_\_  
 2. \_\_\_\_\_  
 3. \_\_\_\_\_  
 4. \_\_\_\_\_  
 5. \_\_\_\_\_  
 6. \_\_\_\_\_

75. Which educational authority prepares your school plans currently?

- Ministry of Education at federal level  
 Educational authorities at regional level  
 Educational authorities at local (zonal) level  
 School Council or equivalent  
 School administration (at this school)

Specify other authorities:

1. \_\_\_\_\_  
 2. \_\_\_\_\_

3. \_\_\_\_\_

76. If any plans are prepared by the school, which of these are produced by higher authority mandate (directives, orders or instructions)?

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_
- 6. \_\_\_\_\_

77. If any plans are prepared by the school, which of these are produced by the school's initiatives?

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_
- 6. \_\_\_\_\_

78. Which of the school plans enumerated in item 74 are produced regularly?

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_
- 6. \_\_\_\_\_

79. Which of the types of plans enumerated in item 74 are produced on "as needed" basis?

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_
- 6. \_\_\_\_\_

80. If plans are prepared at the school level which of the following entities are involved in such preparation?

- \_\_\_ Director
- \_\_\_ Deputy director
- \_\_\_ Teachers' representative(s)
- \_\_\_ Parents' representative(s)
- \_\_\_ Community representative(s)
- \_\_\_ School staff

Specify other entities:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

Please, elaborate the roles and responsibilities of participants:

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81. Which educational or other authority approves your school's plans?

- Ministry of Education at federal level  
 Educational authorities at regional level  
 Educational authorities at local (zonal) level  
 School Council or equivalent

Specify other authorities:

1. \_\_\_\_\_  
 2. \_\_\_\_\_  
 3. \_\_\_\_\_

82. If implementation of plans are assigned to the school, which of the following are involved in this responsibility?

- Director  
 Deputy director  
 Teachers' representative(s)  
 Parents' representative(s)  
 Community representative(s)  
 School staff

Specify other entities:

1. \_\_\_\_\_  
 2. \_\_\_\_\_  
 3. \_\_\_\_\_

83. What budget related information do you send regularly to higher authorities?

<u>Type of information and to whom it is sent:</u>	<u>Period:</u>
_____	_____
_____	_____
_____	_____
_____	_____

84. What budget related information do you send to higher authorities on an *ad hoc* or "as requested" basis?

Give examples from instances within the recent three years:

<u>Type of information and to whom it was sent:</u>	<u>Period:</u>
_____	_____
_____	_____
_____	_____
_____	_____

85. What plan related information do you send regularly to higher authorities?

Type of information and to whom it is sent: Period:

_____	_____
_____	_____
_____	_____
_____	_____

86. What plan related information do you send to higher authorities on an *ad hoc* or "as requested" basis?

Give examples from instances within the recent three years:

Type of information and to whom it was sent: Period:

_____	_____
_____	_____
_____	_____
_____	_____

87. Which of the following demands most of your administrative time? Indicate by ranking: place 1 against the one which takes most of your time with the highest number given to the one that takes the least of your time.

- Compliance to instructions from MOE at federal level
- Compliance to instructions from regional educational office
- Compliance to instructions from the local (zonal) educational office
- Handling student related cases and issues
- Handling teacher related cases and issues
- Handling administrative and other staff matters
- Handling parent related cases and issues

Specify other:

1.	_____
2.	_____
3.	_____
4.	_____

88. Is your school visited officially by educational inspectors?

Yes  No

89. If the answer to item 88 is yes, how often?

- Once a year
- Once a semester
- Twice a semester
- Three times a year

Specify other:

1.	_____
2.	_____

- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

90. If the answer to item 88 is yes, who sends them?

- Ministry of Education at federal level
- Regional educational authorities
- Local (zonal) educational authorities

Specify other:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

91. If your answer to item 88 is yes, are you told of such visits in advance?

- Yes, sometimes
- Yes, always
- Never

92. Are parents involved in school administration?

- Yes  No

93. If the answer to item 92 is yes, what is the nature of this involvement?

- Voluntary involvement
- As mandated by school regulations
- As mandated by government regulations

Specify other:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

94. If the answer to item 92 is yes, how are they involved?

- as members of parent association
- as members of school council or equivalent

Specify other:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

95. What school decision-making responsibilities are parents involved in?

- school finance
- school budget
- enrollment: admission and registration

- student discipline  
 school facilities and expansion  
 teacher related issues

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

96. Is school decentralization effective in your school?

Yes  No

97. If your answer to item 96 is yes, enumerate the administrative functions assumed by the school as a result of decentralization?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

98. If your answer to item 96 is no, enumerate the reasons constraining effective decentralization in your school?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

99. Enumerate other changes not mentioned in your answer to item 97 that have impacted your school since 1991?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

100. What are your sources for school financing?

- federal budgetary allocations  
 regional budgetary allocations  
 local budgetary allocations  
 rental of school facilities  
 school fees paid by students  
 donations by individuals and organizations

Specify other:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

## PART - II

Please, rate the following items in reference to your school and on the basis of your personal experience and expectations. Indicate, for each item, whether it is reasonably high, moderate, or low under the current circumstances.

High	Circle 1
Moderate	Circle 2
Low	Circle 3

Descriptive Items		Rating		
1.	Educational quality	1	2	3
2.	Student discipline	1	2	3
3.	Teachers' teaching performance	1	2	3
4.	Teacher quality	1	2	3
5.	Number/adequacy of teachers	1	2	3
6.	Curriculum relevance	1	2	3
7.	Student academic performance	1	2	3
8.	Administrative staff quality	1	2	3
9.	Number/adequacy of administrative staff	1	2	3
10.	Parental interest in school matters	1	2	3
11.	Parental involvement in school matters	1	2	3
12.	School funding	1	2	3
13.	Textbook availability	1	2	3
14.	Teacher salary	1	2	3
15.	Administrative staff salary	1	2	3
16.	Classroom facilities (adequacy)	1	2	3
17.	Teacher interest in school administration	1	2	3
18.	Teacher involvement in school administration	1	2	3
19.	Student interest in school administration	1	2	3
20.	Student involvement in school administration	1	2	3
21.	Collegiality (friendship) among teachers	1	2	3

## PART - III

The following statements express situations in broad and general terms that are expected to occur in your school. Indicate your opinions or personal assessment for each statement by circling the respective number:

Strongly Agree (SAG)	Circle 1
Agree (AG)	Circle 2
Disagree (DAG)	Circle 3
Strongly disagree (SDA)	Circle 4

	1	2	3	4
1. The current school decentralization is beneficial to the needs of this school.	1	2	3	4
2. Current curriculum reforms are generally beneficial to the needs of this school's students	1	2	3	4
3. Current curriculum reforms are generally beneficial to the needs of this schools local community.	1	2	3	4
4. Student academic performance in this school has generally improved since the new policy.	1	2	3	4
5. Student academic performance in this school was much better before the new policy.	1	2	3	4
6. Student academic performance since the new policy is generally the same as before the policy.	1	2	3	4
7. Student discipline in this school has generally improved since the new policy.	1	2	3	4
8. Student discipline in this school was much better before the new policy.	1	2	3	4
9. Student discipline since the new policy is generally the same as before the policy.	1	2	3	4
10. Generally, teacher-student mutual support is stronger since the new policy.	1	2	3	4
11. Generally, teacher-student mutual support is weaker since the new policy.	1	2	3	4
12. Generally, teacher-student mutual support since the new policy is the same as before the policy.	1	2	3	4
13. Generally, teacher-parent relationship is stronger since the new policy.	1	2	3	4
14. Generally, teacher-parent relationship is generally weaker since the new policy.	1	2	3	4

15.	Generally, teacher-parent relationship since the new policy is the same as before the policy.	1	2	3	4
16.	Parents at this school are generally showing increased interest or involvement in school matters since 1991.	1	2	3	4
17.	Parents at this school are generally showing less interest or involvement in school matters since 1991.	1	2	3	4
18.	The interest of parents at this school in school matters is the same currently as it was before 1991.	1	2	3	4

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