Asia Pacific Journal of Educational Development

Editorial Board

Asia Pacific Journal of Educational Development (APJED)

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Preface to the Opening Issue

The Asia Pacific Journal of Educational Development (APJED) is the first English-language journal biannually published by the National Academy for Educational Research (NAER). On behalf of NAER, I am very pleased to announce the publication of the first issue of the *APJED* on June 30, 2012.

As the leading national institute for educational research in Taiwan, one of the missions of NAER is to inquire into crucial issues related to education, and to produce reference materials which will be useful for local and global learning communities. Publishing academic journals is one of the ways in which we are accomplishing this mission. In addition to the *APJED*, NAER also publishes a variety of Chinese-language journals in the field of education, including the *Journal of Educational Research and Development*, the *Journal of Educational Resources and Research*, the *Journal of Textbook Research*, the *Bulletin of the National Institute of Education Resources and Research*, the *Journal of Educators and Professional Development*, and the *Education Yearbook of the Republic of China*.

As the first English-language journal of NAER, the *APJED* covers diverse areas of educational research carried out in different countries across the Asia-Pacific region, including educational systems, policy development, school management, academic leadership, curriculum and instruction, and accountability. Intended to become one of the leading research journals in the field, the *APJED* aims to provide scholars, educators, and policy-makers with a forum for sharing, inquiring, and discussing critical issues in education at both the local and global levels. In particular, we envision that the *APJED* will serve as a bridge between countries in the region, facilitating the integration of research resources and encouraging scholars, policy-makers, and educators at all levels to learn from each other's experience.

It is my sincere hope that all scholars working in related fields across the region will consider presenting their work in the *APJED*. We look forward to receiving your valuable contributions and greatly appreciate your help in making the *APJED* the premiere journal on educational research in the Asia Pacific region.

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Dr. Ching-Shan Wu
President, National Academy for Educational Research

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Editorial

We are honored to include in the first issue of the *APJED* a number of articles by prominent scholars in the field of education. In a stimulating theoretical discussion, Dr. Carlos A. Torres presents his interpretation of globalization as well as his model of "transformative social justice learning." Dr. Arthur K. Ellis, Dr. John B. Bond, and Dr. David W. Denton adopt the approach of a literature review to bridge the gap between the theory underlying metacognitive training and the practical application of instructional strategies in the classroom. Dr. Shigeru Asanuma analyzes lesson study and curriculum policies in contemporary Japan, tracing back related educational reforms which began in the Meiji era. Dr. Agustinus Bandur examines the current state of the ongoing efforts to implement a decentralized education system in Indonesia.

In Dr. Torres' article, he examines a number of issues facing education systems related to the ongoing process of globalization, especially "competition-based reforms," where privatization plays a dominant role. He also examines a number of social movements opposed to globalization, including the Occupy Movement in the U.S., the Landless Workers' Movement in Brazil, the Factory Occupation Movement in Argentina, and the Indignados movement in Western Europe, all of which are dedicated to challenging capitalism and vested interests. He also points out that educational systems across the world now need to confront the tension between human rights and the long-standing influence of nationalism. His model of "transformative social justice learning" is an attempt to recreate various theoretical contexts as a way of examining rituals, myths, symbols, and taboos in education and society. From Dr. Torres' perspective, the notion of marginality is both a model of advocacy and an analytical model with clear political objectives.

In the article by Dr. Ellis and his colleagues, they selected five search terms -- metacognition, strategy, planning, monitoring, and evaluating -- and used them to conduct three searches of the ERIC database, on the basis of which they reviewed thirteen studies categorized into four groups. Eight of the thirteen studies are related to instructional methods that promote metacognitive thinking, such as modeling, goal attainment, checklists, diagrams, mnemonics, graphic organizers, and guided practice. According to their findings, metacognitive strategies are applicable across different disciplines and grade levels, and they are effective for teaching both content knowledge and academic skills.

In Dr. Asanuma's article, he analyzes lesson study and changing curriculum policies in Japan. He argues that curriculum practices and lesson study in Japan developed in a contextual background of political hegemony and orthodoxy little affected by theoretical concerns. He also asserts that teaching practices are always based on the life-world rather than on ideals or theories. He also points out that there are three key factors in lesson study -- the mass-media, the behavioral objective approach, and the learning community -- all of which are highly relevant to education in the Asia Pacific region.

Dr. Bandur explores to what extent Indonesia's policy of implementing educational decentralization through School-Based Management (SBM) has affected administrative procedures and academic achievement at two types of schools: those receiving assistance from international donor agencies, and those not receiving such assistance. He found that assistance from international agencies is crucial to the effective implementation of SBM policies and programs.

As part of its mission, the *APJED* is expected to provide a platform where scholars, educators, administrators, and policy makers can share their research, views, and experience. Accordingly, the *APJED* constitutes a new forum for the latest developments in education in the Asia Pacific region.

The Secrets Adventures of Order: Globalization, Education and Transformative Social Justice Learning[1]

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Abstract

There are many definitions of globalization, or perhaps more accurately, there are many globalizations. Discussing the four faces of globalization -- globalization from above, globalization from below, the globalization of human rights, and the globalization of the war against terrorism -- and their impacts on education and learning, this article offers and analysis of neoliberal globalization and how competition-base reforms affected educational policy in K-12 and higher education. These reforms are characterized by efforts to create measurable performance standards through extensive standardized testing (the new standards and accountability movement), introduction of new teaching and learning methods leading to the expectation of better performance at low cost (e.g., universalization of textbooks), and improvements in the selection and training of teachers. Competition-based reforms in higher education tend to adopt a vocational orientation and reflect the point of view that colleges and universities exist largely to serve the economic well being of a society. Privatization is the final major reform effort linked to neoliberal globalization and perhaps the most dominant. As an alternative, the article provide insights into the possibilities of employing the concept of marginality as a central construct for a model of transformative social justice learning. Following the inspiration of Paulo Freire I argue that transformative social justice learning is a social, political and pedagogical practice which will take place when people reach a deeper, richer, more textured and nuanced understanding of themselves and their world.

Keywords: globalizations, neoliberalism, global citizenship, Paulo Freire, theory of marginality, cosmopolitan democracies

1 Introduction

The only absolutely certain thing is the future, since the past is constantly changing.[2]

There are many definitions of globalization, or perhaps more accurately, there are many globalizations. For example, globalization has been defined as "the intensification of worldwide social relations which link distant localities in such a way that local happenings are shaped by events occurring many miles away and vice versa" (Held, 1991, p. 9). Another view sees globalization as "a feature of late capitalism, or the condition of postmodernity, and, more important ... the emergence of a world system driven in large part by a global capitalist economy" (Luke & Luke, 2000, p. 287). Others see globalization as the transformation of time and space in which complex interactions and exchanges once impossible become everyday activities (Urry, 1998). And still others see globalization as an assault on traditional notions of society and the nation-state whereby the very nature of citizenship and social change is dramatically altered (Castells, 1997; Touraine, 1988).

In the "*longue durée*" as Fernand Braudel would have put it, globalization processes, as historical facts have been part of the human adventure almost since its beginnings.[3] The expansion of the Greek culture and the Roman Empire, the dissemination of the main staples that people grow and consume which have been spread by consumption patters of specific cultural groups, or the growth and spread of the world's great religions, are representative of different

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[2] A Yugoslavian aphorism cited by Wallerstein (1999, p. 1).

[3] The *longue durée* (English: the long term), is an expression used by the French Annales School of historical writing to designate their approach to the study of history, which gives priority to long-term historical structures over events -- what François Simiand called *histoire événementielle*, "eventual history" -- the short term time-scale that is the domain of the chronicler and the journalist; the *longue durée* concentrates on all-but-permanent or slowly evolving structures and substitutes for elite biographies the broader syntheses of prosopography. http://en.wikipedia.org/wiki/Longue_dur%C3%A9e

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types of globalization in their own right. The globalizations of AIDs and SARs could be considered contemporary manifestations of the great European plague.

In short, with globalization we are witnessing a social phenomena which is neither new, nor unique in the way it has percolated social institutions and cultures in the world, and some of the work of Immanuel Wallerstein on world-systems and the transformation of the Mediterranean countries alongside the transformation of capitalism and its impact in the globe detail processes of globalization which can be traced back centuries (Wallerstein, 1979, 1980). What perhaps is new in this new wave of globalization is that it entails a simultaneous change in the dynamics by which capital, labor and technology expand crossing borders with a pace and intensity never seen before, impacting, particularly the realm of culture.

With this brief background, it will be important to focus on the many faces of globalizations from a political economy perspective, and to outline some of the implications for education. I will not develop in this article, a substantive analysis of the implications of globalization for culture and mass media, which has been articulated exceedingly well by Raymond Morrow (Morrow, 2003).

2   The Many Faces of Globalization and the Pains of Democracy

If democracy is deliberate delusion, politics is the industry and art of emasculating the truth. (Carlos Alberto Torres)

Globalization takes different forms. I would like to call attention to four predominant forms of globalization. One form of globalization, often seen as "globalization from above," is framed by an ideology of neoliberalism and calls for an opening of borders, the creation of multiple regional markets, the proliferation of fast-paced economic and financial exchanges, and the presence of governing systems other than nation-states. Neoliberalism seeks to privatize virtually every process or service that can possibly be turned over to private capital. "Selective deregulation" is the motto of this version of globalization.

Another form of globalization represents the antithesis of the first. This form of globalization is often described as "globalization from below," or anti-globalization. Globalization from below is largely manifest in individuals, institutions, and social movements actively opposed to that which is perceived as corporate globalization. For these individuals and groups, the motto is "no globalization without representation."

There is a third form of globalization, which pertains more to rights than to markets -- the globalization of human rights. With the growing ideology of human rights

taking hold in the international system and in international law, many traditional practices endemic to the fabric of particular societies or cultures (from religious to esoteric practices) now are being called into question, challenged, forbidden, or even outlawed. The advancement of cosmopolitan democracies and plural citizenship is the theme of this version of globalization.

There is a fourth manifestation of globalization. This form extends beyond markets, and to some extent is against human rights. It is globalization of the international war against terrorism. This new form of globalization has been prompted in large part by the events of September 11th -- which were interpreted as the globalization of the terrorist threat -- and the reaction of the United States to the event. The anti-terrorist response has been militaristic in nature, resulting in two coalition wars led by the U.S. against Muslim regimes in Afghanistan and Iraq. Yet, the overall theme of this process was not only its military flavor, but also the emphasis on security and control of borders, people, capital, and commodities -- that is, the reverse of open markets and high-paced commodity exchanges suggested by neoliberalism. Security as a precondition of freedom is the theme of this form of globalization.

3   Globalization and Its Impact on K-12 and Higher Education

… politics and fiction are thrown together and pick each other's pockets, they are separate universes, irreconcilable and symmetrical. (Torres, 2005)

There are many impacts of globalization on educational policy. While I have defined four faces of globalization, in this short article I will concentrate on the first two, globalization from above and globalization from below.

3.1 Globalization from Above

Agencies, multilateral or bilateral institutions, such as the World Bank, the International Monetary Fund (IMF), some agencies of the United Nations, including the United Nations Educational, Scientific, and Cultural Organization (UNESCO), and perhaps the Organization for Economic Cooperation and Development (OECD) have promoted a model of neoliberal globalization (Teodoro, 2003).

The neoliberal agenda includes a drive towards privatization and decentralization of public forms of education, a movement toward educational standards, a strong emphasis on testing, and a focus on accountability. With regard to accreditation and universalization, major efforts are underway throughout the world to reform academic programs through accreditation processes and various strategies that produce increased homogeneity across national boundaries.

Reforms associated with international competitiveness are akin to what Carnoy (2001) described in the K-12 sector as "competition-based reforms." These reforms are characterized by efforts to create measurable performance standards through extensive standardized testing (the new standards and accountability movement), introduction of new teaching and learning methods leading to the expectation of better performance at low cost (e.g., universalization of textbooks), and improvements in the selection and training of teachers. Competition-based reforms in higher education tend to adopt a vocational orientation and reflect the point of view that colleges and universities exist largely to serve the economic well being of a society.

Privatization is the final major reform effort linked to neoliberal globalization and perhaps the most dominant. Neoliberal economic supporters view the marketplace as the ideal regulator of services, products, and costs. Consequently, if we think of education as a product or service, then from a neoliberal perspective the best way to regulate education is to allow the market to do so. Nation-states need not fund or concern themselves with tuition costs; the market can take on such responsibilities quite handily. If institutions price themselves too highly, prospective students will inform them by selecting other less costly institutions. The system is, from the perspective of neoliberalism, entirely just, given that subjective individuals do not open and close doors, but a system of costs and payments dictates nearly every outcome.

It has been argued that "globalization has had a major impact on education through the finance-driven reforms promoted by international institutions"(Carnoy, 1999, p. 51). The privatization of higher education in debt-ridden countries such as Mexico, Brazil, and Argentina typically is advanced by the IMF and the World Bank as a pre-condition to further lending to these countries. A precondition of such lending involves the transfer of educational financing from higher education to lower levels of education -- under the premise that to subsidize higher education is to subsidize the rich, since the majority of students enrolled in higher education are from the middle classes and from affluent families. Privatization has advanced hand in hand with increased entrepreneuralism, especially in the most developed countries, as universities have sought to expand their revenue through a variety of profit-seeking endeavors, including satellite campuses and extension programs around the world.

In closing this section, it is important to emphasize that privatization policies are crucial elements of the reforms oriented toward promoting open markets, and, as such, they are important policy tools of neoliberalism. Two key benefits are seen by neoliberals: (1) the pressure of fiscal spending is reduced by the privatization of public sector enterprises, and (2) privatization is a powerful instrument for depoliticizing the regulatory practices of the state in the area of public policy formation. Therefore, the underlying philosophy of "finance-driven reforms may contribute to the shortage of public resources for education with net gains for economic growth" (Carnoy, 1999, p. 52).

However, as the last two decades have made clear, the implications of privatization and the push for market policies to limit the state's role in social sectors pose serious problems: "In the context of the market forces, the state's interventionist role is likely to decline. This will have implications for all categories of people who, by virtue of their already weak position in spheres of knowledge, skills, access to goods and services, and control over resources, need some protective legislation and provisions. Left to themselves in the open market, their situation is likely to further deteriorate" (Kaur, 1999, p. 126).

3.2 Globalization from Below

The anti-globalization movements see a system based entirely on costs and payments as harsh and cruel. Individuals are not born into the same economic or class standing, and consequently governments acting in the name of the public good must intervene to create systems and processes that extend beyond the arbitrary rationale of economic determinism. The challenge that anti-globalization forces are confronting with is the degree to which global economic systems and social relations are being constructed by neoliberals.

In the 1990s diverse groups have been brought together under the banner of anti-globalization, including groups opposed to corporate capitalism, but also environmentalists, unions, and even nationalistic isolationists, such as Pat Buchanan's followers in the U.S. The isolationists are worried about NGOs replacing national governments and fear, in the case of the U.S., that their own country will lose its global dominance and its citizens their economic privilege. But the primary theme of "globalization and its discontents" concerns the establishment of a set of rules governing the global economy and whose interests those rules serve (Stiglitz, 2002).

The anti-globalization movements argue from positions focused on social justice and equality. These movements have had a variety of important dissident voices. For example, starting with Seattle in 1999, world summits such as the September 2000 IMF-World Bank summit in Prague and the July 2001 G-8 meeting in Genoa have taken place amid a chorus of critics reacting to the closed nature of global decision making. Outspoken individuals and groups include former Pope John Paul II and the Catholic Church, various Protestant churches, feminist groups, environmental

groups such as Greenpeace, indigenous rights, groups, and communist, socialist, anarchist, and libertarian groups. There is a multiplicity of opposition groups, which is vast and growing in number and degree of discontent (Rhoads, 2003; Stiglitz, 2002).

The rich array of worldwide anti-globalization views and actions has found sources of support within the academy, in part because colleges and universities too have come under the influence of global processes, and at times seem as disempowered as those groups and individuals taking to the streets in Seattle, Prague, and Genoa. The meetings of the G-8 nations are becoming increasingly more difficult to organize with the growing opposition of social movements and their active challenge to the world economic powers.

The reaction to worldwide growing inequality, the dominance of financial sectors which are seen as responsible for the greatest economic collapse of our generation, and the deleterious outcomes of the multiple globalization processes have brought together a number of social movements which are challenging capitalism as much as the established political powers. Hence various social movements in their particular locales, for instance the Occupy Movement in New York, Los Angeles, and the most important cities in the US, the Landless Workers' Movement in Brazil, the factory occupation movement in Argentina, and the indignados movement in Western Europe are good examples of this renewed counter-hegemonic energy (Bryne, 2012; Carroll, 1997; Mayo 2005; Torres, 2009a, 2009b; Walter, 2007).

Students have also been actively engaged in anti-globalization protests at meetings of global trade organizations and world leaders. They were well represented in the massive WTO protests in Seattle in December 1999. These groups reject the notion that globalization is the natural outcome of contemporary economic relations and instead believe that powerful economic organizations create the climate and context for neoliberal globalization. Regarding K-12 education in Latin America, there have been large teachers' protests in Argentina, Costa Rica, Chile, Guatemala, Mexico, etc. The interests of some of these groups lead us to consider another manifestation of globalization, one that is not so much a counter movement as it is a movement for improving the human condition.

3.3 Globalization of Human Rights

The presence of another form of globalization centered on advancing human rights poses, in itself, another round of issues to be addressed. The movement toward universal human rights is a powerful force that pushes us beyond conversations about certain rights being merely "a good

idea to what which ought to be the birthright of every person" (Bunch, 2001, pp. 138-139). The idea of global human rights has also become a central issue in considering citizenship and democracy. Soysal (1994) and Torres (1998, 2009a, 2009b) analyze the limits of citizenship in the era of globalization highlighted some of the issues. Nuhoglu Soysal argues that, "The logic of personhood supersedes the logic of national citizenship [and] individual rights and obligations, which were historically located in the nation-state, have increasingly moved to a universalistic plane, transcending the boundaries of particular nation-states" (Soysal, 1994, pp. 164-165). Soysal went on to discuss the idea of "cosmopolitan democracies," or transnational political systems relatively divorced in their origin and dynamics from nation-states.

If the agenda for human rights is reconfiguring the boundaries of nations and the individual rights of citizens, and these are seen as preconditions for attaining basic equality worldwide, then educational systems will need to confront the tension between human rights as a globalized project of cosmopolitan democracies and the long-standing influence of nationalism. This tension also is projected in questions of identity and whether the particular rights of cultural and religious groups will be upheld in the face of an ideology of global human rights (Torres, 1998, 2003a, 2009a, 2009b).

Key concerns of global human rights advocates center largely on the universal rights to food, water, and health care. Others suggest that the right to participate in a society's governance structure and the right to a quality education also ought to be universal. In terms of the latter two rights, schools and universities become key sites of struggle, as concerns about what constitutes "quality" and the role that educational institutions play in shaping expectations and dispositions relative to civic participation come to the forefront. Teachers' Unions have played major roles in this struggle (Torres, 2006).

A key concern specifically tied to higher education is the question of whether education is a privilege or a right. This has become a major point of contention in countries such as Mexico and Argentina, where structural adjustments clearly situate participation in higher education as a privilege, while long-standing social contracts within these two countries suggest otherwise. Here, we see a clear clash of two oppositional agendas, one focused on privatization and advancing a competition-based social structure, and the other focused on social intervention and advancing a spirit of collectivism (Rhoads & Torres, 2006; Torres & Puiggrós, 1996).

3.4 Globalization of the International War against Terrorism

The most obvious change in the process of globalization in the last few years was brought about by the terrorist attack of September, 11th 2001, which undermined the invincibility of the United States, never before attacked in its continental territories. In waging a relentless counter-assault against the Taliban and Al-Qaida, and a second war against Iraq, the U.S. has produced massive change at a global level. In combination with the continuing reverberations of September 11, U.S.-led anti-terrorist initiatives continue to transform global relations in the spheres of economics, politics, culture, and education (Apple, 2002).

The consequences of the 9/11 attacks and the ensuing global war against terrorism have important consequences for an increasingly interconnected world. Let us look at the impact on higher and K-12 education. One consequence is the restrictive climate for scholars and students seeking transnational mobility. This phenomenon, of course, is most notable in the United States, where political and social pressure to ensure domestic security has led to more highly regulated and monitored borders and points of entry. A concern for many universities is the availability of international education for foreign students -- not a minor source of income for countries heavily involved in international education.

In addition to possible financial reverberations associated with international education, there are concerns about limitations placed on scholarly exchange and the general assault on academic freedom. I focus my analysis on the U.S., but it is important to note that the impact extends to the global intellectual arena. A key threat to academic freedom centers on the U.S. government's demand on colleges and universities to track foreign students and some professors through a computerized system known as the Student and Exchange Visitor Information System, or Sevis.

The government requires that colleges and universities keep track of who is admitted and hired from a foreign country and when they enter and leave the country. This requirement creates a situation in which members of a particular academic community are expected to monitor the movement of other members of the same academic community, creating an atmosphere of mistrust. Foreign students and professors are full members of the same academic community that is now expected to monitor their coming and going. The responsibility for managing Sevis is more likely than not to fall on staff at campus international centers. Consequently, instead of providing academic and cultural support, staff may be just as likely to be engaged in information management for the U.S. government, all in the name of the "new militarism" aimed at fighting global terrorism.

4   The Secrets Adventures of Order: Transformative Social Justice Learning in the Context of Globalizations

In a century that adored the chaotic idols of blood, land and passion, he always preferred the lucid pleasures of thought and the secret adventures of order. (Torres, 2005)

To deal with all these faces of globalization, and to analyze the implications for education is no easy feat. Likewise, to explore the limits and possibilities of a model of transformative social justice learning in the context of globalization and the challenges to education require not only acumen but theoretical sophistication and steel political will.

Having devoted two books to analyze some alternatives, both theoretically and politically, to neoliberal globalization (Torres, 2009a, 2009b), and having offered a set of hypothesis of how to analyze and challenge the new neoliberal common sense in higher education (Torres, 2011), in this conclusion I will limit myself to reflect upon a model of transformative social justice learning in the context of multiples globalizations.

I argue that transformative social justice learning is a social, political and pedagogical practice which will take place when people reach a deeper, richer, more textured and nuanced understanding of themselves and their world. Not in vain Paulo Freire always advocated the simultaneous reading of the word and the world. Based on a key assumption of critical theory that all social relationships involve a relationship of domination, and that language constitutes identities, transformative social justice learning, from a meaning making or symbolic perspective, is an attempt to recreate the various theoretical contexts for the examination of rituals, myths, icons, totems, symbols, and taboos in education and society, an examination of the uneasy dialectic between agency and structure, setting forward a process of transformation (Torres, 2003b). From a sociological perspective, transformative social justice learning entails an examination of systems, organizational processes, institutional dynamics, rules, mores, and regulations, including prevailing traditions and customs, that is to say, key structures which by definition reflect human interests.

In examining the implications of globalization for education, how can progressive scholars take advantage of transformative social justice learning as a methodology and theory of social transformation? Let me be bold: one

may argue that a this model of transformative social justice learning is a social construct which becomes marginal in the context of contemporary social politics. Indeed, those who practice this approach are by definition marginal to the overall dynamics of political struggle, and to the processes of institutional development, in academia and elsewhere.

Politically one may need to understand that marginality is not being an outsider, but it constitutes a form of insertion in the context of the global debate and struggle for social justice. The notion of marginality became thus a central notion to pursue transformative social justice learning. Progressive scholars pursue this approach even if we know that we are marginal to the central concepts and practices of the liberal and conservative establishments which seem to be, in education at least, poised to emphasize the need to improve cognitive learning through the movement of testing, or accountability in schools.

Yet the idea of marginality doesn't rest simply on notions of opposition or negativity against the positivism, and positivity of the pedagogical, political, and epistemological models that predominate in academy and social life. We cannot accept our marginality predicated just on the difficulties that we face, or in the losses that we endure in this long haul, this *longe durée* of social struggles. We shall also celebrate, within the notion of marginality, the different triumphs that we have in our struggles. We cannot criticize without celebrating.

The notion of marginality is predicated resorting to historical nuanced analysis of the dynamics between social agencies and structures, and on a refined conceptual understanding which draws on the strengths of Critical Social Theory (Morrow & Torres, 1995). The notion of marginality is both a model of advocacy, with important normative implications, and an analytical model with clear political objectives. Remember Freire's dictum, we teach against somebody, and on behalf of somebody, on behalf of some values, and against some values. Therefore Paulo Freire defended the politicity of education which is a central tenet of marginality as an epistemological, political, and even spiritual position in education.

Marginality is an invitation to a struggle in the long haul, linking theory and praxis, not only as an individual but also as a social movement perspective. In doing so, a notion of marginality, and marginal voices that reclaim to be heard in the debates, point to the importance of structures to help agencies. Thus, reclaiming the transformative role of Teachers Unions and social movements in the context of public education is part and parcel of a political program of struggle.

Marginality as a political and practical option challenging neoliberal globalization draws on a model of spirituality that is clearly utopian and utopistic. It is utopian because utopia is like a distant horizon that one wants to reach but never does. One walks two steps, to reach it, and it moves two steps farther. One walks two more steps, and the horizon moves, two steps farther away. What is, then, the advantage of utopia as a political rationale and spiritual endeavor? It helps us to walk.

Yet progressive scholars draw not only on utopian but also utopistic models. Critical educators want to examine the different and alternative models of society, the utopistic models, the different social construction that are emerging in this walking toward the future. Make no mistake, even the same notion of neoliberalism is an utopistic model, a la par, for instance, to the model of Leninism, another utopistic model of the good society.

If democracy is deliberate delusion and politics is the industry and art of emasculating the truth, marginality became both an antidote to the ills of democracy, and a suggestive methodological approach based on the principle of uncertainty. A principle of uncertainly that is very important as an epistemological stand point, so well developed by Nobel Prize Illya Prigigoni. Only this way it can be achieved what many scholars, including Bernan Morris so aptly termed the "re-enchantment of the world."

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An Analytical Literature Review of the Effects of Metacognitive Teaching Strategies in Primary and Secondary Student Populations

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Abstract

Metacognition has been an area of interest to educational researchers for more than 40 years. A large body of literature exists on this topic, both theoretical and empirical. However, there are few studies that summarize specific instructional practices for improving students' capacity for metacognitive thinking. Similarly, there is a dearth of evidence showing how specific practices are implemented to affect student achievement. This study remediates gaps in these areas by identifying instructional approaches that promote metacognitive thinking in primary and secondary student populations using analytical literature review methods. Educational textbooks were examined for keywords associated with metacognition. Five terms were identified, including metacognition, strategy, planning, monitoring, and evaluating. These terms were then used to conduct searches in the Educational Resources Information Center database. Search criteria included peer reviewed empirical studies with primary and secondary student populations. Studies involving postsecondary students and electronic learning environments were excluded. Thirteen studies were found. These studies were organized into categories using analytical coding procedures. Results were compiled into three summaries. The first summary identifies features of the learning environment which foster metacognitive strategy use, such as an engaging curriculum and supportive instruction. The second summary identifies specific metacognitive strategies, such as modeling, mnemonics, and semantic webs. The third summary describes specific instructional practices for teaching metacognitive strategy use by classroom practitioners. Implications of the findings are discussed and suggestions for future research are identified.

Keywords: metacognition, strategy, planning, monitoring, evaluating, reflective assessment

1 Introduction

It has been nearly four decades since the term "metacognition" was introduced by psychologist John Flavell. The term itself derives from the Greek word *meta* (after or beyond) and the Latin word *cognoscere* (to know or ponder). Flavell described the term as a heightened awareness of one's thought processes, that is, "knowledge concerning one's own metacognitive processes or anything related to them" (Flavell, 1976, p. 232). Others, including Brown (1987), Barell (1991), Metcalfe and Shimamura (1994), and Zhang (2010), while basically accepting Flavell's description, have expanded the term to reference such cognitive activities as reflection, sentience, self-regulation, self-assessment, and even executive function.

The pedagogical promise and possibilities of metacognition suggest "value-added" strategies or techniques in the sense that students might do something more than attempt to solve problems and engage in learning; they might also reflect on *what and how* they have learned as a result of their experiences (Krathwohl, 2002; Nückles, Hübner, Dümer, & Renkl, 2010; Wilson & Smetana, 2011). This is in itself hardly a novel idea. The writings of Socrates and Confucius, to cite two examples from antiquity, underline the importance of the reflective life. This interest in metacognition has persisted across time. One result is the accretion of a substantial body of literature about metacognitive theory and metacognitive training, such as the meta-analytic research conducted by Dignath and Büttner (2008), and Hattie, Biggs, and Purdie (1996). Nevertheless, Pintrich (2002, p. 224) writes that, "because metacognitive knowledge in general is positively linked to student learning (see Black & Wiliam, 1998; Gulikers, Bastiaens, Kirschner, & Kester, 2006; Michalsky, Mevarech, & Haibi, 2009), explicitly teaching metacognitive knowledge to facilitate its development is needed." However, the literature tends to describe methods for teaching metacognitive thinking in theoretical and general terms, with little discussion of specific practices, such as the kind that Pintrich calls for. Similarly, there is a shortage of evidence assessing the effects that specific methods exert on student achievement. Remediating this research gap is the focus of this investigation into the literature on the application of metacognitive strategies in classroom settings. Specifically, this study identifies classroom-based practices and evaluates their effects, following the analytical literature research method used by Simonsen, Fairbanks, Briesch, Myers, and Sugai (2008).

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Using this approach, in comparison to meta-analysis or meta-synthesis, is better suited to answering the research questions of this study, which focus on practical application, and not the identification of relationships or description of new concepts (Cornin, Ryan, & Coughlan, 2008).

1.1 Definitions

Metacognition is a concept of cognitive psychology that "focuses on the active participation of the individual in his or her thinking process" (Stewart & Landine, 1995, p. 17). A wide range of definitions and interpretations of the term metacognition have been accumulated (Manning & Payne, 1996) since it was first used by Flavell. Flavell's (1979, p. 906) expanded description included knowledge of strategy, task, and one's own cognition. These three related kinds of metacognitive knowledge continue to be perceived as essential components of the learning process (Krathwohl, 2002; Pintrich, 2002). Brief definitions of each follow:

1.1.1 Knowledge of Strategy

Strategic knowledge refers to knowledge of strategies for learning and thinking (Pintrich, 2002). According to Pressley and Harris (1990), strategy is defined as a procedure for accomplishing an academic task. Alternatively, metacognitive strategies refer to a learners' knowledge of their own cognitive processes (Dignath & Büttner, 2008). An example of strategic knowledge is when a student uses a learning strategy, such as a "think aloud" or "I learned statement" as a reflective self-assessment tool.

1.1.2 Knowledge of Task

Knowledge of tasks and their contexts includes different types of cognitive tasks as well as the classroom and culturally normative knowledge of the conditions under which these strategies might be used (Pintrich, 2002). Flavell (1979, pp. 906-907) suggests that "goals (or tasks) refer to the objectives of a cognitive enterprise." In addition to their mastery of several types of strategies, students should acquire knowledge about how, when, why, and where to apply these strategies (Veenman, Van Hout-Wolters, & Afflerbach, 2006). An example of task knowledge is when a student consciously understands a lesson objective, activity, or procedure as explained by a teacher or due to a repeated classroom routine.

1.1.3 Knowledge of Self

Knowledge of one's own cognition is a critically important component of metacognitive knowledge. "Metacognitive knowledge involves knowledge about cognition in general, as well as awareness of and knowledge about one's own cognition" (Pintrich, 2002, p. 219). Ideally, when students are aware of their strengths and weakness as learners (knowledge of self), they are able to choose a learning strategy (knowledge of strategy) that is aligned with the task at hand (knowledge of task).

Pressley and Harris (1990) recommended the following teacher behaviors for promoting strategy instruction: (1) demonstrating the strategy in the context of a meaningful academic task, (2) introducing strategies one at a time, (3) providing feedback and opportunities for practice, and (4) assisting students that struggle with the strategy on an individual basis. Additional recommendations for teachers regarding strategy instruction have included explaining the steps of direct task performance, verbal modeling, systematic prompts, and teacher to student dialogue and questioning (Reid & Lienemann, 2006). Flavell (1979, p. 906) stated that "metacognitive experiences are any conscious cognitive or affective experiences that accompany and pertain to any intellectual enterprise. An example would be the sudden feeling that you do not understand something another person just said."

1.2 Study Purpose

As theory and research in the area of metacognitive thinking has grown, so too has the interest in general approaches for engaging students in metacognitive training, especially as this training characterizes elements of self-reflection. While some sources, such as educational textbooks, emphasize the importance of metacognition, and identify some of its characteristics, there is a lack of empirical evidence regarding the effects of specific instructional strategies or the way in which these strategies are deployed in classroom settings (Dignath & Büttner, 2008; Pintrich, 2002). In this review three categories of teaching practices were identified that bridge the gap between the theory underlying metacognitive training and the practical application of these methods in classrooms. The purpose of this investigation is to summarize factors associated with metacognitive training, including classroom characteristics and specific learning strategies, and then to analyze the effects that these factors exert on student achievement.

1.3 Research Questions

The research questions for this investigation follow: (1) Which types of teaching practices foster metacognitive strategy use? (2) How are these practices summarized as ways for planning, monitoring, and evaluating thinking? And, (3) what do these practices look like when they are used in primary and secondary classrooms?

2   Methodology

2.1 Identifying Search Terms

Researchers associate a variety of terms with metacognition, including self-assessment, self-regulated learning, reflective thinking, reflective assessment,

and integrated assessment, among others. Given these variations, it was necessary to identify keywords consistently cited in the literature. However, searching the Education Resources Information Center (ERIC) database for *metacognition* produced 2,600 results. Similarly, searching ERIC for *self-regulation* produced 1,050 results. In order to refine these searches, educational textbooks were used to formulate delimiting criteria. The approach of using educational textbooks to identify keywords and associated terms was used by Simonsen et al. (2008) and suggested by Cornin et al. (2008). The textbooks used for this purpose included those authored by Savage, Savage, and Armstrong (2012); Fisher and Frey (2008); Gredler (2005); Guthrie (2003); Joyce and Weil (1996); Arends and Kilcher (2010); Lapp and Fisher (2011); Mastascusa, Snyder, and Hoyt (2011).

Each of these textbooks contains a section on metacognition with some variance in length and detail. For example, Guthrie (2003) suggests that metacognition involves many different types of knowledge, such as task knowledge, strategy knowledge, self-knowledge, and goal knowledge. Alternatively, Arends and Kilcher (2010) use terms such as self-regulation and self-monitoring, along with descriptions of specific strategies, such as restudy and self-talk. A third source, Gredler (2005), describes general approaches for engaging students in metacognition, such as delivering explicit instruction on strategy use and providing practice opportunities.

Despite the variety of terms found in these textbooks for describing metacognition, some words appeared more regularly than others. For example, *strategy* was used in six of the eight texts. Similarly, *monitoring* appeared in all but two of the textbooks. Synonyms for *planning* and *evaluating*, such as setting, choosing, and assessing, appeared in half of the texts. The terms most often associated with metacognition across all eight of the textbooks included strategy, monitoring, planning and evaluating.

Additional sources corroborate the use of these terms for describing metacognition. For example, Haidar and Al Naqabi (2008), Leutwyler (2009) and Schraw (1998) suggest that there are three types of metacognitive strategies, including strategies for planning, monitoring, and evaluating metacognitive activity. Planning strategies involve selecting an approach and allocating resources to complete a task or reach a goal (Dignath & Büttner, 2008). For example, a learner decides to study flash cards for 10 minutes per day for five days to prepare for a test. The method is flash card study and time is the resource, specifically 10 minutes per day for five days. Monitoring involves checking one's understanding or ability (Dignath & Büttner, 2008). For example, self-testing for information

recall, which happens as part of flash card study, is a monitoring strategy. Evaluating occurs when a learner judges the suitability of outcomes, products, or approaches. Checking the solution to a mathematics problem using a three-step procedure is an example of evaluating.

As a result of textbook analyses, and validation through additional sources, five search terms were selected, including *metacognition*, *strategy*, *planning*, *monitoring*, and *evaluating*.

2.2 Selection Criteria

A total of three searches were conducted in the ERIC database. Search results yielded 136 peer-reviewed studies published between 1989 and 2012. From these results, 13 studies were selected for analysis. Studies were included if they (1) occurred in a classroom setting, (2) involved primary or secondary student populations, (3) used an experimental or quasi-experimental design, and (4) described the intervention sufficiently for practitioner use. Studies were excluded if they involved online or computerized instruction or consisted of exceptional populations such as students with behavioral disorders, gifted students, or bilingual students.

These 13 studies were then organized into four groups using analytical coding procedures (Richards, 2005). The first group of studies fit the selection criteria, but they also included additional factors, such as longitudinal data, correlations, or emphasis on teacher training. These studies were used to identify features of the learning environment for fostering metacognitive strategy use. Three studies focused on metacognitive planning strategies and another three focused on metacognitive monitoring strategies. Two studies focused on metacognitive evaluating strategies.

3 Results

3.1 Features of the Learning Environment for Teaching Metacognitive Strategies

Five of the 13 studies were selected for reporting features of the learning environment which foster metacognitive strategy use. Analytical coding methods were used to identify these five features, including (1) engaging curriculum, (2) assessment integration, (3) consistent practice, (4) explicit strategy instruction, and (5) verbalizing.

The studies analyzed here suggest that metacognitive strategy use is rare in comparison to traditional teaching approaches. For example, Kistner et al. (2010) found that German mathematics teachers spent little time instructing their students how to learn effectively. Similarly, Leutwyler (2009) suggested that traditional curricula and instructional practices are insufficient for promoting metacognitive

thinking. Rather, elements such as explicit focus on learning processes or emphasis of deep understanding are necessary (Leutwyler, 2009). As a result, students tend not to use or refine their metacognitive strategies over time (Leutwyler, 2009). More often, the features necessary for fostering metacognitive learning seem to be absent during regular lessons, even though many of these features are associated with positive gains in achievement over time (Kistner et al., 2010).

3.2 Engaging Curriculum

One of the critical features of the learning environment for fostering metacognitive strategy use is an engaging curriculum (Leutwyler, 2009). A curriculum which integrates student interest, active learning, and collaboration, results in frequent opportunities for students to use metacognitive thinking skills. However, as Haidar and Al Naqabi (2008) suggest, traditional teaching practices do not encourage students to reflect on their thinking. For example, the characteristics of an engaging curriculum, such as constructivism, self-direction, and transfer are often used infrequently in comparison to more direct methods such as whole class instruction (Kistner et al., 2010). Nevertheless, adjusting a curriculum to be more engaging for students can have a substantial effect on the quality and quantity of metacognitive strategy use. Some general examples for making a curriculum more engaging include integrating student choice, problem-based learning, and concept teaching (Haidar & Al Naqabi, 2008; Leon-Guerrero, 2008; Scharlach, 2008).

3.3 Assessment Integration

As students move through each grade, their understanding of the school system improves. Brookhart (2001, p. 165) defined this evolution as "studenting" which means that students figure out what the teacher expects of them and then they learn to do these activities well. One way that students learn what the teacher wants is through assessments, such as tests and quizzes. Often, classroom assessments dictate the kind of skills and knowledge that students are expected to learn. An assessment can show convergent or divergent questions. Convergent questions require a specific answer, such as calculating the solution to a mathematics problem (Guilford, 2007). Alternatively, divergent questions are open-ended, for which there are many possible answers, such as questions dealing with moral dilemmas (Guilford, 2007).

Some researchers have suggested that education reform efforts have led to an over-emphasis of convergent questioning (Brown & Clift, 2010). Moreover, Leon-Guerrero (2008) stated that divergent questioning is a necessary characteristic of metacognitive strategy use so

that students will reflect on and evaluate their performance. Similarly, since assessments focus student attention on important knowledge and skills, assessment questions that require the use of metacognitive strategies are necessary. For example, questions that emphasize self-checking or evaluation of one's strengths and weaknesses (Haidar & Al Naqabi, 2008).

There is evidence to show that students will apply metacognitive strategies in an unbalanced way when assessments emphasize convergent thinking. For example, Haidar and Al Naqabi (2008) found that science students engaged in significant amounts of planning to solve stoichiometry problems. However, students did this in order to set up problems and apply algorithms. Students did not utilize any additional strategies that require monitoring or evaluating because such strategies were not perceived by students as being important for performing well on assessments.

3.4 Consistent Practice

Although Kistner et al. (2010) found that strategy instruction did indeed take place in classrooms, they also reported that it was applied with wide variation, anywhere from 10 to 40 strategy instructions per lesson. Similarly, when strategies were taught, they were often cognitive in nature, and not metacognitive (Kistner et al., 2010). For example, teachers often used strategies for elaborating, organizing, or repeating information (Kistner et al., 2010; Leon-Guerrero, 2008). As a result, providing consistent practice opportunities is another feature for fostering metacognitive strategy use. Scharlach (2008) suggests teaching multiple metacognitive strategies, such as making predictions, visualizing, and summarizing. Scharlach (2008) also suggests that these strategies be used repeatedly across multiple lessons in order to produce tangible gains in student achievement. However, providing consistent practice opportunities must be accompanied by evaluation. For example, students should be prompted to judge the effectiveness of their learning method by considering past performance with respect to established goals (Leon-Guerrero, 2008).

3.5 Explicit Strategy Instruction

A factor closely related to providing consistent practice opportunities is the *method* used for instructing metacognitive strategies. Generally, teachers use implicit methods, rather than explicit (Kistner et al., 2010). For example, in an analysis of 60 lessons from 20 German mathematics teachers, Kistner et al. (2010) found that on average, teachers taught strategies through implicit instruction in comparison to explicit instruction at a ratio of 5 to 1. Instructing students implicitly on the use of a

strategy means modeling it without explaining how the strategy is effective. Alternatively, modeling a strategy for students while simultaneously verbalizing one's thought processes or asking targeted questions during the demonstration is a form of explicit strategy instruction. Explicit strategy instruction is positively correlated with achievement gains, while using an implicit method is less so (Kistner et al., 2010). Nevertheless, students can be trained to engage in metacognitive strategy use, such as proof reading work, even though they may not be entirely aware of the benefits (Haidar & Al Naqabi, 2008).

According to the literature reviewed in this report, the most significant gains in student achievement result when students are taught the use of metacognitive strategies in explicit ways. Characteristics of explicit teaching include direct instruction, modeling, explaining the benefits of using the strategy, and providing repeated opportunities for using the strategy in guided and independent practice formats (Scharlach, 2008).

3.6 Verbalizing

A fifth factor is to accompany strategy modeling and strategy practice with verbalizations. Providing explanations as a part of strategy modeling promotes explicit strategy instruction (Scharlach, 2008). Likewise, students who conduct internalized self-talk, thinking aloud, or talking with a partner while they execute the steps of a strategy, show an improved ability to manage academic tasks (Haidar & Al Naqabi, 2008; Leon-Guerrero, 2008). Careful questioning also has a significant impact on how effectively students use metacognitive strategies (Leon-Guerrero, 2008). Posing thoughtful questions prompts students to select and use strategies, while also raising their awareness about how and why they are using them. Having students tell a partner about the steps they took to solve a

problem, the reasons they chose a particular study method, or the effects of a strategy on performance are examples of verbalizing. Table 1 shows a summary of environmental features useful for deploying metacognitive strategies.

3.7 Instructional Methods for Promoting Metacognitive Thinking

The remaining eight studies were organized according to whether they focused on metacognitive planning, monitoring, or evaluating strategies. In the following sections, a brief summary of each study is shown, along with a description of the intervention. Cohen's d effect sizes (*ES*), which are defined as the proportion of variability on a dependent variable that can be attributed to an independent variable (Sheskin, 2007), were also calculated and reported in order to provide a general understanding for practitioners of how these strategies affect student achievement (see Appendix for the formula used to calculate effect sizes).

3.8 Planning Strategies

Brunstein and Glaser (2011) studied the effects of self-regulation strategies on 117 grade four students using a pretest-posttest design with intact classrooms assigned to a treatment and comparison condition. The dependent variable measured characteristics of students' writing. Results showed that students in the treatment group scored higher across writing measures, such as story plans, text revisions, and story quality at a statistically significant level ($p < .001$).

The self-regulation intervention consisted of multiple parts. Students used graphic organizers, mnemonics, checklists, and diagrams to plan their writing (Brunstein & Glaser, 2011). Each of these strategies prompted students to include critical story elements, such as identifying the setting, characters, and climax. The graphic organizer,

Table 1 Features of the Environment for Teaching Metacognitive Strategies

Factor	Example	Supporting Reference
Engaging curriculum	Student choice Problem-based learning Concept teaching	Leutwyler (2009) Scharlach (2008)
Assessment integration	Divergent questioning Self-assessment Analyzing past performance	Guilford (2007) Brown and Clift (2010)
Consistent practice	Repetition across lessons Guided and independent practice	Leon-Guerrero (2008) Kistner et al. (2010)
Explicit strategy instruction	Modeling with explanations Targeted questioning	Kistner et al. (2010)
Verbalizing	Think aloud Questioning Partner talk	Haidar and Al Naqabi (2008) Leon-Guerrero (2008)

checklist, and diagram also served as a platform for teacher feedback.

The treatment included modeling of metacognitive strategies throughout the intervention. For example, the teacher brainstormed writing ideas with students and then compared these ideas to the checklists and diagrams (Brunstein & Glaser, 2011). Moreover, students kept a record of whether or not they had attained their writing goals. To set goals, students inspected their performance on previous writing tasks and then considered the number of points they wanted to earn on their next story.

In a similar study, Tracy, Reid, and Graham (2009) examined the effects of self-regulation strategies on 127 grade three students. This study used intact classrooms with a pretest-posttest, treatment and control group design. The dependent variable consisted of scores on student written stories. Results showed that students in the treatment condition wrote more words and earned higher scores on story elements, such as setting, characters, and main idea, at a statistically significant level ($p < .01$) in comparison to students in the control group.

Tracy et al. (2009) organized the intervention into four stages, including *developing background knowledge*, *discuss it*, *model it*, and *support*. During the background knowledge phase, students learned two mnemonics for planning and organizing writing. In addition, students verbalized their understanding as they answered questions about story elements. In the discussion phase, the teacher modeled and practiced identifying story parts and discussed these aloud with students. Students also graphed the number of parts shown in their stories using colors and numbers to correspond to specific elements. In the modeling phase, the teacher led students through guided practice to write a story. Furthermore, the teacher used verbalizing and a graphic organizer to model procedures. In the support phase, students wrote stories and used goal setting to prompt inclusion of story elements. Last, students checked that they had included all of the story parts by coloring squares on a diagram.

Fidalgo, Torrance, and Garcia (2008) conducted a study with 77 grade eight students using a posttest only design. The study included control and treatment groups organized from intact classrooms. Before administering the treatment, the researchers analyzed supplemental measures, such as grades, to assess group equivalency. The dependent variables included scores from student written essays and self-report survey items.

Results showed statistically significant differences ($p < .05$) between the treatment and control groups on writing quality, coherence, and structure (Fidalgo et al., 2008). According to results from self-report items, students in the treatment group spent more time planning for writing, but less time on actual writing at a statistically significant level ($p < .05$).

Fidalgo et al. (2008) used four stages for implementing the intervention. First, the teacher delivered explicit instruction on how to use the strategy along with an explanation of its benefits. Two mnemonics were used to prompt inclusion of writing elements such as objective, main idea, and audience. Second, the teacher modeled how to use the strategies to create a writing outline. Students duplicated the teacher's planning procedures by writing along with the teacher during this stage. In stage three, students practiced using the writing strategies with a partner. Students wrote and verbalized their thinking during the writing process, while partners observed and made suggestions. In the final stage, students rehearsed through guided and independent practice.

The interventions used by Brunstein and Glaser (2011), Tracy et al. (2009), and Fidalgo et al. (2008) showed effect sizes of .85, .39, and .69, respectively (see Table 1). The average *ES* of the three studies was .62. This means that using the planning strategies described in these studies improved student writing quality by 23 percentile points. One interpretation of these results is that a student scoring at the 50th percentile on writing quality measures would be predicted to score at about the 73rd percentile after intervention. Table 2 shows a summary of the effects of planning strategies on student achievement as it relates to writing quality.

3.9 Monitoring Strategies

Huff and Nietfeld (2009) examined the effects of reading comprehension monitoring strategies on 118 grade five students. A pretest and posttest was administered to treatment, comparison, and control groups organized from intact classrooms. Results showed that students who received training in comprehension monitoring were more confident in their responses to reading comprehension questions, according to Likert-type self-report items, at a statistically significant level ($p < .01$).

The intervention began with the teacher explaining the purpose of learning monitoring strategies (Huff & Nietfeld, 2009). Then, with the teacher's guidance, students identified strategies for improving their understanding of a text passage such as rereading, summarizing, and adjusting reading speed. The teacher modeled these strategies with verbalization. As students practiced reading passages, they paused twice to respond to three monitoring prompts, such as, "this text made sense to me and I understood it well" (Huff & Nietfeld, 2009, p. 168). Students responded to these prompts using a Likert scale and a line diagram. After reading, students answered comprehension questions such as "Who was the main character?" and "Why is it important

Table 2 Effects of Planning Strategies on Achievement

Strategies	Area	Supporting Reference	*ES*
Modeling Goal attainment Checklist Diagram Mnemonic Graphic organizer	Writing Quality	Brunstein and Glaser (2011)	.85
Modeling Goal attainment Mnemonic Graphic organizer	Writing Quality	Tracy et al. (2009)	.39
Modeling Checklist Mnemonic Guided practice	Writing Quality	Fidalgo et al. (2008)	.61

Note: Average *ES* for the three studies was. 62. This predicts a 23 percentile point increase on a normal distribution of student performance for writing quality.

to think about your level of understanding while you read?" (Huff & Nietfeld, 2009, p. 168). Students compared their answers to comprehension questions with a set of correct answers provided by the teacher.

Reynolds and Perin (2009) used a pretest-posttest design with intact classrooms assigned to treatment and comparison groups to study the effects of summarizing text. The study was conducted with 121 students in grade seven social studies. They found that students in the treatment group scored higher on a test covering content-specific reading passages at a statistically significant level (*p* < .01).

The intervention, called *plan and write for summarization*, used a mnemonic to prompt students to take notes from text passages and then organize them for writing passage summaries. For example, one step directed students to "pick out the big idea and underline the important parts," along with listing main ideas with supporting details (Reynolds & Perin, 2009, p. 283). In a fashion similar to previous studies, the strategies were presented to students with modeling, verbalizing, and multiple opportunities for guided practice. Students also used goal setting and diagrams to plan their summaries.

Boulware-Gooden, Carreker, Thornhill, and Joshi (2007) studied 119 grade three students using a pretest-posttest design with treatment and comparison groups. The purpose of the study was to determine the effectiveness of systematic direct instruction of multiple metacognitive strategies designed to assist students in comprehending text. Results showed that the intervention group improved significantly over the comparison group both in vocabulary acquisition and reading comprehension (*p* < .05).

The intervention involved five strategies, which were administered across 30 lessons. First the teacher used a question, picture, or riddle to interest students in lesson content. This was accompanied with an explanation of the purpose and usefulness of the strategies that students were learning. Second, new vocabulary words were introduced to students one or two at a time using a semantic web, which defines a word by showing synonyms, antonyms, and other related words in a web format. Third, the teacher modeled reading passages to students, followed by guided and independent reading practice. Fourth, students summarized the main idea and supporting details of a passage by answering comprehension questions. The main idea and supporting details were organized graphically, using colored note cards. Last, the teacher asked convergent and divergent reading comprehension questions throughout each lesson. Students responded to these questions by answering aloud.

According to analyses of monitoring interventions, the studies conducted by Huff and Nietfeld (2009), Reynolds and Perin (2009), and Boulware-Gooden et al. (2007) showed an average effect size of .91. This means that student performance on comprehension, recall, and vocabulary acquisition improved by 31 percentile points. Table 3 summarizes the effects of monitoring strategies on student achievement as it relates to text comprehension and vocabulary acquisition.

3.10 Evaluating Strategies

Zirkle and Ellis (2010) studied the effects of spaced repetition with self-testing as a way to increase long-term memory of geographic place-names on a map of Middle America. The study was conducted with 69 grade six students using a pretest-posttest design with intact classrooms assigned to treatment and comparison groups. Results showed that students in the treatment group scored

higher on a test which assessed their ability to accurately recall place-names on a map at a statistically significant level ($p < .01$).

The intervention consisted of two parts. First, the teacher identified locations on a map through direct instruction. Second, students practiced locating place-names for themselves. However, during practice sessions, students also engaged in self-testing. Students were instructed to examine the map key, which was printed on the back side of a blank practice map, in order to refresh their memory and complete the practice session.

Similarly, Ramdass and Zimmerman (2008) studied the effects of training students to use self-correction strategies to improve mathematics achievement with 42 grade five and six students. The study employed a pretest-posttest with random assignment to treatment and control groups. Results showed that students in the treatment group solved long-division problems more accurately in comparison to students in the control group at a statistically significant level ($p < .05$).

The intervention consisted of three phases (Ramdass & Zimmerman, 2008). First, students in both groups learned a step-by-step solution strategy to solve division problems. Second, the teacher in the treatment classroom taught students how to check their answers by multiplying the quotient by the divisor and then comparing the result with the final answer. Third, students in the treatment group used a checklist to guide self-correcting procedures.

Unlike previous studies examined in this review, the studies by Zirkle and Ellis (2010) and Ramdass and Zimmerman (2008) lasted less than three days and intervention training lasted between 10 and 45 minutes. However, the average *ES* calculated from the two studies was .71, which would result in an increase of 26 percentile points for students using evaluating strategies on similar recall and mathematics problem solving tasks. Table 4 summarizes the effects of evaluating strategies on student achievement as it relates to information recall and algorithmic problem solving.

Table 3 Effects of Monitoring Strategies on Achievement

Monitoring Strategies	Area	Supporting Reference	*ES*
Modeling Diagram Answer checking Monitoring prompts during reading	Confidence at comprehending text	Huff and Nietfeld (2009)	.60
Modeling Diagram for notes Note-taking and outlining Summarization Goal setting Guided practice	Content knowledge recall from text passages	Reynolds and Perin (2009)	1.49
Modeling Semantic web Guided practice Independent practice Comprehension questions Convergent and divergent questioning	Vocabulary acquisition and comprehension of text	Boulware-Gooden et al. (2007)	.65

Note: Average *ES* for the three studies was .91. This predicts a 31 percentile point increase on a normal distribution of student performance on similar measures.

Table 4 Effects of Evaluating Strategies on Achievement

Monitoring Strategies	Area	Supporting Reference	*ES*
Modeling Independent practice Diagram (map) Self-testing Answer checking	Recall of geographic place-names on a map	Zirkle and Ellis (2010)	1.05
Modeling Answer checking Checklist	Mathematics achievement, solving long division problems	Ramdass and Zimmerman, (2008)	.36

Note: Average *ES* for the three studies was .71. This predicts a 26 percentile point increase on a normal distribution of student performance on similar measures.

4   Discussion

Results of the literature review show that modeling was used in each of the eight studies for teaching metacognitive planning, monitoring, and evaluating strategies. Modeling involves showing students specific procedures to follow for using a strategy. It also involves explaining to students the usefulness of the strategy. Often, the studies describe the teacher modeling the strategy visually and through verbalization. For example, as teachers model, they also verbalize what they are doing, why they are doing it, and ways for overcoming obstacles. The consistent use of modeling supports claims made by Kistner et al. (2010) that effective strategy instruction be shown to students through explicit methods.

The second most common strategy was diagramming. Diagrams were used in four of the studies. However, if concept maps, semantic webs, and geographic maps are included as diagrams, then the number increases to seven. Similar to modeling, diagrams were used across all three metacognitive categories: planning, monitoring, and evaluating. Some researchers suggest that visual learning methods are more memorable (Medina, 2008) and engaging (Pressley & McCormick, 2007). The frequent use of diagrams, which resulted in positive achievement gains, supports these conclusions.

The third most common strategy was practice, both guided and independent. If both forms of practice are counted together, then they appeared in four of the eight studies, across all three metacognitive categories. As in the case of modeling, researchers have suggested that consistent practice is one of the characteristics of effective metacognitive strategy instruction (Kistner et al., 2010; Leon-Guerrero, 2008).

Four additional strategies were used in three out of the eight studies, including mnemonics, answer checking, checklist, and goal attainment. However, mnemonics were used specifically for planning writing. Alternatively, answer checking, checklist, and goal attainment were used across two metacognitive categories. A summary of the most frequently used strategies is shown on Table 5.

4.1 Research to Practice

A frequently used method for modeling metacognitive strategy use, according to the studies examined in this review, is *Think Aloud*. Think Aloud means verbalizing the steps or procedures of a strategy as it is being deployed. It also involves posing questions, identifying resources, and reciting affirmations. For example, a teacher might say the following while modeling a strategy for solving a one-step algebra equation, "The first step is to identify the unknown variable … there it is, x. Now I look to see if there is a coefficient greater than 1. Yes, the coefficient in this equation is 2. I can go to the next step."

Teachers can use an *I Learned Statement* to conclude *Think Aloud* modeling. I Learned Statements are spoken or written summaries of what has been learned after completing an academic task. In keeping with the algebra

Table 5 Frequently Used Strategies across Metacognitive Categories

Strategy	Metacognitive Category	Characteristics and Examples
Teacher models	Planning, monitoring, evaluating	Explicit instruction of procedures Direct instruction Explanation of benefits of using strategy Verbalization during demonstration Spoken and written summaries
Diagram	Planning, monitoring, evaluating	Shapes and lines showing connection Concept maps Semantic web Graphs
Practice	Planning, monitoring, evaluating	Guided with teacher help and feedback Independent Repetition
Answer checking	Monitoring, evaluating	Compare responses to answer key Peers check each other
Checklist	Planning, evaluating	Prompt to do something Reminder
Goal attainment	Planning, monitoring	Assessment of previous performance Record keeping Goal setting

example, a teacher might summarize her learning by saying or writing the following comment for students, "I learned how to divide all of the expressions in an equation by the coefficient to reduce it to one." Think Aloud and I Learned Statements show a positive effect on achievement when they are used by teachers and students (Bond & Ellis, in press; Lan, 2005). When teachers model the use of Think Aloud or I Learned strategies as teaching devices designed to enable students to understand how they work, then of course, students can be encouraged or required to use them on their own (Ellis & Denton, 2010; Ellis & Evans, 2010).

Another method for implementing metacognitive strategy use is diagramming. There are a number of approaches for making academic diagrams, including concept maps, mind maps, geography maps, semantic webs, flow charts, and graphs. A flexible format for integrating diagrams as an instructional approach is *Learning Illustrated* (Ellis, 2010), where students create drawings to show their understanding of concepts, information, or procedures. For example, students could use a t-chart to identify sources of renewable and nonrenewable energy in science class (see Figure 1). Along with the results of this analytical review, there are a number of other sources showing that visual modes of learning have a significant impact on achievement (McBride & Dosher, 2002; Read & Barnsley, 1977; Stenberg, 2006).

Renewable	Nonrenewable
Solar	Fossil fuels
Wind	Coal
Hydroelectric	Petroleum oil
Biomass	Natural gas
Biofuel	Uranium
Geothermal	
Ocean energy	

Figure 1 T-Chart Showing Renewable and Nonrenewable
Energy Sources in Science

Whether students speak, write, or illustrate their thinking, practice is a critical element. Effective practice is both guided and independent. Guided practice means that the teacher orchestrates student use of the strategy through examples, demonstrations, and feedback. Having students imitate the teacher's use of the strategy is also appropriate when students are first exposed to the strategy. Independent practice is assigned once students demonstrate sufficient

mastery. Whatever product students create as a result of independent practice also receives teacher feedback and is used to check student understanding.

For example, guided and independent practice for teaching students to write an introduction to an essay includes the following teacher and student activity: (1) the teacher demonstrates steps for writing by following a mnemonic while students observe; (2) students replicate the steps in-class with a subject different from the one used during demonstration; (3) the teacher circulates and observes student writing and provides feedback as students write; (4) students write a second introduction, on a new topic, independently; (5) the teacher provides feedback, and the process repeats.

Practice is essential for effective strategy use, but it is an insufficient condition for integrating metacognitive thinking. Students need opportunities to make sense of their learning. A useful method for doing this is summarization. Creating a summary means distilling information into a synthesized form by showing main points with supporting details through deletion, substitution, and reorganization. Summarizing, along with note-taking which is a form of summary, has shown a positive effect on student achievement (Marzano, Pickering, & Pollock, 2001). A practical format for summarizing is *The Week in Review* (Ellis, 2010). For this activity, students summarize what they have learned over the course of a week. The summary can be constructed independently or collaboratively and then shared in class. The contents of The Week in Review also serve as an informal check of student learning as well as a bridge to connect current subject matter with upcoming subject matter.

Teachers can have students summarize in divergent ways, such as compiling lists of I Learned Statements after a week of instruction. Alternatively, summaries can be convergent, such as structured note-taking. There are two additional instructional practices, derived from the literature analyzed in this review, that tend to prompt convergent outcomes, including answer checking and checklists.

Answer checking occurs when students generate responses and compare them to pre-established solutions, such as those found on an answer key. Like practice activities, answer checking that fosters metacognitive thinking is more effective when accompanied by specific self-monitoring questions, such as "Why is my answer different in comparison to the answer key?" or, "What steps did I take to get this answer?"

Checklists are similar to answer checking since they involve making comparisons. However, the purpose of a checklist it to prompt specific behaviors by having students identify complete or incomplete activities. To revisit the example of having students write an introduction to an

essay, the teacher may use a mnemonic, such as SIPPS: select an approach, interest the reader, present the main idea, provide background information, and signal what is ahead. In this example, the mnemonic works both as a reminder and checklist for including specific elements. Requiring that students interact with the checklist, such as filling in a box, circling *yes-no*, or placing a check, increases the likelihood of complying with the behavior or performing the task. Figure 2 shows an example checklist.

The final method under examination in this review is goal attainment, which is also positively associated with student achievement (Marzano, 2009). An important characteristic of goal attainment is analysis of past performance, such as using scores from previous writing tasks to set new performance goals (Brunstein & Glaser, 2011). For example, students color-in squares on a performance graph indicating that they have achieved specific writing goals (Tracy et al., 2009). Another method for combining goal attainment and analysis of past performance is *Record Keeping* (Ellis, 2010). Procedures for Record Keeping include having students evaluate their own performance data over time, such as graphing the number of push-ups performed in physical education, scores earned on quizzes in history class, or keeping track of time spent studying and doing homework.

Finally, there are a number of alternative data sources that show convergent validity with the results presented in this discussion. For example, according to Marzano et al. (2001), diagrams, practice, summarizing, checklists, and goal setting show an average effect size of .76. Similarly, Think Aloud, I Learned Statements, The Week in Review, and Record Keeping, which are classified as reflective assessment practices (Ellis, 2010), show a collective *ES* of .39 (Ellis, 2011). Finally, the combined *ES* from studies analyzed in this report was .75. Taken together, metacognitive strategy use predicts an increase of 14 to 27 percentile points on a normal distribution of performance. In practical terms, a student who performs at the 50th percentile on a normally distributed achievement measure could improve performance to the 64th or 77th percentile.

5 Conclusion

The results of this study make a supportive statement regarding the value of metacognitive strategies in teaching and learning. The metacognitive conditions, practices, and strategies that have been identified in this review summarizes empirical evidence aligned with the theory presented by Flavell (1979) and explored by researchers that have investigated this topic over the last four decades.

5.1 Research Questions
At the onset of this investigation three research questions were identified which drove the review of the literature, analysis of research, and subsequent discussion. A summary of the results for each follows.
5.1.1 Practices that Foster Metacognitive Strategy Use
Five environmental features were identified that enhance the effectiveness of metacognitive strategies. While these do not describe specific practices, they do suggest necessary conditions for effective metacognitive training. These factors include engaging curriculum, assessment integration, consistent practice, explicit strategy instruction, and verbalizing. Interestingly, it was also found that use of metacognitive strategies was less common in comparison to traditional teaching approaches, at least from the studies analyzed in this review, which were investigating metacognitive interventions (Kistner et al., 2010; Leutwyler, 2009).
5.1.2 Planning, Monitoring, and Evaluating Thinking
Eight studies were analyzed to determine instructional methods that promote metacognitive thinking. Included among planning strategies were modeling, goal attainment, checklists, diagrams, mnemonics, graphic organizers, and guided practice. An average effect size of the three studies reviewed for metacognitive planning was .62. Among the monitoring strategies identified in the analysis were modeling, diagramming, answer checking, and practicing. The average effect size was .91 for monitoring. Finally, strategies for evaluating thinking included modeling, independent practice, self-testing, and answer checking. An average effect size for evaluating was .71. These large

Did I include these elements in the introduction of my essay? (fill-in Yes or No)

Yes	No	S -- select an approach, such as providing an example
Yes	No	I -- interest the reader with a story or anecdote
Yes	No	P -- present the main idea
Yes	No	P -- provide background information
Yes	No	S -- signal what's ahead

Figure 2 Checklist for Writing the Introduction to an Essay

effect sizes suggest the need for replication and further study in order to make more definitive claims.

5.2 Examples of Effective Practice

According to the research analyzed in this review, metacognitive strategies are applicable across different disciplines and grade levels and they are effective for teaching both content knowledge and academic skills. Instructional practices most frequently used included teacher modeling with Think Aloud, diagramming, practice, answer checking, checklists, and goal attainment.

5.3 Limitations

While the results of this investigation contribute to the body of research on metacognition and improving classroom practice and student learning, there are also limitations. These include the fixed number of studies that were reviewed and the focus on elementary and middle school populations. A total of 13 studies were included; five to describe general characteristics and eight which were analyzed. The purpose of this study was not to provide a meta-analysis or meta-synthesis of metacognitive strategy training, which has been done (see Dignath & Büttner, 2008; Hattie, Biggs, & Purdie, 1996). As a result, the findings reported here are not intended to be generalizable, but they are useful for practitioners. In addition, the reviewed studies included participants from grades three through eight. Studies including participants below grade three and above grade eight were not found which fit the search criteria.

5.4 Implications for Future Research

The answers to the three research questions contribute to the body of empirical research on the effects of metacognitive strategies on achievement. This investigation, however, has also raised many related questions that might be pursued in future research. Three recommendations follow that are of particular importance.

First, further research needs to be done on the collective effects of metacognitive strategies. While research continues to emerge showing that metacognitive knowledge, strategy, and understanding positively impact achievement of individual students, little research has been conducted regarding group learning, such as that achieved by an entire class. This is a promising area of research that will provide valuable and timely evidence regarding the increased use of group achievement data as factors in performance evaluations.

Second, more research on the effects of goal attainment should be conducted. For example, common sense would tell us that if a teacher challenged a class to read 1,000 books during a semester that individually (and collectively) increased learning would occur. While student monitoring of

their own goal attainment is supported in the literature (Ellis, 2010; Marzano, 2009), further research on collective goal attainment is needed.Finally, research needs to be conducted on the role of administrators, instructional coaches, and mentors in gathering evidence of metacognitive strategy use. As educators and politicians are focused on value-added teacher evaluation and the use of multiple measures, metacognitive strategies offer the potential of collecting and compiling small-scale formative achievement data embedded in the teaching and learning process. Since the classroom use of metacognitive strategies has a certain level of empirical evidence to support it, the next logical step is to find ways to explore broader implementation of these practices. The results should be twofold: first, student learning may well increase; second, a body of easily accessible formative data may be available.

5.5 Closing Remarks

The pattern of moderate to large effect sizes found in the reviewed studies must be interpreted judiciously. Given the seemingly never-ending call for improved academic performance by schools, it is tempting to think of the metacognitive approaches examined here as a little used if not well-established pathway to higher student achievement. Effect size is to be sure an indicator of practical significance of findings, but we suggest a word of caution pending the building up of an even more substantial database of empirical evidence. To think of the research findings reported here as promising studies in need of replication and expanded investigation is certainly more realistic. The preponderance of evidence that does exist points to the tentative conclusion that students learn more when they reflect on their learning. This is not a new idea. More evidence may well reinforce this conclusion as it relates to achievement. We think it will.

Schools and classrooms are complex seemingly refractory places where a multitude of variables interact, often with confounding results. To ask students to reflect on their learning is to open Pandora's Box. Who knows what will fly out once the lid is pried? To what extent are classrooms typically places where students are given voice not merely to think about how well they have learned an assignment but also to express their ideas of an assignment's worth? Metacognition is thinking reflectively about learning, and thinking about learning raises questions of truth, trust, openness, intrinsic worth, and even about how one ought to spend one's time. To the extent that metacognition is constrained to levels of considering how one solved a problem or how much time it took is better than no reflection at all. But to limit metacognition to that depth diminishes the spirit of the idea. Surely a teacher who seeks to have students practice reflective thought must model it and value it for what it truly is, an ongoing reciprocal self- and

shared-assessment of all participants' growth, including that of the teacher. The great advocate of reflective thinking, John Dewey, famously wrote more than a century ago that schools will improve when teachers become learners and learners become teachers. That was good advice then, and it is good advice now.

Appendix

The following equation was used to calculate the value of Cohen's *d* effect sizes (*ES*).

Cohen's $d = M_1 - M_2 / (s \text{ pooled})$ where s pooled $= \sqrt{[(s_1^2 + s_2^2) / 2]}$

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Lesson Study and Curriculum Politics in Contemporary Japan

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Abstract

In this paper I analyze and evaluate the changes which have occurred in the curriculum policies and lesson studies of twentieth century Japan. Formulated and implemented in the late nineteenth century as part of the social reforms of the Meiji era, lesson study was much influenced by the Western pedagogy of the time, and was intended to increase bureaucratic control and promote research among teachers. Under the influence of Pestalozzian developmentalism and Herbartianism, Japanese education became more progressive during the Taisho era (1912-1926). Progressive education and its lesson study practices have developed into a grass-roots movement in Japan. Despite of its popularity, progressive education has been criticized for lacking empirical evidence, and though it is not an American-style quality circle, some try to explain it in those terms. For instance, progressive education has been labeled as a cause of the "mediocrity" of Japanese students. Another cause for concern in contemporary Japan is widening inequality, and many scholars of educational sociology see a link between social class differences and the practices of progressive education. Nonetheless, even though lesson study has mainly been developed by progressive educators in Japan, it has not been targeted by these politically motivated attacks. In the final part of this paper I delineate the contemporary forms of lesson study in terms of newly elaborated concepts such as the behavioral objectives approach and the learning community.

Keywords: lesson study, Herbartianism, progressive education, learning community, behavioral objectives

1 Introduction

When the new curriculum was implemented in 2002, the media hailed it as marking the dawn of new era of education in Japan, i.e., the third major educational reform to be implemented since 1872. However, it also marked the beginning of a frontal attack on progressive education in Japan, an attack so effective that the Ministry of Education, Culture, Sports, Science, and Technology (hereafter shortened to the Ministry of Education) withdrew its support for progressive curriculum reform, the results of which appeared one and a half years later. From April 2002 to March 2008, curriculum policies have drastically changed in terms of goals and basic principles. In those six years, the goals of the national curriculum have been changed from progressive education to rote learning, disguised by the euphemism "back-to-basics." So far, no clear-cut explanation has been offered on this shift in emphasis.

The professional development practice of lesson study has been adopted by numerous schools in the US, where it is treated as a pedagogical theory. However, in Japan "lesson study" usually means the teachers' meeting; with neither substantial theory nor a prescribed methodology, it signifies just a form of group discussion for teachers. One of the reasons why it has become popular in the US is that the concept originated in Japan, and the foreign-sounding term "lesson study" has a mysterious ring to it. It is often assumed that students learn exactly what a teacher teaches. Yet, this is usually not the case, and this is why teachers need to meet after class to explore the reasons for this discrepancy between teaching and learning.

Curriculum is not a dead cultural artifact, but is rather a living spring. Those who assume that curriculum policy is like a pendulum which periodically swings between the progressive and conservative poles fail to recognize the evolution of the stable forms of teacher collaboration. Lesson study is one of those stable forms.

This paper analyzes and evaluates the changes which have occurred in curriculum policies and lesson studies in contemporary Japan. Progressive education in Japan and its practice of lesson study was actually developed as a grass-roots educational movement. It is neither an American-style quality circle nor systematic management, though some have tried to explain it in those terms. I will try to clarify the reason why lesson study has been taken for granted in Japan, despite the fact that educational policies have always opposed teacher autonomy.

For instance, progressive education has often been vilified as a cause of the "mediocrity" of Japanese students, a keen concern not only among the Japanese masses, but also among many educational researchers. A number of researchers see this mediocrity of Japanese students as a

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result of two of the major tenets of public education in the early 1990's: a passion for life and a relaxed mind. Another concern for the Japanese public is the widening inequality in Japanese society.

Many scholars of educational sociology have linked this widening inequality with the practice of progressive education in Japan. Yet, lesson study has largely been left out of those political attacks, even though it has mainly been developed by progressive educators. Prior to World War II, the political attacks on lesson study in Japan came from the far right; the more recent attacks, however, have come from the left wing. Those who are concerned with the equality of education are always in conflict with those who pursue freedom in education.

2   The Influence of the Teaching Theories of Pestalozzi and Herbart during and after the Meiji Era

Lesson study was first implemented in 1873 as part of the educational reforms of the Meiji era (1868-1912). During this time bureaucrats from the Ministry of Education were sent to supervise the practices of local school districts (Inagaki, 1982, p. 15) and oversee the implementation of three types of teaching methods. The first type was M. M. Scott's one-way didactic. The second was the method of E. A. Sheldon's Oswego movement which originated from Pestalozzi's object lesson. The third was the developmental method based on the Pestalozzian method, and which was introduced by Hideo Takamine, a professor at the Tokyo Normal School. The third method was particularly important because it dovetailed with the idea of the modern civic society advocated by Hobbs and Rousseau, both of whom saw the modern state as the basis of the independent individual who entered into the social contract. *Principles and Practice of Teaching*, a book by J. Johonot (1878) introducing the work of Pestalozzi, F. Froebel, and J. L. R. Agassiz, was translated into Japanese and had a widespread influence in Japan. This book also presented the concept of using the "objective teaching" to teach modern sciences. Encompassing induction, deduction, synthesis, and analysis, objective teaching was designed to develop the skills of observation and analysis. However, this idea was implemented in a way by which students were forced to identify the observed objects with the prescribed concepts and ideas presented by the teacher, without any input from the students. As Inagaki (1982, pp. 104-107) has noted, such a method lacked the values of modern science.

At this early stage, teachers were expected to reflect upon their own teaching methods in terms of the formula provided by bureaucrats and the scholars who translated the books describing modern pedagogy in the West. The

minutes of an elementary school retained by Nagano Prefecture's normal school (*Chikumaken shihan gakkou* ed. 1-2; *shougakkou jyugyohou saiki*, 1874) and presented by Inagaki (1982, pp. 98-110) sheds light on how teachers had already started reflecting upon their lessons in terms of the standards prescribed by the Ministry of Education, i.e., whether or not their lessons were based on the standards of modern science. This implies that they had already incorporated lesson study into their collaborative activities. However, it should also be pointed out that lesson study was initiated by bureaucrats whose main goals were to modernize Japan and bring it out of its long period of isolation.

In the place of Pestalozzi's developmentalism, Herbartianism was introduced between 1891 to 1893. The Ministry of Education issued its Guidelines for Elementary School Lessons (*Shoggakou kyousoku taiko*) in 1891, and a book introducing Herbartianism was published in 1894. These guidelines stated that a school principal or a head teacher was supposed to prescribe a lesson design (*kyoju saimoku*) which was to be followed by individual teachers when preparing their lesson plans. This bureaucratic and hierarchical approach to controlling the details of the lessons given in the individual classrooms reflects the centralized and bureaucratic educational system of the time. Moreover, Herbartianism was used as a rationalization for controlling the teacher's didactic approach in the classroom, with the five steps of instruction formalized as follows: preparation, presentation, comparison, integration, and application. As Inagaki (1982, p. 174) has noted, such a rigid and formal approach has an adverse effect on teacher creativity. Despite the fact that Herbart addressed the dialectical development between object and intuition, the lesson plans actually used by individual teachers prevented the students from exercising their imagination.

As implemented in Japan, then, the Herbartian teaching method failed to encourage students to develop their perception and imagination on the basis of the observed reality. However, it should be noted that lesson study was practiced by teachers even when their voluntary collaboration was dominated by the centralized teaching design which did not allow them to freely develop their own pedagogical methods.

Inagaki analyzed a typical lesson study session held in Iwate Prefecture in 1905 (Inagaki, 1982, pp. 296-306) and recorded as a demonstration class in moral education. After the class, the teacher and his colleagues had the following discussion:

The teacher commented about his own lesson plan: (1) The lesson was planned to last for three school hours, with apperception and application constituting the third period. The teacher felt that the preparation stage was a little too long; he also mentioned that he intended to

integrate ordinary life activities related to patriotism. (2) The results of the lesson: The students were more quiet but less attentive than usual, and the teacher left out one part of the presentation that was originally planned.

The chief teacher asked in which period the teacher was planning to let the students read. The commentator evaluated the speaking and attitude of the teacher as adequate. He continued that the students were quiet, but not motivated by the lesson, showing their usual inactive attitude toward school. Their language was in the Tokyo dialect, but their last words were fussy. The preparation was too much, and the teacher should have aroused the students' interest by recounting the story of how the Japanese repelled a Mongolian invasion in the thirteenth century. The map was too big to teach smoothly. It was disappointing that the teacher spoke about the frigate before presenting General Michinari. The teacher should have told the story with more emphasis on the idea that the entire nation was in danger at that time. The teacher should have used catechism. The picture should have been enlarged so that the students could have better understood the hierarchical status.

The other teachers commented on his lesson as follows: (1) The instruction materials were too complex to give the students a deep impression. There was too much catechism. (2) The presentation should have been more detailed. There were more heroes in the west of Japan than in the northeast, so the teacher should have encouraged the northeast to catch up. (3) The teacher should have printed *cana* over the name of Kouno Michinari. (4) It was good to see the students being quiet instead of their usual wild behavior.

The principal concluded that the prominent figures of the Russo-Japanese War should have been cited in the comparison, though the teaching was mostly good. The teacher's diction and attitude were good, as was the silence of the students', who were inactive because it was an afternoon class. The teacher should have given more emphasis to the bravery of Prime Minister Tomikune during the Mongolian invasion.

As has been noted, the lesson study was organized according to the Herbartian teaching stages as follows: preparation, presentation, comparison, application, apperception, integration, and others. In later years these stages were reduced to five, and then three. The features of Japanese lesson study were classified into these formalized categories, what Inagaki calls "formalized teaching." As Inagaki points out, there was no room for creativity. Although the teachers carefully examined their teaching, their discussions after the lesson were unlikely to go beyond the pedantic pursuit of the wording, for no changes to the curriculum were allowed.

3 Democracy, the Free Education Movement, and Lesson Study during the Taisho Era

Culture and education in Japan drastically changed during the Taisho era (1912-1926) as a result of the "Taisho Freedom Movement." The changes in education during the Taisho era were essentially a reaction to the oppressive ethos of the Meiji era. Kanjiro Higuchi (1896) was a pioneer critic of the oppression of Herbartian pedagogy. In the late Meiji era, he advocated an activism which sprung from the students' instinctive distaste for oppressive education. Nakano (1968, pp. 30-31) asserts that the goals of Higuchi's activism harmonized with those of national socialism. Tomeri Tanimoto (1898) emphasized the educational value of craftwork, and was influenced by the idea of progressive education of Goeling and Dewey. Nakano (1968, pp. 48-49) assumes that progressive education was an idea of the bourgeois which mediated the transition from capitalism to national imperialism. According to Nakano, all efforts promoting progressive education were devoted to national imperialism in Japan. Nakano (1968, pp. 114-115) also claims that even political leaders like Masatarou Sawayanagi, who believed in the value of democracy in opposing national militarism, were advocates of capitalism pursuing private interests. Nakano recognizes a number of educators in the Taisho era for their belief in the value of a child-centered curriculum, including Heiji Oikawa, Sawayanagi, Takeji Kinoshita, Kanae Yamamoto, Kishie Tezuka, Entarou Noguchi, Motoko Hani, Kuniyoshi Obara, Entarou Noguchi, Yonekichi Akai, Kinnosuke Ogura, and Enosuke Ashida. But Nakano also sees these educators as ameliorists who did not fight against Japanese imperialism. Amongst these educators, Ogua and Ashida were regarded as leading the fight against the traditional oppressive curriculum. Yet, even these two leaders did not attempt to speak against imperialism. However, there was a gap between these leaders and ordinary school teachers in terms of social class, for most of these leaders were affiliated with the normal schools. Thus ordinary public school teachers were likely to be confined to the traditional oppressive curriculum (Nakano, 1968, pp. 249-251).

The Taisho freedom movement brought some positive results, but Nakano's evaluation is pessimistic. Teachers gradually formed their own culture and curriculum distinct from the national curriculum. From mathematics to art education, their curriculums contained various non-standard methods and contents. Moreover, their curriculum development was always accompanied by lesson study which included the records of the lesson plan, practices, and pros and cons. Their records were highly detailed so that others could easily review their classroom practices

later on. For instance, a teacher at the Nara Women's Normal School recorded all the questions asked by a teacher in one lesson, as well as all the answers given by the students This practice is still used in almost all schools in contemporary Japan, including not only the schools attached to universities, but also ordinary public schools. All demonstration lessons were observed by other teachers and discussed afterwards. Although these educators had no idea that their collaboration would later become a teaching tradition in Japan, they were conscious that their unique practices deviated from the oppressive traditional curriculum.

4   Lesson Study under the Name of "Curriculum" after World War II

Nakauchi (1971) is a prominent researcher of education best known for his work on the measurability of the results of curriculum practices. It has been gradually recognized that the outcome of a given curriculum should be measureable. Katsuta (1972, p. 172) also emphasized the importance of the measurability of the learning outcomes of curriculum practices, proposing that measurability is a way to guarantee that students are gaining the knowledge and skills they need.

The period following World War II was a time for reconstructing not only the entire Japanese political system, but also the core of its education system. In the 1950's the concept of ability gradually became the focus of curriculum design, a period in which modernization was the main agenda of the new curriculum movement. In particular, the term "core-curriculum" came to represent the progressive perspective. In the 1950's the word, "curriculum" implied an experience-based curriculum or an activity curriculum. However, following the Sputnik Crisis in 1957, "curriculum" began to imply a structural academic discipline (Bruner, 1960). The curriculum as a structural discipline was called *keitou gakushu* (sequential learning), which emphasizes factual knowledge and rote learning. The heuristic approach to education has yet to gain widespread acceptance in Japan.

4.1 Lesson Study by Japanese Phenomenologists: Beyond Orientalism

The 1970's were a time of drastic change in the concept of curriculum. Educators started considering the "subjectivity" of the individual. Curriculum studies use subjectivity to identify what we understand and how to measure the results of our educational efforts. When Yoshida (1978, pp. 70-73), a cognitive psychologist, analyzed classroom teaching, he used the phenomenological method of inquiry to determine how to integrate concrete

reality with abstract knowledge. Because phenomenology is a way of understanding the reality we face in our life-world, as opposed to the abstract world, he focused on the subjectivity of a child's experience. Attempting to use the phenomenological approach to understand the inter-subjectivity of teachers and students, he illuminated their internal worlds. Before ethnography became a popular tool in the field of education, he was making use of the concept of subjectivity. Although he doesn't use the term "lesson study," he demonstrates how to adopt the point of view of one's colleagues to take a look at one's own attitudes.

Milon Atkin's approach to illuminating the inter-subjectivity of the individual classroom situation became popular in 1975 (Atkin, 1975). Yoshida's approach was also important in the curriculum development of Japanese lesson study, though those new approaches were not widely accepted by Japanese educators. Yet, due to its complicated terminology, phenomenology never became popular among Japanese educators, who saw this intellectual movement as an abstruse sort of discourse sealed off in the ivory tower of philosophy.

The various attempts made to create a distinctively Japanese version of curriculum study which includes lesson study have turned out to be "Orientalism." All theorizations of Japanese scholars have to be formulated in terms of Western notions. For many Japanese scholars, the interpretation of the Western notion of curriculum is critical. Contrary to the Western perspective is the practice of Muchaku (1995), a well-known school teacher outstanding for his non-theoretical approach. Going against the prevailing Japanese tradition, he initiated various positive practices without any preoccupation with Western educational theories. There are a number of other examples of lesson study based on the reality of classroom practices.

4.2 Japanese Realism, Populism, and Curriculum Theories

In general, Japanese scholars are enthusiastic about importing ideas, rather than exporting their own ideas to other countries. Moreover, in the field of Japanese education there are a large number of hidden factors influencing Japanese scholars.

In response to *yutori* (relax) and *ikiru chikara* (passion for life), two major tenets of the educational policy prevailing in the early 1990's, a number of researchers started discussing the "mediocrity" of Japanese students. Class differences are another concern for Japanese researchers of education as well as the Japanese public (see Kariya, 1999; Sakurai, 2000; Wada, 1999). Although Japanese curriculum researchers are not heavily burdened by elitism, they are eager for publicity.

Thus most researchers choose to study topics which have the most mass appeal, giving scant attention to the implications their arguments may have in the future. As a result, education in Japan continues to move in the direction of rote learning and simple, basic skills, while, the competition for admission to the prestigious schools and universities intensifies.

There have not been many attempts to analyze the current state of curriculum studies in Japan In general, there are few theory-oriented educational practices in Japan. Instead, there are a number of descriptive educational practices, which are interpreted by researchers in terms of the prevailing popular concepts. For instance, the word "lesson study" has become popular in the United States and Europe, based on the misguided assumption that this educational practice is based on a particular Japanese theory of curriculum.

4.3 Mediocrity and Rote Learning

The mediocrity of Japanese students is a major concern to both the Japanese public and curriculum researchers, who are obsessed with improving the position of Japanese students in international rankings. It may strike some as strange that issues of importance to education are first recognized by the general public, and only afterwards picked up on by the curriculum researchers. Thus, when it comes to determining the important issues, it is clear that few Japanese curriculum researchers take the initiative, and seem content to leave this to the mass-media and other non-educators.

A survey conducted in 2003 (National Institute for Educational Policy Studies, 2004) found that Japanese students were decreasingly competent in various subjects, leading the mass media to gleefully announce the defeat of Japanese students in international competitions. Of particular concern was that the ranking of Japanese students in reading ability dropped from the 8th place to the 14th place. In mathematics, Japanese students dropped from 1st place to 6th. In science they dropped from 1st place to 2nd place. In a new subject called "problem solving," Japanese students were ranked fourth. Reacting to the questions raised by the media, a spokesman of the Ministry of Education concluded that (1) Japanese students are generally still in a good position; (2) the direction of their scholastic competency is down and no longer at the top level; and (3) student motivation and learning habits are problematic. Most of the media reports attributed the deteriorating rankings to the "softness" of the new curriculum.

In fact, the rumor of the mediocrity of Japanese students originated not from the reality of the classroom, but rather from a misunderstanding or misinterpretation of teaching. Despite the fact that there is no concrete evidence proving the mediocrity of Japanese students, the rumor mongers kept alleging that the mediocrity of Japanese students had been caused by "relaxed education," one of the two major tenets of education in Japan in the 1990's. This rumor started in the middle of the 1990's and has continued into the 2000's.

As expected, the major outcome was a "back to basics" campaign. Since December 2003, the national policies concerning curriculum have been swung drastically from the soft curriculum toward a rigid, goal-oriented curriculum which is mediated through prescribed goals. In the short term, the Ministry of Education has retreated from the fundamental reform of traditional Japanese educational values. The mass media has started an "anti-soft curriculum campaign" before the soft-curriculum has even been implemented in the whole country. The Ministry of Education suddenly changed the direction of educational policies towards high achievement. Lesson study has been popularized to make up for the lack of popularity of Japanese educational achievement in the place of arguments of achievement test scores.

4.4 The Behavioral Objectives Approach

Interestingly enough, the behavioral objectives approach is the most powerful and influential curriculum theory in Japanese lesson study. Yet, in Japan as well as the United States, there are many criticisms of educational policies based on the behavioral objectives approach. The basic ideas of the behavioral objectives approach were further developed in Japan, and Tyler's (1949) goal-means model of curriculum and instruction has been extensively implemented in classrooms in Japan. In particular, the "integration of instruction with evaluation" has been adopted as a slogan by many educators. However, a large number of school teachers are preoccupied with the concept of *hyouka kijun* (evaluation criteria) when preparing their lesson plans (Ministry of Education, Culture, Sports, Science and Technology, 2008). The basic idea of this model is to monitor and control instruction on the basis of prescribed educational goals. Despite the fact that many school teachers sincerely write the evaluation criteria, most of them do not use these evaluation criteria in their actual teaching practices, instead relying on their own intrinsic criteria when they have to make judgments and decisions. In effect, they use the prescribed evaluation criteria to write out their lesson plans merely as an otiose formality intended to satisfy the bureaucrats.

In the 1970s, Kajita (1980) was a leading exponent of contemporary lesson study and the well-known "formative evaluation" in the sense of Bloom's feed-back evaluation. Evaluation became a method for controlling the instruction process in the classroom, which is limited to the goal-

means chains but not to the creative development of human interaction. This concept was further elaborated in the idea of "mastery learning," a method controlling a teacher's instruction in segmented steps. In other words, teachers were required to introduce small, segmented tests in order to monitor the teaching method and content of the instructional materials used in each instructional hour. In this model it was almost forgotten that Tyler's behavioral objectives approach was initiated as a way of assessing intangible educational goals. The segmentation of the instruction into small steps seems similar to the small steps in Skinnerian conditioning. Despite the fact that Kajita's idea was rational and was accepted by educational administrators, it has not been used for assessing students' achievement of intangible objectives. Instead, it has led to changes in the categories of the teachers' reports to parents. Japanese teachers used to provide marks on a five-point scale in each subject, but they were now required to mark the subsidiary categories of each subject; e.g., national language was divided into speaking, reading, and writing. This was the main impact of the behavioral objectives approach in 1970's. Teachers were trained to make more explicit what abilities they were trying to develop, so this training functioned like lesson study in that it required teachers to reflect on what they were trying to do in their classrooms.

4.5 The Behavioral Objectives Approach Revisited

In the course of the new era of individualized education, neo-liberalism was considered to be a basic national tenet of education in the 21st century, and education for individual dignity became a slogan for neo-liberalism in a new social structure. Under the guise of this tenet, the behavioral objectives approach was revived in the new course of study implemented in 2002, which explicitly states the necessity of clarifying evaluation criteria. The implication of this statement is that it requires teachers to write their lesson plans using the structure of the prescribed educational goals. In the new course of study, evaluation criteria must be described in behavioral terms, and lesson activities have to be organized using those criteria. Outcomes of instruction are also to be assessed with the same prescribed criteria. In this framework, instruction has to be monitored in advance in terms of the goals, but not the outcomes themselves.

The behavioral objectives approach was widely used in the 1970s and still remains as an important strategy of educational evaluation in Japan. The introduction of project-based learning has facilitated the use of evaluation in the classroom situation, because there is no significant alternative to this approach, and this approach is easier and simpler than other approaches to evaluation. Tanaka (2008),

a contemporary proponent of educational evaluation and lesson study, wrote a book titled *Educational Evaluation* in 2008, which consists of historical and comparative overviews of current and classical educational evaluation in Japan.

He presents a number of criticisms leveled against the behavioral objectives approach, including Tyler's soft-linear approach. For example, Elliott Eisner has criticized the behavioral objectives approach as likely to impede curriculum development in creative areas, which Tanaka admits, but only partially (Tanaka, 2008, p. 60). Adopting goal-free evaluation, the concept of the "connoisseurship" in educational practices, and *rashomon*, Tanaka believes in the effectiveness of the behavioral objectives approach, even though it is likely to lack effective observation of student changes. Their value consists in the consistent pursuit of observable outcomes of educational practices. There is an underlining assumption that the persistent pursuit of making intangible educational goals into tangible ones is admirable, but even if it sounds rational, a fundamental question still remains: Do the prescribed objectives still help to measure the intangible effects in education?

4.6 Lesson Study and Grass-Roots Movements in Japan

I will now introduce one of the grass-roots movements in Japan as a typical model for lesson study. It is not an exaggeration to assert that the most popular banner held up by school teachers in Japan is emblazoned with the words *Manabi no Kyodotai* (Learning Community), as advocated by Manabu Sato, for whom this notion clearly took in shape in 2006 (Sato, 2006). Sato introduced Japanese schools to the American interpretation of Japanese educational practices. Such phrases as "cooperative learning" and "collegiality" have been made popular by American scholars who have observed Japanese classrooms. Once those phrases were popularized in the United States, they were reintroduced in Japan to provide Japanese educators with fresh inspiration.

Manabu Sato states that a community of learning in a school consists of three pillars: publicity, democracy, and excellence. He says that publicity means that a school is organized as a public sphere with a mission of democracy. In his words, democracy means "a way of associated living," and a school is a society where the individuals, including children, teachers, principals, and parents are "protagonists" (Sato, 2006, p. 12). Excellence does not entail competition and comparison with others, but rather means that the individual pursues the very best in his/her own individual life (Sato, 2006, pp. 12-13). Under the pillar of publicity, individuals are required to listen to others as equal partners, i.e., children, teachers, principals,

and parents are encouraged to talk to each other. These theoretical tools are so simple that almost all teachers can understand them. This simplicity is necessary for understanding lesson study.

In addition to these principles, there are other practical teaching techniques for the classroom; e.g., students' desks are organized into several connected groups and the students are encouraged to discuss topics and help each other in various ways. Such a style of learning is considered "cooperative learning" (Sato, 2006, p. 20). Further investigating the expansion of cooperative learning in Western countries and Asia, Sato found that the idea has a close sympathy with the Asian concept of the family or community. Students are to be inspired by mutual encouragement in small groups as a way of building self-confidence.

If Stato's theory were composed merely of this theoretical framework, it would not have been widely accepted by ordinary school teachers in Japan. In fact, it's his charisma that inspires many educators to believe in the value of collaboration and face-to-face relationships. In other words, quite a few teachers suffer from a feeling of isolation and inability when confronted with student violence, absenteeism, and deviance.

Teachers need relief from their predicament, and Sato serves as a sort of psychiatrist. Isolated individuals find much relief just by having somebody listen to them talk about their difficulties. Thus Sato encourages teachers to have dialogues in their own school communities. Teachers need to have a feeling of being linked with colleagues, even though they may not be at the same school. It should be noted that by "community" he means the community of the school as a whole, and not an isolated classroom. So even a school's principal is encouraged to teach in a classroom as one of the protagonists.

There are a number of charismatic educational leaders in Japan. Sato's influence is largely due to his style of story-telling. In other words, a theory should not be overly theoretical if it is to be influential in the ordinary school situation. The idea of a community of learning functions positively when we feel a sense of intimacy and possibility. It should be noted that theory never influences educators as much as inspiration and passion, while bureaucratic rationality does little to motivate educators to work together.

5   Conclusion

As has been stated, there is no ends-means rationality in the field of curriculum practices, except for the behavioral objectives approach in Japan. When we focus on curriculum practices, we find that theories are always formed post hoc. Curriculum practices and lesson study are developed in a contextual background apart from theories. Political hegemony and orthodoxy could be helpful in understanding lesson study in the real context of curriculum discourses. On the one hand, curriculum policies are likely to be made as part of a political agenda at the macro level. On the other hand, curriculum making is the duty of individual teachers. How a curriculum is actually practiced is always based on the life-world, rather than on theories. This life world is oriented towards the individual's interests, rather than the individuals' ideals. That is why we need to understand the role of individual subjective interests in curriculum practices.

In this paper, I found three influential factors in lesson study and curriculum-making. The first is that the media has a significant influential on lesson study. The evidence does not necessarily have to be concrete to be believed by the general public, and lesson study is the phrase which exactly fits the current political atmosphere.

Second, the behavioral objectives approach has become the favored theoretical tradition used in lesson study in Japan. The behavioral objectives approach is theoretical at least in the sense that teachers are required to write out the goals towards which they are trying to lead their students, and the simple and clear-cut steps of its goal-means chain fits nicely with lesson study. However, there still remains the important task of assessing the intangible educational outcomes beyond the formality and rationality of this approach.

Third, the phrase "learning community" has become very popular among teachers. There is no theory or rationality in this slogan, but it has a power to inspire individual school teachers' belief in this popular curriculum movement. Publicity, democracy, and excellence are the major pillars of this belief system. We cannot identify any linkage between theory and practice, except the fact that there are a number of teachers who believe in it as a possibility.

As has been noted, the power of the individual's belief is a significant condition for expanding one's ideas about lesson study. In lesson study, practice always precedes reasoning, while theory doesn't lead to practice.

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Decentralization and School-Based Management in Indonesia

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Abstract

The purpose of this article is to examine the recent developments in the decentralized education system in Indonesia with particular reference to the implementation of the school-based management (SBM) policy and programs. It was found that SBM is an effective way of enhancing participatory decision-making, budgetary transparency, and community participation. However, it was also found that the effective implementation of SBM requires time management expertise and assistance from the government, educational experts, and foreign aid agencies. These conclusions are based on the results of an empirical survey of 334 principals and teachers at 24 schools, supplemented by 22 follow-up interviews and an examination of school documents and student achievement reports.

Keywords: educational decentralization, school-based management, Indonesia

1   Introduction

One of the most widely debated issues in education over the last two decades has been how to find a balance between centralization and decentralization (Caldwell, 2008; Gamage, 1996a, 2006a, 2008; Gamage & Zajda, 2005a, 2005b). In the context of the public school system, decentralization of power and authority occurs at the school level for the purpose of empowering school stakeholders by giving the power to make decisions which were earlier made by the central, regional, or district government (Anderson, 2006; David, 1989; Gamage, 1996a, 2006a; Herman & Herman, 1993). It is widely believed that school leaders and teachers, the school's administrative staff, as well as parents and the local community are best placed to determine the strategies that best meet the needs of their particular students. For these reasons, school-based management (SBM) has been widely accepted as a major reform initiative in both developed and developing nations, including Australia, New Zealand, the UK, the USA, Indonesia, Hong Kong and Thailand.

Research findings in the last two decades demonstrate that the implementation of SBM empowers a school's stakeholders and increases parental and community participation and partnership (Bandur, 2012; Briggs & Wohlstetter, 2003; Gamage, 1993, 2003, 2006b, 2008; Grauwe, 2005; Parker & Leithwood, 2000; Stevenson, 2001; Sturman, 1989). SBM can also help schools to increase the quality of education, provide a healthier teaching and learning environment, and improve student outcomes (Bandur, in press; Bandur & Gamage, 2009; Caldwell, 2005; Dimmock, 1993; Gamage, 1996b, 1998a, 2006b; Gamage & Sooksomchitra, 2004; Gamage & Zajda, 2005a; Leroy, 2002; Mejia, 2001).

Yet, all the past studies which have found positive results related to SBM implementation in Indonesia were carried out at schools which were receiving assistance from international donor agencies. For instance, research conducted in Eastern Java by Caldwell (2005) shows that the implementation of SBM resulted in increased student outcomes only after the intervention of international donors for twelve months. Similarly, studies which found that SBM implementation resulted in school improvement and enhanced student achievement (Bandur, 2011, 2012, in press; Bandur & Gamage, 2009) were conducted at schools in the Ngada district with SBM programs assisted by AusAID. No relevant studies have been made of ordinary schools not receiving foreign aid. Thus the purpose of the present research is to compare the results of SBM at both types of schools -- those receiving foreign aid and those not receiving foreign aid.

This paper presents educational decentralization with an emphasis on the historical development of SBM in Indonesia. This research was conducted in 2011 using both quantitative and qualitative methods. An empirical survey was administered to 334 principals and teachers at 24 primary schools in the towns of Ende and Ruteng on the island of Flores. The schools in Ende were selected to represent SBM schools which are assisted by international donor agencies, while those in Ruteng were selected to represent schools where SBM is being implemented without assistance from international donor agencies. In addition to the survey, more detailed information was obtained by conducting semi-structured interviews and focus group discussions (FGD) with 22 key informants, as well as making an examination of school progress reports and student achievement reports.

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2   Decentralization versus Centralization

Striking the right balance between centralization and decentralization has become one of the most significant issues in education reform (Bangay, 2005; Caldwell, 1990, 1998; Gamage, 1993, 1996a, 2006a, 2008; Gamage & Zajda, 2005b; Hawkins, 2000; Ranson, 2008). Gamage (1996a) affirms that in modern, complex organizational settings, absolute centralization or absolute decentralization is impossible. He clarifies that if an organization is absolutely centralized, subordinates would not have any freedom of choice, as the top management would make every single decision. In contrast, if authority for decision-making in an organization is absolutely decentralized, it would result in anarchy, as each employee would take action as he or she thought best. Even if each employee carried out his or her individual tasks, achievement of organizational goals would be impossible without any central coordination.

Hanson (1998, p. 2) defines decentralization as "the transfer of decision-making authority, responsibility, and tasks from higher to lower organization levels or between organizations." He categorizes decentralization into three basic types, namely, de-concentration, delegation, and devolution. De-concentration typically involves the transfer of tasks and work, but not authority, to other units in the organization. Delegation involves the transfer of decision-making authority from higher to lower level units in the hierarchy, but that authority can be withdrawn at the discretion of the delegating unit. Devolution refers to the transfer of authority to an autonomous unit that can act independently, or a unit that can act without first asking for permission.

However, it is also necessary to consider the terms "centralization" and "decentralization" as a continuum. Several experts state that, similar to the concept of democracy, there are no ideal or absolute models of decentralization (Gamage, 2006a; Gamage & Zajda, 2005b). Rather, it is a matter of degree. Any model of decentralization necessarily involves certain elements of centralization. Devolution or transfer of power and authority to the decentralized unit, enabling it to operate as an effective entity in performing certain duties and functions, can be considered as the next logical step in delegation of authority.

Furthermore, Gamage (1996a) affirms that decentralization and delegation need to be considered as related concepts. He clarifies that both terms primarily refer to the distribution of formal decision-making authority within an organization. Delegation occurs when a person in authority assigns certain duties and/or decision-making authority to a subordinate. For example, a principal delegates the imposition of minor disciplinary punishment to his or her deputy principal, who is still required to obtain the principal's approval for the imposition of major disciplinary actions. On the other hand, decentralization represents an organization-wide commitment to delegation. The movement to decentralization occurs when the delegation of authority takes place throughout the whole organization, especially when it expands to different locations requiring control from a distance. At the same time, the higher authority usually formulates a mechanism of control and is responsible for the actions of lower level officers or sub-units.

In the school context, Gamage (1994a, p. 114) points out that it is desirable for "devolution to have a legislative basis in order to provide a more permanent administrative structure." He then points out that "devolution of power to schools has occurred concurrently with the establishment of school councils, and if SBM is to be effective, the devolution of adequate decision-making authority to the school level would be a prerequisite." This process is aimed at increasing the power and influence of the school's chief stakeholders and encouraging their participation and commitment, all of which lead to greater innovation, as well as higher morale, accountability and productivity.

It is clear, then, that improving educational outcomes for students can be achieved by increasing the range of decision-making and resource management at the school level. In this connection, Kuehn (1996) claims that devolution results in increased student achievement, which comes about through more flexible curriculum offerings tailored to the needs of students in a particular school.

Research has also shown how devolution can increase the level of responsiveness, sense of partnership, and sense of empowerment of a school's stakeholders. This, in turn, improves student outcomes, encourages participation of parents and the local community, and contributes to the development of a sense of ownership, commitment, autonomy, and flexibility towards improving the quality of education (Bandur, in press; Gamage, 1993, 1996a, 1998a, 1998b, 2003, 2006a; Gamage & Zajda, 2005b; O'Neil, 1996; Whitty, 2008; Wohlstetter, 1995). Moreover, the principal and the school are more accountable to the local community. In particular, schools tend to be more open-minded, more responsive to parents, and more in touch with community concerns (Gamage, 1990; O'Neil, 1996). Principals then play more of a public role by interacting with people in the wider community, thus increasing efficiency, effectiveness, and productivity (Delaney, 1997; Gamage, 1996a, 1996b).

3   The Emergence of a Decentralized System of Education in Indonesia

Since it became independent in 1945 until the late 1990s, Indonesia was well known as a country with a

strong centralized authority. Bjork (2003, p. 193) notes that by the end of the twentieth century, Indonesia was among the most highly centralized nations in the world. He asserts that the centralization of authority in Indonesia could enforce the dependence of regional leaders on Jakarta (the capital of Indonesia) and even cause them to orient themselves away from their local constituents and toward the central authorities. Consequently, the Indonesian regional governments had little autonomy, which was one of the precipitating causes of Indonesia's financial crisis in the late 1990s.

Although the term "decentralization" was first used in Law 5/1974, the real transformation began in May 1998, when a radical political movement towards decentralization resulted in the enactment of Law 22/1999 on Regional Government, Law 25/1999 on Balanced Provisions of Finance between the Central and Regional Governments, Government Regulation Number 25/2000 on the Authority of the Central and Provincial Governments, as well as Law 25/2000 on National Development Programs (Aspinall & Fealy, 2003; Bjork, 2006; Departemen Pendidikan Nasional, 2001). These laws and regulations were formulated due to increasing recognition of the importance of democracy, community participation, equitable distribution of wealth, and justice, as well as out of consideration for regional diversity. Bjork (2006, p. 135) sees the decision to redistribute power and decision making to local government bodies as representing a significant departure from the previous centralized, top-down nature of government in Indonesia.

In terms of successful movements towards decentralization, Guess (2005, p. 220) claims that the Indonesian "big bang" devolution program was one of the fastest and most comprehensive decentralization initiatives ever attempted by any country in the region. The decentralization of government led to the implementation of educational decentralization, widely considered as a milestone in developing a better quality of national education (Departemen Pendidikan Nasional, 2001, 2002, 2004). Moreover, Guess (2005) asserts that decentralization has resulted in local assemblies operating in a more accountable and democratic fashion than ever before.

4   A Revised Theory of School-Based Management

Gamage (1996a) proposed a revised theory of SBM on the basis of his twenty years of experience in Australian SBM systems. In his revised theory he presents seven assumptions which are the basis of a more realistic application of SBM. The first assumption is that a school council should consist of all relevant stakeholders, including the principal or the head teacher, as well as representatives of staff (both teaching and non-teaching), parents, the local community, and students (in the case of secondary schools). The representatives of the staff, parents, and students are expected to be elected by the relevant constituencies, whereas the community representatives are to be nominated by the other elected members and the school leader.

The second assumption is that the devolution or transfer of both authority and responsibility needs to be effected by a legislative enactment. This transforms what was formerly an advisory body into a democratic governing body. The third assumption is the great importance of the voluntary participation of parents, the community, and student representatives in policy formulation and school governance. It is believed that a genuine shift of authority and responsibility will motivate a school's stakeholders to become more actively involved in improving its quality.

The fourth assumption is that the lay councilors, with appropriate induction and training, will acquire sufficient knowledge to function as equal partners. The knowledge and experience of lay-members who come from fields other than education are relevant and useful to the educational enterprise and in meeting the needs of a contemporary school. The fifth assumption is that because of dezoning schools need to find ways to improve their image and increase enrolment in ways similar to those used in business by both private and public enterprises.

The sixth assumption is that SBM is cost effective because the higher level of commitment leads to minimization of costs and better utilization of limited resources. Moreover, minimizing the size of the educational bureaucracy increases the amount of resources available for educational purposes, at the same time encouraging schools to draw on previously untapped community resources. The seventh assumption is that the centre needs to maintain strict control of the finances placed at the disposal of schools as a way of ensuring accountability in conformity with the ministerial and departmental guidelines relating to the operation of school councils. The principal is made accountable to the governing body and through it to the state's education authorities, as well as to the local community. Submissions of regular progress reports to the governing body and annual reports to other relevant authorities and the school community are required.

Gamage (1996a, 1996b) concludes that SBM is a pragmatic approach to transforming a bureaucratic and centralized model of school administration into a more democratic structure. It identifies the individual school as the primary unit to be improved by relying on the redistribution of decision-making authority. In this context, taking improvement in individual schools as the key to successful educational reform strategies has a good deal

of public appeal and research support (Bush & Gamage, 2001; Cheng, 1996; David, 1989; Edge, 2000; Gamage & Zajda, 2005a; Hanson, 1991; Hess, 1999; Raab, 2000; Wong, 1998). For example, scholars in the UK have reported that school governing bodies in England and Wales have been given greater powers to manage their own affairs within clearly defined national frameworks (Bush & Gamage, 2001; Raab, 2000). They clarify that power has been typically devolved to school-level governing bodies comprised of representatives of the relevant stakeholders, while operational management is devolved to the principal. They also claim that the transfer of power to governing bodies can be viewed as a willingness to empower parents and business interests.

In the USA, the success of the Chicago SBM model has led some researchers to assert that the decision-making authority devolved to the local school councils is significant, particularly in view of the fact that each council has the authority to rehire or dismiss the principal on the basis of a four-year performance contract (Gamage & Zajda, 2005a; Hanson, 1991). Other researchers report that such reforms have contributed to improvements in teaching and learning, financial and administrative management, professional recruitment standards, academic performance, and school management (Edge, 2000; Hanson, 1991; Hess, 1999; Wong, 1998).

5   SBM Policy in Indonesia

With the turn of 21st century, SBM has become a model for the decentralization of the education system in Indonesian by shifting authority and responsibility to school-level decision-makers known as *dewan (komite) sekolah* (school councils). In fact, *persatuan orang tua dan guru/POMG* (parent-teacher association) were established in the 1950s, but their main responsibility was limited to non-instructional matters such as school buildings and school finances, while authority over the curriculum remained vested in school staff (Education Act 4/1950, Chapter 78, article 4). The POMG was later replaced by the *badan pembantu penyelenggaraan pendidikan/BP3* (advisory body for school governance), but again, the BP3 was only responsible for providing additional school finances. Authority with regard to curriculum, textbooks, school facilities, and deployment and development of staff remained the responsibility of the central government, while responsibility for building maintenance and renovations was devolved to the district government (Law 2/1989 on the National Education System; Government Regulation Number 28/1990, article 9). On the basis of this regulation, the principal was given responsibility in terms of academics, school administration, staff training, and the maintenance of school facilities.

A truly democratic school system based on SBM only emerged under the democratic governments of Presidents Wahid and Soekarnoputri (1999-2004). On the basis of Law 25/2000 on National Development Programs, in February 2001 the Ministry of National Education established the Komisi Nasional Pendidikan (Commission on National Education) led by Professor Fuad Hassan. The Commission was active through December 2001 and was tasked with: (1) formulating policy recommendations for improving the quality of education; and (2) advising the government about the models and mechanisms available for decentralizing the education system. It was expected that the work of the Commission would become the basis for a comprehensive reform of the Indonesian education system. The major recommendation of the Commission was to develop education councils at the district level and school councils at the school level. The main purposes of these councils was envisioned as applying democratic principles in schools; increasing parental and community participation; promoting equity; and the accommodation of diverse local interests and needs (Departemen Pendidikan Nasional, 2001).

With these purposes in mind, the central government embarked on the formation of education and school councils in each district of Western Sumatra, Eastern Java, and Bali. Soon afterwards, in relation to the implementation of SBM, the Ministry of National Education published Guidelines Number 044/U/2002, and later revised Government Regulation Number 66/2010 on Educational Governance and Management. These regulations were in line with the Education Act 20/2003 on the National Education System intended to assist the formation of school councils. In accordance with the involvement of local communities in improving the quality of education, Article 56 of the Act provides that community members are required to participate in improving the quality of education. In this case, the education council and school council represent the community:

> The community shall take part in improving the quality of educational services, which includes planning, monitoring, and evaluation of educational programs through the education council and school council. (The Ministry of National Education, Republic of Indonesia, 2003, Article 56)

On the basis of this Act, the central government regulates the power and authority vested in the school councils, as well as the formation, membership, structure, and characteristics of the school council. The Education Act 20/2003 defines a school council as an independent body established to provide school monitoring, advice, direction,

and support for personnel, facilities, and equipment (Article 56). The school council was thus seen as having four concurrent roles: (1) an advisory agency for determining and/or approving educational policies at the school level; (2) an agency supporting the school both in financial and non-financial matters; (3) a controlling agency for the purpose of transparency and accountability at the school level, and (4) a mediator between school, government, and community.

6   Recent Research on SBM Implementation

The primary objective of this research was to compare the results of SBM implementation at two types of schools: those receiving foreign aid, and those not receiving such aid. The former group was represented by schools in town of Ende, the capital of the Ende Regency. Between 2002 and 2008 schools in Ende were supported by the Australian Agency for International Development (AusAID) through the program known as Nusa Tenggara Timur Primary Education Partnership (NTT-PEP). The latter group was represented by schools in the town of Ruteng, the capital of the Manggarai Regency, for during the same period these schools were not receiving any support from international agencies. Both districts are located on the island of Flores in eastern Indonesia.

6.1 Research Methodology

Methodology refers to "the philosophical framework and the fundamental assumptions of research" (Creswell & Clark, 2007, p. 4). The philosophical framework of the researcher strongly influences which research procedures are selected, as well as how they are applied. The fundamental assumptions of researchers can be classified into four types: postpositivism; constructivism; advocacy/participatory and pragmatism. Post-positivism is associated with quantitative approaches to research. The researcher adopting this approach seeks knowledge on the basis of: (1) reductionism and focusing on selected variables; (2) determinism and cause-effect thinking; (3)

detailed observation and measurement of variables, and (4) the testing of theories and continuous refinement (Slife & Williams, 1995 as cited in Creswell & Clark, 2007). Constructivism is associated with qualitative approaches to research in which research is constructed "from the bottom up," from the individual perspective to the formation of a theory. The advocacy/participatory worldview is also associated with qualitative research, but adds the stipulation that research must have some practical benefit to society. Accordingly, researchers adopting this worldview study topics such as empowerment, marginalization, and related issues which have some bearing on the well-being of society.

Pragmatism is associated with mixed-methods research. The main emphasis of pragmatism is on the research questions raised in the study. In this approach, multiple methods of data collection are used to understand the research problems.

The present research adopts the pragmatist perspective and utilizes both quantitative and qualitative methods of collecting data.

6.2 Research Design

Research design means "the plan of action that links the philosophical assumptions of research" (Creswell, 2005; Crotty, 1998 as cited in Creswell & Clark, 2007, p. 4). This study employs a mixed-method design. This design has the advantages of yielding more valid and reliable results, as well as providing specific techniques and strategies by which the researcher is guided in data collection procedures and data analysis. It has been pointed out that the mixed-method design selected depends on the purpose of the study (Creswell, 2005; Ogier, 1998; Wiersma & Jurs, 2005). In this study we employed the concurrent triangulation strategy, described by Creswell (2005) as Figure 1.

The chief strength of the concurrent triangulation strategy is that it uses separate quantitative and qualitative research procedures, using the strengths of one method to offset the weaknesses inherent within the other method. In this context, quantitative and qualitative data collection is concurrent; i.e., it is carried out in the same phase of the
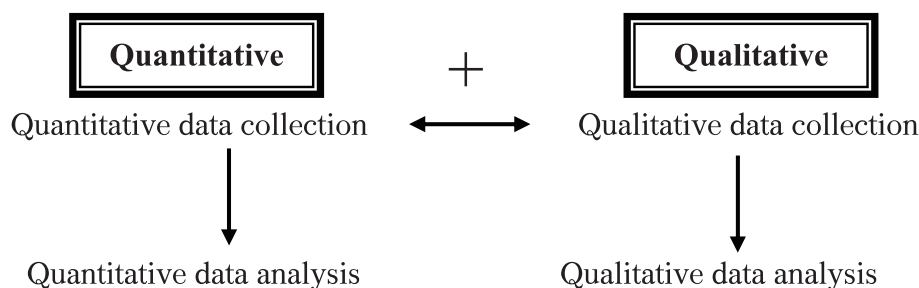

Figure 1 Concurrent Triangulation Strategy

Source: Creswell, 2005, p. 210.

study. The results of the two methods are integrated during the interpretation phase. In the data collection phase of this study, an empirical survey was conducted concurrently with interviews and document analysis. The primary goal of conducting interviews was to seek clarification and deeper understanding of the issues addressed in the empirical surveys.

For the quantitative data collection, we used a questionnaire consisting of both close items and scale items. The close items allowed the respondents to choose from two or more fixed alternatives. For example, the dichotomous items provided only two possible responses: yes or no. In the scale items the respondents were asked to indicate their degree of agreement or disagreement (Burns, 1994). The questionnaire used in this study was an adapted version of that used by Gamage (1996a) for a similar study conducted in Australia.

For the qualitative data collection, in-depth interviews and FGDs were used to obtain open-ended responses as a way of gaining more insight into the research problems. The qualitative data collection consisted of two main steps. In the first step we selected the key informants on the basis of recommendations made by the District Education Department, based on which we interviewed eleven key informants (principals and school council presidents) from Ruteng and seven key informants (principals, the school council president, and the head of basic education) from Ende. In addition, FGDs were conducted with seven groups of teachers in Ruteng and with five groups of teachers in Ende. All the interviews and FGDs were recorded to assist in checking validity and reliability.

6.3 Validity of the Scale Items

Several statisticians (Brace, Kemp, & Snelgar, 2006; Manning & Munro, 2006) recommend the use of principal component analysis (PCA) as a type of factor analysis suitable for exploring the factor structure underlying the variables. Manning and Munro (2006) regard PCA as a good way of measuring the validity of variables. In the context of quantitative research, validity is simply defined as "the degree to which it measures what it claims to measure" (Best & Kahn, 1998; Manning & Munro, 2006; Pallant, 2005; Wiersma & Jurs, 2005).

We thus used PCA to evaluate the validity of the results. The factor loadings ranged from .779 to .883. The Kaiser-Meyer-Olkin (KMO) of sampling adequacy was .682, and Barlett's test of sphericity was $p = .000$, indicating a good factorability (Brace et al., 2006, p. 318).

6.4 Reliability of the Scales

Reliability in quantitative research refers to the consistency of the methods, conditions, and results (Best & Kahn, 1998; Manning & Munro, 2006; Pallant, 2005; Wiersma & Jurs, 2005). There are three common ways of testing reliability in quantitative research, namely, test-retest reliability, split-half reliability, and coefficient (Munning & Munro, 2006; Pallant, 2005). The test-retest approach is applied by testing the same set of people on two different occasions, with the scores from the first test being correlated with the scores from the second test. In a split-half reliability test, the researcher administers the questionnaire only once, splits the items to create a composite variable with two equivalent halves, creates two composite variables from these two sets, and then correlates them.

The coefficient alpha (also known as Cronbach's alpha) was employed in the present study. The coefficient alpha ranges in values from 0 (no reliability) to 1 (perfect reliability). Gregory claims:

> Coefficient alpha is an index of the internal consistency of the items, that is, their tendency to correlate with one another. Insofar as a test or scale with high internal consistency will also tend to show stability of scores in a test-retest approach, coefficient alpha is therefore a useful estimate of reliability. (Manning & Munro, 2006, p. 25)

The values of coefficient alpha above .70 are considered to represent "acceptable" reliability; those above .80 "good reliability;" and those above .90 "excellent" reliability. However, Pallant (2005, p. 90) asserts that with short scales (e.g., scales with fewer than ten items) it is common to find quite low Cronbach values, for example, .50. The values of the coefficient alpha in the present research ranged from .75 to .84, indicating an acceptable and good reliability (Gregory, 2000 as cited in Manning & Munro, 2006).

6.5 Sampling Design

For the quantitative data analyses we employed the quota sampling technique so as to include all the core schools and 50% of the satellite schools in both towns. Thus a total of 22 core and satellite schools were included in the study. A total of 350 questionnaires were delivered to the same 22 schools, 95.42% of which were returned ($N = 334$). In addition to the empirical survey, we also conducted 22 interviews and FGDs with school principals and teachers. This was followed by the examination of such school documents as the minutes of school council meetings, documents relating to school development and planning, school curriculum documents, school attendance lists, and national examination results. Table 1 presents the distribution of the samples.

Table 1 Gender and Age of Respondents

School location	Gender			Age groups				
	Male	Female	Total	20-30	31-40	41-50	51-60	Total
Ruteng	70 (48.3%)	114 (51.7%)	184 (55.1%)	20 (62.5%)	35 (51.5%)	74 (54.0%)	55 (56.7%)	184 (55.1%)
Ende	75 (51.7%)	75 (39.7%)	150 (44.9%)	12 (37.5%)	33 (48.5%)	63 (46.0%)	42 (43.3%)	150 (44.9%)
Total	145 (43.4%)	189 (56.6%)	334 (100%)	32 (9.6%)	68 (20.4%)	137 (41.0%)	97 (29.0%)	334 (100%)

7 Research Findings

7.1 Current Functioning of School Councils

We compared the results of the questionnaires administered in Ende and Ruteng to determine whether there was a statistically significant difference in terms of the opinions of respondents concerning the current functioning of their school councils. Table 2 presents the results.

Table 2 shows that there was a statistically significant difference (Chi-sq = 151.34, p = .000, N = 334), with 32.6% of the respondents in Ruteng stating that the current functioning of the school council was either poor (17.4%) or unsatisfactory (15.2%), while no respondents in Ende felt the same. Moreover, 67.4% of the respondents in Ruteng stated that the current functioning of the school council was either adequate (37%), good (26.1%) or very good (4.3%). By contrast, all of the respondents in Ende stated that the functioning of the school council was either adequate (8.0%), good (44%) or very good (48%). These findings clearly indicate the better functioning of the school council in Ende, the schools of which are assisted by foreign aid.

In addition to the quantitative data collection, interviews and FGDs were conducted to gain a better understanding of the functions of the school councils in both towns. The findings indicate that the school council in Ruteng lacks initiative and its members have little understanding of their core functions and roles. For instance, consider the following comments from the principle and teachers in Ruteng:

What we have seen is that the school council waits for the principal to take the initiative. It is very hard for them to initiate and set up programs (Principal).
We know that there is a school council in this school, but the problem is that they do not understand its

function, so it ends up depending on the principal all the time (Principal).
Honestly, there are no clear cut distinction between the functions of the principal and those of the school council (Principal).
Similar to other schools in Ruteng, we think there is a lack of understanding of the functions and roles of the school council; its participation in school improvement is still very low (Teachers' FGD).

These findings stand in sharp contrast to those for the school councils in Ende, which actively engage in helping to make improvements to the teaching and learning environments. This is demonstrated by the following comments made by principals and teachers during the FGDs held in Ende:

With the implementation of SBM, the participation of the school council is very good. Because of their active participation, as a principal I find it easier to manage the school and everything is transparent (Principal).
I found our school council to be my best partner; the school council is working in partnership with us (Principal).
The contribution of the school council is very good. It provides ideas for improving the school (Principal).
The parent representatives in the school council are very active. A couple of times they came in the afternoon to repair the classroom floor (Teacher).
Our school council functions very well and we think the school council members have understood their functions and roles well (Teacher).

Table 2 Current Functioning of School Councils

School location	Poor or unsatisfactory (%)	Adequate (%)	Good (%)	Very good (%)	p	Pearson Chi-Sq	N
Ende	.0	8.0	44.0	48.0	.000	151.349	334
Ruteng	32.6	37.0	26.1	4.3			

7.2 Degree of Authority Vested in School Councils

With respect to the respondents' views about the degree of authority vested in their school council, there was a statistically significant difference between the two towns (Chi-Sq = 232.86, p = .000, N = 323) (see Table 3). A total of 85% of the respondents from Ruteng stated that the power and authority vested in their school council is either inadequate or absolutely inadequate. By contrast, only 4.7% of the respondents in Ende expressed the same view. The findings show that even though the government has granted much authority to school councils, without strong support from international experts the councils don't know how to use it. As a consequence, the power and authority remain in the hands of district-level government authorities and school principals. This in turn hinders partnership and participatory decision-making in schools.

In addition, it was interesting to find that the district government in Ruteng does not allow the school councils to select school principals, as illustrated by the following comments:

Selection of principals is the absolute power and authority of the District Education Department (Principal).
School councils take no part in the selection of school principals. This is not their authority. It is up to the political will of the district government (Principal).
In regard to the school principal selection process, school councils are not involved at all (Principal).
We have found that school councils are never involved in the process of principal selection (Teacher).

By contrast, the interviews and FGDs in Ende revealed the strong participation of school councils in the principal selection process, as illustrated by the following comments:

The school council has a strong influence on the principal selection process. In my case, the District Education Department wanted to replace me. However, the council disagreed because there were still programs which needed my efforts. So they went to the Department and rejected the proposed replacement (Principal).

In view of the fact that school councils have a strong influence in school matters, the District Education Department of Ende gives much importance to the proposals of school councils. For instance, the District Education Department regularly requests information from the school councils and conduct interviews with its members. A senior official at the District Education Department of Ende District stated:

The school councils are very concerned about any replacement of school principals. As a result, we are very selective and conduct an investigation to check the information provided by the school councils. In the end, we agree with them when it is good for the schools.

7.3 Areas of Decision-Making and Authority in Schools

In the framework of national education reform, a decentralized education package was introduced in 1999 with the enactment of Law 22/1999 on regional autonomous government. Later, on the basis of Education Act 20/2003 and Government Regulation Number 66/2010, power and decision-making authority have been shifted to school councils. In this research, it was necessary to determine the nature of the decision-making actually exercised by the school councils in Ruteng and Ende.

Table 4 shows that respondents in both Ruteng and Ende believe that their school councils have some degree of decision-making authority. However, the respondents from Ende see their school councils as having a high degree of decision-making authority, while those from Ruteng see their school councils as having very little decision-making authority.

Of particular interest was that the majority of the respondents from Ende affirmed that their school councils have authority in the selection of school principals (60%), while only 6% of respondents in Ruteng felt the same.

7.4 Styles of Decision Making

Table 5 shows that there was a statistically significant difference (Chi-sq = 30.74, p = .000, N = 334) with respect to the decision-making styles of the school councils. In Ruteng, 77.2% of the respondents stated that consensus was the primary decision-making style, and 22.8% stated

Table 3 Degree of Authority Vested in School Councils

School location	Inadequate or absolutely inadequate (%)	Barely adequate (%)	Adequate (%)	More than adequate (%)	Chi-sq	p	N
Ende	4.7	17.3	56.7	21.3	232.86	.000	323
Ruteng	85.0	12.7	2.3	.0			

Table 4 Areas in which School Councils Have Authority to Make Decisions

Area of authority	School location	Yes (%)	*p*
School vision	Ende	100	.000
	Ruteng	46.2	
School mission	Ende	100	.000
	Ruteng	35.8	
School goals	Ende	100	.000
	Ruteng	40.8	
School annual budget	Ende	100	N/A
	Ruteng	46.2	
School discipline	Ende	100	N/A
	Ruteng	3.8	
New school buildings	Ende	86.0	.000
	Ruteng	47.3	
School building maintenance	Ende	100	.000
	Ruteng	3	
School renovation	Ende	100	.000
	Ruteng	3.8	
Selection of school principal	Ende	60	.000
	Ruteng	6	
Deployment/recruitment of teachers	Ende	43.3	.000
	Ruteng	8.9	
Deployment/recruitment of administrative staff	Ende	81.3	.000
	Ruteng	4.3	
Selection of school textbooks	Ende	100	N/A
	Ruteng	6	
Curriculum development	Ende	94.0	.000
	Ruteng	3	
Evaluation of the teaching-learning process	Ende	100	N/A
	Ruteng	3	
Fundraising	Ende	89.3	.000
	Ruteng	7.1	
Canteen	Ende	0	N/A
	Ruteng	0	

Table 5 Differences in Decision-Making Styles

School Location	Consensus (%)	Principal's recommendation (%)	*p*	Pearson Chi-Sq	*N*
Ende	98.0	2.0	.000	30.74	334
Ruteng	77.2	22.8			

decisions were mainly made based on the principal's recommendations. In contrast, the vast majority of respondents in Ende stated that consensus is the main decision-making style. This means that school principals in Ruteng have a considerably more important role in the decision-making process.

7.5 Quality of the Decision-Making Processes

Table 6 shows that there was a statistically significant difference in terms of the respondents' views of the quality of the decision-making processes of their school council. In Ende the vast majority (75%) of respondents considered the quality of the decision-making processes of their school council to be either good (60.7%) or very good (14%). By contrast, in Ruteng only 22.8% of the respondents selected good and almost none (1.6%) selected very good.

7.6 SBM as a Way of Increasing Community Participation

Table 7 shows that there was a statistically significant difference in terms of the opinions of about whether SMB has resulted in increased community participation (Chi-sq = 169.88, p = .000, N = 334). In particular, 43% of the respondents in Ruteng either disagreed (39.7%) or strongly disagreed (3.3%) that SBM has increased community participation. By contrast, only 2% of the respondents in Ende felt the same. Similarly, almost all respondents (98%) in Ende either agreed (23.3%) or strongly agreed (74.7%) that SBM has increased community participation, compared only with 7.6% in Ruteng.

7.7 SBM as a Way of Increasing Partnership in Schools

Table 8 shows that there was a statistically significant difference (Chi-sq = 61.90, p = .000, N = 334) in terms of whether SBM has led to an increased sense of partnership in schools. In particular, almost no (1.3%) respondents in

Ende disagreed or strongly disagreed with the statement: "The implementation of SBM has increased the sense of partnership in the school decision-making process." By contrast, 19% of the respondents in Ruteng either disagreed or strongly disagreed.

The following extracts from the interviews conducted in Ruteng indicate the nature of the relationship between its school councils and principals:

> There is a strong belief amongst parents that school matters are the responsibility of principals and teachers (Principal).
> I dare not ask parents for financial support because I believe that they would strongly disagree (Principal).
> It is very hard to conduct meetings with the school council due to time difficulties (Principal).
> All decisions in school are made on the initiative of both the principal and teachers (Teachers).
> Even though the school has expectations for its councils, the problem is that most of the parents are farmers who are economically not able to support school programs financially (Teachers).

7.8 SBM as a Way of Increasing Transparency in School Financial Management

Table 9 shows that there was no statistically significant difference (Chi-sq = .293, p = .58, N = 334) in relation to the participants' views on whether or not the implementation of SBM has increased the transparency of a school's financial management.

7.9 Academic Achievement in Bahasa Indonesia

The results in the national examination (*ujian nasional/ UN*) were examined for schools in both towns. Table 10

Table 6 Quality of the Decision-Making Process of School Councils

School location	Unsatisfactory (%)	Barely okay (%)	Good (%)	Very good (%)	p	Pearson Chi-Sq	N
Ende	.0	25.3	60.7	14.0	.000	99.96	334
Ruteng	27.7	47.8	22.8	1.6			

Table 7 SBM as a Way of Increasing Community Participation

School Location	Disagree or strongly disagree (%)	Agree (%)	Strongly agree (%)	p	Pearson Chi-Sq	N
Ende	2.0	23.3	74.7	.000	169.88	334
Ruteng	43.0	49.5	7.6			

Table 8 SBM as a Way of Increasing Partnership in Schools

School Location	Disagree or strongly disagree (%)	Agree (%)	Strongly agree (%)	p	Pearson Chi-Sq	N
Ende	1.3	76.0	22.7	.000	61.90	334
Ruteng	19	67.1	14.1			

Table 9 SBM as a Way of Increasing Transparency in School Financial Management

School location	Agree (%)	Strongly agree (%)	p	Pearson Chi-Sq	N
Ende	60.0	40.0	.58	.293	334
Ruteng	57.1	42.9			

Table 10 Achievement Rankings in Bahasa Indonesia

Academic year	Districts	UN Bahasa Indonesia
2009/2010	Ende	7.14
	Ruteng	6.86
2010/2011	Ende	7.60
	Ruteng	7.20

shows that the students in Ende had higher scores than those in Ruteng in Bahasa Indonesia (the official language of Indonesia).

7.10 Academic Achievement in Science

Table 11 shows that in science, students in Ende had higher scores than those in Ruteng. Moreover, the FDGs and interviews revealed that school councils in Ruteng lack participation in improving student achievement, as illustrated by the following comments:

Table 11 Scores in Science

Academic year	Districts	Science
2009/2010	Ende	7.43
	Ruteng	6.87
2010/2011	Ende	7.07
	Ruteng	6.58

The school councils make no efforts for increasing the academic achievement of students (Principal).
The school councils and parents depend too much on teachers for increasing the academic achievement of students (Teacher).

By contrast, the FDGs and interviews revealed that school councils in Ende actively worked to improve student achievement, as illustrated by the following comments:

In this school, coordination between the school council and school principal is good. School decisions are always made on the basis of consensus between teachers, the principal, and school council members. This improved the academic performance of students. For example, our students have achieved the highest scores in this district in *Bahasa* and science (Teacher).

The school council is actively involved in school meetings, building school facilities, and school evaluation (Teacher).

Furthermore, we compared the results in the national examination of the top eight schools of both towns, as presented in the following sections.

7.11 National Examination Scores in Bahasa Indonesia

Table 12 shows the range scores (8.01-9.00) in the Bahasa Indonesia section of the national examination for students at the top eight primary schools in Ruteng and Ende. The examination results show that the majority of students in Ende had scores of between 8.01 and 9.00. By contrast, in Ruteng there were only three schools where the majority of students had scores between 8.01 and 9.00.

Table 12 Scores in Bahasa Indonesia

School location	School	National examination results	
		Range of score	% of students
Ende	School 1	8.01-9.00	72.37%
	School 2		69.44%
	School 3		64.71%
	School 4		64.41%
	School 5		58.82%
	School 6		50.98%
	School 7		48.39%
	School 8		39.13%
Ruteng	School 1	8.01-9.00	68.92%
	School 2		55.70%
	School 3		51.58%
	School 4		49.43%
	School 5		42.86%
	School 6		40.48%
	School 7		39.34%
	School 8		32.26%

7.12 National Examination Scores in Science

Table 13 shows the range scores (8.01-9.00) in the science section of the national examination for students at the top eight primary schools in Ende and Ruteng. The results show that in both towns only a minority of students had range scores between 8.01 and 9.0. However, the scores of the students in Ende were higher, with a total mean score of 31.25%, compared to a total mean score of 24.5% in Ruteng.

Table 13 Scores in Science

School location	Schools	National examination results	
		Range of score	% of students
Ende	School 1		48.53%
	School 2		43.06%
	School 3		35.59%
	School 4	8.01-9.00	32.26%
	School 5		31.58%
	School 6		20.29%
	School 7		19.61%
	School 8		17.65%
Ruteng	School 1		35.71%
	School 2		34.18%
	School 3		32.43%
	School 4	8.01-9.00	28.74%
	School 5		20.48%
	School 6		16.13%
	School 7		16.07%
	School 8		13.11%

7.13 The Significance of the AusAID/NTT-PEP Project in Ende

The NTT-PEP was a six-year project in the Ngada, Ende, and Sikka districts of Flores Island, with a total grant of AU\$25 million provided by AusAID. The project's main focus was promoting partnership between the local district government, teachers, principals, parents, and other community members. The following replies are representative of the views of teachers and principals in Ende concerning the significant contributions of the project:

> We are lucky in this district because the NTT-PEP advisors conducted regular training on how to implement a school-based curriculum and joyful learning (Teacher).
> My understanding, which is similar to that of other principals, is that we got good guidance from the advisors, such as Mr. Peter. They provided us with regular training and assisted in the formation of school councils for a genuine partnership between school principal, teachers, and society (Principal).

8   Discussion

The findings indicate that the implementation of SBM in Indonesia has resulted in a shift of power and authority from governments to school-level decision-makers. This supports the findings of previous research. For instance, several studies found that under SBM, principals have become partners of other decision-making groups, including teaching and non-teaching staff, parents, community,

government, and alumni representatives (Gamage, 1996a, 2003, 2006a; Gamage & Hansson, 2006; Lam, 2006; Lingard, Hayes, & Mills, 2002).

Several previous studies have also found that SBM has an impact on the devolution of power and authority at the school level, leading to an increase in participation and commitment on the part of parents and the local community. This in turn results in significant improvements in teaching-learning environments and student achievement (Blank, 2004; Brown & Cooper, 2000; Gamage, 1994b, 1998a, 2006b; Muijs, Harris, Chapman, Stoll, & Russ, 2004; O'Neil, 1996; Sheldon & Voorhis, 2004).

In the context of Indonesia, Caldwell (2005, p. 9) reports that the implementation of SBM in Eastern Java has led to improvements in student achievement. He found that dramatic improvements in student achievement were evident within twelve months after the implementation of SBM policies, including the provision of a small budget to each of the 79 schools for conducting professional development programs for teachers, and for engaging in community development to encourage parents to support local schools. Similarly, Bandur (2012) found a correlation between devolving power and authority to the school level and increased participation of school stakeholders, changes in school culture, and improvements in the teaching-learning environment.

In terms of meeting the challenges and problems related to the effective implementation of SBM, researchers consider the training and development of school principals to be a critical factor (Bandur, in press; Bandur & Gamage, 2009; Caldwell, 2004; Gamage, 2006a). Moreover, Gamage (2006a) points out that the foremost challenge that a school principal faces is understanding the changing situation and improving his or her interpersonal and communication skills to meet the changing environment.

9   Conclusion

It is clear that decentralization through School-Based Management has become crucial to improving the quality of education in Indonesia in such areas as teaching-learning environment, school culture, and student achievement. At the policy level, adequate decision-making power in key areas needs to be vested in school-level decision makers. This includes the formulation of school vision, mission and goals; budget; building renovation; new buildings; maintenance; discipline policies; curriculum development; and the selection of teachers, principals, administrative staff, and text books. In practice, the effective implementation of SBM can be highly challenging, depending on the readiness and willingness of the school's stakeholders. The results of this study clearly indicate that

schools in which international experts and donors provide assistance in empowering the stakeholders have better results than schools without such assistance. This means that further support from relevant international agencies is required for the effective implementation of SBM policies and programs.

Moreover, in coordination with academic specialists, government officials need to be responsible for the training of school principals in managerial practices, strategic planning, and school development planning, as well as in their changing roles as school leaders under the SBM policy.

In conclusion, the implementation of SBM in Indonesia is significantly effective in improving student achievement. Further attention should be addressed to how schools can further utilize the assistance provided by foreign aid agencies to improve their capacity to understand SBM concepts and practices, create a collaborative work and learning environment, and increase the level of participation of parents and the local community in school development.

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        Gregory claims:
        Coefficient alpha is an index of the internal consistency of the items, that is, their tendency to correlate with one another. Insofar as a test or scale with high internal consistency will also tend to show stability of scores in a test-retest approach, coefficient alpha is therefore a useful estimate of reliability. (Manning & Munro, 2006, p. 25)
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        Articles in press
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